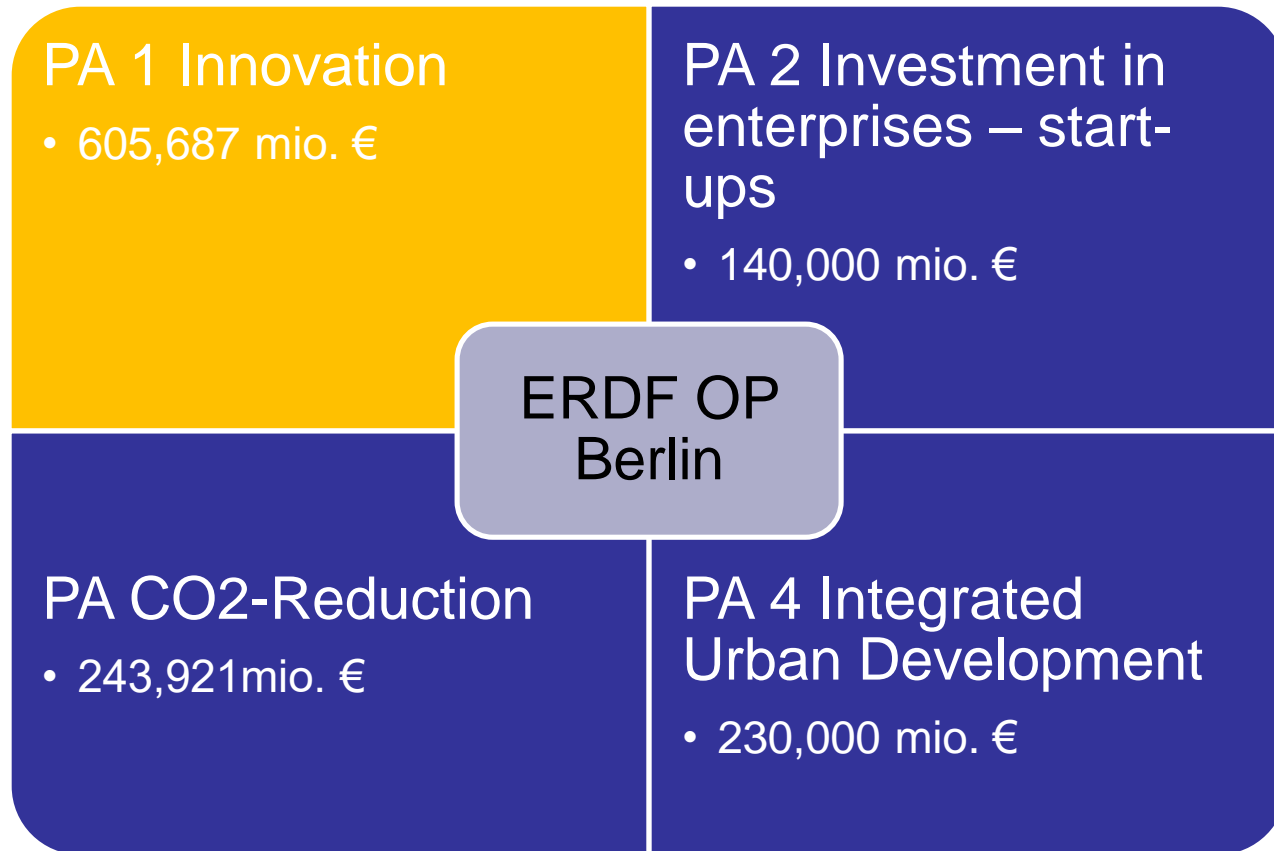


Evaluating support for R&D

An example for theory-based evaluation ERDF Berlin

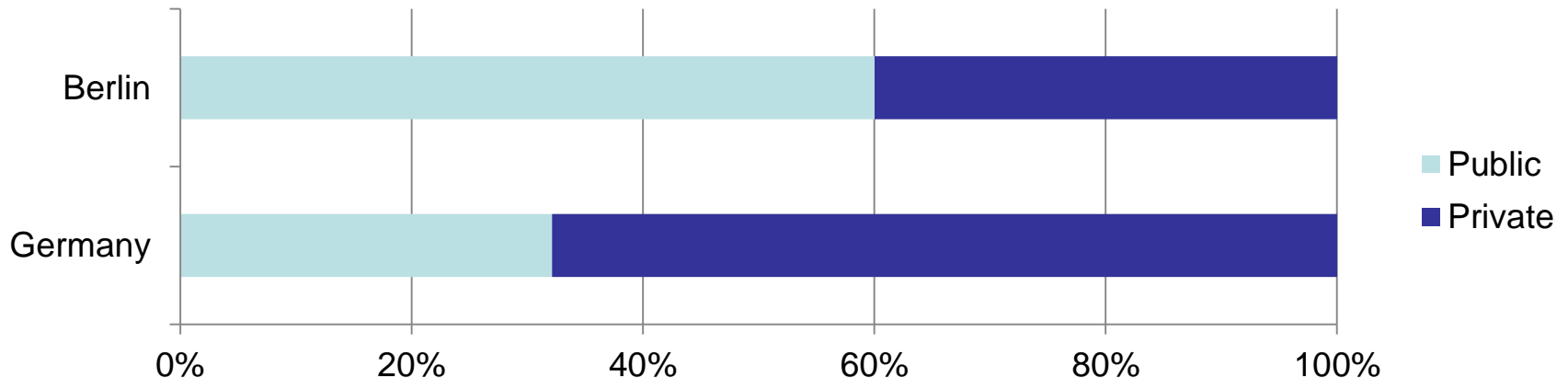
