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**IN-DEPTH EVALUATION OF THE COMMITTEE FOR SCIENTIFIC AND TECHNOLOGICAL
POLICY (CSTP)**

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SUMMARY

Committee for Scientific and Technological Policy (CSTP)		
<p>The Committee for Scientific and Technological Policy (CSTP) was created in 1972. Its current mandate, renewed in December 2009, expires at the end of 2014. During the review period, the Committee has implemented its work programme within the Output Areas of Science and Innovation Policies (1.3.2) and Biotechnology (1.3.3).</p> <p>The results of the IDE indicate that, since the previous review period (2000 to 2005), the CSTP has largely maintained a high overall level of relevance while improving its performance in terms of effectiveness and efficiency. Most of the Committee's products, in particular those in the area of statistics, have been of high quality and have had strong policy impacts in Members and in some cases in non-Members. The Committee has also, in more recent years, made progress in improving its capacity to programme and strategically steer its work, and to monitor its implementation. Against this positive backdrop however, certain areas have declined in relevance over the review period, this being most evident with respect to its work on biotechnology and nanotechnology.</p> <p>The CSTP made key contributions to the final products resulting from the Innovation Strategy, both directly through dedicated activities, as well as by the project drawing on the Committee's long established knowledge base.</p>		
	Report (See paragraphs):	Annex I (See Paragraphs):
Assessment		
<i>Relevance:</i> High	11-15	54-71
<i>Effectiveness:</i> High	18-25	72-94
<i>Efficiency:</i> High to Very high	28-34	95-120
Recommendations		
1. The CSTP should ensure that its work on biotechnology and nanotechnology is relevant in the light of the rapid pace of evolution in these areas and shifts in their common frontier and with other emerging technologies. To do this, it should pilot new flexible modes of project implementation and/or undertake a restructuring of these sub-bodies. It should also examine why the relaunching of the SFRI as the RIHR in 2008 has not led to an increased interest in its work.	12-15	58, 61, 64, 67, 68 and 70
2. The CSTP should <ul style="list-style-type: none"> ensure that the design of its products reflects more systematically the needs of potential key users beyond committee delegates, including through better and clearer structuring of reports and the inclusion of an executive summary in all cases; and, enhance the involvement of peer country policymakers in the conducting and dissemination of the Innovation Policy Reviews, including beyond the CSTP's policy community when feasible, in 	22	91 (and Table 7 and 8)

order to maximise the appropriation and impact of these products both in and beyond the reviewed countries.		
3. The CSTP should develop more systematic ways of interacting with other committees implementing complementary activities, in particular CIIE in the area of innovation policies, including Innovation Policy Reviews.	32	108-110
Innovation Strategy		
The contribution of the CSTP to the Innovation Strategy	35-40	123-142

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1. The Committee for Scientific and Technological Policy (CSTP)

1. The Committee for Scientific and Technological Policy (CSTP) was created in February 1972. Its current mandate, renewed in December 2009, expires at the end of 2014. The Committee has seven subsidiary bodies:

- Working Party of National Experts on Science and Technology Indicators (NESTI);
- Working Party on Innovation and Technology Policy (TIP);
- Working Party on Biotechnology (WPB);
- OECD Global Science Forum (Part II funded);
- Working Party on Research Institutions and Human Resources (RIHR, formerly the Ad Hoc Working Group on Steering and Funding of Research Institutions (SFRI) until April 2008);
- Steering Group on Governance of International Co-operation on Science, Technology and Innovation for Global Challenges (STIG), created in October 2010;
- Working Party on Nanotechnology (WPN), created in March 2007.

2. During all the review period, the Committee has implemented its work programme within two Output Areas, namely Science and Innovation Policies (1.3.2) and Biotechnology (1.3.3). The core products in both Output Areas are the statistics and indicators, based on which the Committee also produces analytical reports, evaluations and benchmarking studies. In the biotechnology area, the Committee has also developed instruments in the forms of recommendations and guidelines.

