SCINNOPOLI

SCANNING INNOVATION POLICY IMPACT

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Policy Recommendations

INTERREG IVC Capitalisation Project with
Fast Track Support by the European Commission

European Union
European Regional Development Fund

INTERREG IVC
Innovation & Environment
Regions of Europe Sharing Solutions

INTERREG IVC Capitalisation Project with
Fast Track Support by the European Commission:

SCINNOPOLI –
Scanning Innovation Policy Impact

Policy Recommendations for monitoring and evaluating the impact of regional innovation policy

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1 Foreword and Introduction

In times of financial crisis and related shortage of public budget the effective and efficient use of tax money is becoming more and more crucial – which is also the case of regional innovation policy. In the last decades it was usually sufficient to document the spending of public budget of innovation policy as input indicator and participation of beneficiaries in the measures or disseminated papers as output indicators. Nowadays it is becoming more and more crucial to document the direct results of the innovation policy on the companies as beneficiaries in terms of their competitiveness, increased turnover or increased R&D capacity. And beyond that, tax payers also want to know what is the impact of the regional policy on their own quality of life and on the welfare of their home region.

Scanning the impact of (regional) innovation policy is not only a matter for countries or regions in difficulty; it has to become one of the basic homeworks for all European countries and regions. Also the new Regional Operational Programs for the frame period 2014 to 2020 will reflect these necessities of a comprehensive in-process monitoring and evaluation process. The intensive discussions of the last years and the new "Smart Specialisation Strategies" initiative of the European Commission underline this.

From the outset of SCINNOPOLI, all partner regions were fully aware that only the existence and regular application of an impact assessment system will allow a continuous improvement of the need oriented regional innovation policy with the aim to increase the firms' and regional competitiveness, to create new high quality jobs and thus to increase the regional welfare. And, the signed Regional Action Plans by all responsible regional authorities with concrete implementation concepts for improving the monitoring and evaluation of regional innovation policy. They are the best proof of the successful project implementation – and finally, because only the consequent implementation of the RAP concept will ensure sustainable project results in the partner regions.

But due to the last 2 years of extraordinary intensive exchange and collaboration among the fully committed SCINNOPOLI partners, I am convinced that the signed Regional Action Plans for improving the impact screening of regional innovation policy will lead to sustainable – and measurable – results.

It was a pleasure for Lower Austria to lead the SCINNOPOLI project with the committed project partners, the Fast Track Support by the European Commission and the day-to-day support by the INTERREG IVC Joint Technical Secretariat.

I wish you much enjoyment with our SCINNOPOLI Policy Recommendations and hope that you also get new insights into monitoring of regional innovation policy.

Yours sincerely,

Dr. Petra Bohuslav,
Minister for Economic Affairs, Tourism and Sport of the Government of Lower Austria

2 Fast Track Support for SCINNOPOLI

*By **Luisa Sanches**, Policy Analyst,*
European Commission, DG REGIO D.2.,
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Working closely with Networks such as SCINNOPOLI creates a win-win situation that improves our daily work in Regional Policy.

These Fast Track INTERREG Networks act as learning platforms for their partners and for Commission officials. They create the opportunity for us to contact directly with the regions, to hear how they are solving their problems, how they learn better and quicker together and how they are open to invest efforts and scarce resources on these processes.

But for this learning process to flourish, it is not enough to gather and discuss, we have to go some steps further: we have to know each other and we have **to work together** with a problem solving mind.

Regional Policy aims at involving all regions in attaining the three main priorities of Europe 2020: smart, sustainable and inclusive growth. For this purpose Cohesion Policy needs to improve to continue to provide added value that European citizens expect. Working with the regions, we can learn how to improve our policy. For 2013-2020 the proposals of the Commission include the recommendation to the regions and Member States to produce innovation strategies for smart specialisation. Smart specialisation is a key concept to enhance the capability of Cohesion Policy to contribute to smart growth. This concept and its advantages are gathering momentum among researchers, policy makers and public authorities.

In a nutshell, innovation strategies for smart specialisation will lead to an economic transformation agenda based on tough choices by the regions on few priorities on the basis of international specialisation and integration on international value chains. They will combine priority-setting at EU level with a dynamic process involving key stakeholders from government, business, academia and other knowledge-generating institutions and developing efficient innovation systems. The objective is to build a collective endeavour based on public-private partnership. These strategies can stimulate cooperation across national and regional borders and open up new opportunities by avoiding uniformity, duplication and fragmentation in regional investment goals and increase the quality of spending.

If they are smart they will have to use and develop impact assessments, such as those that SCINNOPOLI proposes and which you have improved or created during this project.

3 SCINNOPOLI – Objectives and Focus

3.1 Objectives

The main goal of SCINNOPOLI is to support and facilitate the regular use of an impact assessment system to evaluate the regional innovation policy. These innovation policies should increase the firms' and regional competitiveness, create new high quality jobs and thus increase the regional welfare and well being. The main tool of SCINNOPOLI for improving the use of impact assessment system are the Regional Action Plans developed by every partner region.

SCINNOPOLI – Scanning Innovation Policy Impact is carried out within the European INTERREG IVC Program www.INTERREGIVC.eu. It is a Capitalisation Project based on the insights and Good Practices of 4 interregional projects on 'regional innovation policy Impact Assessment and Benchmarking' (Specific Support Action "Research and Innovation" activity area, Sixth Framework Programme) and further Good Practices of the partner regions in impact assessment of regional innovation policy.

All 9 partners are involved in the development or implementation of their own regional innovation policy as being the Regional Operational Programme managing authority, being responsible for further mainstream innovation policy programs or being an intermediate body with support of the respective regional managing authority.

The 24 months project duration is characterised by an intensive interregional exchange on the Good Practices and joint workshops on transferring (parts of) partners' Good Practices. Inspired by this inter-regional collaboration, every partner has developed their own Regional Action Plan (RAP). The goal of these RAPs is to improve the monitoring and evaluation system for the regional innovation policy, resulting in improving the regional innovation policy itself and thus contributing to increased competitiveness of the regional companies and increased regional welfare.
The Regional Action Plans are now signed by the responsible authorities for regional innovation policy and will directly be implemented after the SCINNOPOLI project as sustainable SCINNOPOLI results. Even more, single partners have already started with the implementation of specific measures of their Regional Action Plan, even though this is neither required by the INTERREG IVC regulation for Capitalisation projects nor co-financed by the INTERREG IVC program.

SCINNOPOLI partners want to be Good Practice regions in Europe in terms of application of pragmatic, but effective monitoring and evaluation systems for Regional Innovation Policies. We hope that we can motivate further European regions to intensify monitoring and evaluation of their regional innovation policy by interregional transfer and intra-regional consensus building and concept implementation.

3.2 Regional Innovation Policy as Focus

If you google for "innovation" you will receive approx. 356.000.000 results in only approx 0,1 second. These results provide striking evidence that "innovation" is a buzz word in our modern society – and justifiable so. Numerous studies underline that innovative companies are more competitive and successful than others. There is a worldwide consensus on this fact which requires no further fundamental proof of evidence.

But what does "innovation" mean actually? Already in 1912 Joseph Schumpeter defined economic innovation in „Theorie der Wirtschaftlichen Entwicklung" (1912). (The Theory of Economic Development, 1934, Harvard University Press, Boston.) as follows:

- The introduction of a **new good** – that is one with which consumers are not yet familiar – or of a new quality of a good.
- The introduction of an **improved or better method of production**, which by no means needs to be founded on new scientific discovery, and can also exist in a better way of handling a commodity commercially.
- The **opening of a new market,** that is a market into which the particular branch of manufacture of the country in question has not previously entered, whether or not this market has existed before.
- The conquest of a **new source of supply** of raw materials or half-manufactured goods, again irrespective of whether this source already exists or whether it has first to be created.
- The carrying out of the **better organization** of any industry, like the creation of a monopoly position (for example through trustification) or the breaking up of a monopoly position

R&D results are not sufficient as innovation in a multi-stage process transforming ideas into improved products, service or processes, in order to differentiate themselves successfully from their competitors and to gain a better, more profitable and advantageous position. Therefore the idea has to be transformed into an invention (manifesting the idea) and finally into the innovation by applying the ideas

successfully in practice and on the market.

Thus innovation policy is a very complex topic. But often regional innovation policies suffer from a limited view of innovation as the OECD has recently pointed out. Innovation policy and the related innovation system have to have multiple impact on the companies as target group of innovation policy, not only resulting in technological or R&D effects.

For example within the IMPACT-SCAN approach, also a Good Practice applied by the SCINNOPOLI partners from Brittany, Flanders and Lower Austria, the impact of innovation support on the companies is described by an impact profile which is monitoring the full band width of innovation like co-operation culture and formal collaboration with external partners, technology know-how and R&D intensity, existence of an innovation/ overall business strategy, lean organisation and manufacturing process. Also, results in terms of new jobs, increase of turnover or increase of profitability are part of these impact profiles as listed below:

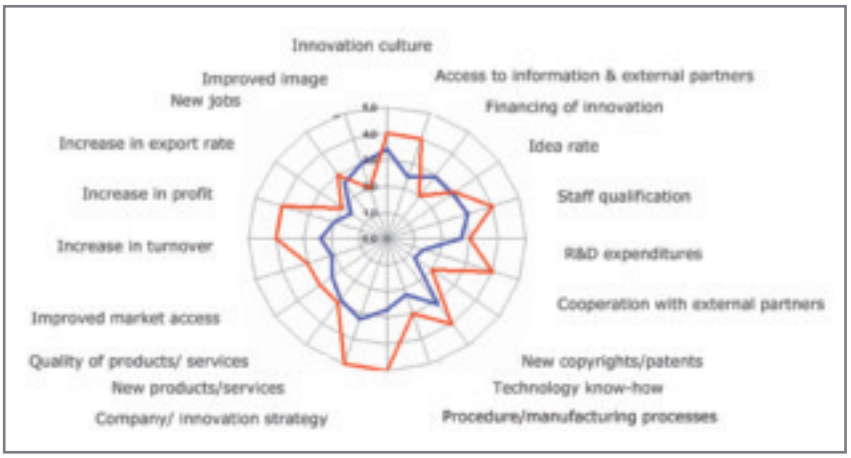


Figure 1: Impact Profile of Lower Austrian innovation services

SCINNOPOLI partners agreed to focus the SCINNOPOLI project and the RAP development on the monitoring and evaluation of their regional innovation policy including those programs, state aid schemes and further innovation services which are "under regional control". "Under regional control" means, that regional authorities/ regional institutions are deciding or at least having considerable influence on the concept development for the respective innovation support system and the overall innovation policy. Only in this case the results of the monitoring and evaluation system make sense and can be used by the regions for direct improvement of their own innovation policy. The individual freedom of the SCINNOPOLI partner regions is significantly depending on the degree of autonomy of the Regional Government in innovation policy. In cases of lower regional autonomy like it is e.g. the case in Hungary, a strong involvement at the national level into the RAP development is required – and this from a very early project stage.

4 SCINNOPOLI Methodology and Transfer Process

4.1 Transfer Process Overview

Already at the stage of project application some SCINNOPOLI regions were advanced in implementation of integrated monitoring and evaluation approach for regional innovation policy, like Flanders, Lower Austria, Navarra or Provence-Alpes-Côte d'Azur compared to average European wide activities. Other SCINNOPOLI partners like Brittany, Schleswig-Holstein and Puglia had already developed single measures for scanning the impact of regional innovation policy while the "Objective Convergence" regions Wielkopolska and Nyugat-Dunantul considered SCINNOPOLI as a chance to develop their monitoring system, e.g. in conjunction with the implementation of their regional innovation strategy.

Even though the economic structure and the regional innovation policy of the SCINNOPOLI partner regions show considerable differences, all partners have finally benefitted from each other because the preselection of Good Practices offered by the project partners before the start of SCINNOPOLI had already ensured that every partner could find valuable Good Practices for the import and integration into their own monitoring and evaluation system. While not all pre-selected Good Practices had impact on the Regional Action Plans of the SCINNOPOLI Project partners, some additional Good Practices were offered during the project runtime based on the exchange among the partners and were also integrated into some partner's Regional Action Plans.

For the inter-regional interaction among partners and the transfer of the Good Practices, SCINNOPOLI partners have relied on the very successful INTERRG IVC Capitalisation project with Fast Track support "ERIK ACTION – Upgrading the Innovation Capacity of Existing Firms". Even though the ERIK ACTION topic was different from SCINNOPOLI, it was possible to apply relevant parts of the project transfer methodology, like training sessions, transfer workshops or staff exchanges. Also the continuous updates of the Regional Action Plans and of the Regional Project Status with progress and activities in every SCINNOPOLI region, were successfully applied. The reader can take a closer look at the applied methodology used in the respective ERIK ACTION Mainstreaming Guide, which is available at www.eriknetwork.net/erikaction/index.html.

Experiences of such inter-regional projects like ERIK ACTION and SCINNOPOLI show that the written documentation of concept and progress – even though of first ideas, interim concepts and non-official brainstorming results – is crucial for structuring and developing the implementation concept of the Regional Action Plan (RAP). And this should be done from the beginning. The lead partner Lower Austria, already very experienced in such INTERREG Capitalisation projects, and the coordinator for the transfer activities, IWT Flanders, underlined from the outset of SCINNOPOLI to all partners the necessity and advantages of the continuously updated RAP version in written form.

4.2 Target Groups and Levels of Monitoring

As a point of departure for the elaboration of the RAP implementation concept the SCINNOPOLI partners decided to use a structured depiction for visualising the current situation of monitoring and evaluating the impact of regional innovation policy for every partner region. This structure approach consists of two dimensions, "target group" and "level of monitoring".

There are 3 target groups distinguished following the Regional Innovation Observatory of Provence-Alpes-Côte d'Azur as a monitoring instrument of the Regional Innovation Strategy. The observatory is serving three main types of "clients":

1. Policy makers, providing data to support and assess policy taking;

2. Intermediaries, providing data to orient their services supply to better respond to companies' needs;

3. Enterprises, providing context information and analysis allowing them to have a better understanding of the context in which they operate, their support needs and the performances of innovation support system.

Also three levels of monitoring are distinguished following the Lower Austrian approach of the overall Innovation Assessment Lower Austria (I-AM Lower Austria) for its Regional Economic/Innovation Strategy.

1. Project level – monitors the results of individual state aid projects or innovation services in terms of output and impact.

Outputs are direct results of a public intervention/project providing services and/or funding to the regional companies. Some of the output indicators measured are e.g. number of companies supported by funding; number of participants in a workshop, etc. Monitoring of outputs is done by means of monitoring the activities and projects in the region based on the final project reports to be completed by the beneficiaries.

Furthermore, at project level, the impact of funded projects on companies is being monitored. The impact indicators include e.g. amount of new cooperation with other companies and/or R&D institutions, increase in turnover, increase in jobs, etc. The monitoring is currently done by means of a standardised questionnaire by the regional government, distributed to the regional companies. With implementation of the monitoring tool based on the Balanced Scorecard Methodology also the respective intermediaries will gather the impact of their provided services as much as possible. Quantitative impact is usually not measureable for simple information services.

2. Programme level – monitors the results of a public intervention in form of a state aid programme or as services provided by intermediaries on the beneficiaries, the regional companies, by a concrete programme with offered financial and soft measures services.

This includes the monitoring of the beneficiaries' advantages obtained through the programmes (e.g. new knowledge acquired in workshops, cost reduction, Cluster & networks, better and new collaborations of companies with R&D institutions, etc.). The I-AM Lower Austria result indicators, thus provide information on changes in behaviour or capacities of the beneficiaries.

Since 2008 the Balanced Scorecard (BSC) Methodology is systematically rolled-out for all innovation services and the respective intermediaries as service providers. The BSC methodology is following a holistic approach by consensus building on the economic targets for the respective program, identifying and monitoring the required performance indicators for the intermediary, the companies and the market in order to achieve their economic targets, defining the relevant processes which are influencing the performance indicators and defining the relevant input factors (skills/activities/analyses/...) for process improvement. Nearly all these services which are now coordinated and monitored with application of the BSC methodology, are set up as programs in the current ERDF Programme (2007 to 2013) in Lower Austria.

Individual innovation services impact profiles and the cockpit of the Key Performance Indicators (KPIs) of the Balanced Scorecard – the concept is a direct result of SCINNOPOLI – are very easy to read and to understand due to graphical depiction. This is facilitating the discussion about the effectiveness of the programs in order to identify strengths and weaknesses.

A further important tool used for monitoring results on program level is the standardised questionnaire survey distributed to the regional companies approx. every five years (1997/1998, 2002, 2008). The coordination of the survey lies with the Lower Austrian Government and addresses each time over 6,000 regional companies. These surveys also gather additional information, e.g. regarding the companies' perception of the regional innovation support, their needs for external innovation, strategic innovation activities in the future or suggestions for improving the regional innovation support.

Other examples are the Enterprise Dialogue activities and continuous experience exchange in workshops with smaller groups on specific topics.

The sum of all surveys serves as a useful platform for exchange and as a means of a continuous dialog with the actors mentioned. In addition, evaluation reports by external experts are also conducted on an ad hoc basis during the course of monitoring at the programme level.

So far the monitoring on program level is focussing on the beneficiaries of the regional support with a one-time observation, but neither with continuous performance analyses or the comparison of the beneficiaries' performance with non-clients or with sector performance. Now a current pilot action, with an annual online questionnaire for Cluster & networks services is starting with much longer term performance aspects.

3. Regional level – Monitors regional effects of the regional innovation policy

I-AM Lower Austria seeks also to find out, explain and evaluate the macroeconomic effects of individual, concrete public policy interventions and of the overall regional innovation policy as a whole, in order to be able to measure the effectiveness of the regional innovation policy in comparison with the policy objectives. In order to analyse the efficiency of the regional innovation policy, the respective budget has also to be considered, which was done first time in 2007.

Therefore I-AM Lower Austria has to provide a consistent monitoring and evaluation chain over all levels, project – program – region, which has not been completed yet. So far the monitoring and national comparison of macro¬economic indicators with relevance for the regional innovation and economic capacity is very well established in Lower Austria with the NÖ Innovationsindex, CIS (Community Innovation Survey) und FuE Vollerhebung (national complete R&D inventory count in Austria).

The government of Lower Austria has also carried out several interregional comparisons of regional innovation profiles within several European projects, which helps to look beyond the regional or national level.

The following table shows the current monitoring system of regional innovation policy at the beginning of the SCINNOPOLI project:

The depiction for Lower Austria shows no serious gaps, but for the target groups of intermediaries and policy makers, the applied tools were not fully standardised or not fully rolled out on all regional innovation programs.

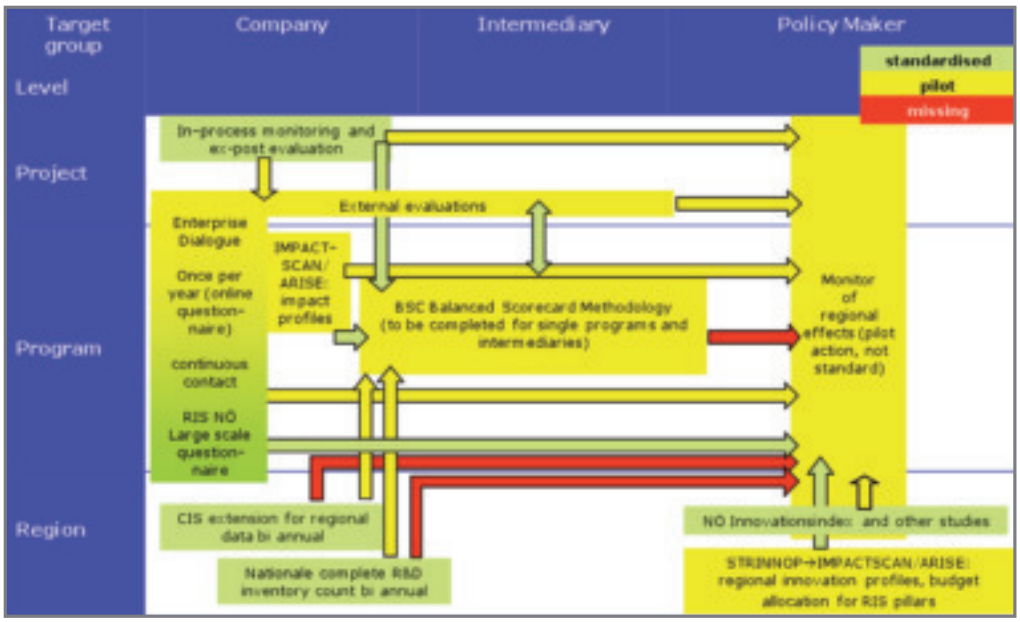


Figure 2: Current Monitoring and Evaluation System of regional innovation policy of Lower Austria at the project start of SCINNOPOLI

The depiction for Puglia region shows several standardised and pilot measures, with some gaps to be covered and the global integration of the system to be improved.

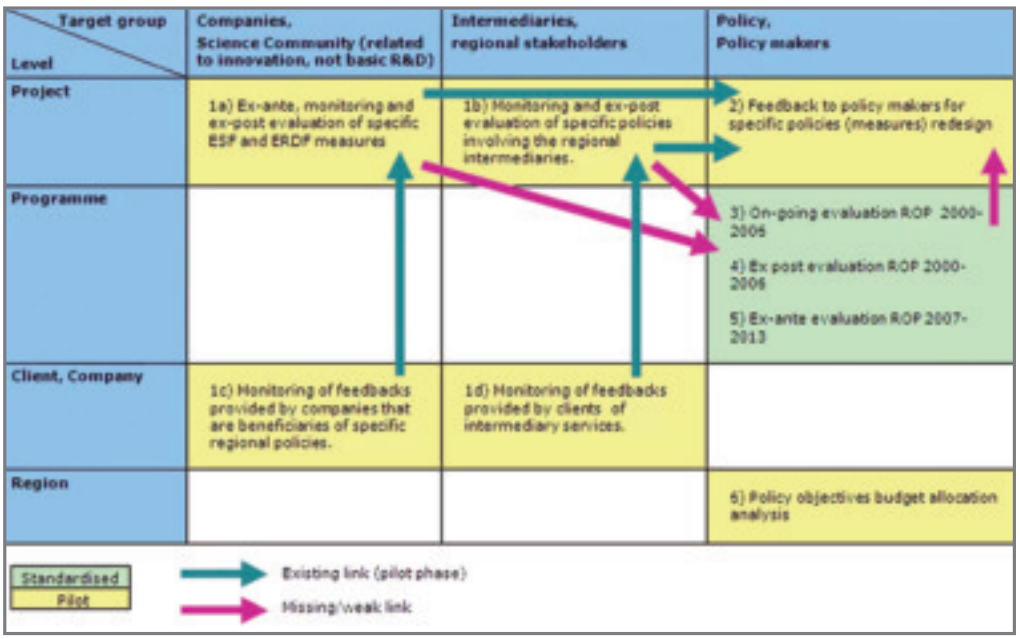


Figure 3: Current Monitoring and Evaluation System of regional innovation policy of Puglia for regional at the project start of SCINNOPOLI

4.3 SWOT Analysis

Every depiction was completed by a thorough description of the current monitoring and evaluation system for the regional innovation policy in every SCINNOPOLI partner region. These descriptions are also part of the signed Regional Action Plans. With further background information of the applied monitoring/evaluation tools, every SCINNOPOLI partner easily got an overview of the monitoring system and single applied tools in the partner regions at the beginning of SCINNOPOLI.

Furthermore every partner carried out a SWOT-Analysis (Strengths – Weaknesses – Opportunities – Threats) on their own monitoring system of the regional innovation policy. Thus every partner was in a better position to understand their own needs, but also of their partners, for improving the current monitoring system and importing approaches from their partners' Good Practices.

4.4 RAP Development

In parallel to this intraregional SWOT, the inter-regional exchange among partners took place in form of introductive training sessions on offered GPs. Afterwards transfer-workshops for every partner region were carried out with all partners, for improvement ideas on current monitoring of the regional innovation policy system with inspiration by and transfer of single offered GPs. In-depth Staff Exchanges on bilateral level between the GP provider and the partner who intended to import the GP, provided additional knowledge for elaboration of the RAP concept. The development of the individual RAPs was a continuous improvement process throughout the whole SCINNOPOLI project. The current RAP status of all partners is regularly reviewed as part of the Transfer Workshops approx. every 3 to 4 months allowing feedback from partners on their own RAP and facilitating its further elaboration. Again, in parallel to these inter-regional collaborations on the Rap development every partner was working with regional – and if required – also national stakeholders and authorities on the RAP, and the consensus building.

5 Preferable Framework Conditions

The following sub-chapters highlight preferable framework conditions for monitoring and evaluation of regional innovation policy, identified during the SCINNOPOLI project and the inter-regional exchange among the partners.

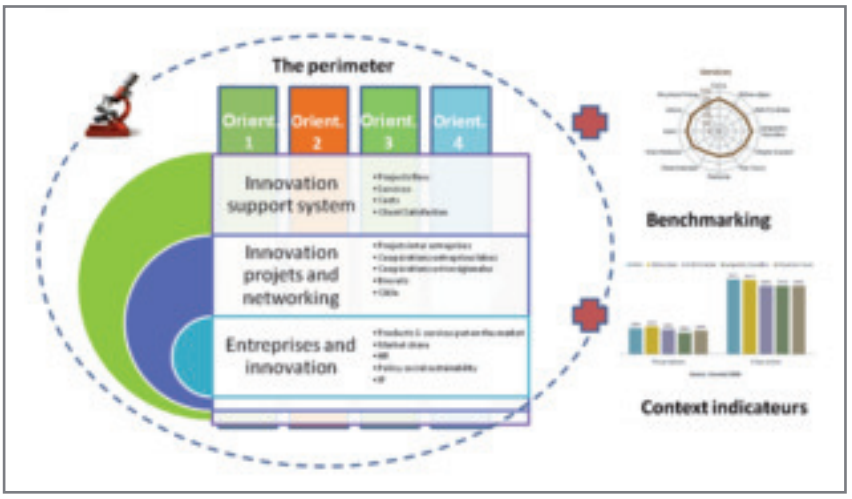


Figure 4: The Perimeter of the Regional Innovation Observatory in PACA

5.1 Existence of a Regional Innovation Strategy (RIS)

The existence of a Regional Innovation Strategy is ensuring the framework with objectives and corner pillars of the regional innovation policy and for the related monitoring activities. With the political approval of the RIS, the regional decision makers demonstrate the importance of, and their commitment to the subject of innovation for the own region.

All SCINNOPOLI partner regions had already developed – and also updated – their own Regional Innovation Strategy.

The region of Western Tansdanubia (Hungary) was the first one in Hungary to prepare a formal innovation strategy with the participation of the Centre for Regional Studies (Hungarian Academy of Sciences). The first strategy document was published in 2001. The revised version of the regional innovation strategy – named RIS Navigator will observe the guidelines and priorities stipulated in the West Transdanubian Operational Program (WTOP 2007-2013) of the New Hungarian Development Plan as well as the ones that appear in the European innovation related programs. The RIS navigator preparation will be set up by end of 2011. Further important funding sources are the first objective of economic competitiveness operational program (related to innovation and knowledge economy). Other national operational programs (economic development OP; social infrastructure OP; environmental protection and infrastructure OP etc.) may also provide funding to innovation-specific regional objectives.

For French regions, the decentralisation process is at the same time the opportunity of increasing the importance of regional innovation policy, and its counterweight, the regional mainstream programs like the Operational Programs. In the southern French region of Provence-Alpes-Côte d'Azur the foundations of the regional monitoring system were laid with the participation in the ARISE project and consolidated by the preparatory works (synthesized in the "Regional Innovation Diagnosis") from the definition of the Regional Innovation Strategy approved by the Regional Council in October 2009. These works proceeded from the definition of the regional innovation profile based on the analysis of quantitative innovation related indicators and performed specific surveys and studies. With the adoption of the Regional Innovation Strategy in October 2009, the decision was taken to set up a Regional Innovation Observatory with two main focuses: the RIS impact and performance assessment, and the innovation system monitoring.

Also Lower Austria is already very experienced in elaboration of its Regional Innovation Strategy: Since the introduction of the Regional Innovation Strategy Lower Austria in 1999, there are clearly defined objectives for the single corner pillars of the regional innovation policy, today extended to the regional economic policy. All regional intermediaries who are active in the regional innovation system and are managing single programmes or innovation services have to contribute to these overall objectives. This is assured by the intensive communication with the regional government and the monitoring activities within the Continuous Improvement Process of the Regional Innovation System in Niederösterreich CIP RIS NÖ).

5.2 Aligning Budget to the Regional Innovation Strategy

Regional innovation policy requires explicit budget for implementing measures and programs of the innovation strategy with a longer term perspective. But reality shows that the Regional Innovation Strategy and its corner pillars are sometimes not sufficiently linked to the financial programs like the Regional operational Programs. The con-

sequence is weak budget allocation for RIS implementation. Links between the activities of financed intermediaries and the regional innovation strategy are unclear as it was the case in Brittany:

No specific budget is attached to the SRI governance system for RIS management and monitoring in Brittany. SRI stands for an action plan framework. The costs related to the development and implementation of the monitoring and assessment system are for the moment part of the annual budget allocated by the regional government to Bretagne Development Innovation, the body in charge of the operational governance and monitoring of the SRI.

In Navarra we see a strong alignment of the regional innovation policy with the budget lines of the Third Technology Plan using the Balanced Scorecard Methodology. The BSC approach allows aligning budget with the different actions and the degree of budget spending.

5.3 Regional Autonomy in terms of Regional Innovation Policy

The existence of a Regional Innovation Strategy is not sufficient for its implementation, it also requires a relatively strong political and financial autonomy of the region from the national level in order to be able to implement the RIS straight forward without the necessity to wait on approvals from outside of the region. The lack of regional autonomy generates the high risk of slowing down the process of RIS implementation either due to open political decision or problems with providing the budget for implementation.

The SCINNOPOLI partners regions of federal states like Flanders, Schleswig-Holstein and Lower Austria are in a very comfortable situation; also the positions of Navarra and Puglia show a high degree of autonomy. The French regions of Brittany and PACA are going successfully through the transition process now, with transforming the responsibility from national to regional level – these are the experiences shown during the SCINNOPOLI project duration.

The situation of the Hungarian and Polish regions appear different and very complex according to SCINNOPOLI experiences.

In Wielkopolska, the Marshall Office was strongly engaged in the SCINNOPOLI exchange activities and in the development of the RAP implementation concept. This strong intra-regional partnership has demonstrated that the proper involvement of the responsible regional authority is also possible and can be very effective even though this regional authority is not the direct INTERREG IVC Capitalisation project partner. Due to this excellent intra-regional partnership, the RAP concept development and regional consensus building was smooth, target oriented and very successful in Wielkopolska. But due to some centralised decision making structures in Poland, and thus a lower degree of regional autonomy, the Marshall Office of Wielkopolska is dependent on national decisions for allocating budget for implementation of the regional innovation strategy and the related monitoring activities as this budget is part of the measure 8.2.2 of the Human Capital Operational Program in Poland, under national responsibility. It turned out that these circumstances might be a tremendous barrier for the SCINNOPOLI RAP implementation on regional level – and at the stage of writing these policy recommendations barriers were not solved.

The situation in Hungary shows also some difficulties: Since 2006, the regional competences in the field of innovation have been continuously decreasing in Hungary, both due to national-level strategic decisions and the results of the global economic crisis. The current government also aims at a strong, centrally controlled innovation funding system, however the New Széchenyi Plan does place some emphasis on both decreasing the huge differences in the innovation capacities/possibilities of the regions and making the innovation funding system more transparent and efficient.

The strengthening of the regional dimension appears to manifest itself solely on the beneficiary level, through a focused funding of key regional network organisations and clusters, and not in the management of any decentralised funds. On the other hand, the innovation system efficiency actions, involve the establishment of new monitoring, evaluation and feedback systems, and a streamlined direct coordination structure.