Dr. Oliver Schwab
IfS Institut für Stadtforschung und Strukturpolitik

The subject



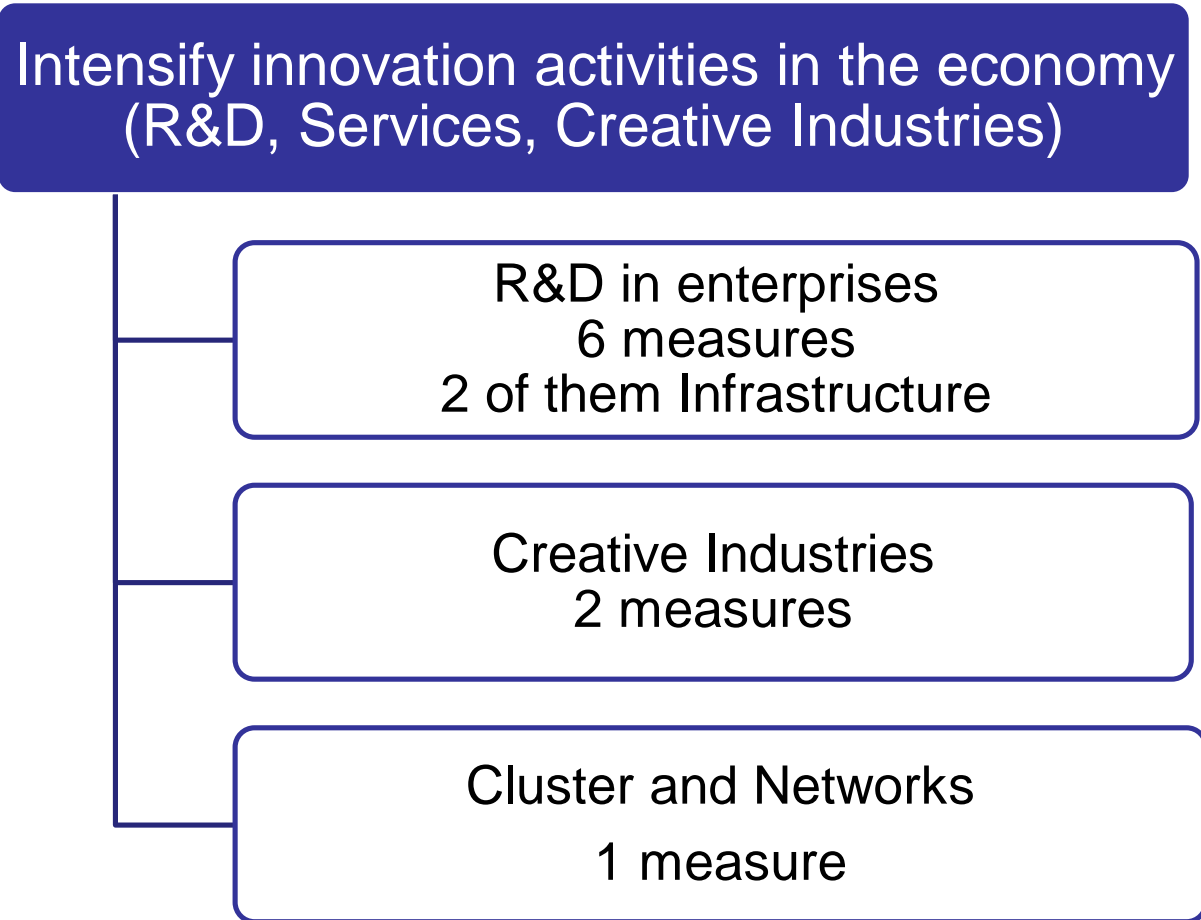
Background – Innovation System in Berlin