3. The Secretariat of the CSTP is situated within the Directorate for Science, Technology and Industry.

2. Evaluation methodology and approach

4. The IDE of the CSTP was formally launched on 17 April 2012 when the Evaluation Committee met with the Bureau to validate the Terms of Reference. The intermediate report was reviewed by the Evaluation Committee at its meeting of 18 June 2012. The draft final report was reviewed by the Evaluation Committee at its meeting of 20 September 2012 and then presented to the CSTP Bureau for discussion and validation on 17 October 2012.

5. Covering the period from 2005 to 2012, the CSTP was evaluated with respect to the following evaluation criteria:

- **relevance**, i.e. whether it is addressing the policy needs and concerns of Members;
- **effectiveness**, i.e. whether it is having a significant policy impact in areas of highest policy needs and concerns for Members;
- **efficiency**, i.e. if it is producing products of the requisite quality with the resources allocated and how well it is functioning.

6. Also included within the scope of the evaluation is the CSTP's contribution to the conducting of the Innovation Strategy.¹

7. In total, 51 key persons (policymakers, delegates and representatives of other international organisations and stakeholder organisations) were interviewed.² A survey was conducted to collect data on the relevance of the Committee's expected outcomes to which 25 Members responded, a participation rate of 71.4%. Data from the Medium-Term Orientation (MTO) and Programme Implementation Reporting (PIR) surveys were also mobilised, along with relevant in-house documentary sources (see [ANNEX III](#)). This evaluation also drew on the results of an evaluation of the GSF conducted in 2008 by an external panel of experts.

3. Conclusions and recommendations of the evaluation

8. The extent to which the CSTP is addressing the policy needs and concerns of Members (relevance) and producing a significant policy impact in areas of highest policy needs and concerns for Members (effectiveness) are assessed as high. Its performance in terms of the quality and cost of its products and how well it functions (efficiency) is also assessed as high to very high.

3.1 Assessment of relevance

9. The assessment of relevance is mainly based on the degree of alignment between a committee's expected outcomes and the policy needs and concerns of Members, the extent to which Members consider the Output Area(s) within which it programmes its work to be a major priority for funding from the Part I Budget (as reflected in the results of the Medium-Term Orientations exercise) and the interest of Members in directly overseeing or contributing to its work through the participation of delegates from capitals in meetings.

10. The CSTP's work programme over the period from 2005 to 2012 has been **highly relevant** to the needs and concerns of Members.

11. The work programme of CSTP is well aligned with policy needs and concerns in the policy areas it covers, as evidenced by its expected outcomes which for nine out of twelve are considered at least highly relevant to a majority of Members (see [5.1](#)). Three expected outcomes are assessed as being of high or very high relevance by 80% or more of Members:

- increased awareness, use and implementation of best practice S&T policies in Member and observer economies as they relate to the strengthening of science-industry relationships (Science and Innovation Policies);
- better monitored and compared S&T performance and assessment of S&T policies;
- increased awareness, use and implementation of best practice S&T policies in Member and observer economies as they relate to the fostering of technological and non-technological innovation.

1. These results, along with the equivalent findings of the IDEs of the CCP and CIIE and the module extending the IDE of the ICCP [[C\(2012\)132](#), [C\(2012\)134](#) and [C\(2012\)135](#)], constitute Step 1 of the *Methodological Framework for evaluating the Innovation Strategy within the IDE 2nd Cycle* as laid out in *Room Document No. 5 of the 7 December 2011 meeting of the Executive Committee*. The full results of the exercise to evaluate the Innovation Strategy will be presented as part of the Evaluation Committee's 2013 Annual Evaluation Report to Council.

2. Relevant OECD officials were also consulted as necessary.

12. By contrast, three of the five expected outcomes of the biotechnology policy area are assessed by the corresponding policy community as less in line with Members' needs and concerns.