The members of the West-Transdanubian SCINNOPOLI partnership believe that there are areas in both fund management and monitoring/evaluation, where even at the Hungarian system size, there are serious comparative advantages at the regional levels, and therefore a co-operative setup between the national and regional levels in both areas would yield positive added value and synergic effects. Therefore, the region is interested in the history and processes along which partner regions have gone from centralised to their current, more decentralised, regional settings. In this scenario the choice of in-depth examination fell in particular on the Navarra and PACA cases, with Niederösterreich being a showcase example of a well-developed and strong region, as a possible strategic end of the process.

Compared to the situation in Hungary and Poland, the Government

of Lower Austria is in a very comfortable situation: the regional government itself is fully responsible for the development of regional innovation strategy and economic visions as well as for budget decisions. Due to the federal structure of Austria, the Lower Austrian government has the required political and financial independency and power to assure the effective coordination of the regional public intermediaries, including all required and relevant monitoring activities. Financing these public actors assures the required influence on the actors to assure joint endeavours to meet the objectives of the regional policy and to turn the vision into reality.

5.4 Existence of Steering Committees for Regional Innovation Strategy and its Implementation

A very important instrument of the regional innovation system is the existence of a Steering Committee.

With members from all relevant organisations of the Regional Innovation System in Lower Austria, the RIS NÖ Steering Committee is today the most important regional platform for communication and advice regarding the Lower Austrian innovation policy: analyses results are presented and discussed, consensus about required measures and improvement of activities is gained, the NÖ intermediaries communicate their activities and results, political decisions and definition of single measures are prepared by this committee. The RIS NÖ Steering Committee, chaired by the Lower Austrian government, meets 2 to 3 times per year and is involved in strategy development, implementation, monitoring and the continuous improvement of the regional innovation system.

Flanders has also a long tradition in involving all kinds of stakeholders during the design and implementation of its innovation policy. In fact Flanders has even chosen for the "make it do strategy". In this "make it do strategy" Flanders creates the right conditions for the local actors, closest to the target group of the policy, to implement the innovation policy. On agency level IWT – Flanders' agency for Innovation- has created a steering group of around 20 high level representatives, half from the 'supplier site', half from the "demand site" (called COG). In this group, universities, high schools, federations, research institutes, employers organisation, sector organisations and others are participating. Some of these representatives represent large consortia of e.g. knowledge centres. So, through this group all major stakeholders are directly or indirectly involved. This group acts as a reflection group and sounding board. They bring up new demands and discuss new instruments and ideas. Also new developments in the monitoring system are discussed and approved by this group. By working with this group, new developments get more easily implemented as they are built on consensus by all stakeholders and backed by these well informed representatives. The group meets several times a year (at least twice, but in case of major or urgent developments more often).

6 Policy Recommendations

A set of 12 policy recommendations have been formulated as a result of the project SCINNOPOLI "Scanning Innovation Policy Impact". The 9 project partners exchanged numerous experiences on the monitoring of the impact of regional innovation policy. These policy recommendations, resulting from the discussions, are not a story-telling or philosophical approach to monitoring, but a set of practical recommendations for the implementation of an effective monitoring system for your regional innovation policy.

Guide to the reader:
This set of 12 policy recommendations are to be used as a coherent approach for the set-up of a monitoring system. It is recommended to use them all, not to pick a few from the list.

The order in which the policy recommendations are described hereafter is of no importance.

Policy recommendations overview:

1. **SMART** policy objectives and SMART indicators: Policy objectives as well as monitoring indicators need to formulated .SMART Specific, Measurable, Attainable, Relevant and Time-bound

2. Monitor what you can **INFLUENCE**: A lot of information is nice to know but for monitoring purposes one should monitor only indicators that can be influenced by the downstream party.

3. Integrate **FEEDBACK-LOOPS** in the monitoring system: Monitoring results should be used to improve the regional innovation policy. Monitoring is not the end of a process.

4. **PROCESS ORIENTATION:** A key step in the development of an evaluation culture is to recognise the evaluation process as part of a cyclical process of policy design – policy implementation – policy learning

5. **CONSENSUS**: The concept of the monitoring system needs to be set-up in consensus with all stakeholders (policy makers/ practitioners/program owners/ project leaders) and existing monitoring systems need to be considered.

6. Concise **COMMUNICATION** and promotion of results: The message and language should be adapted to the targeted public (policy makers, companies, large public, innovation actors). Communication on the innovation policy monitoring process as a whole (objectives, targets, indicators, results) is a conditio sine qua non of a successful innovation policy.

7. Monitoring is a **POLICY TOOL**: Monitoring innovation policies are only useful when the monitoring results are used by policy makers.

8. **EMBED** monitoring in the regional innovation system: Monitoring should be embedded in the regional innovation strategy from the start of the implementation of a regional innovation strategy. Adding a monitoring system as an add-on to the regional innovation strategy is not leading to good results.

9. Create a **WIN-WIN** situation: All groups involved in the monitoring process should find a benefit in the monitoring system.

10. **RESOURCES** need to be budgeted: Resources for the specific support actions defined in the framework of the regional innovation policy as well as resources for the monitoring system itself should be budgeted.

11. **LONG TERM** perspective and continuity: One should search for sustainable indicators, even if the regulatory environment is unstable.

12. **COHERENCE**: An innovation policy monitoring system should be based on a solid, transparent and clear logic. This logic must be maintained from the lowest level (individual innovation support actions) to the highest level (innovation policy design).

6.1 S.M.A.R.T. Policy Objectives and S.M.A.R.T. Indicators

Both policy objectives and indicators should meet the S.M.A.R.T criteria. The understanding of S.M.A.R.T policy objectives are quite a natural practice in regional policy, still it is crucial to apply S.M.A.R.T criteria also for the indicators.

6.1.1 Why is it important?

Monitoring is a big challenge for regional institutions and agencies implementing a RIS, especially when this has to be done for the first time.

The risk that you will get lost in the infinite universe of vagueness by starting from very general, high level and ambiguous policy objectives, is very high. Therefore the first thing to do, is to describe the policy objectives in a S.M.A.R.T. way. Unclearly defined policy objectives will result in untargeted policy actions that will yield no feasible results.

Remember also the golden systems' rule: Garbage in, results in garbage out!

Collecting a lot of data, making studies without a clear vision of applying the results, can cause more damage than profit to the system. In very complicated systems of monitoring, which engage many regional actors on different stages of the monitoring, make it easy to overlook the final objectives of the data collection. Therefore it is recommended to start with simple learning instead of implementing a complex monitoring system and keep in mind the SMART criteria for defining policy objectives and related monitoring indicators:

S.pecific
Formulate very specific policy objectives: e.g. "improve the competitiveness of the local industry" is far too vague. Put numbers on it, differentiate among target groups. Specify clear and unambiguous definitions of the selected indicators and objectives to avoid misunderstandings.

M.easurable
The measurable indicators clarify the policy objectives and make the monitoring process more useful as it easily shows in numbers whether the policy objectives are achieved or not: Measuring is managing.

A.ttainable
Be reasonable when putting target values for indicators. Unreachable targets can lead to an early abandoning of the monitoring system. Start with baseline measurements before setting target values. Relative improvements are better for reporting as they support continuous improvement.

R.elevant
Avoid defining too many policy objectives and too many indicators. Focus on information relevant to the policy measures we want to evaluate. Examine each indicator carefully on its future use, if you cannot link it directly to an objective or corrective action, drop it!

T.ime-bound
Monitoring is strictly bound with timing of the policy objectives. Policy makers are rarely interested in what the effects will be of their policy decisions beyond the next elections.

6.1.2 Experiences/Case Studies

Case Study of Bretagne
The institutions providing innovation services for companies in Bretagne realised that they were reporting to different financing bodies on different time intervals using different indicators to show the very similar activities they are carrying out. This situation was not bringing any added value of the monitoring for the intermediaries, financing institutions and regional government. That is why they decided to develop a clear and common set of clearly defined S.M.A.R.T. indicators. This way they could show to all the stakeholders their achievements in an undisputable way.

Case Study of Wielkopolska
The region is at the beginning of setting up the monitoring system of the regional innovation policy. Wielkopolska learned from SCINNOPOLI Good Practices and designed its monitoring system as the process divided into phases starting with simple methods and clear objectives to win the policy makers and other regional stakeholders. This approach will guarantee the conversion of the outcomes of the monitoring to the policy decisions and is particularly important at the phase of planning the regional operational programme for the years 2014-2020.

Case Study of Schleswig-Holstein
WTSH intermediaries like cluster managers and innovation consultants, had to report the number of firm consultations during the year. There was a broad range of definitions of the term 'firm consultation'. This slightly diffuse definition lead to confusion: some consultants reported relative short company contacts as a consultation and others just documented the very in-depth consultations as a consultation in the CRM system. A clear and well-defined definition of consultations with several stages of intensity will be introduced at the WTSH in 2012, inspired by the well-defined S.M.A.R.T. indicator set of Flanders web based indicator set (GP RAP).

6.2 Monitor what you can influence

Indicators should, by priority, address topics in your "circle of influence".

Topics belong to your circle of influence if they can influence you, or if you can influence them. Collecting data about issues that do not affect your circle of influence might be interesting but is surely less important with respect to policy monitoring.

6.2.1 Why is it important?

The indicator set should always be incentive-compatible for the actor involved. It should be in his circle of influence, otherwise he will say:"Why should I bother about things that can not touch me or that I cannot influence anyhow?"

In this discussion it is also important to distinguish between monitoring indicators as a measure for the success of policy objectives and data needed for upcoming political decisions. We are only addressing the first category dealing with the 'monitoring' of innovation policies. To ensure compatibleness of the incentives, the indicators should be well defined and at least perceived by the party involved as being important for him. Therefore every indicator should be analysed in the sense of "influenceability" (ex-post or ex-ante).

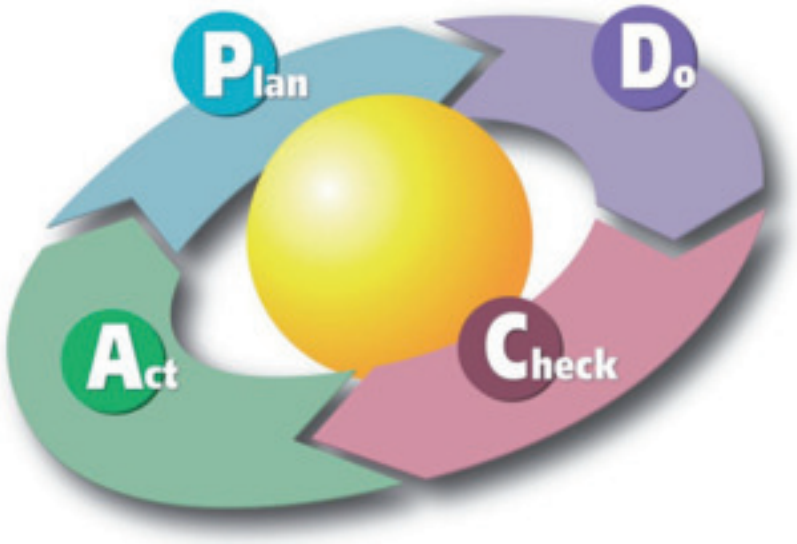
An easy way to verify this criterion is by using the so called PDCA-cycle.

PLAN – Are the indicators related to the mission, goals and objectives of the actor?

DO – Are the indicators influenced by the actions of the actor, or do they force the actor to take actions?

CHECK – Did the actions of the actor have an influence on the indicator?

ACT – Can the actor take corrective actions if needed to to improve the indicators value?



6.2.2 Experiences/Case Studies

Case of Flanders
Some years ago Flanders introduced an activity reporting system for intermediaries that received funding to deliver innovation support services to companies. At first this system looked like a useless overhead for the intermediaries, until they discovered the use of these data to improve their own operations. By analyzing the data they had to collect and report to the innovation agency they could e.g. see how their clients responded to the services they offered, what services resulted in direct application by the clients, how much time it took between a first contact and a follow-up contact. By using these data they could improve their own performance (PDCA-circle), increase their status as a valuable service provider for their target group and contribute more to the funding program objectives.

Now this system is highly appreciated by the management of the intermediaries and they are actively supporting further development of this reporting system, once considered as an administrative burden.

Case of Lower Austria
With the development of the Regional Innovation Strategy Lower Austria, the regional government has established a Continuous Improvement Process for the Regional Innovation System RIS NÖ (CIP RIS NÖ). CIP RIS NÖ with its integrated monitoring activities, has initiated a continuous learning process within the regional government and its employees as well as within the service providers that is leading to a better understanding of the "customers'" (= firms') needs and innovation activities. This knowledge facilitates the decision process regarding establishment of new, and amendment of existing innovation support services. It has turned out that direct contact with the customers is also of crucial importance for the regional government in order to manage the Continuous Improvement Process.

The regional government of Lower Austria is very successfully applying the Plan – Do – Check – Act Cycle (PDCA) within the CIP RIS NÖ, based on a very intensive interaction among the government, companies and the intermediaries, which is facilitating the monitoring of the regional innovation policy a lot. The PDCA cycle consists of 4 phases:

Plan: The planning and conceptualisation of measures (like soft support services for mature or young companies, funding schemes) is based on profound results from different analyses/ studies (like the large scale firms' questionnaire surveys, impact analyses of support services, application of Balanced Scorecard Methodology by the innovation support providers, exchange and transfer with other European regions). The Steering Committee is involved in this process.

Do: A pilot implementation (or pilot action) of the developed measures, already at this stage with clearly defined responsibilities among the actors. After a profound planning stage, the quick implementation of the measure is important in order to get the feedback as soon as possible and to avoid never ending discussions without any added value. Only testing a promising support tool can reveal strengths and weaknesses. The required duration for the test stage varies according to the complexity of the measure.

The type of a pilot action can widely vary depending on the current regional situation and defined objectives: it can be a funding scheme programme like the current import and implementation of the Innovation Assistant in Opolskie with several pilot projects. Another example is the Fachdialog (Experts Dialogue), a platform with approx. 2 events per year and the aim to in-

tensify the dialogue between SMEs, science and politics. In 2006 and 2007, the Lower Austrian government has carried out a pilot monitoring action with 70 in-depth face-to-face interviews with entrepreneurs about the impact of individual innovation support services on regional firms. Also other types of pilot actions are possible.

Check: The check is evaluating the feasibility of each implemented pilot measures and it's actual impact on firms. In case of a positive result, the respective measure – with improvements if required according to the evaluation – is mainstreamed in the Lower Austrian innovation policy. If the pilot implementation is not fulfilling the objectives, the measure can also be cancelled.

Act: The approved measure is mainstreamed into a standard instrument of the Regional innovation policy or cancelled after the pilot stage. Further continuous improvement of the standard measures is an inherent part of the regional innovation policy based on continuous evaluation activities. For every standard instrument there are clear responsibilities and task allocations among the actors. Competition among the public actors has been avoided to assure an effective and efficient use of public tax money for regional innovation policy. Mainstreamed innovation support tools have at least a mid term perspective over several years with ensured financing.

The actors of the Lower Austrian Innovation System agree that this pragmatic and systematic PDCA approach is a very effective way to improve the Regional Innovation System Lower Austria.

6.3 Don't forget to learn – Feedback Loops

Designing and implementing a monitoring process is a learning process. Regular reviews that use evidence-based practices will help you to stay alert and improve your monitoring system and to exploit the added value of the monitoring system to the maximum.

6.3.1 Why is it important?

Reviews of your monitoring system should be performed on a regular basis and on a reasonably short delay in order to implement a process of continuous improvement. This way, problems and new developments can be addressed faster. Nothing is more disturbing than to find out that you're on the right track but to the wrong destination! The link between indicators and objectives has to be ensured very carefully because as soon as objectives have been translated into indicators, the latter tend to start to live an independent life. Where all attention goes to the indicator and realising the target values, while the higher policy objectives tend to be forgotten.

As early as possible the results of the monitoring should be evaluated to verify whether the results have a valuable contribution to evaluate the monitored policy. After all, the policy objectives are counting, not the individual indicator.

Furthermore, regular evaluation helps embedding the monitoring in the habits and routines of the monitored organisations as well as of the financing entity committed to exploit and use the reported data.

6.3.2 Experiences/Case Studies

Case of Flanders
The Result and Activity Reporting GP, performed by IWT. The information on undertaken activities must be transmitted by intermediaries on a regular basis every 4th month. Since the target number of activities is defined at the beginning of the project, it is possible, to have updated evidence of divergences between the targeted number and the actual number every 4 months. This in itself is useful, but the main concern should be: do the projects that meet their target values also reach their policy objectives. To verify this, additional effect measurements were done. This showed that although the projects reached their targets, they were addressing the less important target groups. This led to a refinement of the indicators and target values.

6.4 Process Orientation: ex-ante, in-process, ex-post

The implementation of an innovation policy is a process. Like any other process it is designed, executed and terminated. Each of these phases has to be evaluated and monitored in an appropriate way.

In technical terms we speak about: ex-ante (before), in-process (or ex-durante, during) and ex-post (after).

6.4.1 Why is it important?

There are 2 basic reasons:

- It is important to recognize that these 3 phases exist, each with the specific impact on the final result
- It is equally important that each of these evaluation/monitoring phases require appropriate tools. There is no one-tool-fits-all monitoring system.

Ex-ante: evaluations support the design of new policies in the policy preparation phase. Ex-ante evaluation includes a systematic analysis of the likely social effects of policy alternatives in relation to the social costs. In this phase, using theory, the relationship between policy and instrument is determined

Ex-durante/in-process evaluations concern the evaluation during the term of the policy. First indications of performance are measured and one learns from experiences to make necessary adjustments during the remaining term, and to prepare new policy. This phase is usually from an empirical, highly exploratory nature;

Ex-post evaluations measure the net effects of policy determined by policy review and ex post impact studies. Screening includes a policy evaluation of policy at the level of general or operational objectives. Ex-post impact studies include a systematic analysis of the effectiveness and efficiency of the policy. Ex-post effect analysis often has a strong quantitative character.

6.4.2 Experiences/Case Studies

Case Study of Navarra
The updating of the status of the Navarra BSC is conducted on a quarterly basis, but the monitoring is conducted continuously as both the intermediaries and the Navarra Government have a daily account (on their own data bases) of the status of the activities they manage.

The "in progress" monitoring allows the Innovation Service to check whether the activities are being carried out as planned in terms of schedule and budget, and indirectly, it gives a "soft measure" as to whether the programmes are being accepted by the stakeholders.

A mid-term evaluation is also carried out and it is used to critically evaluate the status of the actions/programmes and, if necessary, to introduce countermeasures to allow achieving the initial targets set in the Technology Plan, Navarra's regional innovation strategy.

An ex-post evaluation of the Third Technology Plan has been recently carried out with the use of the BSC. The conclusions drawn on the basis of this evaluation with regards to the output of the programmes have been considered for the design of the instruments and programmes of the new RIS (Fourth Technology Plan).

Case Study of Puglia
At the beginning of the SCINNOPOLI project, the importance for Puglia in having an evaluation system of direct aid to companies was stressed. That was not just based on administrative and/or bureaucratic issues and controls, but that could allow gaining useful information for an in-depth understanding about the impact that regional support was able to produce on firms and the regional innovation context.

Therefore, the effort was to identify those Good Practices that could actually be useful for the purpose of improving the regional system of monitoring and impact assessment of these kind of innovation policies. The choice made was to point out to specific regional programs, measures and/or actions within regional innovation policy, and try to redefine those aspects related to monitoring and impact evaluation.

Through the implementation of the RAP, it will be possible to collect data from different times in order to monitor the additional effects produced on companies by the specific program/project, by means of a comparison of the R&D indicators collected both ex-ante and ex-post. On the other hand, it allows a mid-term monitoring of projects, through an interim assessment which is mainly directed to an administrative and accounting control, but also to the verification of compliance with the project schedule and to the monitoring of intermediate impacts of the project on the innovative behavior of the company.

6.5 Consensus on the Monitoring Concept

The concept of monitoring needs to be set-up in consensus with all stakeholders (policy makers/practitioners/program-owners/project leaders) and existing monitoring systems need to be considered in order to increase the willingness to cooperate in the practical application of the monitoring system.

6.5.1 Why is it important?

The goal of an innovation monitoring system is to be able to assess whether an innovation policy (or policy measure) will reach its goals. If the monitoring system indicates a deviation, policy adjustments have to be made to get the policy back on track. As such a monitoring system is based on a certain logic that translates policy objectives into a set of distinct indicators, it is important to reach consensus on the monitoring logic, the definition and target values of the indicators, on how the data is collected and on how the monitoring results have to be interpreted. One should be certain that when the indicators indicate that the policy objectives are being met, this can be taken for real.

Therefore it is important to involve all stakeholders in the design and implementation of the monitoring system. By closely involving the stakeholders they will be:

- Convinced on the details of the monitoring concept (what data is collected, frequency, who has access to date and reports,...) and thus be convinced about the value of the overall monitoring concept.

- More collaborative in the phase of practical application of the monitoring system (data-collection, data-analyses, data usage,..) as they understand the need and logic of the system

Existing monitoring systems may already hold a lot of information and may be accepted as a monitoring concept by some or all of the stakeholders, as they could already have shown their added value. Therefore it is recommended to take into consideration these existing monitoring systems during the creation/building of a new monitoring concept.

6.5.2 Experiences/Case Studies

Case study of Flanders
Development of RAP 'Reporting Activities and results' on innovation services in Flanders. A set of 16 common indicators were defined in consensus with project leaders. The indicators are a mix of activities and results from a broad range of innovation services delivered to companies.

The project leaders feel comfortable in using this set of indicators and use the same set of indicators for their own project-steering.

A big advantage of a common indicator set (regardless the project/sub-programme) is that the innovation agency (IWT) can aggregate the numbers and report on the programme and even on a group of programmes to the program owners and policy makers.

Case study of Bretagne
In 2007, with the support of Bretagne Innovation, the 3 centres for Innovation and technology transfer and the 11 technical centres of Bretagne, agreed upon a shared glossary defining key indicators to report to public financers on their common mission: the SIS Shared Indicator set. The major result was to come up with a common understanding and exact wording of each singular indicator and to frame potential interpretation of data. All aspects of their public mission are covered. The glossary is accompanied by key methodological elements regarding data reporting.

The glossary is included in annual activity reports to the Regional Government. At this stage, the indicator set is focused on activity-related quantitative data, illustrating what is done. A first analysis of the use of the glossary was carried out in 2009 on the 2007 and 2008 data. Some improvements were proposed by Bretagne Innovation to exploit information at the aggregated and regional level and enhance the glossary.

This initiative relied on a strong regional and multi-partners consensus building based on a participative process. The project was initiated by the centres themselves.

6.6 Concise Communication And Promotion Of Monitoring Results

Communication on monitoring results is a key success factor of a performing data-driven decision making approach.

Monitoring is not blue sky research.

6.6.1 Why is it important?

To set up a monitoring system, gathering data, analysing and interpreting them are essential steps in building a data-driven decision making process.

Information about monitoring activities, due to their complexity, quite often are restricted to a limited group of highly specialized people in the organization responsible for regional innovation policy.

Results are often communicated by means of complex graphs and sophisticated tables, and flooded with econometrical jargon.

This way of communication is not sufficient, though.

Actually, to communicate in an understandable way, the monitoring process – from the involvement of the different innovation actors to the identification of the policy objectives, the definition of the targets to achieve and the relative indicators, to, finally, the dissemination about the policy impact on the regional economy – is a condicio sine qua non for the implementation of a successful innovation monitoring system and the interlinked innovation policy.

In fact, on one hand the accuracy and reliability of data collected depends on innovation actors' involvement and commitment in the measuring process, of which they have to share the underlying policy goals. On the other hand, communicating on the innovation policy results and impact, allows creating and reinforcing the policy evaluation culture. Companies and intermediaries can learn and draw lessons from on Good Practices success stories and, eventually, failures which have thoroughly been monitored and documented.

Communication can have different target groups but, basically, they are: policy makers, innovation actors, companies and large public. Clearly, the language should be adapted to the targeted public, depending on the message to be delivered and the use of information that has to be done.

Policy makers: While analysts and researchers might need a large amount of information in order to crosscheck data and reduce misinterpretation risks, policy makers need concise and straight-to-the point information allowing them to take track of the implementation of the innovation policy through its results and impact, and to take corrective actions when necessary.

Furthermore, communication towards policy makers should occur on a regular basis to ensure continuity in the monitoring process.

Intermediaries: In the case of intermediaries, communication should rather concern: 1. global policy objectives to arise consensus, 2. the results and impact of specific actions they are involved in, and 3. information on the profiles and needs of regional innovating companies at the aim of establishing a continuous improvement culture and of improving and designing new services in order to better meet companies' needs.

Companies and large public: In this last case the objective is twofold: to disseminate on the innovation policy strategy and its impact on the regional economic performances; making companies aware about innovation support services; and, finally, largely disseminate innovation culture.

Different targets, but also different communication tools and formats like synthetic scoreboards for policy makers, reports and workshops for intermediaries, conferences and publication for a wider public should also be applied for communication and promotion of monitoring results.

6.6.2 Experiences/Case Studies

Case study of Provence-Alpes-Côte d'Azur
Since the RIS designing period, in 2009, MT, the organisation acting as regional innovation agency, started publishing all the studies realised in the framework of the Innovation Observatory on the website PACA Innovation, such as, for example the "Regional Innovation Diagnosis", which provided for the first time a global outlook on the regional innovation performances, or the "innovating SME survey" which allowed building, together with the key regional innovation actors, a new offer of dedicated services to meet SMEs innovation support needs.

Case study of Lower Austria
The BSC methodology introduced by Lower Austria since 2008 is based on consensus building on the economic targets and performance indicators among the different actors involved. It is evidencial that communication is of the essence for the success of the process. The cockpit of the Key Performance Indicator is a tangible example of LA approach: concise information, graphical depictions provide an easy-to-read support and a base for discussion on the effectiveness of the services provided and the future improvements to implement.

6.7 Innovation Monitoring is a Policy Tool

Monitoring innovation policies is only useful when the monitoring results are used by policy makers and thus lead to improvements.

Straightforward isn't it? No it is NOT!

6.7.1 Why it is important?

Regional policy makers carry a large responsibility towards designing, implementing and steering the regional innovation policy. Without the right monitoring tools they are blind, unaware of the effects of their policy actions. Hence they are probably not capable of making decisions based on solid facts.
The relation between policy actions and effects are too complex to make gut decisions, therefore, elaborate monitoring tools are required to provide the required substantial data for making reliable decisions.

This complexity is due to following facts

- The diversity of agents and stakeholders involved in the running of the designed policies;
- The complexity of the system itself, due to the multiplicity of factors affecting its behaviour, some of them – in the case of a regional evaluation - out of the control of regional policy makers;
- The way of interaction among agents may cause uncertainty about the impact on the behaviour of one kind of them, when resources are allocated to actions run by other kind of agents. For example: the impact on enterprises when resources are allocated to other agents such as intermediaries, services providers or RTO organizations.

Only a tailor made monitoring system adapted to the specific regional framework will allow a continuous improvement of the regional innovation strategy.

And policy makers who use such a dedicated monitoring system will be able: to assess the results of their policy decisions, to check whether the policy objectives are met, and to readjust their plans and to launch corrective actions.

6.7.2 Experiences/Case Studies

Case study of PACA
During the elaboration of the regional innovation strategy, the data based diagnosis conducted on the regional innovation system and, more specifically, the survey carried out on the regional innovating SME, allowed to realize that SME concerns and needs were not focused on technology support (the core of the intermediaries' services) but rather on:

a. Funding (and early stages funding in particular)
b. Commercialization
c. Human resources

This outcome led to the development of completely new actions to meet companies' needs and to

make the intermediaries evolve in terms of services and competencies. Concretely, a public/private fund (PACAInnovation) was set-up, different actions supporting start-ups to get to the market were put in place and a training program for the Regional Innovation Network of intermediaries designed and implemented.

Case study of Schleswig-Holstein
WTSH – the Business Development and Technology Transfer Corporation of Schleswig-Holstein GmbH use a set of indicators of their activities to report to the policy makers (which are the shareholders of the WTSH) on a half year basis. These input and output indicators represent the work of the WTSH for the given period. Every half year the policy makers have the opportunity to check, if the target values of the indicators are reached –and if not, to interact.

Case study of Puglia
The core of Good Practice IASMINE Methodology is to provide useful tools and methods for characterizing the regional innovation policies, analyzing the expected policy influence on the regional innovation system, monitoring policy implementation and evaluating impacts. The view of innovation underlying this methodology is a "system" view that emphasises the importance of the interplay among different subjects and the mutual exchange of "ideas, skills, knowledge, information and signals of any kind". The concept of RIS (Regional Innovation System) is therefore essential: it is possible to categorize a RIS as a collection of actors of different nature and of some inter-actor relationships.

By its application, policy makers and evaluators can: discover a structural bias in policy planning by analyzing the budget allocation in different policy areas/objectives and its congruence with the EU innovation strategy objectives; identify the strong and weak points of the regional policy plans in terms of the expected impacts on the different factors that characterize the innovation performance of the regional actors; understand which are the most relevant indicators to be monitored for the region, by analysing how a single policy spreads its effects on each RIS actor; point out areas of improvement in the regional monitoring procedures (e.g. data collection, evaluation, auditing, etc.).

6.8 Embed Monitoring in the Regional Innovation System

Monitoring should be deeply embedded in the regional innovation strategy right from the start of the implementation of a regional innovation strategy.

Just adding a "Nine to five" monitoring system without precise linkages to the regional innovation strategy will not lead to sufficient monitoring results – in fact such approaches will fail very soon due to the neglect of the organisations responsible for implementation of the innovation strategy.

6.8.1 Why it is important?

Like in all processes and systems, the control mechanism must be implemented in parallel with the process or system. An innovation policy is in this respect not different from any other system or process.
Only by developing the monitoring system in close collaboration with the design and implementation of the innovation policy, the responsible organisations can ensure the selection of the right indicators and monitoring components into the system.

Imaging building an airplane by first assembling all the mechanical parts and then after this is finished without any additional "integration procedures", just add the control and steering system. For sure this will require disassembling major parts of the plane – in the best sense. And with a very high likelihood this procedure will result in a non trustworthy system with a huge amount of follow-up costs and low satisfaction for the customers. The same logic applies to an "ad-hoc and non embedded" monitoring system.

The monitoring system must indeed be fully embedded (almost invisible) into the innovation policy and its implementation. This will guarantee that the monitoring is compatible and least disturbing to the normal 'operations'.

6.8.2 Experiences/Case Studies

Case study of Flanders
In Flanders, it is now current practice to develop monitoring and reporting systems and tools in parallel with the policy instrument. The objectives of policy instruments are translated into Logical Frameworks (LFA) that provide a solid basis for the monitoring system. Applicants have to match their application with the program and provide target values for standardized indicators. Also tools are made available to the granted projects to collect and report the data, and managerial use of the information is available for the granted projects.

This makes the monitoring system almost self evident, and an integral part of the policy cycle and daily life of all involved.