- Investment in R&D > 3% of GDP
 - Maximum 4% in 2003

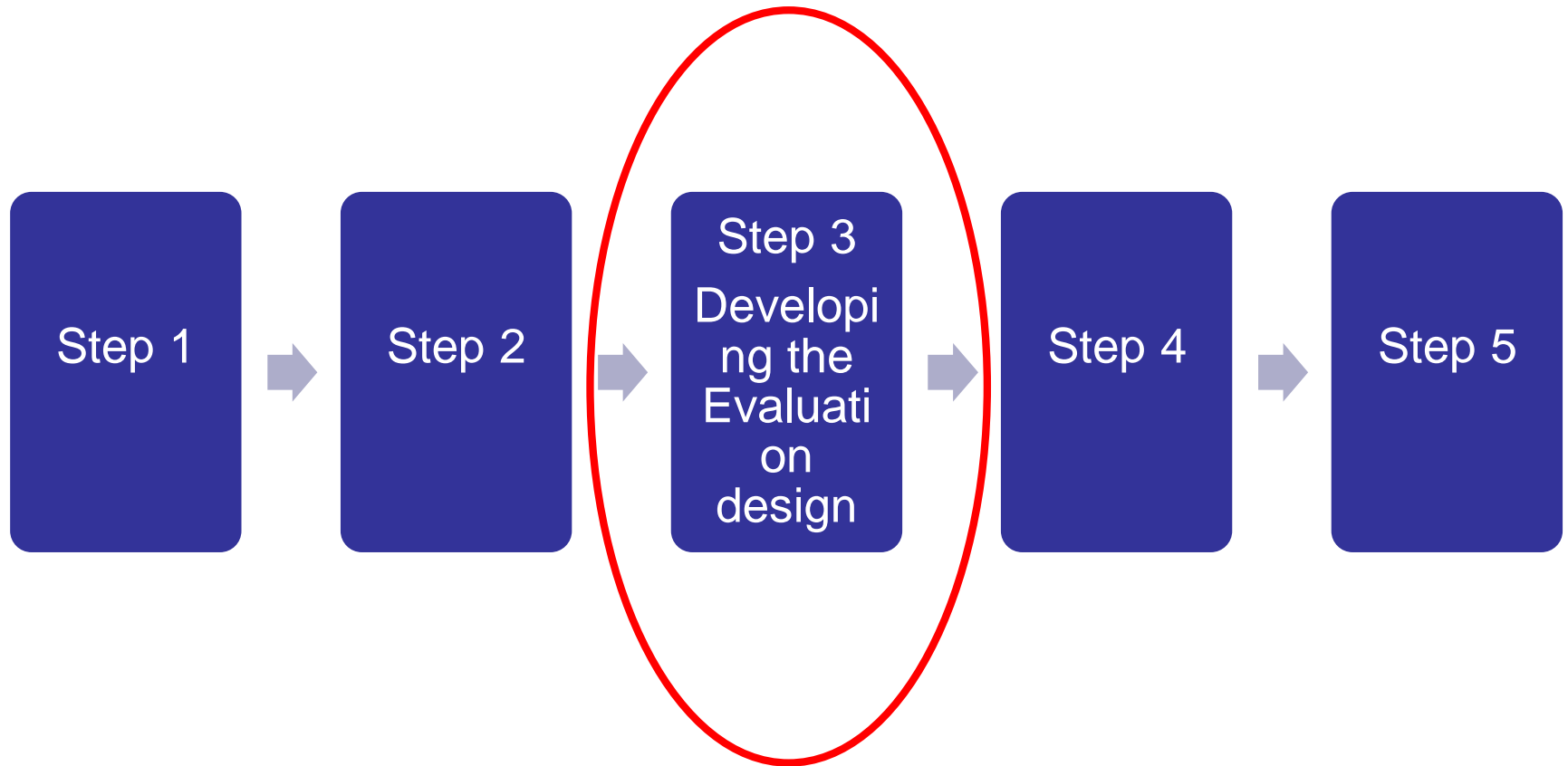


- Reduction of both R&D-expenditure of enterprises and R&D staff in enterprises between 2001 and 2011