Case study of Puglia
At Programme Level, Puglia is constructing a systemic approach aiming at strengthening the role of monitoring and evaluation for the definition of regional innovation policies. Within the context of the R&D company and the SME's support programmes, the approach consists of:

1) the definition of the data gathering tools (set of questionnaires) in

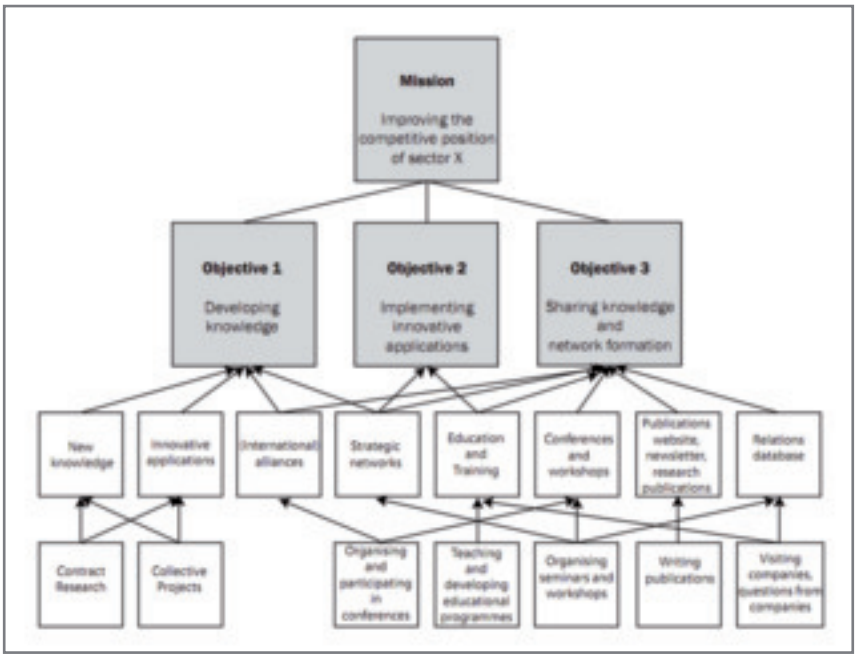


Figure 5: Example of LFA template

order to analyze the additionality' effects (in terms of increasing inputs such as expenditure on R&D and number of researchers and output such as introduced innovations and patents) produced by the regional financial support on companies that have been funded;

2) the inclusion of the questionnaires within the framework of SME's support programmes implementation as part of the application form used by companies for submitting their projects proposal for receiving some state aid schemes.

Case study of PACA
In PACA, the experience, made in the monitoring of the RIS after two years from its implementation, proved the importance of designing actions and programmes together with an appropriate monitoring system from the outset.

In fact, when innovation actions and programmes were not completed by a defined evaluation process (including the development of the reporting system), it has not been possible to perform a thorough data-driven analyses of the actions' realisations, results and impact, which made it difficult to draw any reliable conclusion on what corrective actions had to be implemented. Today, all new actions designed are completed by the description of the ex ante, in progress and ex post evaluation process. Furthermore, a project has been launched on how to standardize the reporting system in order to easily collect all the information needed.

6.9 Win-Win: Need Orientation of Monitoring

Create a win-win situation for all involved actors. Any system is but as strong as it weakest chain.

Therefore, make sure all chains are strong and cooperative…

6.9.1 Why is it important?

Setting up an innovation policy monitoring system and especially the data collection, can be a cumbersome process that heavily relies on downstream actors that implement the policy actions. Involved intermediaries will only be interested in contribution to the monitoring system if they see a clear benefit for their own organization.

We will demonstrate this by an example.

E.g. Intermediary organizations receive subsidies from the regional government to provide innovation support services in order to improve the local innovation capabilities. The latter is a clear policy objective. In order to be able to measure improvement of these capabilities and the success of the innovation policy, measurements have to be made.

At this stage 3 parties are involved: the policy maker, the funded service provider or intermediary and the company that received the service. Each of these 3 parties must see a clear benefit for participating in this monitoring task. This can only be achieved by selecting the right indicators and providing the right feedback to each level.

For the company it is in this case important to see that its investments in innovation training has created some added value to the company, for the intermediary it is important to know whether its services are valuable, for the policy maker it is important to know how much improvement there is in the overall innovation capabilities. From all possible indicators, only those that provide an answer to all these 3 questions should be retained as most valuable. Then all 3 actors will see a clear value of collecting the data and providing feedback, and the cost/benefit will be positively evaluated.

6.9.2 Experiences/Case Studies

Case Study of Lower Austria and Navarra
With development of the Regional Innovation Strategy Lower Austria, the regional government has established a Continuous Improvement Process for the Regional Innovation

System RIS NÖ (CIP RIS NÖ). CIP RIS NÖ with its integrated monitoring activities has initiated a continuous learning process within the regional government and its employees as well as within the service providers that is leading to a better understanding of the "customers' " (= firms') needs and innovation activities. This knowledge facilitates the decision process regarding establishment of new and amendment of existing innovation support services.

On the other hand, the methodology developed by Navarra is strongly involving a social discussion process, creating a strong sense of common goal. The process strengthens the sense of self-interest in the enterprise sector and reinforces political and social consensus, thus helping to build trust too.

Case Study of Puglia
Within SCINNOPOLI Project, ARTI has promoted the activity of working groups with main regional stakeholders involved in the various stages of innovation policy management, ranging from innovation policy design to policy impact assessment.

In particular, the project was an occasion for strengthening the collaboration among three entities:

- The Industrial Research and Technological Innovation Office of Apulia Region, which is responsible for the definition of the policy contents and their delivery planning;
- InnovaPuglia SpA, a body governed by the Apulia Region, which is responsible for the management of the implementation process of some specific regional policies;
- ARTI, supporting Apulia Region in policy design and evaluation.

Following the guidelines provided by the Industrial Research and Technological Innovation Office of Apulia Region, ARTI and Innovapuglia initiated a path based on a common shared strategy, aiming to launch a learning process that is leading to a better understanding of the impact produced on beneficiaries (innovative firms), in terms of innovation performances and behaviours, by the regional policies supporting innovation in form of direct aid in support of R&D activities of companies.

6.10 Allocate Budget and HR

No discussion: setting up a decent innovation policy monitoring system, and especially maintaining it, is costly. It will not come for free. Undeniably, even the most inspiring and ambitious Regional Innovation Strategy will fail if resources necessary for its implementation are not carefully budgeted.

There is not such a thing as a free lunch…

Don't fool yourselves by setting up a quick and dirty ad hoc system. This won't work, be prepared to invest in it and allocate the human resources to keep it up and running. So far SCINNOPOLI partners never met someone who overestimated the costs of a monitoring system.

6.10.1 Why is it important?

Resources allocation, in terms of both HR and funds, is necessary at two different levels:

- The specific innovation support actions defined in the framework of the regional innovation policy,
- The monitoring system itself

This entails that RIS should be translated into precise action plans with a clear indication of achievable objectives, targets and planning under the constraints of the budget allocated. Also, it implies a continuous follow up of its consumption in order to verify the adequacy between funds allocation and policy objectives, which have to stay realistic and affordable.

Unfortunately, costs generated by monitoring activities are often underestimated, which could lead to poor and unreliable assessment performances.

Monitoring costs are mainly linked to:

- Full time equivalent (FTE/HR) working on assessment activities,
- The creation of a smart data collection system/platform to populate the indicators database (from the stage of the identification of the data sources, the harmonisation and definition of the data collection process, to the data gathering itself),
- The financial resources necessary to outsource studies and surveys supporting the monitoring process
- Communication costs: publications, participation in meeting and conferences etc…

No monitoring activity could provide results without careful planning, budgeting and follow up, exactly like any other actions designed under the RIS framework in order to produce the expected results.

6.10.2 Experiences/Case Studies

Case Studies of Brittany and PACA and Navarra
The experience of French regions involved in the elaboration of their RIS in 2009, shows that often the RIS and its corner pillars are not sufficiently linked to the ROP. The result is an unclear budget allocation both for the regional strategy and the monitoring system itself.

This was the particular case of Brittany: no specific budget was attached to the SRI governance and monitoring system, rendering the RIS implementation more difficult.

For PACA the situation is slightly different: a clear budget allocation existed only for a number of specific programmes and the monitoring system setting. The outcome has been that only those programmes for which the Budget, HR and pilot were clearly defined have made significant progress in their implementation.

Case Study of Navarra
The region of Navarra, proposes on the contrary, an example of successful alignment between objectives and budget allocation in the framework of their balanced scorecard. The BSC approach actually allows aligning budget with the different actions and a degree of budget spending, bringing a positive impact on the regional innovation performances.

6.11 Long Term Perspective and Continuity

The core of your indicator set must be stable, even if the regulatory environment is unstable.

Therefore think twice before you select your indicators, because they will influence the success and failure of your monitoring system.

6.11.1 Why is it important?

The effects of innovation policies take time to manifest themselves, the chances that you will see significant effects showing up from one day to another are nihil. Typically it will take several years before the effects become clear. Therefore the indicators have to be used at least for the duration of a RIS and in different situations. For a better use, the indicator set – or at least a core of indicators – and their interpretation method should last for several Regional Innovation Strategies and be applicable to a set of activities or missions meeting the same objective or policy goals.

It is important to remember that long term perspective and continuity means that mistakes will remain in the system for a long time and that only minor changes can be brought to the system once it has been implemented. Thus, the preparation of the indicator set must be careful: the core of indicators must be significant enough to last for several RIS; they must fit the needs of the decision makers, be gatherable and meaningful to the intermediaries and 'universal' enough to be used continuously, even in case of frequent political change or evolution.

Long term perspective is essential because one can make sense basically through comparison: for example comparison between one year and the previous allows measuring the evolution. If the indicator set is different from one period to the other one, measuring evolution is not possible. If a corrective measure has been applied to a policy and indicators changed in the meantime, it won't be possible to monitor whether the corrective measure actually worked or not. If the policy has been re-oriented, it won't be possible to observe the changes in activities and impact of the policies.

And it must be remembered that, as for any tool, there is a learning curve to an indicator set. Several rows of reporting are necessary for the reporters to master it as it was conceived. Changing it means it will cost a new learning period.

A long term perspective allows the monitoring to make sense and allows you to compare the performance of different innovation policies.

6.11.2 Experiences/Case Studies

Case Study of Brittany
The Shared Indicator Set, performed by BDI. The SIS – activity indicators – was conceived in 2007. After four years of annual reviews, it is now possible to make comparison from year to year, to calculate mediums, to understand the variations according to the economic situation of Bretagne. In 2007, the choice of indicators lasted 9 month and involved decision makers and intermediaries and BDI as backup. Since the intermediaries were already reporting some indicators to diverse financers, we integrated these. The number of available/correctly used indicators went from 25 % of the initial set on the first year to 75 % on the fourth year. The remaining 25 % seem hard to use.

Case Study of Flanders
The Result and Activity Reporting (RAP)/ Direct and Indirect Effect Monitoring (DIEM), performed by IWT, shows how essential the long term perspective is. The RAP – an activity indicator set – was conceived and implemented as a first step, with intermediaries, with a pilot action that lasted 1 year before being generalized. Several years after, when migrating from an activity oriented reporting (RAP) to an effect oriented reporting (DIEM) it was the basic structure of the RAP (the activity list) that was used in order to create effect indicators. This shows that even in case of evolution, the basic indicators that have been implemented will remain as the basic structure.

Case Study of Lower Austria, Flanders and Brittany
ImpactScan/large scale questionnaire and interview guides. It allowed the development of a standard questionnaire describing innovation processes and capacity. Years later, BDI re-used the standard for another study and plans to re-use it in its SCINNOPOLI projects.

6.12 Coherence over different Policy Levels

An innovation policy monitoring system should be based on a solid, transparent and clear logic. This logic must be maintained from the lowest level (individual innovation support actions) to the highest level (innovation policy design).

6.12.1 Why it is important?

The innovation system is a complex system involving many actors, all with their distinct agenda and priorities. Yet to make an innovation policy efficient and effective the system must be built on a coherent set of objectives and monitoring indicators supported by all policy and implementation levels.

The advantage of using indicators to harmonize the policy objectives over the different levels is that they do not leave much room for vagueness or interpretation. Conflicts in objectives will clearly popup using indicators and inconsistency in policy interpretation will become clear right away.

What is recommended is to establish a bottom-up and top- down approach to innovation policies. The coordination of this double approach, will lead to a more realistic approach for the monitoring system. That implies to take into account since the beginning of the policy design, the task of impact evaluation.

Useful tools to help to build a coherent monitoring system are e.g.

- The Balanced Score Card
- Logical Framework Analysis

6.12.2 Experiences/Case Studies

Case study of Flanders and Lower Austria
Based on the Good Practice 'Balanced Score Card' of Lower Austria, Flanders made an overview of its different innovation support tools in relation to the policy objectives, the relation to the beneficiaries and the learning effects in the innovation support agency. The results are described in detail in the RAP Flanders concept.

This description helps to visualize and clarify the relations between all the levels involved and to improve the monitoring system.

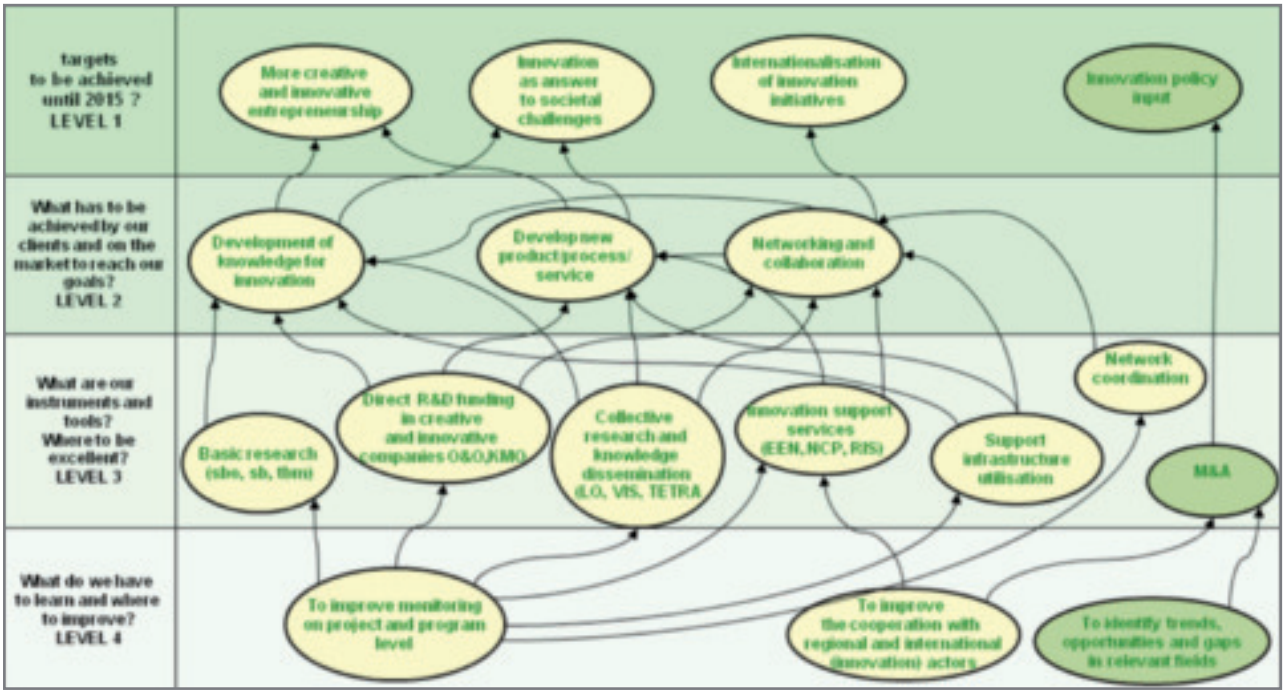


Figure 6: The BSC methodology helps to keep coherency between all different levels

7 Online Application for Identification of appropriate Monitoring Tools

SCINNOPOLI partner have developed a simple web based application for selection of appropriate monitoring and evaluation instruments according to individual needs of the user.

The target groups of this online application are regional authorities responsible for regional innovation policy and its monitoring and evaluation, but also intermediaries being involved in the management or evaluation of single innovation programs or state aid schemes.

What is monitored?	Input	Output/Activities	Outcomes/Impact
What is the level of monitoring?	Project	Measure/Program	Strategy of regional innovation policy
When do we monitor?	Ex-ante	In process/Mid-term	Ex-Post
Who is the target group/ subject of monitoring?	Companies	(Intermediary) Organisations	Regional authorities/ policy makers

Figure 7: User interface of the SCINNOPOLI online application

On the left side you find the 4 questions for identification of appropriate monitoring instruments with the pre-defined answers.

The questions are:
- What is monitored?
- What is the level of monitoring?
- When do we monitor?
- What are the target groups/ the beneficiaries?

For every question a set of three answers is predefined.

The user can answer the questions in any combination, per question one answer is allowed. The user can also leave the answer for single questions open. In this case, the online tool is not using this question as a filter for the identification of appropriate monitoring tools.

The "tool pool" for the SCINOPOLI online application consists of 20 Good Practices applied by at least one of the SCINNOPOLI regions. These Good Practices are listed on the right side of the user interface. According to the user's answers on the 4 questions, those GPs stay highlighted which are matching the answers. While the non applicable Good Practices are faded out.

After this selection procedure, the user can click on one of the remaining Good Practices to get more information about this tool. The GP description will pop up. The description of every Good Practice has a standardised structure which is explained in the following sub chapters. The titles of subchapters are identical with the 4 questions of the online application, other subchapters provide further information on additional questions.

The Good Practice Descriptions are also available in the annex of these policy recommendations.

What is monitored?

The description is following the pre-defined answers of online application:

Input
Input monitoring focuses on the sources provided for innovation support (mainly in terms of budget dedicated to intermediaries and funding schemes, personal resources in Full Time Equivalent (FTE) for management of state aid schemes and/or support of companies)

Outputs/Activities
Outputs are the tangible deliverables of the innovation support. They directly result from the support activities. They report on what the main 'products' delivered by the project are. They do not lead to a qualitative judgement on the project's outcomes. In other words, it is not because. e.g. an innovation program organises a high number of workshops that it will necessarily be successful. Output indicators are typically measured in physical units such as the number of seminars, site visits, conferences, participants, publications, Good Practices identified, or policies addressed (see also INTERERG IVC program manual version October 2011, page 17)

Outcomes/Impact
Outcomes/Impact monitoring focuses on the effects/impact/result of the innovation support has on the supported businesses and on

the economic fabric. Outcomes/ Impact can be measured in a quantitative way (like increase of turnover, number of new jobs, increase of R&D budget, number of new patents, additional GDP or increase of R&D share in the region) or in qualitative way (like behavioural changes/awareness for innovation in companies, better access to cooperation partners or to new markets).

What is the level of monitoring?

The description is following the pre-defined answers of online application:

Project
A single project carried out within innovation support like an innovation project funded by a innovation state aid scheme or a cluster project within a regional cluster program.

Measure/Program
A program is running for a clearly defined time frame with clear start-/ end date and is based on clearly defined objectives. Each program is dealing with clearly defined topics and has a defined budget.

A measure is a part of a program.

Strategy
Strategies for regional innovation policy are either developed on the regional or the national level depending on the autonomy of the region from the country and the spatial coincidence of NUTS 1 and NUTS 2 level.

Thus, monitoring of strategies (in our case regional innovation policy and RIS Regional Innovation Strategies) is taking part either on regional level or national level.

When do we monitor?

The description is following the pre-defined answers of the online application:

Ex-ante evaluations
support the design of new policies in the policy preparation phase. Ex-ante evaluation includes a systematic analysis of the likely social effects of policy alternatives in relation to the social costs. In this phase, using theory, the relationship between policy and instrument is determined.

Ex-durante/in-process/ mid-term evaluations
concern the evaluation during the term of the policy. First indications of performance are measured and one learns from experiences to make necessary adjustments during the remaining term, and to prepare new policy. This phase is usually from an empirical, highly exploratory nature.

Ex-post evaluations
measure the net effects of policy determined by policy review and ex post impact studies. Screening includes a policy evaluation of policy at the level of general or operational objectives. Ex-post impact studies include a systematic analysis of the effectiveness and efficiency of the policy. Ex-post effect analysis often has a strong quantitative character.

Who is the target group/ subject of monitoring?

The description is following the pre-defined answers of online application:

Who is the target group of the monitoring means: who is the source of the monitoring information? E.g. if companies are asked about the impact of a state aid scheme then companies are the target group. If an intermediary is being asked about a provided service then (intermediary) organisations are the target group.

Companies
A single or a group of companies being the beneficiaries of the regional innovation policy.

(Intermediary) Organisations
(Intermediary) organisation being responsible for managing the regional innovation policy and/or managing single measures/program as part of the regional innovation policy.

Regional authorities/ policy makers
Regional authorities and/or policy makers responsible for policy developing and/or implementation of regional innovation

How do we monitor?

Monitoring can be carried out at concrete points of time or continuously.

Oneshot: this characterizes GPs that were designed to be implemented only once or on a non-regular basis.

Periodical/Continuous: this characterizes GPs that are permanent and recurrent. Some of the Good Practices are implemented as a routine in the work process of the intermediaries /funding scheme managing organization and are executed in a defined frequency (i.e. Shared Indicator Set, Result and Activity reporting, In Process/Ex Post monitoring)

Furthermore this chapter is dealing with the data gathering and data treatment:

Data gathering: either the intermediary (or the funding scheme managing organization) that is monitored gathers itself (**internal**) the required raw information or another organization (**external**) is in charge of gathering the raw data (in the first case the intermediary will have an important control on the monitoring, in the second case, it will be lesser)

Data treatment: either the intermediary treats the raw data itself (**internal**) or the data are trans-

ferred to another organisation that will be in charge of the treatment (**external**). The treatment can be an econometric calculus realised by an organization hired by the intermediary or it can be an aggregation work realised by the financer or coordinator.

Why do we monitor?
What are the results?

Monitoring can have three different aims, which can be combined. It is important to keep in mind what purpose those tools serve, like the following examples:

Monitoring could be used as way of proving that the innovation support system actually has an impact and benefits the economy: that the money is spent in an effective and efficient way. In this way, it's a legitimation tool design to reinforce the innovation support system.

Monitoring can be used as a steering tool: since it produces important information, it can be used for decision making. In this case, the way of monitoring should fit the management style or mind set in order to be accepted. Management by the means, management by activities and management by impact requires a thorough monitoring.

Monitoring can also create or change a mind-set. Those monitoring tools, when they assess the budgets or activities or impacts promote a different type of management. These tools can create a mind-set change among public servants. For instance, impact monitoring may influence public servants, meaning that they might take into account the impact of their action in the day-to-day work. (this would be the case of IWT for Result and Activity reporting and then Direct and Indirect Effect Monitoring)

Contact, Further information

Here you find the contact person with contact details and links to further electronic information if available.

8 Conclusions

It is probably the dream of every policy maker if she/he could document a positive Return on Investment of the overall regional innovation policy for the region and its inhabitants over years. Of course, this would guarantee the political career of this politician with a long-term perspective. But it would also highlight the importance of regional innovation policy for the welfare of a region by putting regional innovation policy in perspective. In order to achieve or at least to approach this dream, it requires several preconditions and policy recommendations which are mutually dependent.

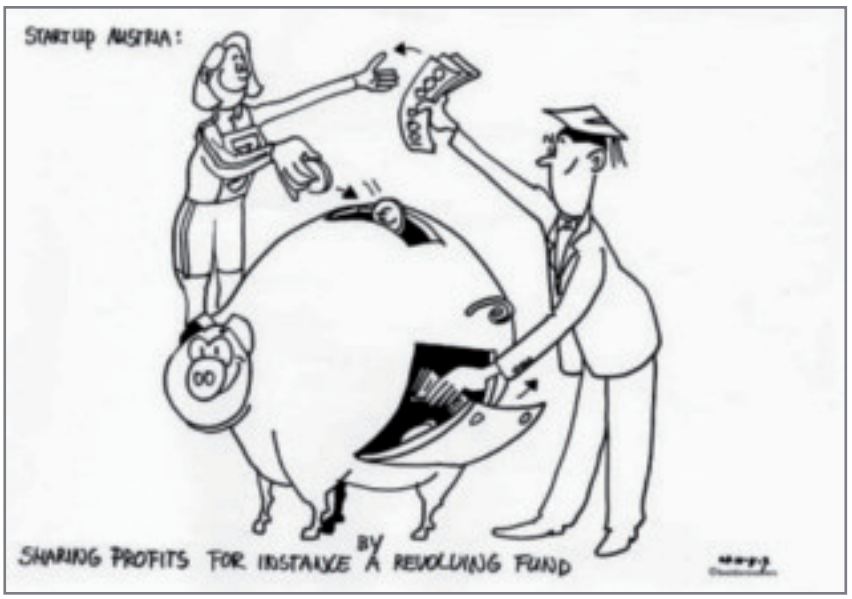


Figure 8: The perpetual motion machine of regional innovation policy: "Sharing the profits for instance by a revolving fund "– entrepreneurship policy in Lower Austria; cartoon made during the final ERIK NETWORK Conference in May 2007 in Brussels ferent levels

Public innovation services have to generate added value for the regional companies as beneficiaries of the regional innovation policy. Therefore the services must be oriented towards the companies' needs, they must be of high quality and managed/provided in a professional way.

Regional innovation policy must have a long term perspective as innovation does not emerge over night but requires at least 5 to 10 years for gaining the Return on Investment. Therefore, also public innovation services must be sustainable for a while to be able to demonstrate their positive impact on the companies utilising these services. This long-term political commitment includes also the respective financial sources for running the regional innovation services.

Without monitoring and evaluation of regional innovation programs and single services it is not possible to document the impact of regional innovation policy in a systematic way. Regional innovation policy has to prove the impact of the offered services in a thoroughly documented way and by highlighting show cases of positive impact of public innovation support in order to convince the voters and to create a positive inhabitants' attitude for regional innovation policy. Even though the success of innovation is documented in numerous studies, it is for average inhabitants – but also for numerous entrepreneurs – it is not obvious that effort in innovation is paying off. Because innovation consists – and in particular in the first steps – mainly of "soft factors" like R&D, improving technical and organisational processes or opening new markets, innovation seems to be intangible – in contrast to direct "physical" investment.

But how to deal with these issues if they are mutually dependent on each other? Several SCINNOPOLI partner regions have already demonstrated it – and the other SCINNOPOLI partners regions will follow by implementing their Regional Action Plans: Regional innovation policy with its related monitoring and evaluation activities requires a Continuous Improvement Process of the Regional Innovation System as it is described under the policy recommendations. Only the dedicated application of the Plan – DO – Check – Act Cycle (PDCA) allows the regional innovation policy to improve the above mentioned factors step-by-step, to document and to promote the progress in order to get the support of the inhabitants and entrepreneurs for the next level of improvement, required effort and financial investment in form of taxes.

Furthermore the remaining gaps of regional autonomy in terms of regional innovation policy in single European countries imply still significant barriers for implementation and monitoring of regional innovation policy.

The SCINNOPOLI approach with the identified referable Framework Conditions and described policy recommendations as well as the presentation of single monitoring instruments on paper and online, might give you a perspective how to align and improve SCANNING INNOVATION POLICY IMPACT in your own region.

INTERREG IVC Capitalisation Project with
Fast Track Support by the European Commission:

SCINNOPOLI –
Scanning Innovation Policy Impact

Policy Recommendations –
Annex 1: Partner Description

Content

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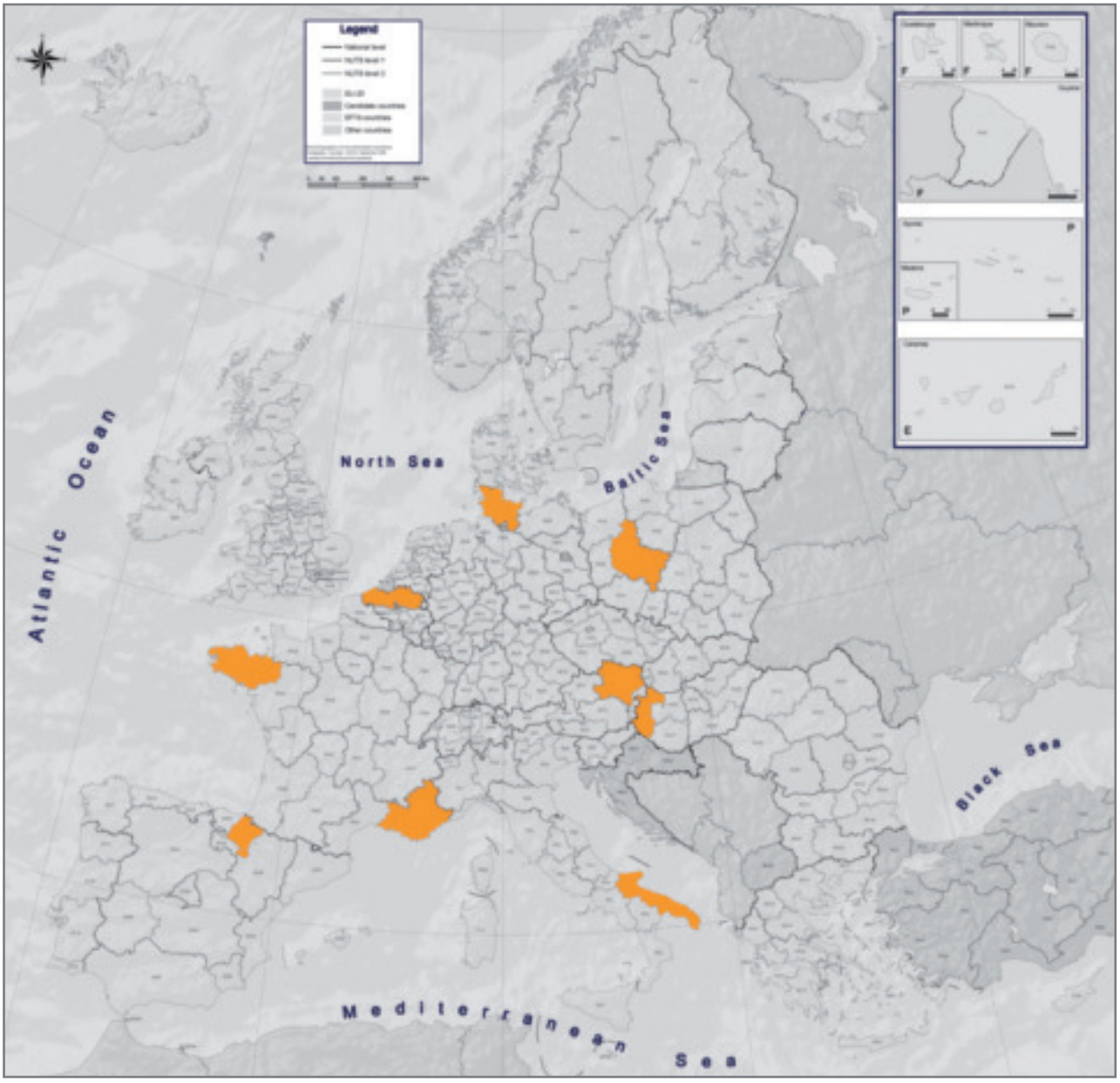
9 Annex 1: Partner Description

The partnership consists of 9 partners from 9 European regions from 8 European countries. The partners are either regional authorities responsible for regional innovation policy and the related monitoring and evaluation measures or an intermediate body involved in monitoring of regional innovation policy with full support from the regional authority.

The following pages give a brief overview over the partner organisations and their regions. Subsequent to these descriptions you can find an overview with some structural macroeconomic data of the partners regions and their countries in order to give more insight into their economic situation.

The following map indicates the geographical distribution of the 9 SCINNOPOLI partner regions over Europe:



9.1 Provincial Government of Lower Austria, Department for Economy, Tourism and Technology (WST3)

WebSite: *www.noel.gv.at*
www.noel.gv.at/Wirtschaft-Arbeit/Wirtschaft-Tourismus-Technologie.html

Niederösterreich (Lower Austria) with 19.186 km² is the largest of all 9 provinces in Austria and has about 1,6 million inhabitants. The region is located in the Northeast of Austria, bordering the Czech Republic and Slovakia. Its main economic sectors are mechanical engineering, metal processing, wood, food, chemistry and oil industry, as well as rubber and plastic. In the northern area agriculture and forestry are also strong.

Niederösterreich's GDP increased to 44,2 billion Euro in 2010.

Parliament of Lower Austria

As one of the 9 federal provinces of Austria, Niederösterreich has a high degree of political and financial independency in regional innovation policy. Together with Austria's capital Vienna, a separate federal province located in the centre of Niederösterreich, and Burgenland, Niederösterreich forms the Vienna Region, characterised by formidable economic dynamism. The Vienna Region shows the strongest concentration of research institutions and universities in Austria.

The Government of Lower Austria itself, is the managing authority of the Regional Operational Programme. The department for economy, tourism and technology (WST3) is responsible for coordination of the Regional Innovation System. Regional innovation is of utmost importance for the competitiveness of the whole region of Lower Austria. Therefore WST3 has started the Continuous Improvement Process

of the Regional Innovation System (CIP RIS NÖ) with the development of the regional innovation strategy nearly 15 years ago. The Innovation Assessment Methodology Lower Austria (I-AM Lower Austria) is coherent part of CIP RIS NÖ. For CIP RIS NÖ Lower Austria was awarded by the Assembly of European Regions (AER) as the most innovative region in Europe in 2008.

WST3 considers inter-regional exchange and collaboration as crucial success factors for the improvement of its own innovation system. Thus the Lower Austrian government is strongly engaged in European Projects and is leading SCINNOPLI.

Facts and Figures of Lower Austria in comparison with Austria:

	Niederösterreich (Lower Austria)	**Austria**
		
Capital	St. Pölten	Vienna
Geographical Area	19.186 km²	83.879 km²
Population	1,610.000 (2009)	8,400.000 (2009)
Population density/km²	83,7	100
Unemployment Rate	4,3 % (2010)	4,4 % (2010) [1]
Number of Companies	92.229 (2010) [2]	442.991 (2010) [3]
GDP per Capita	28.000 € (2008)	34.000 € (2008) [4]
Economic Growth[5]	2,0 % (2010)	2,0 % (2010)
R&D quote (R&D expenditures % of GDP)	1,44 % (2010)	2,78 % (2010)

[1] IHS, Economica: Die Entwicklung in den Regionen Niederösterreichs, Arbeitslosenquote nach dem Labour-Force-Konzept, S. 66
[2] IHS, Economica: Die Entwicklung in den Regionen Niederösterreichs, Aktive Betriebsstandorte, S. 61
[3] WKO, Statistisches Jahrbuch 2010, online unter http://wko.at/statistik/jahrbuch//2011_k14.pdf, S. 73
[4] Wichtige wirtschaftliche Eckdaten im Bundesländervergleich, Statistik Austria, online unter http://www.statistik-austria.at/web_de/services/wirtschaftsatlas_oesterreich/oesterreich_und_seine_bundeslaender/index.html, Abfragedatum 22.9.2011
[5] Wirtschaftsbericht Niederösterreich 2010, S. 23

9.2 IWT Flanders

WebSite: *www.iwt.be*

Research equipment at IMEC

Flanders (Flemish Region) covers 44,8 % of Belgium's 30.528 km² and accounts for some 60 % of the total population. Home to the majority of the country's industry and workforce, the region also generates the major part of national trade: the Flemish GRP (Gross Regional Product) provides 60 % of the national GDP. Spending on R&D in Belgium as a whole is growing as a percentage of GDP, reaching 2,33 % last year. In Flanders, business accounts for 73 % of that spending.

Flanders Drive research centre for Automotive Industry

In specific areas such as the ICT cluster close to Leuven University, R&D spending is among the highest in Europe at $ 7.011 per employee.

The life sciences are also strongly represented in R&D spending, notably through Janssen Pharmaceutica, but also through other pharmaceutical, medical device and medical imaging companies along with more than 40 biotech firms. Some 16 % of patents held in Flanders are in the life sciences.

Other major sectors such as the automotive industry also have strong research bases in the region, much of it in-house but with the universities and specialist research institutes all playing a role that is often linked closely with the companies. Research cooperation between universities and companies in Belgium is relatively high at 4,5 on a scale of one to seven (Global Competitiveness Report, 2005). Leuven and Ghent

universities are ranked in the 10 best research centers in the world (The Scientist, 2003) while the independent research center IMEC, also at Leuven, is a world leader in nanotechnology and microelectronics.

Managing Authority for the Regional Operational Program in Flanders is „Agency for Economy – Division Europe Economy". This organization is giving full support to IWT in performing roles and tasks as set up in the project work program and supports the development of a regional action plan within SCINNOPOLI. It's aim is to transfer, implement and mainstream Good Practices after the lifetime of the project financed by the Structural Funds program.
IWT is the government agency for Innovation by Science and Technology. IWT wants to encourage Flanders to innovate in various ways:

Funding: we finance innovative projects of companies, research centres, organizations and individuals. In 2010, IWT had a budget of almost 300 million euros.

Advice and services: we support all Flemish companies and research centres. We help them during their applications, we provide technological advice during their innovative projects. We act as the national contact point for European funding programmes and we assist them in transferring their technologies throughout Europe via the Enterprise Europe Network.

Co-ordination and networking: we stimulate collaboration by bringing innovative companies and research centres in contact with Flemish intermediate organizations that stimulate innovation. We do this via the Flemish Innovation Network (VIN), established by IWT.

Policy development: we support the Flemish Government in its innovation policy. We study, among other things, the effectiveness of the Flemish innovation initiatives.

Facts and Figures of Flanders in comparison with Belgium:

	Flanders	**Belgium**
		
Capital	Brussels	Brussels
Geographical Area	13.522 km²	30.528 km²
Population	6,117.440	11,000.000
Population density/km²	452	354,7
Unemployment Rate	4,7 %	8 %
Number of Companies	297.000	522.000
GDP per Capita	30.700 €	36.100 €
Economic Growth	4 %	2,1 %
R&D quote (R&D expenditures % of GDP)	2 %	1,9 %

9.3 Business Development and Technology Transfer Corporation of Schleswig-Holstein (WTSH)

WebSite: *www.wtsh.de*

Kiel Harbour

Schleswig-Holstein with 15,770 km² is the northernmost federal state of Germany and has approx. 2,8 million inhabitants. Schleswig-Holstein's GDP with its 72.000 companies amounts to 73 bn €. Its geographical location offers direct links to Scandinavia and Eastern Europe by sea and road and Hamburg, the „gateway to the world", right next door: as a business location, Schleswig-Holstein is not only situated at the heart of Europe but also well connected to global markets.

Typical colourful landscape

Schleswig-Holstein's numerous industrial, commercial and service enterprises, high-tech companies and innovative and creative businesses see Schleswig-Holstein as the perfect business environment with many highly attractive benefits: productivity levels, labour costs, low business taxes and the highest return on investment in Germany and with its 9 universities an proper access to well-trained and well-educated employees.

The WTSH – Business Development and Technology Transfer Corporation of Schleswig-Holstein- is the one-stop agency which provides information, personal advice and support for all businesses interested in finding out more about Schleswig-Holstein as a business location – from foreign commerce and technology-oriented companies to investors and project developers.

The service includes:

- Advice and support on start-ups, foreign commerce, innovation and patents
- Promotion of technology projects, R&D and foreign trade commitments
- Provision of space in shared offices outside Germany
- Organisation of participation at national and international trade fairs – Support for commercial, scientific and pan-European technological cooperation
- Cluster management for various industries

Besides expertise in science, technology and commerce, the WTSH staff has many years of experience in R&D and foreign commerce. In particular the WTSH is specialised in the following industries and technologies: Life sciences, Food industries, Maritime industries, Information and communication technology, Environmental engineering and renewable energies.
On behalf of the Ministry of Science, Economic Affairs and Transport of Schleswig-Holstein the WTSH manages parts of the Regional Operational Programme.

Facts and Figures of Schleswig-Holstein in comparison with Germany:

	Schleswig-Holstein	**Germany**
		
Capital	Kiel	Berlin
Geographical Area	15.799 km² [1]	357.112 km² [1]
Population	2,832.027 (2009) [1]	81,802.257 (2009) [1]
Population density/km²	179 (2009) [1]	229 (2009) [1]
Unemployment Rate	7,5 % (2010) [2]	7,7 % (2010) [2]
Number of Companies	107.711 (2009) [3]	3,135.542 (2009) [3]
GDP per Capita	26.712 € (2010) [4]	30.566 € (2010) [4]
Economic Growth	2,9 % (2010) [4]	4,2 % (2010) [4]
R&D quote (R&D expenditures % of GDP)	1,25 % (2009) [5]	2,80 % (2009) [5]

[1] Statistische Ämter des Bundes und der Länder, 2009, http://www.statistik-portal.de/Statistik-Portal/de_jb01_jahrtab1.asp
[2] Bundesagentur für Arbeit, 2010, http://www.arbeitsagentur.de/zentraler-Content/A01-Allgemein-Info/A011-Presse/Publikation/pdf/Landkarten-Eckwerte-2010-12.pdf
[3] IfM-Bonn, 2009, http://www.ifm-bonn.org/assets/documents/Unt_BL_2003-2009.pdf
[4] Volkswirtschaftliche Gesamtrechnung der Länder, 2010, http://www.vgrdl.de/Arbeitskreis_VGR/tbls/tab01.asp
[5] Statistisches Bundesamt, Wiesbaden; Stifterverband, Wissenschaftsstatistik, Essen; Arbeitskreis Volkswirtschaftliche Gesamtrechnung der Länder. http://www.destatis.de/jetspeed/portal/cms/Sites/destatis/Internet/DE/Content/Statistiken/BildungForschungKultur/ForschungEntwicklung/Tabellen/Content75/FuEAusgabenUndBIPZeitreihe,templateId=renderPrint.psml

9.4 West-Transdanubian Regional Development Agency (WTRDA)

WebSite: *www.westpa.hu*

The area of Nyugat-Dunántúl (West Transdanubia) is 11,183 km^2, which makes up for 12 % of the territory of Hungary. County Győr-Moson-Sopron occupies 36 % of this terrain, while County Vas 30 % and County Zala 34 %.

The geography of the region is very diverse. There are numerous natural areas under national protection in the region (Fertő-Hanság National Park, Őrség National Park). The region boasts two sites counted among the UNESCO World Heritage: the Cultural Landscape Fertő-Neusiedler See and the Benedictine Archabbey of Pannonhalma. Considering natural resources, all parts of the region are equally rich in thermal and mineral water.

West Transdanubia is a convergence region, as the average GDP per capita in the region is around 10.300 EUR, 97,2 % of the national and 61,4 % of the EU27 average – West Transdanubia has always been the second most developed region after Central Hungary (which includes Budapest). Due to the steady influx of FDI in the early years after the regime change – and a strengthening trend of domestic companies operating as suppliers, the industrial sector is relatively strong and steady, while the service sector is still growing rapidly. Due to this same early strengthening of the industrial economy, and a long lack of significant universities, the region also suffers from the so-called „innovation paradox" – meaning that despite being one of the most advanced regions in the country, it falls short of almost all other regions in innovation capacity. In recent years conscious efforts have been made to remedy the situation, and now the West Transdanubian Region is steadily catching up, and even overtaking other regions with traditional university centres.

The mission of the agency is: "West-Transdanubian Regional Development Agency is an organic com-

munity, an open and developing organisation, which supports local initiatives through its initiating, mediating and service activities and cooperates with all concerned actors for the balanced development of our region."

The West-Transdanubian Regional Development Agency was founded by law in 1999 as the basic institution for development, innovation, strategic planning and programme implementation at a regional level. The West-Transdanubian Region consists of 3 counties: Győr-Moson-Sopron, Vas and Zala. The agency has offices in 5 towns of the region.

Since its foundation, the agency has developed an extensive range of co-operations with regional, national and international organisations. It has launched several key regional initiatives, designed and applied many regional strategies, and has coordinated the writing of approximately thirty regional programme documents. WTRDA manages billions of national and EU (ERDF) financial sources yearly. The Agency has more than 70 highly trained full-time employees, and a group of 5, devoted to multinational project management, while also running the Regional Representation Office in Brussels.

WTRDA is both the designer and the fully competent intermediate body of the West Pannon (Transdanubian) Regional Operational Programme 2007-2013, which includes support measures on behalf of innovation and technology transfer institutions, innovation houses, clusters, industrial parks, and business support advisory services for SMEs. Also, the Agency is responsible for the national innovation support scheme dedicated mostly to SMEs and which provides the main budget to financially support start-up and spin-off companies, the establishment of innovation service centres, innovative product development, etc.

Facts and Figures of Dunantul in comparison with Hungary:

	Nyugat Dunantul	**Hungary**
Capital	N/A	Budapest
Geographical Area	11.209 km²	93.036 km²
Population	998.187 (2009)	9,968.000 (2011)
Population density/km²	89	107.2
Unemployment Rate	8,9 %	10,8 %
Number of Companies	44.866 (2010)	600.726 (2010)
GDP per Capita	10.311,7 € (2008)	10.604.6 € (2008)
Economic Growth	-5,8 % (2009)	-2,6 % (2009)
R&D quote (R&D expenditures % of GDP)	0,58 % (2009)	1,13 % (2009)

9.5 Bretagne & Bretagne Development Innovation

BRETAGNE DÉVELOPPEMENT INNOVATION

WebSite: www.bdi.fr

The Bretagne region occupies a large peninsula in the north west of France (27.209 km²) and has a population of 3 millions inhabitants (5 % of the French pop.). For the last 10 years, Brittany's GDP has enjoyed a higher average growth than that of France. Nevertheless in terms of GDP/inhabitant with € 25.249 Bretagne still lays slightly behind the national and European average (EU15). Besides an important agro-alimentary industry, the leading industrial sectors are Electronics and telecommunications, car automotive, shipbuilding/nautical industry and other ocean-related matters. The service sector has also received a significant boost and stands at 74 % of GDP.

Brittany relies on a good environment for innovation: a high-ranking and internationally opened private and public research facility (ICT, sea, agriculture, healthcare, chemistry and human and social related sciences), a high level of education and training, a high-performing technology transfer and innovation support infrastructure. Bretagne is the 6th most important region in creating innovative companies, yet it stands behind for employment in knowledge intensive services and high tech manufacturing sectors.

Bretagne Development Innovation is the regional innovation and economic development agency (38 people). Our main missions:

- Strategic governance, design and launching of mid-term federative initiatives side by side with the regional government;
- Support to the development and upgrading of regional key economy branches (ICT, marine energy and sea, Agro-food,…)
- Coordination of the economy support stakeholders, and especially the Regional Innovation Network (50 innovation supporting structures, 120 technology and business advisers)
- Promotion of Bretagne economy and innovation profile, nationally and abroad, to attract talent, investments and projects

As cross-activity, observation, monitoring, benchmarking on innovation issues; former "Bretagne Innovation" have had an advisory role to the Regional Government in the elaboration of regional innovation policy. We actively worked on the Strategic framework agreement for innovation, adopted at the end of 2008 (Regional Innovation Plan or RIS) which represents Bretagne's innovation policy roadmap for the coming years. BI is in charge of the RIS action plan monitoring process. We have been also participating in EU projects to exchange with other regions: Scinnopoli is a major part of our current benchmarking activity.

Facts and Figures of Bretagne in comparison with France:

	Bretagne	**France**
	BRETAGNE	
Capital	Rennes	Paris
Geographical Area	27.209 km²	670.922 km²
Population	3,195.317 (2010)	64,668.885 (2010)
Population density/km²	117 (2010)	102 (2010)
Unemployment Rate	7,8 (2011)	9,2 (2011)
Number of Companies	193.677 (2010)	4,226.847 (2010)
GDP per Capita	25.739 € (2009)	29.574 € (2009)
Economic Growth	-2,36 % (2008)	-2,12 % (2008)
R&D quote (R&D expenditures % of GDP)	1,69 % (2008)	2,1 % (2008)

9.6 Agency for Technology and Innovation (ARTI) of Puglia

WebSite: *www.arti.puglia.it*

A region in southern Italy lying along the Adriatic and Ionian Seas, Apulia (Puglia) extends on a surface of 19.363 km², has about 4 million inhabitants and scores a GDP per capita equal to the 73 % of the EU27 one.

Apulia is a Convergence region and managed for the period 2007-2013 about 2,7 M € of the FESR programme and 640 K € of the FSE programme plus other funds coming from interregional and national programmes.

Among the strengths of the regional productive system is the relatively high productivity of the agricultural sector, a range of sectors widely associated with the world renowned "made in Italy" image of quality and design (textiles, clothing, footwear and furniture), emerging business sectors based on the "knowledge economy" and continuous innovation (Aerospace, Mechatronics, Renewable Energies, Sustainable Building), a strong local private entrepreneurial climate (97 % of firms are privately owned) and the tourism sector.

On the other hand, the region also faces a number of challenges including poorly developed business services, a low rate of development of intermediate industry, the predominance of family-owned small enterprises (95 % of firms have less than 20 employees), low rates of exporting firms, and a low level of integration of the agro-food chain.

The regional innovation system comprises of four public universities and a private one, around 30 private and public research centres and 30 intermediary organizations.

The Regional Strategy for R&I (2009) aims at making Apulia a competitive region in the global knowledge economy, through policies based on innovation and on the intensive use of knowledge in the socio-economic context. Priority sectors identified are: Biotechnologies and Life Sciences, Agro-Food, Technology for Energy and Environment, Aerospace, Mechanics and

Mechatronics, New Materials and Nanotechnologies, ICT, Logistics.

The **Regional Agency for Technology and Innovation** (ARTI), is a public body established in 2004 by Apulia Region (Regional Law no. 1/2004) and became fully operative in 2005. The Agency is a main tool to realize the specific objectives set in the Regional Innovation Strategy, based on the role of Research and Innovation for economic growth and social cohesion. Its activity aims at promoting and satisfying both the demand for innovation expressed by enterprises and local productive systems and the qualification of human resources.

Therefore, its function is to strengthen the regional innovation players and the relationships among them, in order to help and develop the stream of innovation between research and enterprise.

For this reason, ARTI activities are grouped into the following macro areas:

- **spreading innovation culture**, by defining the regional innovation system map (the actors, their competences, their activities), creating networks of innovation actors, organizing events and competition;

- **strengthening the Regional Innovation System**, by creating the regional network of Industrial Liaison Offices for tech-trans, supporting the birth of innovative start ups and the registration of patents, promoting international technological exchanges, joining European research programmes;

- **developing technological clusters**, by promoting and realizing projects and feasibility studies in fields in which Apulia Region owns scientific or technological expertise (i.e. agro-food, aerospace, mechatronics, renewable energies, energy efficiency) and strengthening international connections and tech-transfer between the Apulian systems of research and production and the foreign ones;

- **supporting local R&I policy-making**, by cooperating with the definitions of policy documents and monitoring and evaluating regional R&D programmes, activities and measures.

While operating in these lines of activity, ARTI develops actions and projects partially financed by regional, national and European funds. ARTI develops its activities through: studies and analyses, planning and implementation of measures and initiatives, monitoring and evaluation of regional projects and measures.

Facts and Figures of Puglia in comparison with Italy:

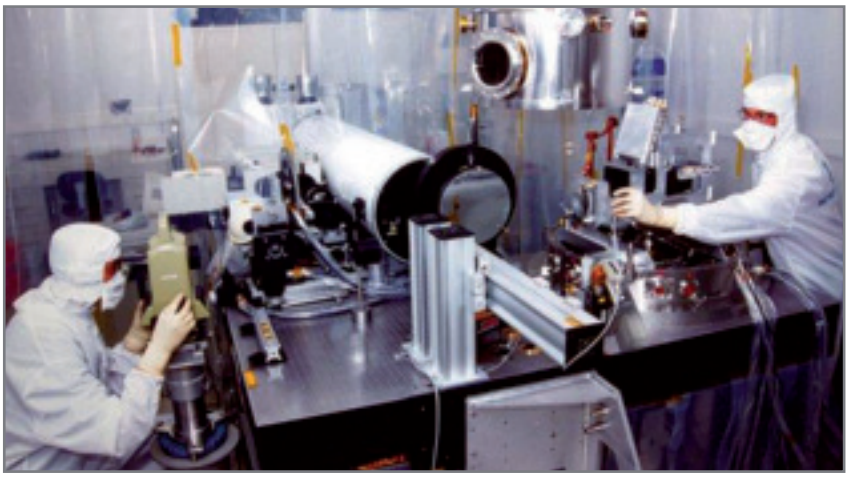
	Puglia	**Italy**
		
Capital	Bari	Roma
Geographical Area	19.365 km²	301.328 km²
Population	4,091.259 (2010) *	60,626.442 (2010) *
Population density/km²	211 *	201 *
Unemployment Rate	13,5 % (2010) *	8,4 % (2010) *
Number of Companies	250.143 (2007) *	4,475.190 (2007) *
GDP per Capita	13.233 € (2009) *	20.043 € (2009) *
Economic Growth	- 0,2% (2010) **	1,3% (2010) *
R&D quote (R&D expenditures % of GDP)	0,79 % (2008) *	1,23 % (2008) *

Source:
(*) Istat, National Institute of Statistics- Italy
(**) Svimez

9.7 Méditerranée Technologies (MT)

WebSite: *www.mediterranee-technologies.com*

With a unique geo-strategic position in the arch of the Mediterranean, PACA is the third region in France in terms of GDP (118 billion) and the 17th in Europe.



PACA economy is a rather mosaic one with a number of different economic sectors ranging from the Aeronautics and microelectronics to chemical, energy and pharmaceutics industries, to agriculture and to the service sector, which alone accounts for 80 % of the regional economy.

Another peculiarity of PACA's economic profile is provided by the extremely significant level of Very Small Enterprises (94 % of total companies), while less that 1 % of companies employ more than 500 people. PACA hosts 1100 foreign controlled companies, which entails a strong economic dependency: 33 % of companies settled in PACA have their headquarters located abroad.

Two of the largest metropolitan centres in France are situated in PACA, Marseilles/Aix-en-Provence (1,3 million of inhabitants) and Nice (0,9 million of inhabitants), bipolarising the local economic activities.

PACA, with its 6 Universities, a wide number of laboratories (INSERM, CNRS, INRIA, INRA, CEA, etc) and 15 000 researchers (distributes 50 % in the private and 50 % in the public sector) is the 3rd region in France for R&D staff and the 4th in terms of public- private expenditure (2247 M € in 2004). The region faces the tough challenge of translating its potential into new products and services, alias economic development. In fact, the technology transfer capacity and the production of patents still stay weak.

Furthermore, companies' growth constitutes a major problem. The number of middle-sized companies is still too limited. The availability of seed capital, the weak companies' capital structure and the lack of management expertise are the main issues hampering regional firms' growth capacity.

Méditerranée Technologies (MT) is a non-profit organization set up in 1988 by the Regional Council and the central government with the support of the European Commission with the aim of disseminating and supporting innovation and technology transfer.

Today **MT's main mission** focuses on designing, monitoring and implementing regional innovation policy, and in particular on:

1. The coordination of the network of the regional innovation support organisations, **PACAInnovation** (www.pacainnovation.com).

2. The management of the **Regional Innovation Observatory,** ORION

3. The coordination of the local **Enterprise Europe Network**, MedIn

Facts and Figures of Provence-Alpes-Côte d'Azur in comparison with France:

	Provence-Alpes-Côte d'Azur	**France**
	Région Provence Alpes Côte d'Azur	
Capital	Marseille	Paris
Geographical Area	31.400 km²	670.922 km²
Population	4,951.388 (2010)	64,668.885 (2010)
Population density/km²	158 (2010)	102 (2010)
Unemployment Rate	10,9 (2011)	9,2 (2011)
Number of Companies	401.404 (2010)	4,226.847 (2010)
GDP per Capita	27.855 € (2009)	29.574 € (2009)
Economic Growth	-1,5% (2008)	-2,12% (2008)
R&D quote (R&D expenditures % of GDP)	1,8% (2008)	2,1% (2008)

9.8 Government of Navarra

WebSite: *www.navarra.es*

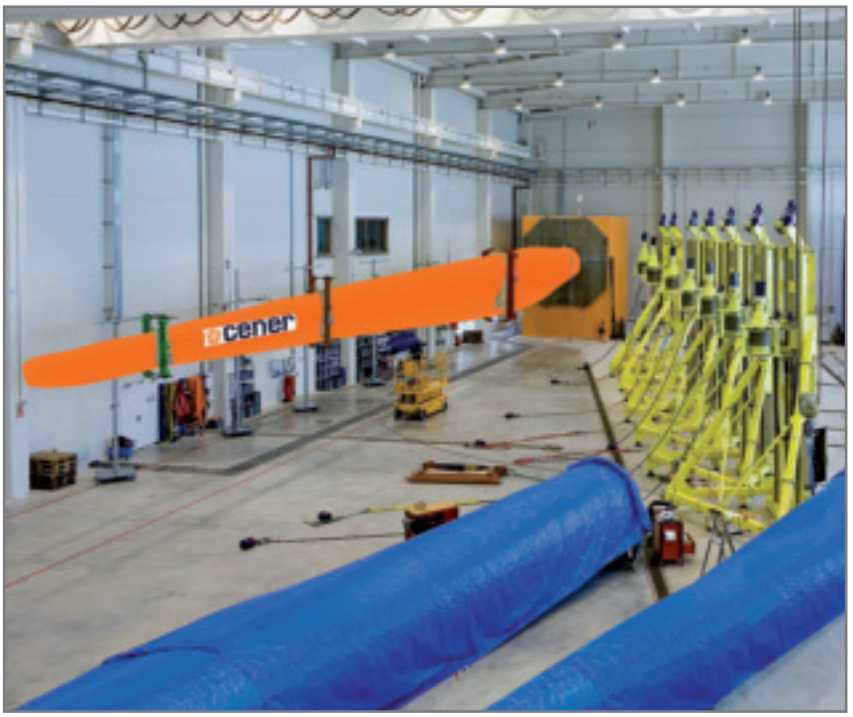
Irati Forest. Navarran Pyrenees.

The Comunidad Foral de Navarra is situated in the North of Spain, at the western end of the Pyrenees, where it shares a 163-kilometre stretch of frontier with France. It has a land area of 10,421 km^2 and is bordered, to the east by Aragon, to the south by Aragon and La Rioja, and to the northwest by the Basque Autonomous Community.

Despite its low population (630.000 people), Navarra has a dynamic economy with an estimated GDP per capita of 30.600 €, which makes the region one of the wealthiest in Spain and the 33th EU region taking into consideration the income per capita (2008 data). In the structure of Gross Valued Added (GVA) for Navarra corresponding to 2007, the industrial sector accounts for 28,5 % of the regional total, as opposed to the 18 % registered in Spain as a whole. Navarra was the most innovative region of Spain in 2009 with 2,13 % of RTDI Expenditure/GDP.

Following the decentralized system of the Spanish state, Navarra has the most progressive and ample powers and competencies amongst Spanish regions for the design and implementation of public policies on a variety of fields, including Innovation.

The Innovation and Knowledge Transfer Service, integrated into the DG Enterprise and Innovation of the Department of Rural Development, Industry, Employment and Environment of the Government of Navarra, has the work of designing, implementing, monitoring and evaluating Navarra's



Wind Turbine Test Laboratory (LEA) – Wind Institute. National Renewable Energy Center.

Regional Innovation Strategy (Navarra Technology Plans). In 2012, the Fourth Technology Plan (2012-2015) will be implemented, which proves the longstanding experience of Navarra on the promotion of a regional innovation system. Navarra Technology Plans are partially supported with ERDF funds by the ERDF Regional Operational Programme (ROP), which is managed by DG International and Economic Policy of Navarra's Government.

The Fourth Technology Plan of Navarra is composed of four strategic axis: International, excellent and market oriented R&I; Valorization and creation of technology based companies; Promotion of R&I by companies as a competitiveness tool; and Consumer led R&I. Ultimately, the Technology Plan envisions Navarra's regional innovation ecosystem as an Open Innovation regional ecosystem, with active participation of internal and external stakeholders, along with knowledge creation and valorization processes and fully integrated into the Global Networks of Innovation.

The intermediate and final evaluation of the previous RIS provided the Innovation and Knowledge Transfer Service with knowledge and experience on the monitoring and impact assessment of the RIS. Yet the Innovation and Knowledge Transfer Service is aware of the limitations of the currently available tools.

SCINNOPOLI provides the Innovation and Knowledge Service and the ROP Managing Authority with new methodologies and tools for the monitoring of the 2012-2015 RIS. The Regional Action Plan resulting from Navarra's participation in SCINNOPOLI will allow laying out a new monitoring methodology based upon other partners' Good Practices that will be strategically assessed by the ROP Monitoring Committee and incorporated by the Department of Rural Development, Industry, Employment and Environment in the upcoming RIS (Fourth Technology Plan).

Facts and Figures of Navarra in comparison with Spain (data from 2008):

	Navarra	**Spain**
		
Capital	Pamplona	Madrid
Geographical Area	10.421 km²	505.987 km²
Population	630.578	45,828.200
Population density/km²	60,7	90,6
Unemployment Rate	8,3 %	11,3 %
Number of Companies	43.847	3,422.239
GDP per Capita	30,614 €	24,020 €
Economic Growth	1,9 %	1,2 %
R&D quote (R&D expenditures % of GDP)	1,93 %	1,35 %

9.9 Adam Mickiewicz University Foundation (AMUF), Poznan Science and Technology Park (PSTP) in Wielkopolska

WebSite: *www.ppnt.poznan.pl*

Wielkopolska[6], with 3,5 million inhabitants, is one of the largest regions in Poland. The structure of the economy is still relatively traditional, but with a big internal market and high productivity, the region's GDP is the 4th highest in Poland. Poznań, the capital city, generates nearly 1/3 of the regional production and together with the Poznań county 49,9 % of the region's GDP. Wielkopolska is in a group of 5 regions with the highest export level in Poland. The analysis of the structure of export shows that the majority is of medium-tech products including in particular motor vehicles and car accessories, furniture and lighting equipment. A clear economic specialization can be seen in each of the 5 Wielkopolska's subregions: Poznań and its county concentrates on innovative and high value added activities, Piła subregion develops its tourism potential, Konin the production of energy, Kalisz is specialized in machinery, automatic and robotics and Leszno in the food sector and construction.

Wielkopolska is one of most attractive Polish regions in terms of foreign investment. It is due to factors such as human capital, high level of economic activity and good transport accessibility. Despite the economic potential of the region and higher than the national average share of SMEs in the structure of economy, only 16 % of enterprises are innovative. This renders Wielkopolska the only region in the country where a high level of economic growth is not connected with a high level of innovativeness. On the other hand, the region shows higher than the European average share of employment in creative sectors (over 2 % of the total employment rate).

Wielkopolska is one of the higher education centres in the country. There are 39 universities and higher education institutions attended by 169.000 students. The region's universities lead in nationwide rankings. However, the share of R&D expenditure in GDP in 2009 was 0,52 %, which is still far from Lisbon goals.

Regional Authorities are concerned with improving the level of innovativeness in the region. Already in 2004 Wielkopolska, as the second Polish region, developed a Regional Innovation Strategy using the European methodology RIS/RITTS. After monitoring activities in 2009, the process of updating the document was started and the new Innovation Strategy for the years 2010-2020 adopted soon afterwards. It takes into account the changes in regional and European economy, the new understanding of innovation processes and the guidelines of the Europe 2020 Strategy.

Adam Mickiewicz University Foundation (AMUF) is a non-profit organization with the mission to stimulate collaboration between science and industry to activate the regional development via innovation, technology transfer and international cooperation. The main department of AMUF is Poznan Science and Technology Park (PSTP), the first such entity established in Poland in 1995.

Poznan Science and Technology Park (PSTP) is the leading organization in Wielkopolska in the field of innovation and was a leader of the RIS NAC project working on Regional Innovation Strategy together with Regional Government. It was designated by the regional authorities to be responsible for implementation of Structural Funds for innovative actions for years 2004-2008. PSTP was coordinating monitoring of implementation of RIS (2005-2008) and was a leader of 6.FP project "5SCHESMES" focused on designing specific schemes for regional innovation policy for the 5 regions working on implementation of RIS strategy.