OP – Strategy – PA 1 Innovation



Programme Theory and Evaluation Design



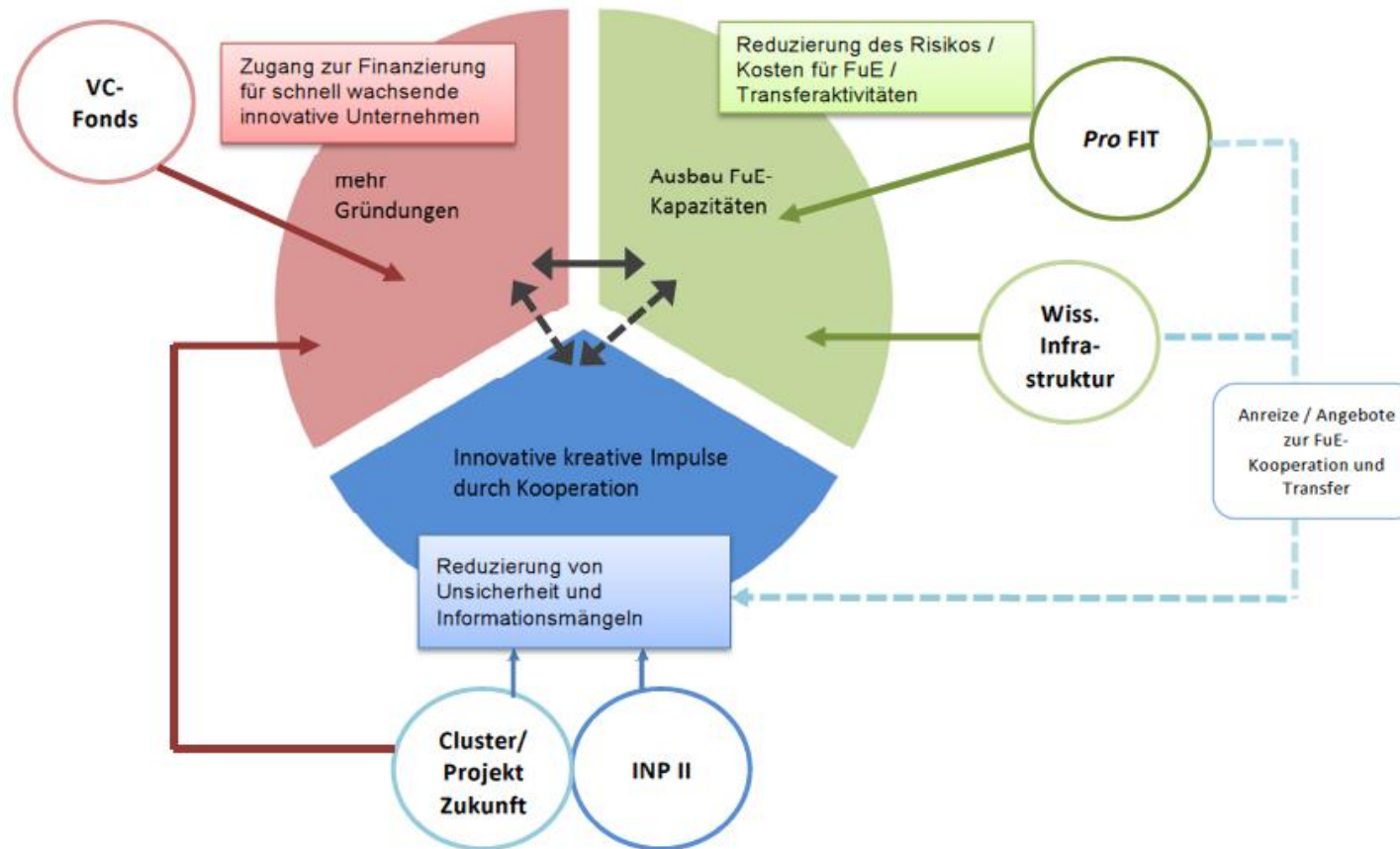
Step 3 – Developing an evaluation design

- Main purpose of the evaluation:
 - Grasping effects on R&D-capacities
 - Better understanding of what affects the development of R&D capacities in enterprises in Berlin
- Evaluation Questions
 - „EU-model“
 - Contribution to the objective (only 1)
 - Taking context factors into account
 - Strengthening innovation capacity in Berlin
 - Specific situation in Berlin: How to stimulate innovation activities in the economy?
 - Focus the innovation activities of the beneficiaries (enterprises as well as research institutes and universities)

Step 3 – Evaluation Questions

- On project level
 - Did the project reach it's objectives?
 - Effects for the enterprise?
 - Effects on other enterprises (Spill-overs)?
- On enterprise level
 - Improved competitiveness?
 - Changes in innovation behaviour?
- External factors
 - What influenced the innovation process

Step 3 – (preliminary) programme theory (to be translated!)