Facts and Figures of Wielkopolska in comparison with Poland:

	Wielkopolska	**Poland**
	WOJEWÓDZTWO WIELKOPOLSKIE	
Capital	Poznań	Warszawa
Geographical Area	29.826 km²	312.679 km²
Population	3,408.300	38,167.300
Population density/km²	114	122
Unemployment Rate	9,2	12,1
Number of Companies	375.482	3.909.802
GDP per Capita	34.934 [PLN]	33.462 [PLN]
Economic Growth	3,6 % (2008)	5,1 % (2008)
R&D quote (R&D expenditures % of GDP)	0,52 %	0,60 %

[6] Describtion elaborated basing on RIS diagnosis (Monika Matusiak, Konrad Fuks, Piotr Ratajczyk, Marek Urbaniak, Jacek Wajda, Poznań University of Economics, Regional Innovation Strategy for Wielkopolska 2010-2020, Annexe no. 1)

9.10 Overview over macroeconomic data of partner regions

	Lower Austria	**Flanders**	**Schleswig-Holstein**	**Nyugat Dunantul**
Capital	St. Pölten	Brussels	Kiel	N/A
Geographical Area	19.186 km²	13.522 km²	15.799 km²	11.209 km²
Population	1,610.000 (2009)	6,117.440	2,832.027 (2009)	998.187 (2009)
Population density/km²	83,7	452	179 (2009)	89
Unemployment Rate	4,3 % (2010)	4,7 %	7,5 % (2010)	8,9 %
Number of Companies	92.229 (2010)	297.000	107.711 (2009)	44.866 (2010)
GDP per Capita	28.000 € (2008)	30.700 €	26.712 € (2010)	10.311,7 € (2008)
Economic Growth	2,0 % (2010)	4 %	2,9 % (2010)	-5,8 % (2009)
R&D quote (R&D expenditures % of GDP)	1,44 % (2010)	2 %	1,25 % (2009)	0,58 % (2009)

Bretagne	**Puglia**	**Provence-Alpes-Côte d'Azur**	**Navarra**	**Wielkopolska**
Rennes	Bari	Marseille	Pamplona	Poznań
27.209 km²	19.365 km²	31.400 km²	10.421 km²	29.826 km²
3,195.317 (2010)	4,091.259 (2010)	4,951.388 (2010)	630.578	3,408.300
117 (2010)	211	158 (2010)	60.7	114
7,8 (2011)	13,5% (2010)	10,9 (2011)	8,3 %	9,2
193.677 (2010)	250.143 (2007)	401.404 (2010)	43.847	375.482
25.739 € (2009)	13.233 € (2009)	27.855 € (2009)	30.614 €	34.934 [PLN]
-2,36 % (2008)	- 0,2 % (2010)	-1,5 % (2008)	1,9 %	3,6 % (2008)
1.69 % (2008)	0,79 % (2008)	1,8 % (2008)	1,93 %	0,52 %

INTERREG IVC Capitalisation Project with
Fast Track Support by the European Commission:

SCINNOPOLI –
Scanning Innovation Policy Impact

Policy Recommendations –
Annex 2: Good Practice Descriptions

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10 Annex 2: Good Practices

On the following pages 20 Good Practices for monitoring and evaluation of regional innovation policy are being described. These Good Practices are applied by the SCINNOPOLI partner regions. Most of the GPs are (partly) transferred to partner regions or at least inspired the partner for their RAP concept.

All descriptions are following a standardised structure:

- Who monitors?
- What is monitored?
- What is the level of monitoring?
- When do we monitor?
- Who is the target group/ subject of monitoring?
- How do we monitor?
- Why do we monitor? What are the results?
- Contact, Further information

This standardised structure is explained in more detail in the chapter "SCINNOPOLI online tool" of the SCINNOPOLI policy recommendations.

What is monitored?	Input	Output/Activities	Outcomes/Impact
What is the level of monitoring?	Project	Measure/Program	Strategy of regional innovation policy
When do we monitor?	Ex-ante	In process/Mid-term	Ex-Post
Who is the target group/ subject of monitoring?	Companies	(Intermediary) Organisations	Regional authorities/ policy makers

Onlinetool available under: htttp://www.scinnopoli.eu/Results.html

Name of Good Practice:
Overall BSC, Balanced Score Card for the economic resort

Good Practice Provider:
Regional Government of Lower Austria, Department for Economy, Tourism and Technology (WST3)

What is monitored?	Input	Output/Activities	Outcomes/Impact
What is the level of monitoring?	Project	Measure/Program	Strategy of regional innovation policy
When do we monitor?	Ex-ante	In process/Mid-term	Ex-Post
Who is the target group/ subject of monitoring?	Companies	(Intermediary) Organisations	Regional authorities/ policy makers

10.1.1 Who monitors?

The Regional Government, Department for Economy, Tourism and Technology (WST3), monitors as the responsible authority for the regional economic and innovation strategy with support of external statistical experts. On a program level, program management is responsible for monitoring.

10.1.2 What is monitored?

The Balanced scorecard Methodology itself is composed of impact levels 1 and 2 and the input levels 3 and 4. The defined indicators allocated to the main targets for the 4 levels are output or impact indicators. The indicators of the mains targets of level 1 – economy and level 2 – clients are mainly macroeconomic ones, which are available via Eurostat, Statistik Austria or The Lower Austrian Chamber of Commerce. Another source of data are the regionalised Community Innovation surveys (CIS) conducted every two years, the national R&D surveys also conducted every two years and further surveys by statistical experts ordered by the Lower Austrian Government. Input is monitored in terms of annual budget allocation and by number of full- time equivalents on a program level (program BSCs) and for specific targets in the overall BSC. Outputs are monitored in terms of total number of researchers in Lower Austria, R&D expenditure of companies, Employment in medium/high tech manufacturing and high tech services, number of active locations of an enterprise and more. Impact is monitored in terms of GDP, quality of life, purchasing power, companies' turnover and profit in several branches and so on.

10.1.3 What is the level of monitoring?

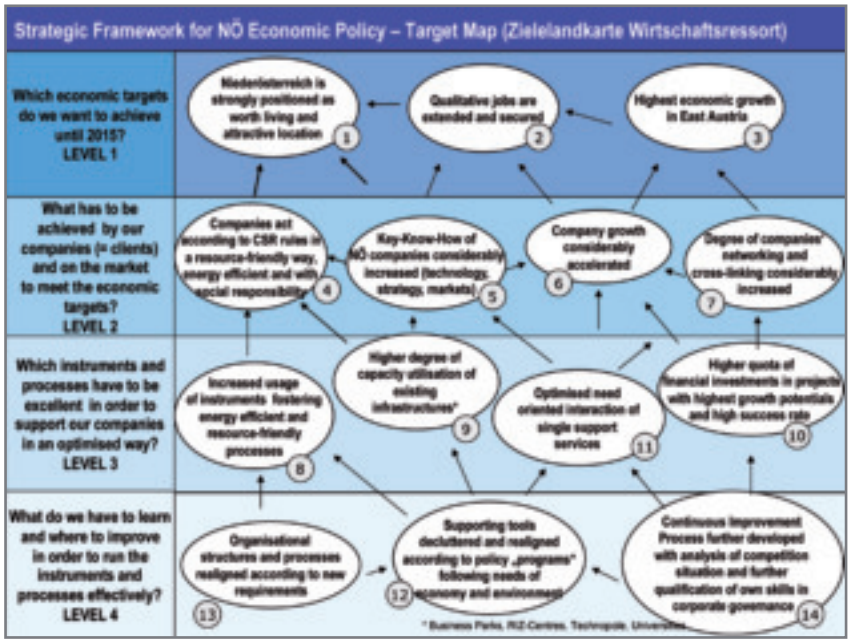
The BSC Balanced Scorecard System in Lower Austria is an important tool to define the objectives of the regional innovation and economic policy as well as for monitoring the objective achievements. This shows the output and the impact of the economic and innovation policy of Lower Austria on the regional companies and the overall economy.

The overall BSC for the economic resort of the Lower Austrian Government is the Strategic Framework for Lower Austria's Economic Policy. The Target Map defines the objectives for the 4 levels "economy", "company" (= clients of the regional policy), "performance (instruments and process)" and "learning" (see following diagram).

10.1.4 When do we monitor?

The implementation of the Regional Innovation System in Lower Austria (RIS NÖ) is a Continuous Improvement Process (CIP) and known as CIP RIS NÖ, which was awarded by the Assembly of European Regions in 2008 as the most innovative regional policy in Europe. Thus the overall BSC for the economic policy is an in process monitoring and is an inherent part of the CIP RIS NÖ.

Depending on the procedure of data gathering, data for the BSC indicators are gathered quarterly, yearly or every two years like the CIS Community Innovation Survey. Taking into account the remarkable time lag between year of availability of macroeconomic data and their



For every level 3 to 4 objectives are defined. Up to 10 indicators, but usually 1 to 5 indicators with defined target values are allocated to each of these objectives.

The overall NÖ BSC is broken down for program level into the respective Program BSCs, which are explained in the Good Practice description Program BSC.

reference year in several cases you can also talk about ex-post monitoring in the case of data gathering.

10.1.5 Who is the target group/ subject of monitoring?

The subject of monitoring is the development of the region in terms of defined main target and related indicators, already mentioned. It's done for regional authorities and policymakers.

10.1.6 How do we monitor?

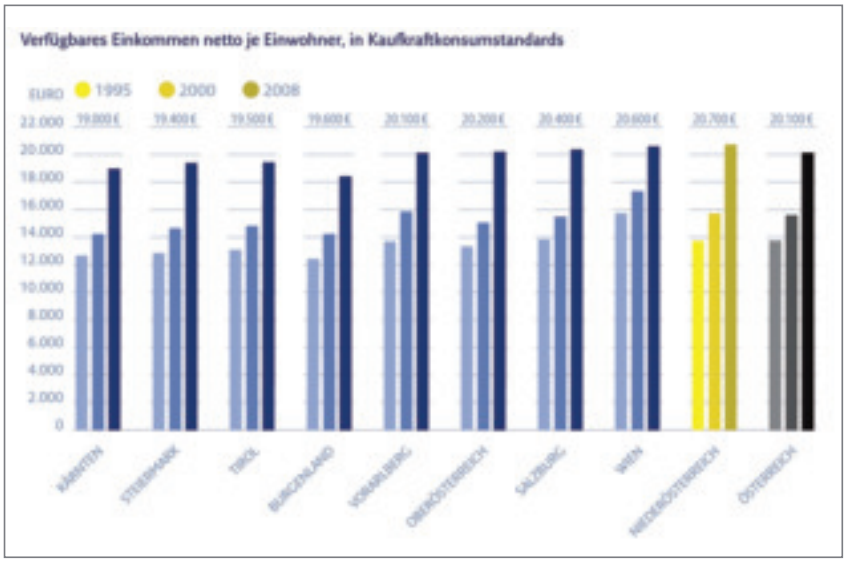
The data are gathered through statistical experts on behalf of the Regional Government of Lower Austria, department of Economy, Technology and Tourism, which is at the same time responsible for the Strategy. The data are gathered externaly, the processing of the gathered data, the analysis and the evaluation report is done by our department. (External data gathering and internal data treatment)

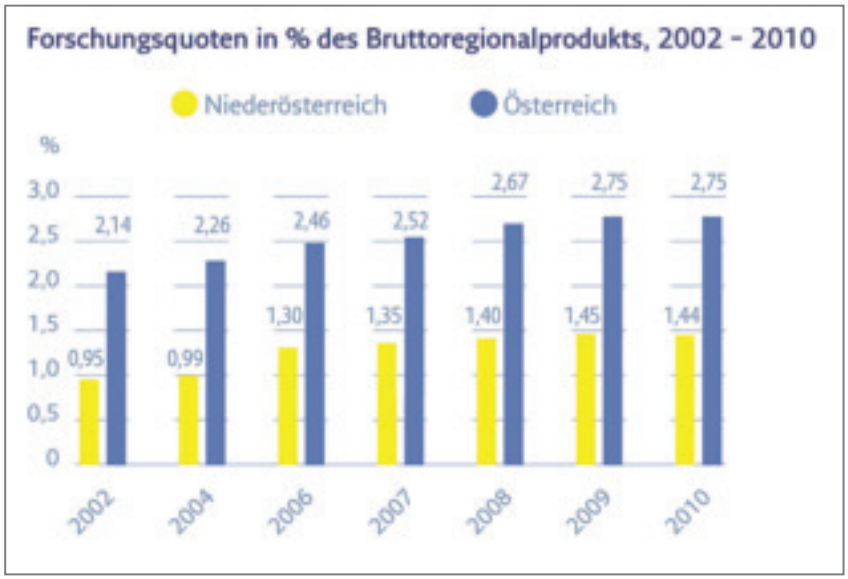
10.1.7 Why do we monitor? What are the results?

The Regional Government of Lower Austria wants to have an indication about the development of the region in relation to other provinces in Austria as well as to the Austrian average. In combination with the program BSC we can see the contribution of the regional economic and innovation policy to the regional development, knowing that there are a lot of other influences.

The graph shows the development of the regional GDP in relation to the Austrian average.

The next diagram points out the time line of purchasing power per capita in relation to other Austrian provinces and the Austrian average with a positive balance for Lower Austria.





In the following graph the R&D expenditures are shown as share of the GDP in relation to the Austria R&D rate. Due to Lower Austria's direct vicinity to the province of Vienna, as the traditional public R&D hub of Austria the public R&D expenditures were traditionally very low in Lower Austria. Even though the time line shows a considerable increase of the sum of private and public R&D expenditures in Lower Austria the absolute difference to the Austrian average is remaining more or less the same.

10.1.8 Contact, Further information

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Name of Good Practice:

Program BSC, Balanced Score Card for single programs of the regional economic/innovation policy in Lower Austria

Good Practice Provider:

Regional Government of Lower Austria, Department for Economy, Tourism and Technology (WST3)

What is monitored?	Input	**Output/Activities**	**Outcomes/Impact**
What is the level of monitoring?	Project	**Measure/Program**	Strategy of regional innovation policy
When do we monitor?	Ex-ante	**In process/Mid-term**	Ex-Post
Who is the target group/ subject of monitoring?	**Companies**	**(Intermediary) Organisations**	Regional authorities/ policy makers

10.2.1 Who monitors?

The monitoring of the Program BSCs is the joint responsibility of the authorities/intermediaries managing the respective programs and of the Lower Austrian Government's, Department for Economy, Tourism and Technology (WST3), as the responsible regional authority for its intermediary organisations and the innovation services which are provided through these programs.

10.2.2 What is monitored?

The Balanced Scorecard Methodology itself is composed of impact levels 1 and 2 and the input levels 3 and 4. The target map of each single program has a very strong relation to the Overall BSC (for regional economic and innovation strategy) and contributes to it. (The overall NÖ BSC is explained in the Good Practice description Overall BSC)

So far Program BSC Systems are implemented for the "Technopol" Program, Program "Cluster & Networks", "TIP Innovation" Program and the Program "Commercialisation of R&D results and technology oriented start ups".

The defined indicators in each program BSCs – allocated to the main targets for the 4 levels – are output or impact indicators. The indicators of the level 1 (economy) targets are performance impact indicators related e.g.to the competitiveness of the clients. These indicators should be monitored by an online questionnaire every second year, and include information like turnover, jobs, qualification and R&D expenditures. The indicators from level 2 (clients) targets are output indicators as direct results of the provided program services. These output indicators are gathered by the responsible program managers.

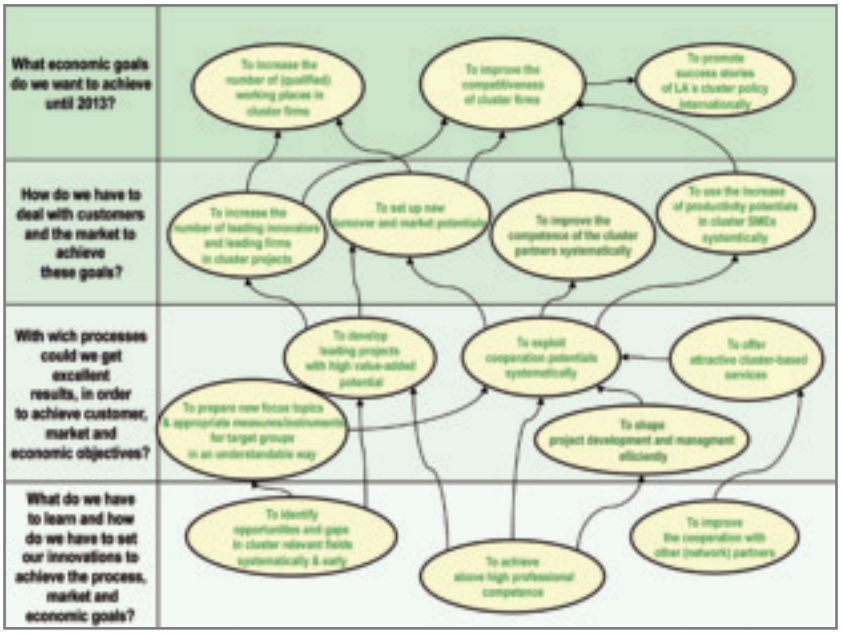
E.g. for Cluster &Networks indicators are considered like active participation in initiatives for increasing competences or for increasing productivity, number of developed system solutions, number of initiated flagship projects and so on.

10.2.3 What is the level of monitoring?

The BSC Balanced Scorecard System in Lower Austria is an important tool to break down the defined objectives of the regional innovation and economic strategy onto the program level with the single services. This approach is also facilitating the monitoring of the objective achievements, this means in the case of program BSC the output and the impact of bundles of provided services in several programs.

The Program BSCs are for the Lower Austrian Government a strategic instrument for steering those intermediaries with the Regional Government as a shareholder.

The Target Map defines the objectives for the 4 levels "economy", "company" (= clients of the provided regional services), "performance (instruments and process)" and "learning" (see following diagram of the example Cluster & Networks).



For every level 3 to 5 objectives are defined. Each objective has usually 1 to 2 indicators with defined target values.

10.2.4 When do we monitor?

It is an in process monitoring and it is done continuously during the respective program period. Twice a year review sessions are organised by the Regional government with every program intermediary responsible with updating the indicators. In these review sessions the current figures are discussed and compared to the interim target figures. If necessary an amendment of the target figures can be done. Thus the Program BSC is very flexible and is taking new insights into consideration, not insisting on outdated target figures agreed on a few years ago. Furthermore challenges and highlights of the program and services results are discussed as well as new potential topics for the program with related services. In the review session at the end of the calendar year the planning for the next year is being discussed and negotiated. There is no discussion about the budget, which is fixed for the whole period.

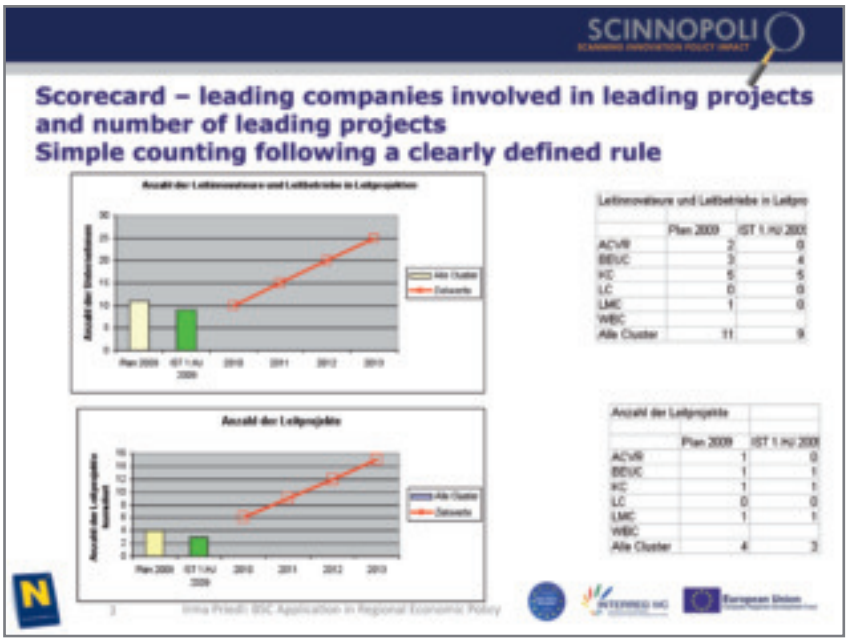
10.2.5 Who is the target group/ subject of monitoring?

The subjects of monitoring are the intermediaries, who manage the programs and provide related program services to implement the economic/innovation strategy in order to optimize the services for the clients, the companies.

10.2.6 How do we monitor?

The defined indicators in each program BSCs -allocated to the main targets for the 4 above mentioned levels- are output or impact indicators. The indicators of the level 1 (economy) targets are performance impact indicators related e.g.to the competitiveness of the clients. These indicators are monitored by an online questionnaire every second year like development of turnover, jobs, qualification and R&D expenditures. This is done by the Regional Government. (Internal data gathering and internal data treatment)

The indicators from level 2 (clients), level 3 (instruments) and 4 (learning) targets are output indicators and are more related to the provided services in each program and are monitored by each program manager following well defined



The graph shows the involvement of leading companies in flagship projects, in total and with figures for each cluster. The other graph shows the number of flagship projects.

monitoring rules as agreed on with the Austrian Regional Government (External data gathering and external data treatment).

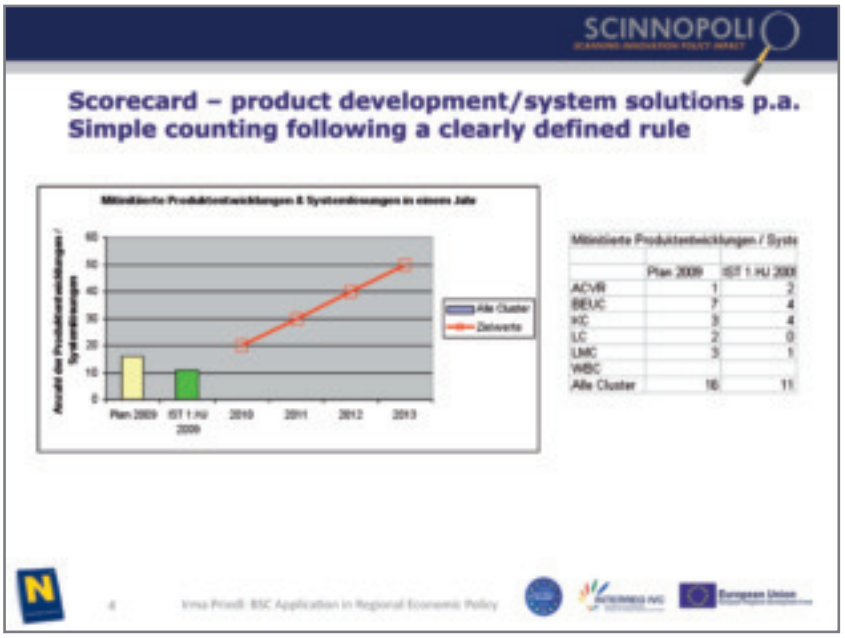
The data are shown in the review sessions as graphs in a timeline.

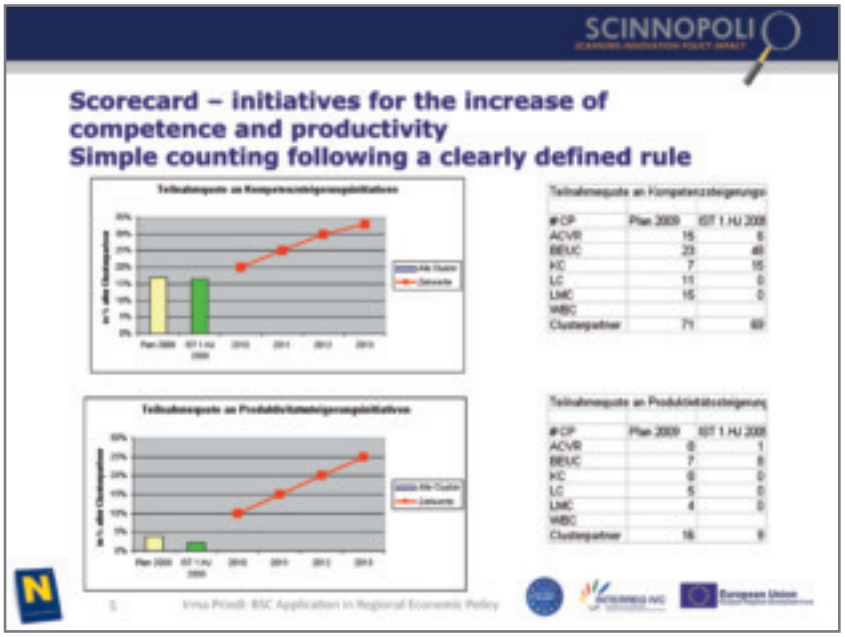
10.2.7 Why do we monitor? What are the results?

The Regional Government of Lower Austria wants to have an indication about the target orientation of the work of the intermediaries, implementing the economic/innovation strategy.

In the following graphs there are examples of the Program "BSC Cluster & Networks".

The next diagram points out the number of new developed products/ system solutions.





The active participation in competence initiatives and productivity courses is shown.

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Name of Good Practice:
Large Scale Questionnaire

Good Practice Provider:
Regional Government of Lower Austria, Department for Economy, Tourism and Technology (WST3)

What is monitored?	Input	Output/Activities	**Outcomes/Impact**
What is the level of monitoring?	Project	**Measure/Program**	**Strategy of regional innovation policy**
When do we monitor?	Ex-ante	In process/Mid-term	**Ex-Post**
Who is the target group/ subject of monitoring?	**Companies**	(Intermediary) Organisations	Regional authorities/ policy makers

10.3.1 Who monitors?

The Regional Government, Department for Economy, Tourism and Technology (WST3), sends out the large scale questionnaire (about 8 pages) every 5 years. Until now they have been in 1998, 2003 and 2008; the next large scale survey is planned for 2013.

We address approximately 5.000 companies and receive response of between 500 to 700 filled out questionnaires. This correlates with a response rate of 10 % to 14 %.

10.3.2 What is monitored?

In general, future perspectives of the companies like strategic key activities and need for innovation support are monitored as well as knowledge,usage and importance of existing (public) offer in terms of services and financial support on a national and regional level. Further issues are the relevance of innovation partners, transparency of offered services and companies' performance in terms of new products, patents, turnover, R&D expenditure, exports and so on.

Due to these performances and further structural company data for the last 3 years in combination with the usage of the provided support services, the Regional Government of Lower Austria can draw conclusions about the impact of regional innovation policy and the importance of service providers.

10.3.3 What is the level of monitoring?

With the large scale questionnaire we monitor our strategy and single programmes. We use the results for identifying gaps and overlaps; we receive information about effectiveness of offered services.

The results of the large scaled questionaire are a very important basis to get knowledge about the needs of the companies in order to optimize our support offer.

10.4.4 When do we monitor?

Every five years we send out the questionnaire; until now it happened in 1998, 2003 and 2008. For 2013 the next is planned.

10.3.5 Who is the target group/ subject of monitoring?

Companies with location/facilities in Lower Austria are monitored; those who are supposed to be innovative companies. These could be companies which already received services or financial support from the public support network as well as those who are not clients.

We try to have a representative sample in terms of size and branches.

10.3.6 How do we monitor?

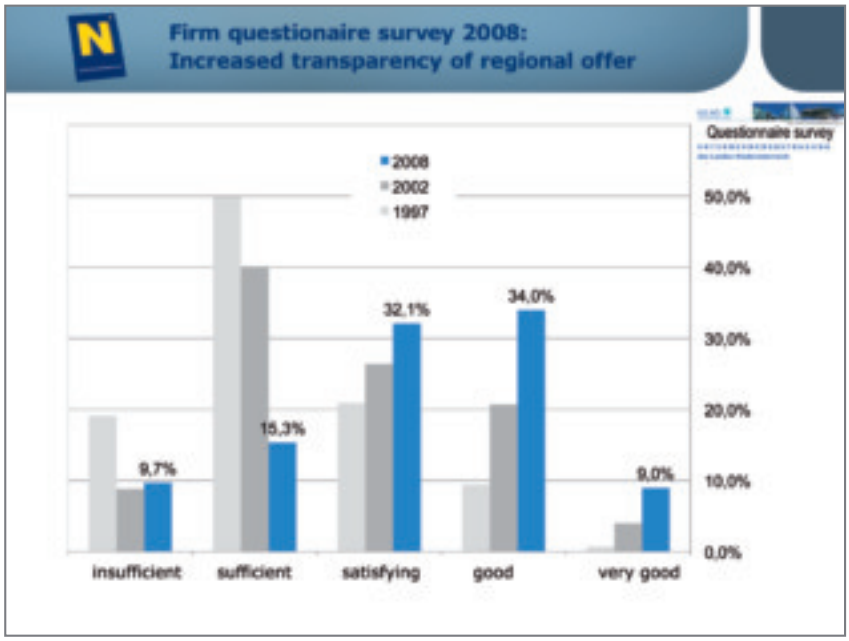
The questionnaire is sent out by the Regional Government with an explanation signed by the regional minister. We set a deadline which is about 3 to 4 weeks. The data are gathered by the Regional Government of Lower Austria, department of Economy, Technology and Tourism, but the filled out questionnaires are forwarded to a process consultant for analyzing the answers (internal data gathering and external data treatment). We publish the results in an anonymous way.

10.3.7 Why do we monitor? What are the results?

The Regional Government of Lower Austria wants to have an indication whether the public innovation offer meets the companies' needs. This large scale questionnaire gives important insight for adapting the overall regional (innovation) strategy as well as single innovation oriented programmes.

The survey is an important tool of the CIP RIS NÖ, the Continuous Improvement Process of the Regional Innovation System of Lower Austria and is putting the needs of the regional companies in the focus of the innovation Policy of Lower Austria. This need orientation is nowadays one main success factor of the all in all very successful innovation policy of Lower Austria.

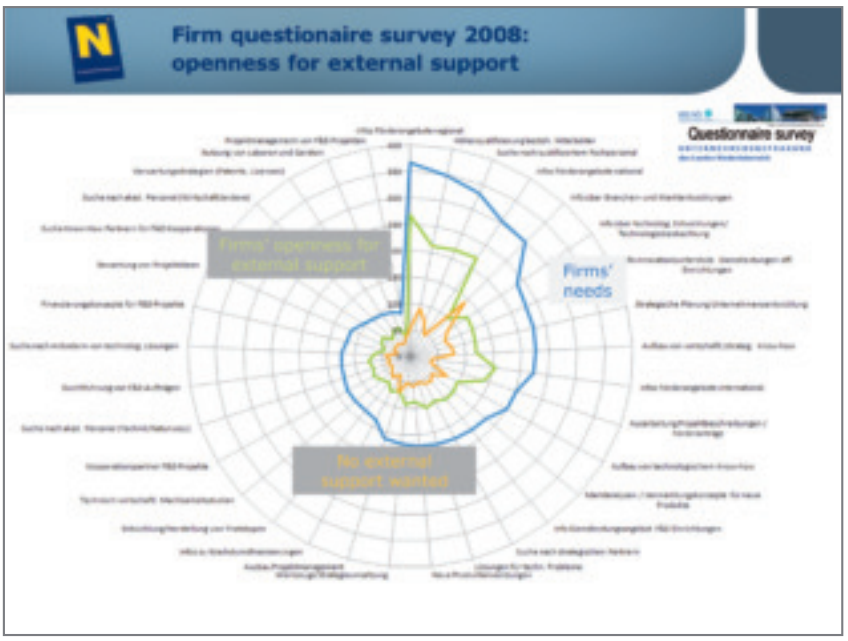
This considerable knowledge about the needs of companies and their future activities allows the Regional Government and single actors to involve related topics into the offered services and general information events.



The following diagrams show some examples of results:

The Large scale surveys document an increasing transparency of the offered public innovation services which ensures a more effective and efficient innovation policy because the individual company in Lower Austria can more easily find the right innovation services according to their own needs.

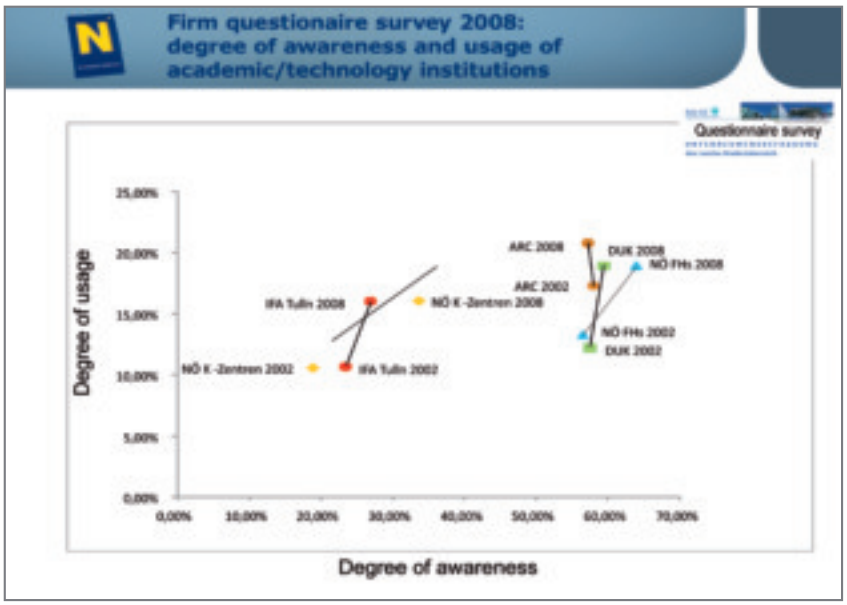
The following diagram depicts the needs in innovation support of Lower Austrian companies in comparison to their openness to involve external services for their innovation activities:



The following diagram gives an overview about the importance of categories of external innovation partners for Lower Austrian companies. The high degree of importance of the Regional Government underpins the success of the regional innovation policy: Lower Austrian companies don't consider their government as a bureaucratic administrational burden, but as an important partner in innovation due to needs oriented innovation programs and strong communication between companies and the government.

Also the importance of the public R&D institutions (RDI) and Higher Education Institutes (HEI) for the Lower Austrian companies have grown tremendously in the last years as the following diagram documents for the time frame 2002 to 2008.

A higher degree of the transparency about the offer of innovation services for companies is an important door opener for the HEI and RDI to come into business with the regional companies. But to become an important partner for the companies, the innovation services have to be tailored according to the companies' needs, which the Lower Austrian innovation policy is improving step by step.



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Name of Good Practice:
External Ex-post Evaluation of the State Aid Scheme "Innovation Assistant"

Good Practice Provider:
Regional Government of Lower Austria, Department for Economy, Tourism and Technology (WST3)

What is monitored?	Input	**Output/Activities**	**Outcomes/Impact**
What is the level of monitoring?	Project	**Measure/Program**	Strategy of regional innovation policy
When do we monitor?	Ex-ante	In process/Mid-term	**Ex-Post**
Who is the target group/ subject of monitoring?	**Companies**	(Intermediary) Organisations	Regional authorities/ policy makers

10.4.1 Who monitors?

The Regional Government, Department for Economy, Tourism and Technology (WST3), monitors the program as the responsible authority for the regional state aid scheme "Innovation Assistant", through external consultants.

10.4.2 What is monitored?

Outputs are monitored in terms of new collaboration partners of the supported companies; outcomes are monitored in terms of new products, new jobs and additional investment volume by the supported companies. Furthermore impact on the innovation culture, strategy and technological position of the supported companies are monitored.

10.4.3 What is the level of monitoring?

The ex post evaluation is evaluating the whole programme "Innovation Assistant" by aggregating the results of the individuals projects, in which an Innovation Assistant is managing a innovation project in the supported company.

10.4.4 When do we monitor?

It is an ex post evaluation, the questionnaires were sent out to the participants of the innovation assistant programme approx. 1 to 1,5 years after completion of the funding project.

The inquiry instrument was developed and accorded with the programme management in 2005 for the first evaluation and remained unchanged during the following evaluation phases. Until now we had three inquiry phases, ex post evaluation surveys, the fourth one is upcoming in autumn 2011.

Due to follow-up activities a response rate of nearly 100 % could be is reached in all evaluation phases so far.

10.4.5 Who is the target group/ subject of monitoring?

Companies are monitored who received money from the regional state aid scheme "Innovation Assistant".

10.4.6 How do we monitor?

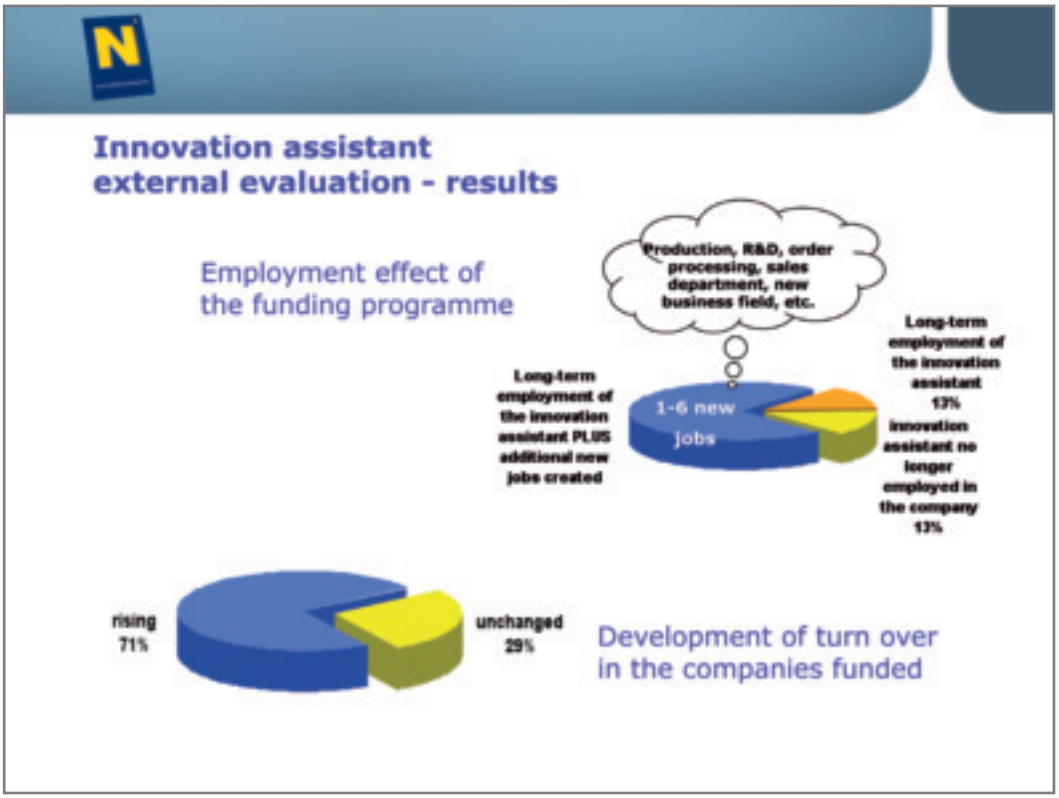
The data are gathered through questionnaires by the Regional Government of Lower Austria, department of Economy, Technology and Tourism, which is at the same time also responsible for the management of this state aid scheme. The processing of the gathered data, the analysis and the evaluation report is done by an external consultant on behalf of the Lower Austrian Government (internal data gathering and external data treatment).

10.4.7 Why do we monitor? What are the results?

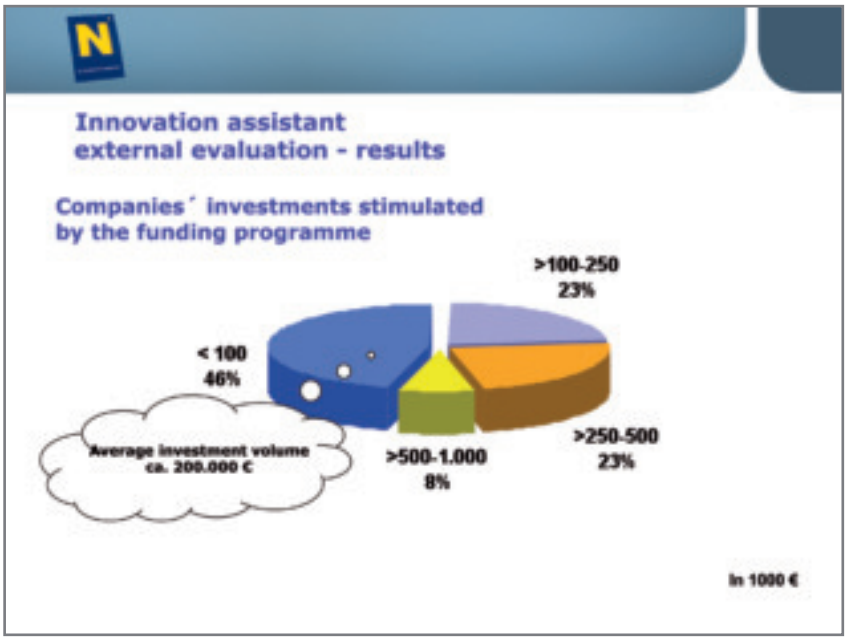
The Regional Government of Lower Austria wants to have an indication, whether the regional state aid scheme fulfils it's targets. Furthermore the insights of the analysis help to identify potentials for further improvement and further need adaptation of the existing scheme.

The following diagrams show some examples of results of the external evaluation:

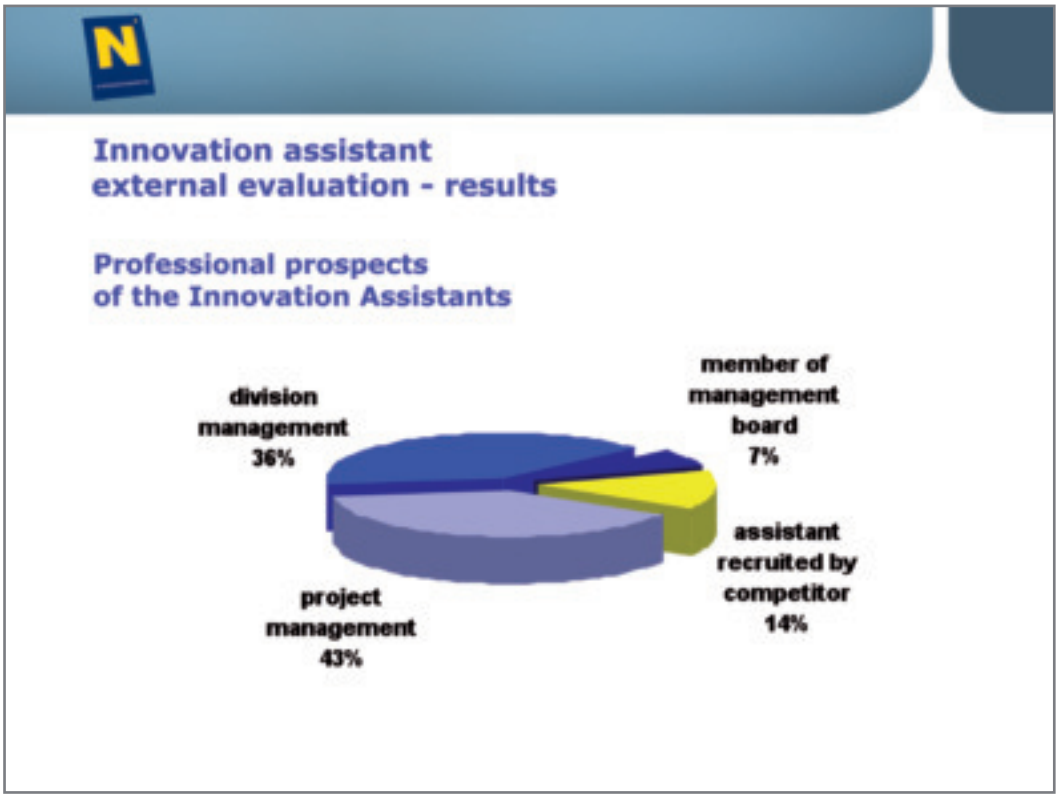
The employment of an Innovation Assistant has usually positive impact on the turnover of the funded company and on sustainable job creation.



The "Innovation Assistant" projects also stimulate the companies' investments in a remarkable way.



That the innovation assistants have also very positive prospects of their professional career opportunities underlines the win-win situation for the supported company and the employed Innovation Assistant.



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Name of Good Practice:
In Process Monitoring of State Aid Schemes

Good Practice Provider:
Regional Government of Lower Austria, Department for Economy, Tourism and Technology (WST3)

What is monitored?	Input	**Output/Activities**	Outcomes/Impact
What is the level of monitoring?	**Project**	Measure/Program	Strategy of regional innovation policy
When do we monitor?	Ex-ante	**In process**/Mid-term	Ex-Post
Who is the target group/ subject of monitoring?	**Companies**	(Intermediary) Organisations	Regional authorities/ policy makers

10.5.1 Who monitors?

The TIP, Technology and Innovation Partner, are a joint initiative of the Regional Government and the Regional Chamber of Commerce established in 1979 in order to help innovative companies and companies with innovation potentials and in a proactive way; the collaboration is based on a contract.

There is a TIP in each of the 4 quarters in Lower Austria, ensuring the close vicinity and thus short travels to the companies. These TIPs are carrying out the in process monitoring.

10.5.2 What is monitored?

When a company receives the approval of a R&D state aid scheme application from the Regional Government as managing authority of these state aid schemes, the TIP are informed at the same time about start date and end date of the approved funded project. Usually such funded R&D projects run for 2 years.

Approximately in the middle of the project run time, the company is contacted by one TIP and is asked about the current status of the project in terms of interim results, time schedule, actual costs in relation to foreseen budget and collaboration activities. Thus the TIP gets a clear picture about the progress as well as about accurancies or delays or other problems.

In case of any occurred or expected obstacles the TIP helps the company in this relative early stage to to solve the problem, if necessary also with additional external expertise.

10.5.3 What is the level of monitoring?

Individual projects, approved within the R&D state aid scheme of Lower Austria, are monitored.

10.5.4 When do we monitor?

As the Good Practice title already points out, it is an in process monitoring approx in the middle of the project duration.

10.5.5 Who is the target group/ subject of monitoring?

The target group are companies who receive an approval for a R&D state aid scheme of the Regional Government of Lower Austria. The contact person in the company is the project leader, who is either the managing director (usually in case of smaller companies) or the head of R&D and innovation.

10.5.6 How do we monitor?

The in process monitoring is systematic and continuous. If the company, carrying out the R&D project, is a "new client" for the TIPs, which means that there was no structured exchange between the TIPs and the company, the in process monitoring is done through an on site visit, which allows the TIP at the same time to get into personal contact with the entrepreneur. If the TIPs have already an in-depth contact with the supported company, the in process monitoring is usually done by telephone call.

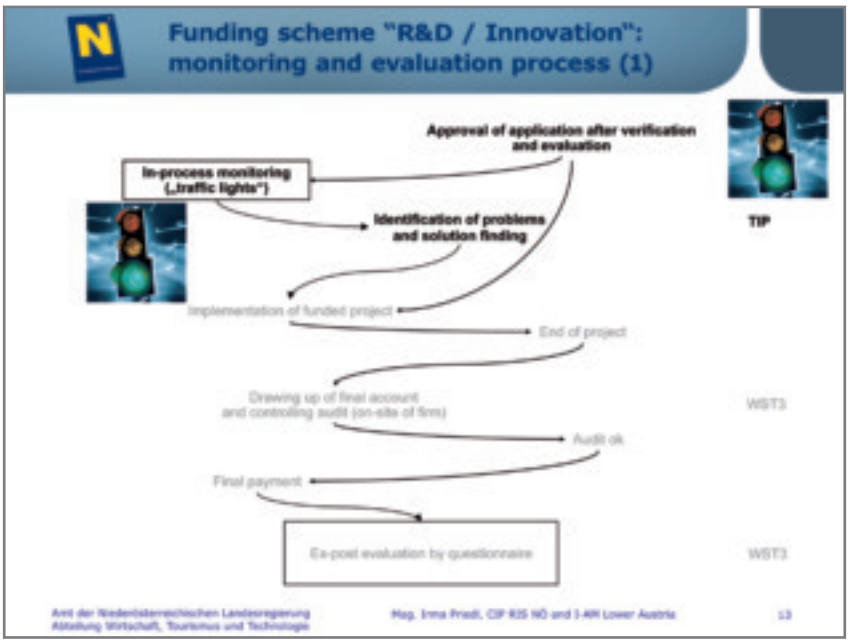
In both cases the TIP is using a standardised interview guide with 6 questions. The TIPs type the gained information into an EXCEL file and forward the results to the Regional Government of Lower Austria; it is external data gathering and external data treatment.

10.5.7 Why do we monitor? What are the results?

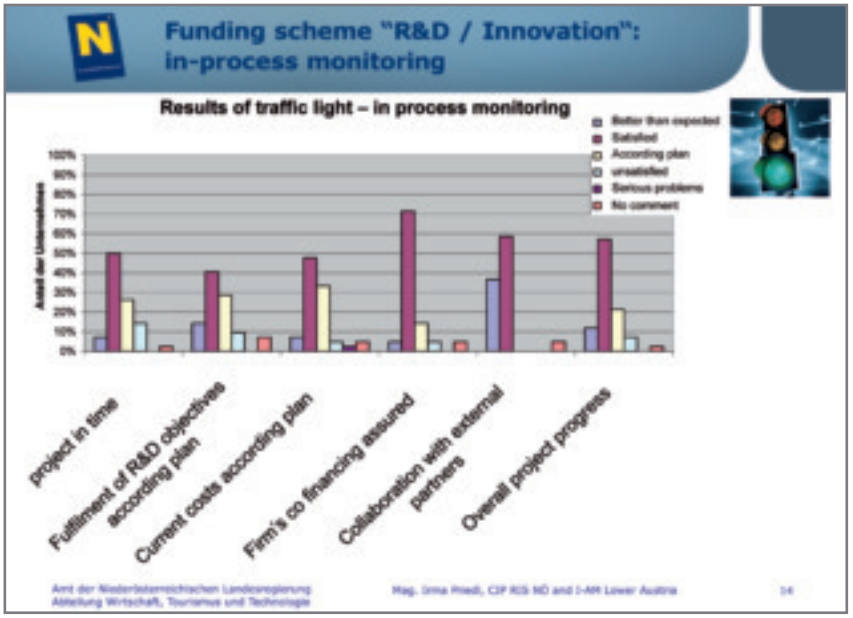
The in process monitoring is done in order to identify difficulties at an early stage and to enable the company with external support to re-align the project if necessary. Thus the in process monitoring is increasing the project success significantly. The earlier occurring problems can be solved the lower the costs for problem solving are. Thus the in process monitoring actually also avoids higher costs at the end of the project avoiding considerable problems.

For the TIPs it is also a good opportunity to get in contact with new clients.

The next diagram shows the procedure and the different roles of the TIP and the regional Government (WST3):



Here are some results of the current status of monitored projects regarding the 6 standardised questions (sample of several hundred R&D projects):



10.5.8 Contact, Further information

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Name of Good Practice:
Ex-Post Evaluation of State Aid Schemes

Good Practice Provider:
Regional Government of Lower Austria, Department for Economy, Tourism and Technology (WST3)

What is monitored?	Input	**Output/Activities**	**Outcomes/Impact**
What is the level of monitoring?	**Project**	Measure/Program	Strategy of regional innovation policy
When do we monitor?	Ex-ante	In process/Mid-term	**Ex-Post**
Who is the target group/ subject of monitoring?	**Companies**	(Intermediary) Organisations	Regional authorities/ policy makers

10.6.1 Who monitors?

The Regional Government, Department for Economy, Tourism and Technology (WST3), monitors as the responsible authority for regional state aid schemes for companies and sends out a 2 pages questionnaire together with the last payment for the respective funded project.

10.6.2 What is monitored?

Outputs are monitored in terms of collaborations, new innovation projects and patents.

Outcomes are monitored in terms of improvement of market position, technological know-how and qualification of the employees as well as impact on turnover and newly created jobs.

We use this ex post evaluation for state aid schemes in the field of R&D, investment and for internationalisation projects.

10.6.3 What is the level of monitoring?

A single project is monitored, which is carried out by a Lower Austrian company and has received a funding within one of the following state aid schemes: R&D, investment in economy, internationalisation.

10.6.4 When do we monitor?

The ex-post monitoring is carried out approx. 3 to 6 months after the project end. Together with the final payment the regional government is sending a two page questionnaire to the beneficiary and asks them to send back the filled in questionaire. The feedback from the beneficiaries is round about 80%, our database consists of several hundred filled out questionnaires.

10.6.5 Who is the target group/ subject of monitoring?

Companies are monitored who received money from a regional state aid scheme in the field of R&D, investment and for internationalization, but there only SMEs.

10.5.6 How do we monitor?

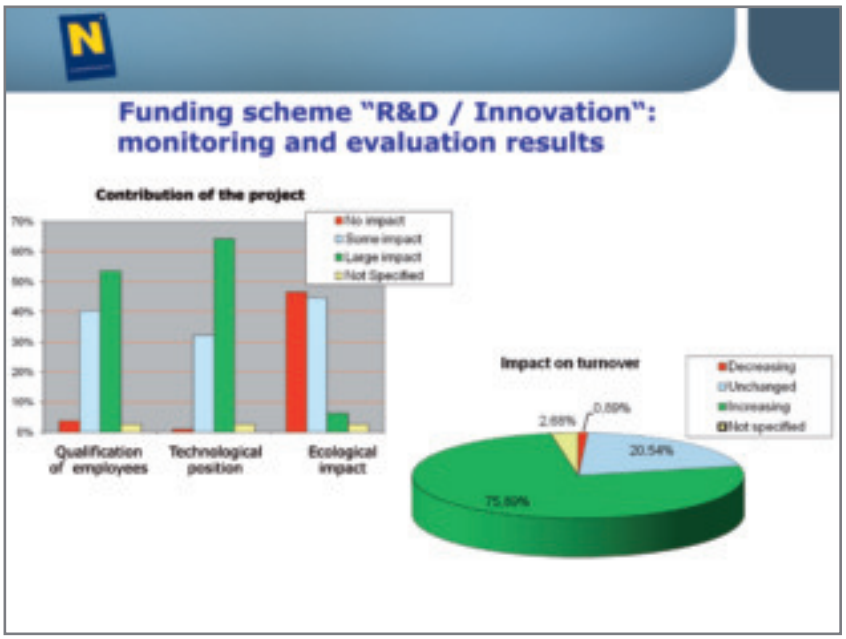
As the monitoring is carried out approx. 3 to 6 months after the end of the respective funded project and funded projects can start at any time (according to open calls) the ex-post monitoring is carried out continuously.

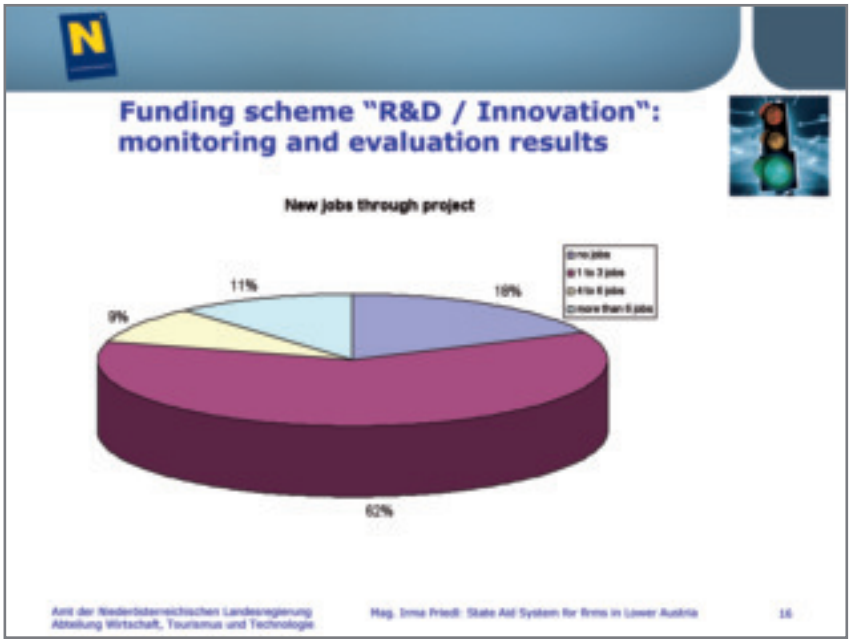
The data are gathered by the Regional Government of Lower Austria, department of Economy, Technology and Tourism, which is at the same time also responsible for the management of these state aid schemes. The answers are inserted into a database and periodically analysed by the regional government itself (internal data gathering and internal data treatment).

10.6.7 Why do we monitor? What are the results?

The Regional Government of Lower Austria wants to have an indication, whether the regional state aid schemes fulfil their targets. Furthermore the insights of the analysis help to identify potentials for further improvement and further need adaptation of the existing state aid schemes.

The following diagrams show some examples of results of the ex-post monitoring like the impact on turnover and contribution of the state aid schemes to qualification/technological position/environment:





The analysed state aid schemes for R&D/Innovation shows high impact e.g. on qualification on employees and the technological position, while the ecological impact is quite low (because this is not an objective of the state aid scheme), Currently it is a topic for the improvement of the R&D/innovation state aid schemes how to consider the ecological impact in a stronger way.

As documented in the diagram the R&D/innovation funding schemes are contributing significantly to the creation of new jobs.

The regional government as managing authority of the state aid scheme is using the analysis results for further improvement of the respective state aid schemes. Analysis results are also used for documentation of the output/impact of state aid schemes on policy level.

10.6.8 Contact, Further information

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Name of Good Practice:
Innovation Audit

Good Practice Provider:
IWT Flanders

What is monitored?	Input	Output/Activities	**Outcomes/Impact**
What is the level of monitoring?	Project	Measure/Program	**Strategy of regional innovation policy**
When do we monitor?	**Ex-ante**	In process/Mid-term	**Ex-Post**
Who is the target group/ subject of monitoring?	Companies	(Intermediary) Organisations	**Regional authorities/ policy makers**

10.7.1 Who monitors?

The intermediaries (a selected group i.e. the regional innovation centres) perform the innovation audit. They register the results in a database and make the audit report.

10.7.2 What is monitored?

The audit compares the current innovation practices in the audited company with 49 best practices in 8 domains. The main and direct result of the audit is an innovation action plan for the company.

The innovation audit makes a snapshot of the current innovation status of the audited company.

In order to *use the tool as monitoring tools*, the audit has to be repeated X-years after the first audit to see if in the meantime the innovation status of the company has changed (due to innovation support).

10.7.3 What is the level of monitoring?

The monitoring collects data of the impact, all innovation support the company received (innovation support services, funding, ...). In fact it assesses the impact of the policy mix as it tries to capture the evolution of the innovation status over time.

10.7.4 When do we monitor?

In order to use this tool as a monitoring tool, the tool has to be used at least at 2 moments in time, at time 0 (to get the current status) and x-years later (to see the progress of the innovation status)

10.7.5 Who is the target group/ subject of monitoring?

In case of monitoring: The regional authorities are the subject of monitoring as this tools helps to analyse the impact of the policy mix.

But the main use of the tool is for the company being audited. As a result of the innovation audit an innovation plan is developed. The impact of this innovation plan can then be assessed by a repeated audit some time later.

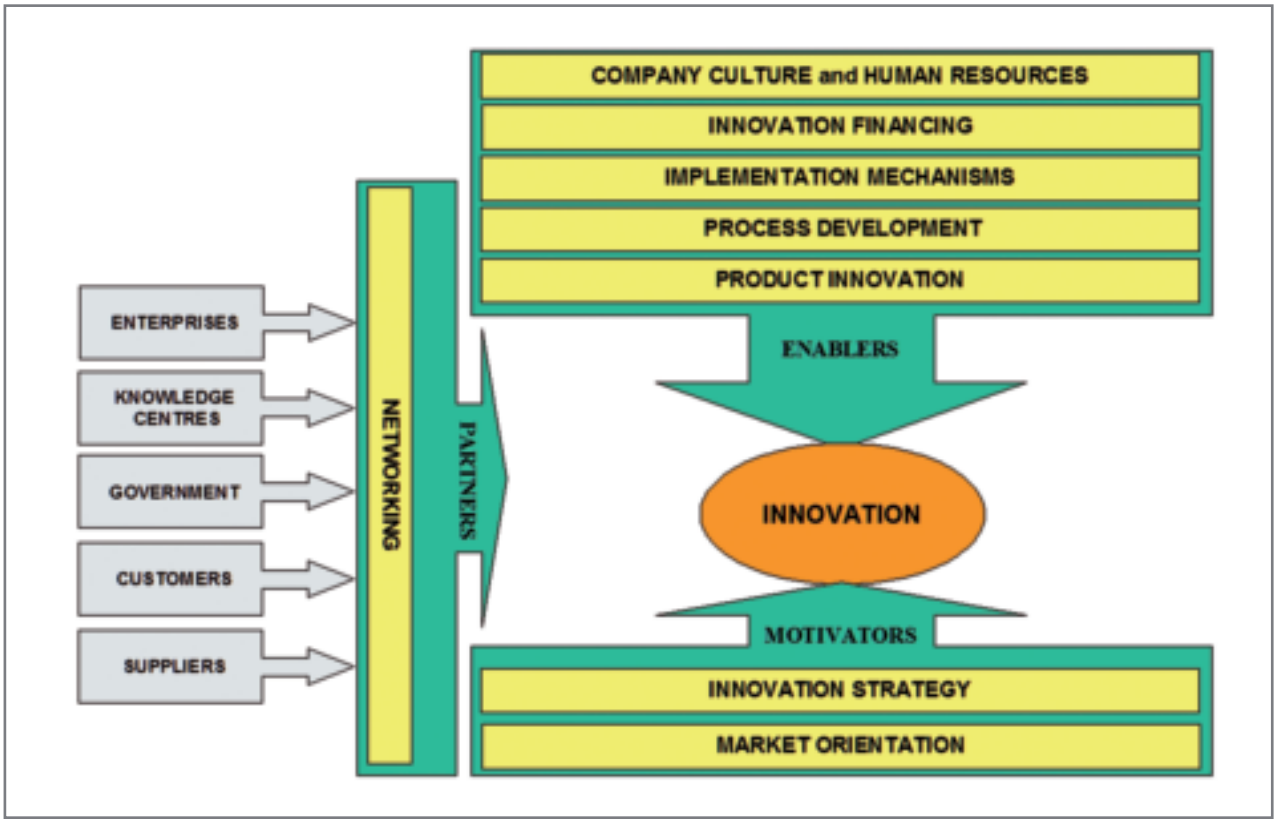
10.7.6 How do we monitor?

Declarative, the intermediary executing the audit is responsible for registration of the results.

The innovation status of the company is compared with the state of the art innovation practices.

10.7.7 Why do we monitor? What are the results?

To evaluate the impact of a policy mix on the innovation status of a company.



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Name of Good Practice:
Web based activity reporting of Innovation Support Services (by Cooperative Innovation Networks)

Good Practice Provider:
IWT Flanders

What is monitored?	Input	Output/Activities	**Outcomes/Impact**
What is the level of monitoring?	**Project**	Measure/Program	**Strategy of regional innovation policy**
When do we monitor?	Ex-ante	In process/Mid-term	**Ex-Post**
Who is the target group/ subject of monitoring?	Companies	(Intermediary) Organisations	**Regional authorities/ policy makers**

10.8.1 Who monitors?

The data collection and reporting is done by the intermediary who provides the innovation support service (activity).