Step 3 - Methods

- „Innovation-Biographies“
 - new method for analysing knowledge dynamics in innovation processes (Butzin et. al. 2012)
 - Following an innovation process from the first idea to final product/services
 - Case-Studies
 - Document analysis
 - Annual interviews over up to three years
 - Participating observation (seminars, meetings)
 - Network-analysis
 - Cases
 - 19 enterprises
 - 4 universities/research institutes
- Combined with analysis of data and documents to cover all projects

Programme Theory and Evaluation Design



Step 1 – Developing the OP-Strategy

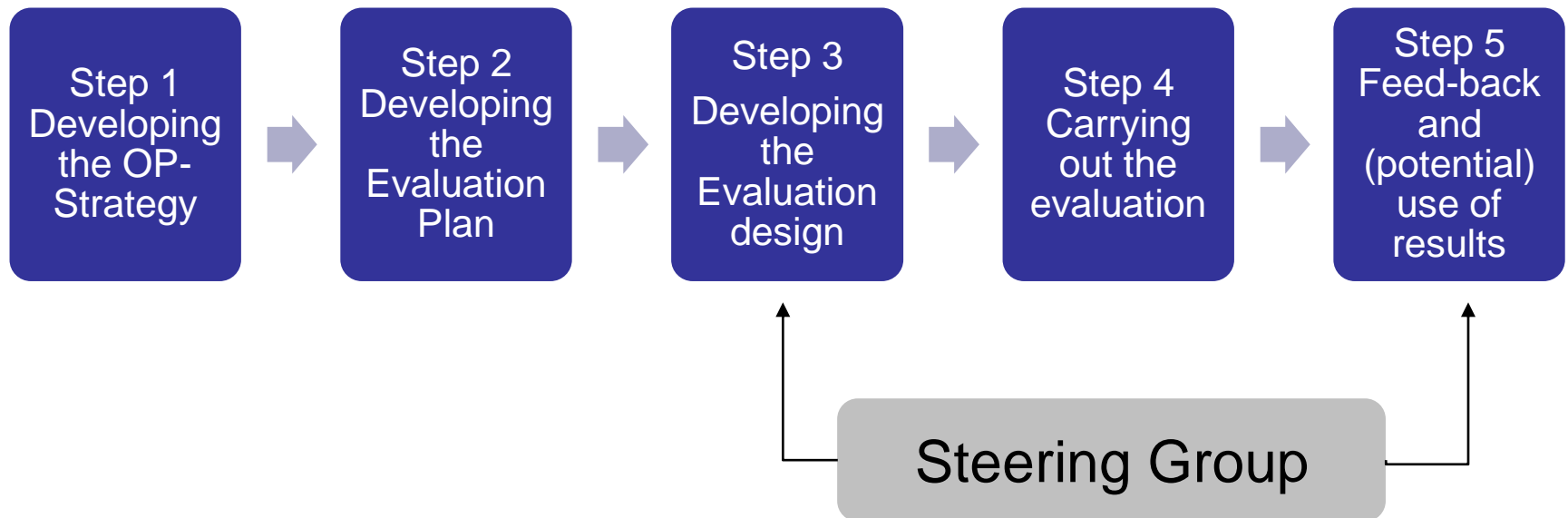
- Crucial Points:
 - Decision to define only one specific objective
 - Intensive discussion with the actors responsible for the measures
 - linking different types of measures to the common specific objective:
 - Contribution of Infrastructure?
 - Role of creative industries?
- First sketch of a coherent „story“ for the PA

Step 2 – Developing the Evaluation Plan

- Crucial Points
 - Explicit decision for theory-based approaches
 - Literature review for each axis
 - Internal Working Paper
 - Bringing in existing evidence and knowledge
 - First draft of the evaluation concepts
 - Tentative evaluation questions
 - First ideas for evaluation design
 - Establishing the framework for actor involvement
 - Steering Group
 - Training Sessions

► Outline of the evaluation design – embedded in an evaluation system (Communication!)

Programme Theory and Evaluation Design



Conclusion

- „Programme Theory“ is (partly) the theory of the „programme people“
 - Taking into account existing „evidence“
 - But also the views of programme people
- Context-sensitive: In how far do general mechanisms apply in a concrete context?
- TBE: more than testing theoretically justified hypothesis -> Learning about processes and mechanisms
- TBE: „Evaluability depends partly on the programme design