10.8.2 What is monitored?

Standardized activities are monitored (eg. Seminars organized, publications, company visits, technological advice, aid provided to companies to apply for innovation funding, networking activities, ...). The intermediary records all its services delivered (he counts the number of services delivered to companies).

During the application phase target values are put forward (based on a logical framework analysis) and during the contract negotiations target values are fixed for the numbers of each of the standard activities.

The standard activities to be monitored are: Information actions, Publications, Seminars, Company visits, Ad hoc services (eg. By phone), Technology transfer, Partner Matching, Advice, Audits, Innovation plans, Feasibility studies, Innovation projects, Innovation coaching, Networking activities for companies, Networking activities with other intermediaries (to strengthen the network of service providers).

For activities of some importance (taking more than a day eg) also additional data is reported eg. The name and VAT no of the company.

10.8.3 What is the level of monitoring?

Single project level, but as data are standardized and can be aggregated on program level.

10.8.4 When do we monitor?

Online monitoring via web tools. Reporting has to be finalized every 4 months.

10.8.5 Who is the target group/ subject of monitoring?

The first target group is the management of the innovation service providing organization. This monitoring helps them to verify if the project is still on track.
Also the Agency providing financial support to the innovation service, providing the intermediary is a target group as it can use the data to easily identify projects loosing track.

10.8.6 How do we monitor?

Declarative, the intermediary delivering the services is responsible registration of the activities in the online tool.

10.8.7 Why do we monitor? What are the results?

To ease the follow-up of the projects by the board and the agency. It is an easy system for follow-up and collection of additional date useful for further analysis. Eg. the system will allow to see if all target groups are served equally.

The aggregated data allow the agency to justify the spending on this program.

As not only activities are reported but also (for some types of activities) the receiving company is identified, this allows further analysis (eg. Additionalilty of the innovation support services).

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Name of Good Practice:
Effect Measurement of Innovation Support Services (by Cooperative Innovation Networks)

Good Practice Provider:
IWT Flanders

What is monitored?	Input	Output/Activities	**Outcomes/Impact**
What is the level of monitoring?	**Project**	Measure/Program	**Strategy of regional innovation policy**
When do we monitor?	Ex-ante	In process/Mid-term	**Ex-Post**
Who is the target group/ subject of monitoring?	Companies	(Intermediary) Organisations	**Regional authorities/ policy makers**

10.9.1 Who monitors?

The data collection and reporting is done by the intermediary who provides the innovation support service (activity).

10.9.2 What is monitored?

A standard of activities are monitored (eg. Seminars organized, publications, company visits, technological advice, aid provided to companies to apply for innovation funding, networking activities, ...). The intermediary records all its services delivered (number of services delivered to companies) (see furtherGood Practice web based activity reporting)

The intermediary also has to do a follow-up of the services delivered in order to see the use of them (direct effects of the service). Eg. When technological advice is delivered to a company, the intermediary has to check whether this advice is finally used by the company (or ignored by the company). The intermediary records all the services that had their results used (number of activities that were use by the companies that received the service). The direct effects are standardized and related to the innovation support services.

Also indirect effects (longer term) are monitored (eg. Has the use of a technological advice finally led to an increase of turnover for the company?). The indirect effects are standardized and related to the direct effects and innovation support services.

10.9.3 What is the level of monitoring?

Monitoring is on single project level.

10.9.4 When do we monitor?

For the direct effect ,in process, results are presented at regular board meetings of the project steering committee.

The indirect effect are measured on an bi-annual basis in most cases by doing a survey at month 18 and 48 of the project duration. Overall reports are send to the agency every 2 years (mid term and final evaluation of the project).

10.9.5 Who is the target group/ subject of monitoring?

The first target group is the management of the innovation service providing organization. This monitoring helps them to verify if services correspond to real needs of their member companies and in some cases lead to positive results in these companies.

Also the Agency providing financial support to the innovation service providing the intermediary is a target group as it can use the data to justify the money spent to support the intermediaries in providing these services.

10.9.6 How do we monitor?

Declarative, the intermediary delivering the services is responsible for measuring the direct and indirect effects.

10.9.7 Why do we monitor? What are the results?

To improve the innovation support services.

Results are: a clear insight in what innovation support services correspond to real needs and lead to (economical) results at the companies receiving the service.

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Name of Good Practice:
Additionality studies
(input, output and behavioral additionality measurements)

Good Practice Provider:
IWT Flanders

What is monitored?	Input	Output/Activities	**Outcomes/Impact**
What is the level of monitoring?	Project	**Measure/Program**	Strategy of regional innovation policy
When do we monitor?	Ex-ante	In process/Mid-term	**Ex-Post**
Who is the target group/ subject of monitoring?	Companies	(Intermediary) Organisations	**Regional authorities/ policy makers**

10.10.1 Who monitors?

An external consultant is contracted to do the data-collection and the analysis in order to guarantee an objective analysis and to avoid bias in data collection and interviews.

10.10.2 What is monitored?

Input additionality: do the project subsidies lead to more R&D spending in the treated group in comparison with similar companies that did not receive subsidies. The analysis is done on group level (not on individual project basis).
Output additionality: are more results produced by funded research than by non funded research. Analysis again on group level.

Behaviour additionality: do subsidies lead to bigger, faster, more networked, riskier, ... projects. Or in other words do the subsidies have an impact on the innovation behaviour of the companies receiving the subsidies.

10.10.3 What is the level of monitoring?

The monitoring is on program level where treated and non-treated groups of companies are compared.

10.10.4 When do we monitor?

Ex-post, in general, projects that have ended, are taken into account (due to the time lag of innovation results becoming visible only a few years after the project end)

10.10.5 Who is the target group/ subject of monitoring?

The agency and policy makers. The agency can adjust some modalities to improve the additionality of its funding products. The policy makers can identify new target groups or design new funding instruments.

10.10.6 How do we monitor?

The monitoring uses statistical methods and also uses information about the funding, economical data from accounts and balance sheets from companies to perform econometrical analysis.

10.10.7 Why do we monitor? What are the results?

To assess whether the funding measure reaches its goals.

10.10.8 Contact, Further information

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Name of Good Practice:
Impact Scan

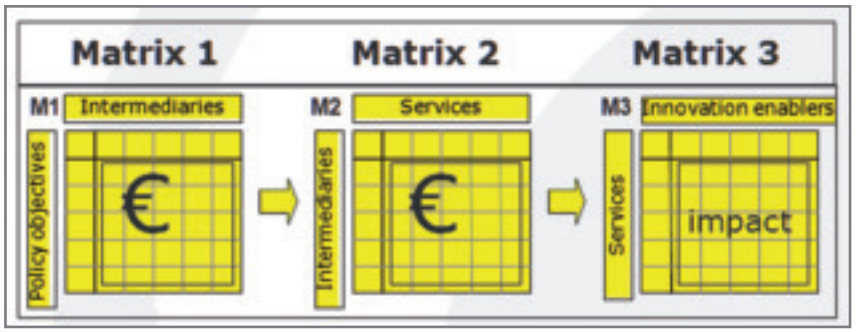
Good Practice Provider:
IWT Flanders, NOE Lower Austria and BDI Bretagne

What is monitored?	**Input**	**Output/Activities**	**Outcomes/Impact**
What is the level of monitoring?	Project	Measure/Program	**Strategy of regional innovation policy**
When do we monitor?	Ex-ante	**In process**/Mid-term	**Ex-Post**
Who is the target group/ subject of monitoring?	**Companies**	**(Intermediary) Organisations**	Regional authorities/ policy makers

A detailed description including manual and tool is available on www.impactscan.net

10.11.1 Who monitors?

The monitoring and data collection is coordinated by the innovation agency supporting intermediaries to provide innovation services of all kind to companies.



10.11.2 What is monitored?

Regional innovation budget: The total amount of money spent on regional innovation is needed as well as a thorough knowledge of the distribution of this money over the policy objectives, inter-mediaries and services are required (M1, M2). It is therefore necessary to have an insight in the regional roll-out of policy objectives towards direct and indirect innovation support measures.

Impact measurements: To measure the impact of services over innovation enablers (M3), surveys of companies are needed (face to face interviews complemented with written inquiries show to be most efficient). It is important to have also a good view on the demand side, the need of companies in terms of improvement of innovation enablers translated into need for services.

Indicators: To describe the innovation context, 31 indicators are used (in 5 sets: Size and density, policy context , regional innovation policy governance, Innovation support supply side, demand side): 17 indicators are available form EUROSTAT, CIS, EU Regional Innovation.

Scoreboard, Global Entrepreneurship Monitor. 4 indicators are related to the regional innovation budget.

The remaining 10 indicators are qualitative indicators to describe the region.

10.11.3 What is the level of monitoring?

The monitoring starts at regional innovation policy level by monitoring the expenditures on the different policy objectives and the distribution of funds to intermediaries. Next the innovation support activities (services) of intermediaries using these funds are monitored. Finally the impact of these services on the innovation enablers of the treated companies is assessed.

For the context, data at regional level are collected.

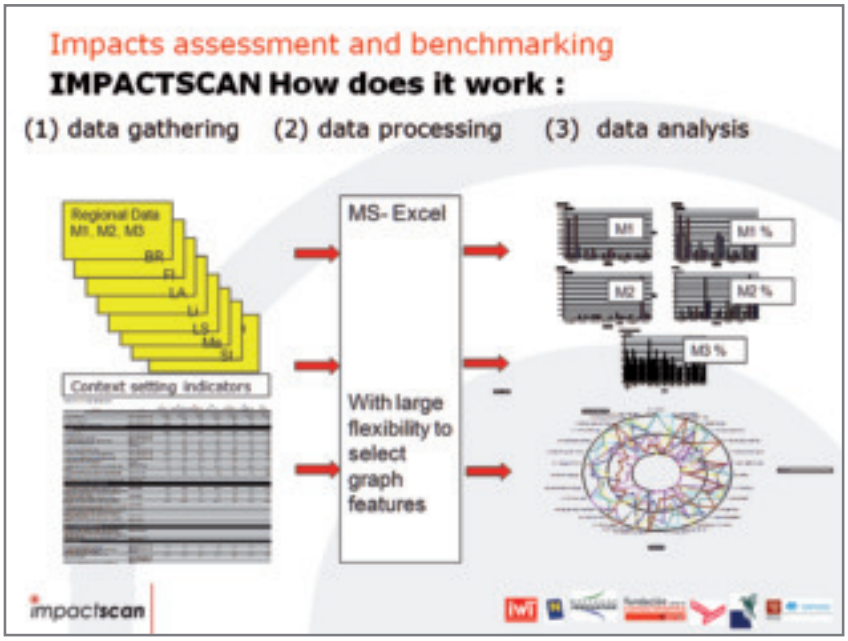
10.11.4 When do we monitor?

Due to time lags we monitor de facto ex-post, but in process monitoring tools are used to collect eg. Data about the services delivered by intermediaries.

10.11.5 Who is the target group/ subject of monitoring?

Companies (impact of services), intermediaries (services and budgets) and policy itself (budgets assigned to policy objectives).

10.11.6 How do we monitor?



For the *IMPACTSCAN-tool* the data of three matrices (M1, M2, M3) is encoded in a standard Microsoft Excel application to generate visual presentations. Graphical presentations of M1, M2 and M3 in absolute numbers (€) as well as % of regional innovation budget are included in the standard IMPACTSCAN tool. As the application is standard MS-Excel, the user of the IMPACTSCAN tool can easily modify the features of graphs (axis, regions to visualize, variables to visualize).

Context setting: The 30 indicators used to describe the regional context inspired by the EUproject "STRINNOP" and are processed according the STRINNOP project are shown as a spider diagram. The regional spider diagram indicates very quickly the strengths and weaknesses of your region compared to a mean value. The multi-regional spider diagram show similarities and differences between regions at a glance.

10.11.7 Why do we monitor? What are the results?

IMPACTSCAN provides a monitoring and impact assessment system, allowing regional authorities to get a clearer picture of public support to innovation in their region, and to take decisions to improve the effectiveness of this support system. IMPACTSCAN focuses on the role of intermediaries in charge of innovation support.

The tool is also suited to benchmark regional innovation policies. Results for regional use :

- Structured/simplified view on the regional innovation support system and the allocation of budget, the major components of it and its strengths and weaknesses
- Information on impact of innovation services
- Qualitative information on match between supply and demand of innovation support measures towards companies.

This can all be used to optimize regional innovation support system and elaborate a regional recommendation plan for policy makers. Results of inter-regional comparison:

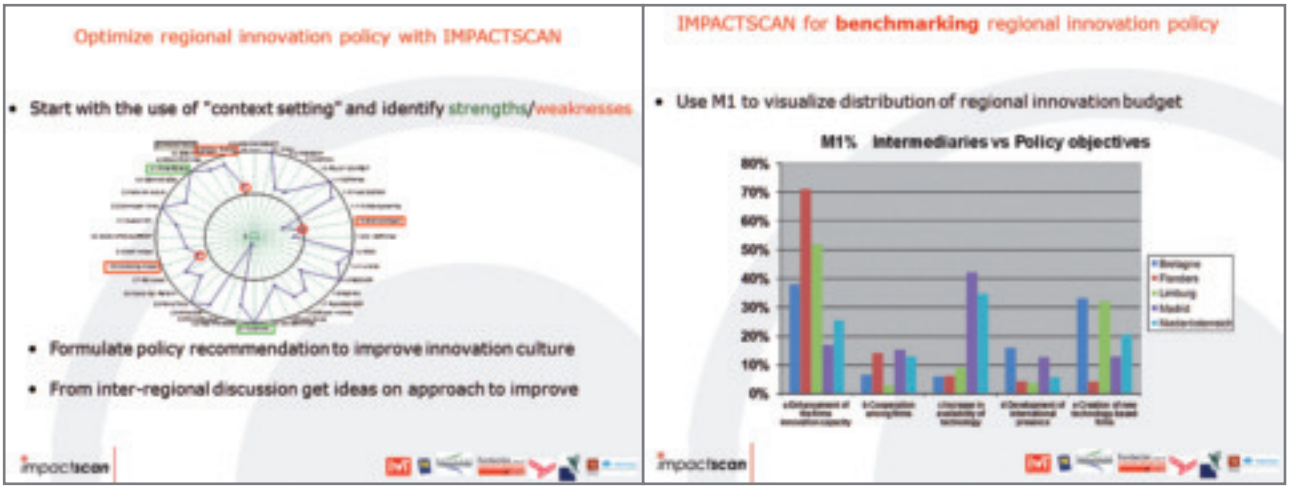
Identify regions with similar or different innovation support system to open discussion and analyze in depth advantages and disadvantages of different innovation support systems.

For regions with limited experience in innovation support, elements from IMPACTSCAN can be used to help the design of a regional innovation support system.

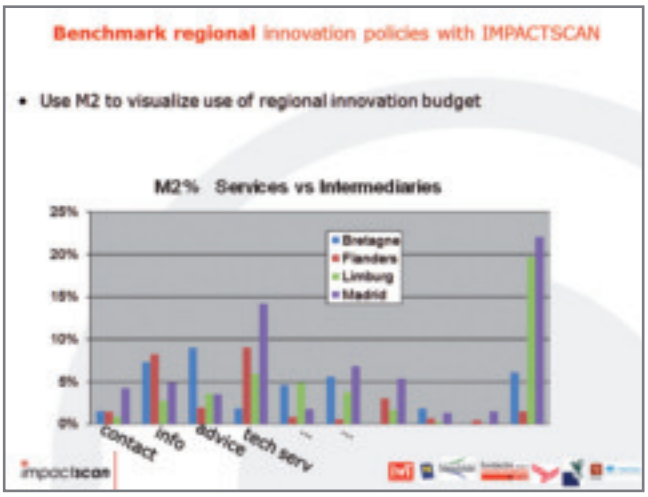
Based on results of IMPACTSCAN partners have:

- Improved the evaluation of Regional Innovation Support System.
- Gathered elements for design of regional consulting and monitoring tool for intermediaries.

Some results for regional analysis:



Some results for inter-regional benchmarking:



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Name of Good Practice:
CRM-System

Good Practice Provider:
WTSH GmbH, Schleswig-Holstein

What is monitored?	Input	**Output/Activities**	Outcomes/Impact
What is the level of monitoring?	**Project**	**Measure/Program**	**Strategy of regional innovation policy**
When do we monitor?	Ex-ante	**In process/Mid-term**	Ex-Post
Who is the target group/ subject of monitoring?	Companies	**(Intermediary) Organisations**	Regional authorities/ policy makers

10.12.1 Who monitors?

The Business Development and Technology Transfer Corporation of Schleswig-Holstein (WTSH) manage parts of the Schleswig-Holstein public innovation support system on behalf of the Ministry of Science, Economic Affairs and Transport of Schleswig-Holstein. The WTSH documents all of the activities with their costumers in a central Customer-Relationship-Management (CRM) database.

10.12.2 What is monitored?

The CRM System of WTSH monitors the provided innovation services (output activities) by the intermediaries (e.g. clustermangements, innovation-consultants, service-center property-rights…) of the WTSH. The CRM system delivers information as e.g. number of consultations, number of organized events and the number of arranged R&D cooperation. Besides the monitoring of the activities, the CRM system is the central address-management database, a document-management system, project-management system of the WTSH and it is a tool for efficiency for marketing activities.

10.12.3 What is the level of monitoring?

The CRM system monitors activities of the intermediaries and it is not specialized on the project, program or strategy level.

10.12.4 When do we monitor?

The CRM system monitors continuously as an in process-monitoring of the activities.

10.12.5 Who is the target group/ subject of monitoring?

The subject of monitoring of the CRM Tool is the WTSH itself.

10.12.6 How do we monitor?

The CRM system monitors the activities continuously in a database.

10.12.7 Why do we monitor? What are the results?

The CRM system monitors the activities for the project management of the intermediaries, for an activity reporting to the board of WTSH and the Ministry of Science, Economic Affairs and Transport of Schleswig-Holstein. Besides the monitoring of the activities it helps the intermediaries to support the companies in an efficient way.

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Name of Good Practice:
Strategic Controlling

Good Practice Provider:
WTSH GmbH, Schleswig-Holstein

What is monitored?	Input	Output/Activities	**Outcomes/Impact**
What is the level of monitoring?	**Project**	**Measure/Program**	Strategy of regional innovation policy
When do we monitor?	Ex-ante	In process/Mid-term	**Ex-Post**
Who is the target group/ subject of monitoring?	Companies	**(Intermediary) Organisations**	Regional authorities/ policy makers

10.13.1 Who monitors?

The Business Development and Technology Transfer Corporation of Schleswig-Holstein (WTSH) manage parts of the Schleswig-Holstein public innovation support system on behalf of the Ministry of Science, Economic Affairs and Transport of Schleswig-Holstein. WTSH measured in 2009 the direct economic influence of their services by complex statistical methods.

10.13.2 What is monitored?

The Strategic Controlling of WTSH measured services/support activities of the WTSH like the impact of innovation-consultancy, property-rights-consultancy, R&D subsidies, innovation-audit, foreign trade consultancy, trade fair support, the promotion of foreign trade and the support for the companies in the Schleswig-Holstein Business Centers.

10.13.3 What is the level of monitoring?

The Strategic Controlling measures the impact of the intermediaries and programs. It is not specialized on the project, program or strategy level.

10.13.4 When do we monitor?

The Strategic Controlling tool is an ex-post statistical data analysis from 2009, which analysed the support activity panel-data from 2000 to 2008.

10.13.5 Who is the target group/ subject of monitoring?

The subject of monitoring of the Strategic Controlling tool is the WTSH itself, for the improvement of their services.

10.13.6 How do we monitor?

The Strategic Controlling Tool was a one shot pilot action.

10.13.7 Why do we monitor? What are the results?

The Strategic Controlling, measured the direct economic impact of public business development activities and subsidies at the supported firms with complex statistical methods. It answered the following questions:

- How is the economic development of WTSH-supervised companies compared to the overall economic development? Do the companies supervised by WTSH perform better?
- How is the development of WTSH-supervised companies in specific industry compared to the development of the rest of this industry?
- How is the economic development of companies which received specific services eg. innovation-consultancy, R&D promotion or foreign-trade-consultancy?
- Finally the magnitude of influence of the WTSH services can be measured in created jobs and the sales by using statistical methods.

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Name of Good Practice:
SIS Shared Indicator Set

Good Practice Provider:
Bretagne Development Innovation

What is monitored?	Input	**Output/Activities**	Outcomes/Impact
What is the level of monitoring?	Project	**Measure/Program**	Strategy of regional innovation policy
When do we monitor?	Ex-ante	In process/Mid-term	**Ex-Post**
Who is the target group/ subject of monitoring?	Companies	**(Intermediary) Organisations**	Regional authorities/ policy makers

10.14.1 Who monitors?

The Innovation and Technology Transfer Service (ITTS) of the Bretagne Regional Government (BRG) monitors the activities of the Innovation and Technology Centers (ITC). The ITTS is one of the main public financers of the 13 ITC who are specialized in diverse technological sectors (Information technologies, electronics, health, food industry …)

10.14.2 What is monitored?

The Shared Indicator Set monitors the activities undertaken by the ITC, on a yearly basis. It is important to note that all the ICT share a common "General interest mission". Previously, each ICT had its specific manner in making its activity reports. The only common thing among all of these activity reports were their extensive size. (up to 90 pages) This made overall activity monitoring difficult, due to the important amount of information.
The Shared Indicator Set was an opportunity to simplify the reporting by creating a shared indicator set for the activity reporting of all the ICT, which was agregable at a regional level.

The activities and indicators monitored, are dependent of the general mission of the Innovation and Technology Centers. Their mission can be briefly described, they have two main roles: assisting companies of their relevant industry in the development of technology based innovation projects, and coordinating business networks and relations between industries and research. Thus we have indicators such as:

- number of innovation projects assisted
- number of companies visited
- number of network coordination events organized
- number of network coordination events in which the ICT has participated

10.14.3 What is the level of monitoring?

The Shared Indicator Set monitors primarily a program (even though the exact term that is used in Bretagne is the "General Interest Mission": [fr] action de sensibilisation et d'appui technique aux entreprises") that is performed by 14 ITC, all over Bretagne.

10.15.4 When do we monitor?

The SIS is filled in by all 14 ITC annually and added to their annual activity report. This Activity report is sent in March of each year to the Bretagne Regional Government, so the analysis of the SIS could be done every year.
For the moment, the outcomes of the indicator Set was only processed by BDI in 2007, 2009 & 2010.
We can say that it is an Ex-Post monitoring because the ITC update their Indicator Set at the end of each year, after the work is done.

10.14.5 Who is the target group/ subject of monitoring?

The target group is the 14 Innovation and Technology Centers who are responsible for the advice of technology based innovation development. There are no outcomes/ impact indicators in the SIS, so practically the beneficiaries of the ITCs are not considered by the SIS.

10.14.6 How do we monitor?

The basic tool that is used is the Indicator Set template and the user's guide that have been conceived by the 14 ITCs.

The Indicator Set template is the list of common indicators that have been selected to be part of the SIS. It can be easily copy/pasted. The user's guide recalls the exact definition of all the indicators: even if there is a common name for each, it is safer to recall precisely what an indicator means and what kind of actions can be put under each indicator. It may appear clear at the moment of the conception, but with time passing the exact definition of the indicators become vague for the ITC reporters: the SIS takes them away from their daily routine.

No specific software is used for the reporting: only basic MS word, Excel and PowerPoint are necessary.
Organization: the monitoring labour can be basically divided in three tasks.
Firstly, every year, each ITC reporter includes the Indicator set into his annual activity report, fills it using the user's manual and sends it to the Bretagne Regional Government.
Secondly, the BRC exploits the data. The ITCs use the SIS in order to make their yearly presentation.
Thirdly, BRC and ITC use the exploited data and presentation of the SIS in order to conceive their next yearly contract.

NB: really, Bretagne Development Innovation has been exploiting activity reports and aggregating the SIS. In 2007, 2009 and 2010, Bretagne Development Innovation collected the electronic versions of the activity reports from the ITC and aggregated the figures from the indicators sets – using Excel. BDI used that opportunity to check whether the SIS was correctly used by the ITC, by comparing the figures of the Indicators Set and the qualitative information in the activity reports – using Word.

The data were aggregated – in a PowerPoint presentation – that used the Regional Innovation Scheme 12 Axis structure. Bretagne Development Innovation presented the final PowerPoint to the meeting of the directors of ICTs that validated it. And then, BDI organised a meeting with the ITTS to present the PowerPoint, which is the entity that, in the end, actually monitors the activities of the ICTs.
NB. While this task was time consuming, it allowed BDI to make indicators propositions, such as result/impact indicators.

10.14.7 Why do we monitor? What are the results?

We monitor in order to have a global view of the activities of the 14 ITCs and better value the action and what the public money has financed every year. For the BRC it was a way to structure the information, and for the ITCs it was their way to value their action as part of a group of organizations sharing the same General Interest Mission.
The result of the SIS is a synthesis in one PowerPoint, of 14 activity reports and the possibility to realize an activity scoreboard and to follow-up key indicators over several years. Another result is the production of a common document on which ITC managers can have exchanges.

BRETAGNE DÉVELOPPEMENT INNOVATION

Indicateurs agrégés

Indicateur (pour nombre de structures)	2007	2009	2010
Entreprises régionales visitées	770 (16)	728 (11)	795 (11)
... dans le 35	..	220	247
... dans le 56	..	114	105
... dans le 29	..	130	178
... dans le 22	..	138	157
Laboratoires visités	208 (13)	179 (10)	171 (10)
... dans le 35	..	68	55
... dans le 56	..	12	46
... dans le 29	..	70	16
... dans le 22	..	38	22
Animations de réseau : organisation	75 (15)	139 (11)	167 (11)
Animations de réseau : participation	..	288 (10)	299 (10)
Actions de veille organisées	..	48 (11)	70 (11)
Services aux entreprises régionales	1650 (16)	992 (11)	1206 (11)
Accompagnement de projets	240 (10)	242 (10)	293 (10)
Dossiers de financement pour entreprises ou laboratoires	149 entr. (8) 38 labo. (6)	225 (11)	182 (11)
Contrats payants	..	668 (8)	780 (8)
Programmes de recherche	85 (12)	53 (8)	57 (8)
Interventions dans la formation initiale	..	29 (10)	30 (10)

Graph. : Shared Indicator Set with values in 2007, 2009 and 2010

10.14.8 Contact, Further information

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Name of Good Practice:
Face to face interviews

Good Practice Provider:
Bretagne Development Innovation

What is monitored?	Input	Output/Activities	**Outcomes/Impact**
What is the level of monitoring?	Project	**Measure/Program**	Strategy of regional innovation policy
When do we monitor?	Ex-ante	In process/Mid-term	**Ex-Post**
Who is the target group/ subject of monitoring?	**Companies**	(Intermediary) Organisations	Regional authorities/ policy makers

10.15.1 Who monitors?

The monitoring work was performed by Bretagne Development Innovation. Both intermediaries and the regional authority were involved in the work. Bretagne Development Innovation performed the conception of the interview, interviews of the businesses, data aggregation, analysis and presentation to the intermediaries and to the regional authorities.

10.15.2 What is monitored?

The face to face interviews were designed to monitor the impact of the services provided by the intermediaries on the beneficiary businesses. More precisely, the monitoring was focused on the impact of the services provided on innovation capacity of the businesses. This was done by the means on the impact analysis of 12 "Innovation enablers". Innovation enablers can be described as determinant organizational skills that make a business innovation savvy:

1. Strategy
2. Structure and organization
3. Innovation culture
4. Financial resources
5. Human resources and skills
6. Access to information
7. Network reinforcement and co-operation culture
8. Access to and acquisition of knowledge and technologies
9. Creativity process
10. Innovation implementation
11. Marketing orientation
12. Exploitation of innovation

10.15.3 What is the level of monitoring?

The monitoring was situated at the program level: the sample was composed of businesses beneficiary of the services of 25 intermediaries, 90 % of them financed by the regional government on innovation supporting missions. The exercise focused on the service delivered by intermediaries, and was not handled with funding schemes received by SMEs, in this sense, one can't say that the whole Bretagne innovation support strategy was scanned through these interviews. But it is important to note that the results of this monitoring were used in the conception of the "Regional Innovation Scheme" of Bretagne in 2008.

10.15.4 When do we monitor?

The face to face interviews were performed on businesses that benefited from diverse services of the intermediaries in the last three years.

10.15.5 Who is the target group/ subject of monitoring?

The target group is composed of 81 businesses, 38 came from contact lists provided by the intermediaries, 48 came from a postal survey on innovation process and capacity implemented a few months before the interviews. (Some businesses indicated they would agree to meet BDI to go deeper into the questionnaire)

- 31 % Information and Communication Technology
- 25 % services to business
- 15 % food processing

Not proportionally representative of the regional economic fabric, the key regional sectors were represented. 50 % have less than 10 employees; most of the regional fabric is made up of such businesses. Very large range of turnover: from 100 K € to 5000 K € in similar proportions.

10.15.6 How do we monitor?

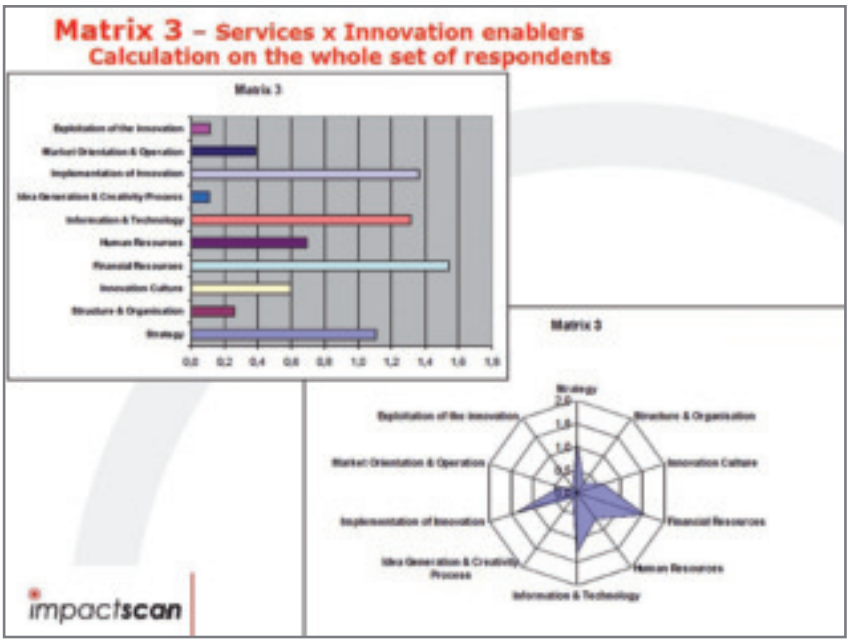
The method we used was based on face to face interviews, using a semi-directive approach directly between BDI staff and businesses men or women. (general director or Innovation manager) The 12 innovation enablers' grid was used as the guide-line. For each "enabler" a set of questions and assessments was proposed to the businessmen/women for discussion and to help them to "appreciate" the direct or indirect impact of the service received. The interviews were the occasion for the businesses to have an open conversation about these 12 enablers, to gather qualitative data and finally to rate the impact on the enablers from 0 to 5:

0: No impact
1: Very weak impact
2: Weak impact
3: Acceptable impact
4: Strong impact
5: Very Strong impact

The figures were then integrated into an Excel file and used for graphic representations.

10.15.7 Why do we monitor? What are the results?

We monitored in order to have a global view of the impact of the services of intermediaries on the businesses. In facts, during the interviews, it was hard for business personnel to attribute one special impact to one particular service that was provided. So the result was an overall impact of the 25 intermediaries on the innovation capacity of the firms, on the twelve enablers. As it can be seen on the screen capture, it gives a simple yet very clear image of the actual impact of the program on the businesses of Bretagne. It shows the added value that this program gives to businesses, what objectives are well fulfilled by the support, which ones are not and which ones could be enhanced. These results were used for the conception of the Regional Innovation Scheme in 2008.



10.15.8 Contact, Further information

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Name of Good Practice:
The Barometer

Good Practice Provider:
Méditerranée Technologies – PACA

What is monitored?	Input	Output/Activities	**Outcomes/Impact**
What is the level of monitoring?	Project	Measure/Program	**Strategy of regional innovation policy**
When do we monitor?	**Ex-ante**	**In process**/Mid-term	Ex-Post
Who is the target group/ subject of monitoring?	**Companies**	**(Intermediary) Organisations**	Regional authorities/ policy makers

10.16.1 Who monitors?

In PACA, the barometer is run by the regional innovation observatory, ORION, piloted by Méditerranée Technology, coordinator of the innovation support organisations regional network. It could also be any other public or private entity or organisation, in charge of designing and monitoring services devoted to support SME innovation. A technical external support to carry out the interviews and data treatment is possibly needed.

10.16.2 What is monitored?

1. Outcomes/Impact of the innovation support system in region: supported companies performances compared against non supported regional companies.

2. Entrepreneurs' and companies' profile and innovation behaviour and process, needs to innovate and grow, as well as satisfaction towards the support system.

10.16.3 What is the level of monitoring?

Regional Innovation strategy: what is measured is the overall impact of the strategy on SME's performances and the matching between the companies' support needs (implicit or explicit) and the regional innovation support services.

The detection of difficulties and needs has to influence the definition or redefinition of the support system, and thus the strategy.

10.16.4 When do we monitor?

"Ex ante": to define the regional innovation strategy and design the regional innovation service supply.

"In process": to monitor on a regular basis the policy impact and the companies' needs evolution in order to adjust the support system response: every 2 years.

10.16.5 Who is the target group/ subject of monitoring?

The subject of monitoring is regional innovative SMEs. However, the regional innovation intermediaries can also be considered as a target group, since the barometer is intended to help the definition of their service offer in order to match and if possible pre-empt companies' innovation needs.

10.16.6 How do we monitor?

Quantitative survey: External data are gathered by a quantitative questionnaire addressed to regional innovative companies coupled by financial data available for companies publishing the balance sheets (possible on for countries where balance sheets data are public).

A number of different profiles are then drawn on the base of a number of crossed critical variables. This allows a first segmentation of the innovation support supply targets.

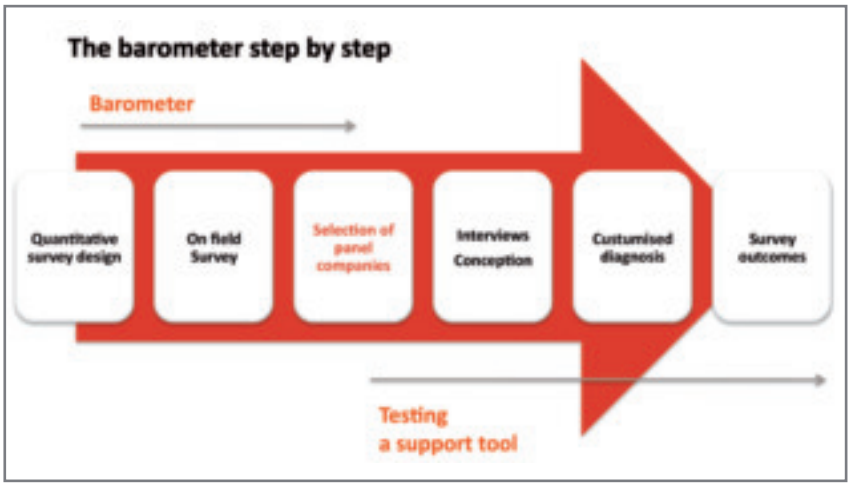
Qualitative survey: A qualitative survey is subsequently conducted through a panel of 30 selected companies in order to deepen the interpretation of the quantitative survey. The companies included in the panel could also be used as "test" clients to test a customised service offer based on data collected and a in-depth diagnosis.

10.16.7 Why do we monitor? What are the results?

The detailed objectives of the barometer are the following ones:

- Diagnose SMEs innovation needs (ex ante evaluation in setting a new RIS)
- Profile innovating companies in PACA
- Companies' needs follow-up over time
- Develop a support services impact monitoring tool
- Provide a data-driven information support to design innovation support services

These objectives allow to measure the impact and benefits of the innovation support system, and thus indirectly to manage intermediaries and funding.



The monitor process is carried on a regular basis: every 2 years.

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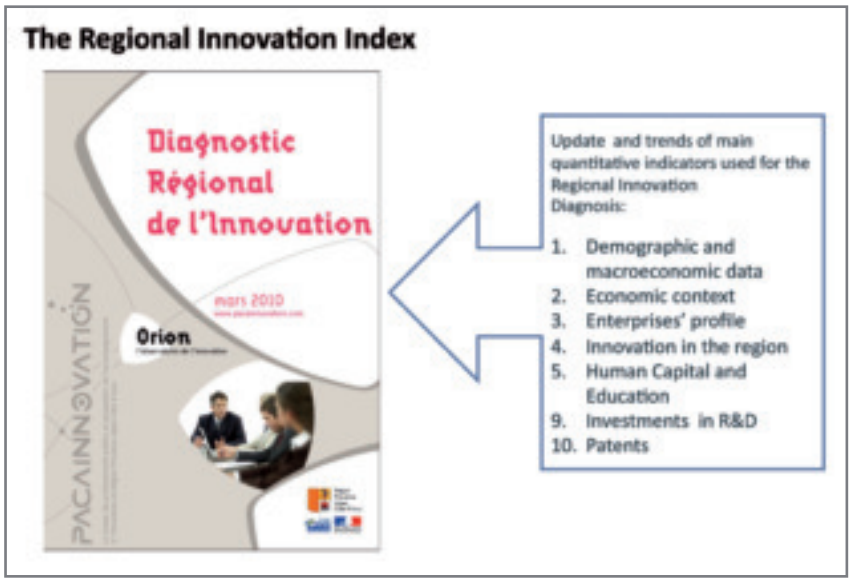
Name of Good Practice:
Innovation INDEX

Good Practice Provider:
Méditerranée Technologies – PACA

What is monitored?	Input	Output/Activities	**Outcomes/Impact**
What is the level of monitoring?	Project	Measure/Program	**Strategy of regional innovation policy**
When do we monitor?	Ex-ante	**In process**/Mid-term	Ex-Post
Who is the target group/ subject of monitoring?	**Companies**	**(Intermediary) Organisations**	**Regional authorities/ policy makers**



10.17.1 Who monitors?

In PACA, the Regional Innovation Index is issued by the Regional Innovation Observatory, run by Méditerranée Technologies, coordinator of the regional intermediaries' innovation network, equivalent to a Regional Innovation Agency, PACA Innovation.

10.17.2 What is monitored?

The Region innovation performance and positioning compared with other similar regions as well as its evolution over time. Thus, indirectly, the scoreboard measures the overall innovation policy impact.

10.17.3 What is the level of monitoring?

Global Innovation Strategy since it provides a holistic picture of the regional innovation performance taking into account the main comparable indicators related to innovation.

10.17.4 When do we monitor?

"Ex ante": to provide a diagnosis previous to the definition of the regional innovation strategy.

"In process" (every 2 years): in order to track the evolution of the regional performances in terms of innovation over time and to appreciate the impact of the innovation support policies and action put in place.

10.17.5 Who is the target group/ subject of monitoring?

Policy makers are the main target of the index, since it provides an overall picture of regional weaknesses and strengths, allowing setting up and upgrading the Regional Innovation Strategy, but also intermediaries and companies interested in having a better understanding of the context they work in.

10.17.6 How do we monitor?

Periodical: evolution of the regional innovation performances and context are more significant when macro-indicators are collected at intervals of time. In the case of PACA, the Innovation Index is published every 2 years.

The index is composed of 11 categories of indicators:

1. Demography and macroeconomic data
2. Regional Innovation Performances
3. Economic activities' structure
4. Companies' Profile
5. Innovation and business
6. Clusters
7. Human Capital, Education and training
8. Public R&D
9. Key Innovation projects
10. Patent and publications
11. Export

Data:

- Internal data from the follow up of the strategy and surveys conducted in the framework of the observatory
- External data from regional, national or European sources

10.17.7 Why do we monitor? What are the results?

To draw a global picture of the regional situation:

- To have a synthetic background diagnosis for the Regional Innovation Strategy
- To support regional marketing
- To assess the overall impact of the regional innovation policy over time.

10.17.8 Contact, Further information

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Name of Good Practice:
RIS SCOREBOARD

Good Practice Provider:
Méditerranée Technologies – PACA

What is monitored?	**Input**	**Output/Activities**	**Outcomes/Impact**
What is the level of monitoring?	Project	Measure/Program	**Strategy of regional innovation policy**
When do we monitor?	**Ex-ante**	**In process/Mid-term**	**Ex-Post**
Who is the target group/ subject of monitoring?	Companies	**(Intermediary) Organisations**	**Regional authorities/ policy makers**

10.18.1 Who monitors?

In PACA, the Regional Innovation Observatory, was piloted by Méditerranée Technology, which acts as Regional Innovation Agency.

When such an organisation would not exist in the region, the follow-up of the Regional Innovation Strategy can also be assured by the Regional Council internal services in charge of the innovation policy evaluation (such as the Economy directorate).

10.18.2 What is monitored?

The regional innovation strategy and the underlining actions implementation and compliance with the overall objectives set, through inputs, outputs and outcomes/impacts indicators.

Monitoring Regional Innovation Strategy in PACA

Analysis of the 12 priority areas progress status

Orientation	Action	Pilot	Budget	Status
Or.1 improve growth through clusters	Competences cartography	MT	XX€	On going
Or 2. to support companies' HR needs	PI members training	MT	XX€	On going
Or.2 : Meet companies' support needs	Call for proposal on services for PI	MT	XX€	?
Or.2 : Meet companies' support needs	PI portal	MT/Direccte	XX€	To be launch in 2011
Or.2 : Meet companies' support needs	"Trajectories"	MT/ TVT	?	On going

10.18.3 What is the level of monitoring?

The Regional Innovation Strategy (RIS).

10.18.4 When do we monitor?

In process, through a continuous follow-up of the different orientations and actions defined in the strategy.

10.18.5 Who is the target group/ subject of monitoring?

The tool is in first place aimed at supporting policy makers in the design and evaluation of the innovation policy.

Data collected could also be useful for all regional innovation support organisations involved in the implementation of the RIS, to make them involved both in the evaluation process and in the design and implementation of the policy.

Finally, data collected can be useful in the dialogue with enterprises and citizens wishing to be informed on the impact of public money investment on the regional economy and on the new opportunities and instruments created to stimulate growth.

10.18.6 How do we monitor?

With a set of indicators at programs, projects/intermediaries' activities level on a continuous process through a robust data collection system – data gathered and treated internally.

10.18.7 Why do we monitor? What are the results?

To assess the follow up of the regional innovation strategy: management of the funding and the innovation actors.

10.18.8 Contact, Further information

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Name of Good Practice:
IASMINE
(Impact Assessment and Methodologies for Innovation Excellence)

Good Practice Provider:
A.R.T.I. – Regional Agency for Technology and Innovation – Puglia

What is monitored?	**Input**	Output/Activities	**Outcomes/Impact**
What is the level of monitoring?	Project	**Measure/Program**	**Strategy of regional innovation policy**
When do we monitor?	**Ex-ante**	In process/Mid-term	**Ex-Post**
Who is the target group/ subject of monitoring?	**Companies**	**(Intermediary) Organisations**	Regional authorities/ policy makers

10.19.1 Who monitors?

Developed by ARTI – Regional Agency for Technology and Innovation, IASMINE (Impact Assessment Methodologies for Innovation and Excellence) was one of the 8 projects approved by the European Commission within the framework of Pilot Action „Regional Innovation Policy Impact Assessment and Benchmarking", co-financed by the 6th Community Framework Programme for Research 2000-2006.

In a first stage, IASMINE methodology was tested by ARTI in collaboration with Innovapuglia S.p.A. and used for the assessment of R&D policies. It was also experimented for the ex-ante assessment of innovation policies within the ROP 2000-2006.

10.19.2 What is monitored?

IASMINE looks at impacts in terms of modification in the performance of the actors that make up the Regional Innovation System – RIS (firms, universities, research and technology centres, finance intermediaries, governance system…).

10.19.3 What is the level of monitoring?

By the application of IASMINE methods and tools, an **assessment of the regional innovation strategy as a whole** could be performed, characterising it in terms of policy objectives, policy actions, allocated budget, impact and result indicators and emphasizing to what extent the regional strategy defined is compliant with the Lisbon innovation goals in the domains of competitiveness, sustainable development, welfare and governance.

Moreover, the **monitoring of a specific regional innovation policy measure/action** is allowed, by individuating the RIS performance indicators that need to be monitored in order to assess the impact of the given policy action and by collecting data concerning policy action result indicators and RIS performance indicators, both from statistical sources and from direct field work (questionnaires, panels).

10.19.4 When do we monitor?

Ex-ante and ex-post assessment of the regional innovation strategy as a whole:

- the **ex-ante** evaluation is performed by analysing the most likely impact of the regional strategy on the RIS: how the indicators describing the performance of the RIS actors (firms, universities, research and technology centres, finance intermediaries, governance system…) could change;
- the **ex-post** evaluation analysis focuses on the medium-long term impact of the regional strategy: how the actual regional policy implementation influenced the regional innovation scoreboard variations over the years.

Assessment of specific regional innovation policy measures/actions:

- the final assessment of a given policy action is carried out by means of an **informed discussion** about the quantitative and qualitative data collected.

10.19.5 Who is the target group/ subject of monitoring?

Iasmine methodology and tools are not specific to any given target group. The main approach is in fact that of monitoring/assessing the performance of the various „actors" that make up the regional innovation system, being them companies or universities and research centers, or financial institutions and other kind of intermediary organizations. This general framework can however be specialised in order to evaluate specific policies addressing a more focused target.

10.19.6 How do we monitor?

The IASMINE methodology proposes a set of tools and procedures that can be used/applied in a flexible way, according to the specific assessment task of interest. The tools proposed by the project, and available on IASMINE's website, are the Policy Matrix, the RIS matrix and forms and spreadsheets guidelines.

Policy Matrix

This is an electronic spreadsheet that allows you to perform a **broad analysis of the regional policy actions**. Its application is very simple: the user only needs to classify each policy action according to its budget and to the corresponding policy area and EU innovation strategy objective(s). From this, all computations are done automatically and several graphs are generated, allowing the user to better understand the relative relevance of the regional policies and their compliance to the EU strategies.

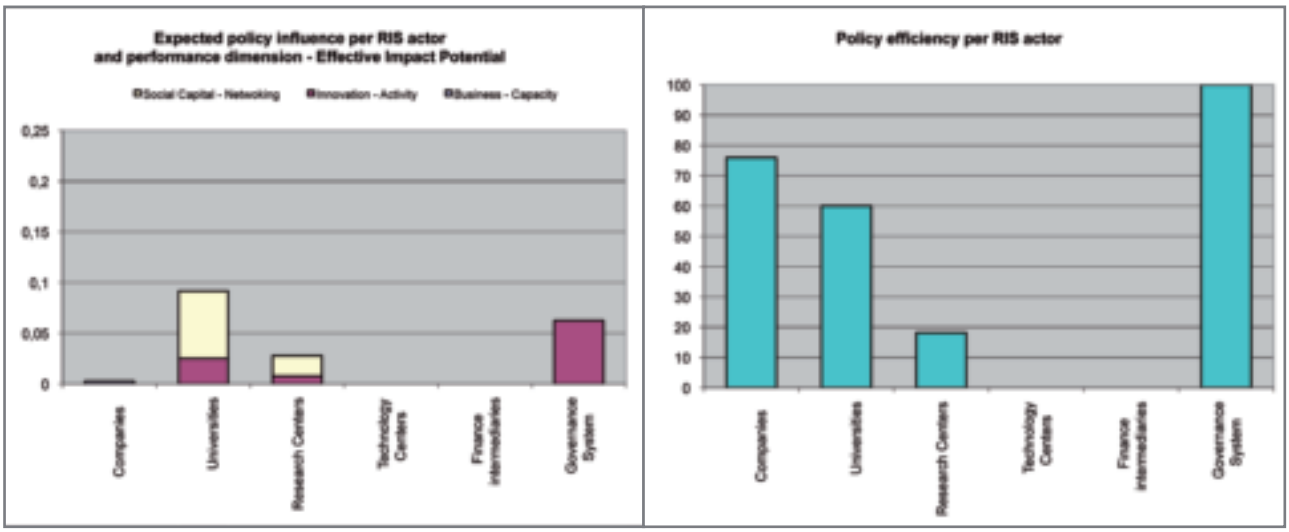
This tool can be used **ex-ante**, for performing a general assessment of the planned regional innovation strategy, or dynamically, for **monitoring** the regional yearly expenditure in the different policy areas and objectives, thus providing a base for **impact assessment.**

RIS Matrix

This is an electronic spreadsheet that allows to **estimate the expected impact of a given policy** on the actors of the Regional Innovation System (RIS). The use of the matrix is quite simple: for each RIS performance indicator listed in the matrix the user must assign a qualitative "influence degree" (i.e. null, low, medium, fair, high), thus qualifying the potential impact on it of the policy under assessment. From this, average influence values are computed and some graphs are automatically produced.

RPA Title	RPA Budget	Policy Area	Domain	ISO
	810.875.000			
3.13.C-Technology Transfer SMEs	19.600.000	ENT	CO	CO2.1
3.13.D-Technological Centers	3.000.000	ENT	CO	CO5.1
4.1.A-Supporting SMEs – Real services for globalization	99.500.000	ENT	Out	Out
4.1.B-Supporting SMEs – Innovation	99.500.000	ENT	CO	CO2.2?
4.1.C-Supporting SMEs – Widening the production base	94.525.000	ENT	Out	Out
4.1.D.a-Supporting SMEs – Integrated Facilities Packages (P.I.A.) - TT	9.950.000	ENT	CO	CO2.1
4.1.D.b-Supporting SMEs – Integrated Facilities Packages (P.I.A.) - Production base	59.700.000	ENT	Out	Out
4.18.a-Program Contracts - Innovation	170.000.000	ENT	CO	CO6.1
4.18.b-Program Contracts - Traditional	170.000.000	ENT	Out	Out
4.19-Guarantee Fund and Venture Capital	55.000.000	ENT	CO	CO4.1
6.2.B.1-Services web portal	7.525.000	ENT	GO	GO1.1
6.2.B.2-Territorial marketing plan	7.525.000	ENT	GO	GO4
6.2.B.3-Territorial marketing initiatives	7.525.000	ENT	GO	GO4
6.2.B.4-Internationalization of local production systems	7.525.000	ENT	GO	GO4

Example of policy actions classification in the Policy Matrix



Example graphs produced by the RIS Matrix (Ex-ante impact analysis and Ex-post policy efficiency analysis)

10.19.7 Why do we monitor? What are the results?

Policy makers and evaluators could:

- **discover** a structural bias in policy planning, by analyzing the budget allocation in different policy areas/objectives and its congruence with the EU innovation strategy objectives. For example, they could discover that only 20 % of their innovation policies are compliant to the EU innovation priorities in the field of welfare and that of 49 % their policies do not comply to these priorities;
- **identify** the strong and weak points of the regional policy plans, in terms of the expected impacts on the different factors that characterize the innovation performance of the regional actors: i.e. number of RTD projects submitted by companies to regional government, employed personnel in RTD activities in companies, etc.
- **understand** which are the most relevant indicators to be monitored for a specific region, by analysing how a single policy spreads its effects on each RIS actor;
- **learn** from Good Practices in policy design and implementation, by confronting the performance of different regions that share the same policy goals;
- **point out** areas of improvement in the regional monitoring procedures (e.g. data collection, evaluation, auditing, etc.).

10.19.8 Contact, Further information

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Name of Good Practice:
Balanced Score Card of the Third Technology Plan of Navarra

Good Practice Provider:
DG Enterprise and Innovation, Department of Rural Development, Industry, Employment and Environment, Navarra Government

What is monitored?	**Input**	**Output/Activities**	Outcomes/Impact
What is the level of monitoring?	Project	**Measure/Program**	**Strategy of regional innovation policy**
When do we monitor?	Ex-ante	**In process/Mid-term**	**Ex-Post**
Who is the target group/ subject of monitoring?	Companies	**(Intermediary) Organisations**	**Regional authorities/ policy makers**

10.20.1 Who monitors?

The Innovation and Knowledge Transfer Service (from now on Innovation Service), integrated into the DG Enterprise and Innovation of the Department of Rural Development, Industry, Employment and Environment, is the authority entrusted by the Government of Navarra to carry out the design, implementation, monitoring and evaluation of Navarra's Regional Innovation Strategy (Navarra Technology Plans). The Innovation Service is supported in its role by the public companies CEIN (Navarra's BIC) and the Navarra Agency for Innovation.

So, the Innovation Service, CEIN and the Navarra Agency of Innovation collect the data required for the monitoring and evaluation of the actions/programmes (in general, action lines) of the Technology Plan. Each of these three bodies collects data of the action lines under its responsibility or direct management in the frame of the Technology Plan. The Innovation Service is responsible for the compilation of all data gathered.

10.20.2 What is monitored?

The Balanced Score Card (BSC) of the Third Technology Plan of Navarra monitors outputs: results of the activities carried out in each of the 41 action lines included in the Technology Plan.

The outputs monitored depend on the specific action line of the Technology Plan, but some examples are: number of projects funded, total budget of the projects, total funding granted, number of project proposals submitted to FP7 calls, number of international research visits, etc… The indicators selected as output are thus a direct measurement of the running activities (number of projects funded); or a measurement of an expected behaviour (number of project proposals submitted to FP7) as a result of the actions lines of the Third Technology Plan.

The impact of these action lines on the stakeholders in terms of increase of turnover, number of new jobs, increase of R&D budget, etc. is not measured by the BSC as impact indicators, and were not defined for the Third Technology Plan. So, scarce information about the behaviour of the regional innovation system can be concluded from the analysis of the BSC of the Third Technology Plan.

10.20.3 What is the level of monitoring?

The BSC monitors primarily the degree of completion/status of all action lines included in the 3rd Technology Plan, therefore its level of monitoring is at the programme level. Nevertheless, as the monitoring body is the Innovation Service, also in charge of designing and implementing the RIS, the BSC also permits the monitoring and evaluation at the regional level of the overall regional innovation strategy.
The BSC has been a key instrument in the mid-term and ex-post evaluation of the Third Technology Plan. The results of this evaluation have contributed to the design of the new RIS (Fourth Technology Plan), which will be implemented in 2012, for the period 2012-2015.

10.20.4 When do we monitor?

The updating of the status of the BSC is conducted on a quarterly

basis, but the monitoring is conducted continuously as both the intermediaries (CEIN and Navarra Agency of Innovation) and the Navarra Government have a daily account (on their own data bases) of the status of the activities they manage.

The "in progress" monitoring allows the Innovation Service to check whether the activities are being carried out as planned in terms of schedule and budget, and indirectly, it gives a "soft measure" as to whether the programmes are being accepted by the stakeholders.

A mid-term evaluation is also carried out and it is used to critically evaluate the status of the action lines and, if necessary, to introduce countermeasures to allow achieving the initial targets set in the Plan.

An ex-post evaluation of the Third Technology Plan has been recently carried out with the use of the BSC. The conclusions drawn, on the basis of this evaluation with regards to the output of the programmes have been considered for the design of the instruments and programmes of the new RIS (Fourth Technology Plan).

10.20.5 Who is the target group/ subject of monitoring?

As the BSC monitors the degree of completion/status of all action lines included in the 3rd Technology Plan (RIS), the main source of monitoring information is the Innovation Service, who is the regional authority entrusted to implement the Technology Plans.

The target groups of the monitoring are also the stakeholders of the regional innovation strategy who take part in the programmes (companies, Universities, Research and Technology Organisations, intermediaries…).

Target groups are beneficiaries of the action lines, and indicators show to what extent the measures are accepted and are being used by them.

10.20.6 How do we monitor?

Output monitoring is an on-going process, as the BSC is directly coupled with an internal Management Plan (ISO 9001 certified) that allows the Innovation Service to monitor the indicators at their initial status (at the beginning), their current situation (quarterly) and the target (at the end) of each of the actions/programmes included in the Third Technology Plan. See Graph 2 bellow.

Furthermore, the internal Management Plan links a budget line (of the overall Navarra Government regional budget) to every action line included in the BSC, which also allows determining the input in terms of funding for each of the action lines. The initial funding available and the funding spent and remaining at every monitoring time point (every three months) is also monitored by means of the Management Plan.

The monitoring of the RIS is an internal process conducted by the Innovation Service with the support of the two public companies (CEIN and Navarra Agency of Innovation) that function as intermediaries and are responsible for the managing of some of the action lines. The three organisms responsible for the monitoring register the status of the activities they manage on their own data bases.

Despite the registration taking place continuously, the updating of the BSC is only conducted on a quarterly basis. The Innovation Service is responsible for compiling and aggregating all information from its own sources (own data base for the action lines it manages) and those of the intermediaries, updating both the BSC (output indicators) and the internal Management Plan (input indicators, in this case, budget). Both input and output indicators include the initial and current status along with the target and budget available for each of the actions of the Third Technology Plan.

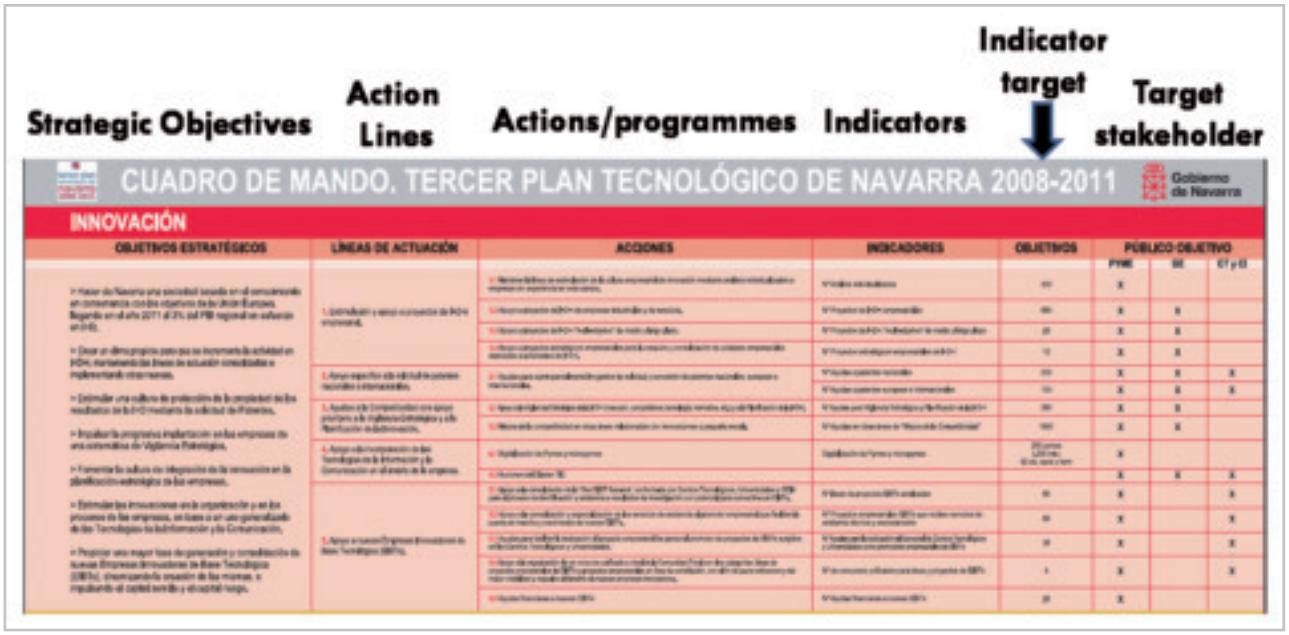
Data gathering and data treatment are thus internal processes carried out by the Innovation Service, managing body of the RIS.

10.20.7 Why do we monitor? What are the results?

Since the BSC of the 3rd Technology Plan does not include impact indicators, its main use has been to manage the activities being developed in the frame of the RIS. Internally, and thanks to its coupling with the internal Management Plan, the BSC has contributed to a transparent use of public money, as the Innovation Service monitors quarterly the funding available for each activity and the General Manager of the DG Enterprise and Innovation controls the expenditure made in each budget line reporting periodically to the Government of Navarra.

Indirectly, the mid-term and ex-post evaluation of the Third Technology Plan conducted by means of the BSC, has contributed to measure the degree of acceptance by the target stakeholders of the action lines included in the Plan. The evaluation of the two previous RIS (First and Second Technology Plans) by means of tools similar to the BSC has allowed observing the progress in terms of acceptance of a long term Regional Innovation Strategy by the regional stakeholders, thus indirectly changing their mind-set (especially in the case of companies) making them more prone to innovating.

The main result of the monitoring and evaluation of the Third Technology Plan through the use of the BSC has been the design of the new RIS (Fourth Technology Plan) for the period 2012-2015. The new RIS includes new instruments and programmes as a result of the maturity achieved by the Innovation System of the region after 12 years of Regional Innovation Strategies and the participation of the Innovation Service in different EU projects related to innovation. However, it also includes some of the action lines that were implemented in the Third Technology Plan and that have been re-visited according to the results of the ex-post evaluation.



Graph 1: Overview of the Strategic Axis "Innovation" of the BSC of the Third Technology Plan. Indicators are output indicators and are updated quarterly.

Graph 2: On the next pages

10.20.8 Contact, Further information

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Proceso: P7.05 Promoción de la Innovación

(1) Actuación: las recogidas en el documento de despliegue del Plan Estratégico IC5.01.015.
(2) Se establecen los indicadores que luego se definen en el IC5.01.007 y se determinan los objetivos a alcanzar, cuyo seguimiento se realiza mediante el I5.01.020.
El orden en que aparecen en el plan de gestión y en las fichas de indicadores y objetivos es el mismo para poder hacer un seguimiento de los mismos a través de dichas fichas.
(3) Elementos a través de los cuajes se desarrolla la actuación
(4) Los hitos definidos para el estado son: P planificado, EP ejecución en plazo, ER ejecución retrasada, F finalizado

Partida presupuestaria	S. Inicial	Disponible	Ejecutado	Actuación (1)	Indicador(2)
Budget information				Description of action line	Descrption of indicator
840001-81210-4400-467303 Transferencias a CEINSA para análisis individualizados				1.1. Análisis individualizados	- Nº de Análisis Individualizados
840001-81210-7709-467300 Bonificación de intereses a empresas por proyectos de I+D+i, patentes y estudios de viabilidad				1.2. Proyectos de I+D+i empresariales	
840001-81210-7709-467302 Subvenciones a empresas por proyectos de I+D+i, patentes y estudios de viabilidad				1.2. Proyectos de I+D+i empresariales	
840001-81210-7709-467303 Subvenciones a empresas por proyectos de I+D+i, patentes y estudios de viabilidad. FEDER				1.2. Proyectos de I+D+i empresariales	- Nº solicitudes recibidas - Inversión presentada - Nº proyectos aprobados - Nº denegados - Nº pendientes - Nº de nuevas empresas - Tiempo de respuesta - Inversión inducida - Ayuda total concedida

Graph 2: Overview of the Management Plan used for data collecting

	Cód:

Situación inicial	Situación	Objetivo(2)	Instrumentos/ Acciones (3)	Estado(4)	Comentarios
Measurement Previous/Actual/Target			Responsability/Legal basis	Status	comments
		75	Convenio con CEINSA	EP	En la partida presupuestaria y el expediente de subvención se incluyen también las actuaciones del Cluster Automoción
				EP	Ver línea siguiente
				EP	Ver línea siguiente
		250 30% 10 meses	Decreto 360/2000	EP	Se incluyen aquí las líneas 1.3 y 1.4

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