13. Successive MTOs also show contrasting results between the science and innovation and biotechnology policy areas. Whereas the former, following an increase in Part I Budget during the review period, has moved from being a higher to middle-ranking priority for further increases in Part I Budget funding, the biotechnology has moved from a middle ranking to a lower priority policy area despite a significant budget decrease in the last Biennium (see [5.2](#)).

14. The relevance of the CSTP (the Level I body) has been high over the review period, as reflected by Members' interest in participating directly in its work remaining strong, despite capital-based delegate participation generally being on a downward trend over the review period, including in comparison to the overall trend for OECD committees. At sub-body level, participation has increased in NESTI and TIP, while other working parties have experienced declining relevance as evidenced by delegate participation data. Both the RIHR (previously SFRI) and the WPB have seen a decline in relevance since 2004, with capital-based delegate participation in the latter falling year-on-year to below 60% in 2012. Participation in the more recently created WPN has followed the same pattern, falling from three-quarters to close to one half of Members since 2008³ (see [5.3](#)).

15. Consistent across these results is the weakening over the review period of the relevance of the Committee's work in the area of biotechnology, as evidenced by the limited resonance of most of its expected outcomes with regard to policymakers needs and concerns, the results of successive MTOs and the year-on-year decline in capital-based delegate participation in the Working Party on Biotechnology.

Recommendation N°1: The CSTP should ensure that its work on biotechnology and nanotechnology is relevant in the light of the rapid pace of evolution in these areas and shifts in their common frontier and with other emerging technologies. To do this, it should pilot new flexible modes of project implementation and/or undertake a restructuring of these sub-bodies. It should also examine why the relaunching of the SFRI as the RIHR in 2008 has not led to an increased interest in its work.

3.2 *Assessment of effectiveness*

16. The assessment of effectiveness is based firstly on assessing the impact of the Committee's work and secondly on the extent to which significant impacts are occurring in areas of high policy needs and concerns.

17. The CSTP's work has been **highly effective** over the review period in terms of having a significant impact in areas of high policy needs and concerns.

18. The Committee's products completed from 2005 to 2010 have had significant impact, particularly with regard to actual impacts on Members' policy. The two Product Groups producing the highest impact, both on Members' policy as well as more broadly in terms of their overall impact,⁴ include the statistical work of the Committee (see [6.1](#) and [6.2](#)):

3. See also paragraph 24 with reference to the implementation of work in the WPB and WPN. The sixth sub-body, STIG, has been attended by only a small number of delegates and is a time-limited, project-specific steering group. The mandate of this body will expire at the end of 2012 when its work is programmed to be completed.

4. The concept of *overall* impact covers actual and potential impact on Members' policy as well as impact on the visibility and credibility of the OECD. Consequently *actual* impact is defined as overall impact minus potential impact and impact on the visibility and credibility of the OECD.

- Statistics and Indicators for Science, Technology and Innovation;
- STI Outlook.

19. Whilst there is no significant difference in terms of the level of impact between the two Output Areas overseen by the Committee (unlike in terms of relevance, see above), there is a difference with respect to the type of impact produced, corresponding with the particularities of their respective products. The most tangible and direct types of impact are reported more frequently as resulting from products in the biotechnology area as these have been used as the baseline or the standard for national biotechnology policy. Impacts arising from science and innovation products more frequently take the form of supporting discussions and studies, providing references in reports and briefings as well as information of use in international benchmarking exercises (see [6.2](#) and [6.3.1](#)).

20. As regards products in the area of nanotechnology, launched in 2007, the level of overall and especially actual impact of products is assessed as relatively lower by policymakers and by experts in this field.

21. A range of factors have been identified as either supporting or hindering the impact of the CSTP's work, some of which are specific to particular Members and/or Product Groups while others are likely to be more cross-cutting in nature. A key positive factor identified which relates to the CSTP's orientation and the design of its products is a continuous and focused investment in major policy issues resulting in the development of integrated products, based on solid comparative international statistics and case studies leading to policy options rather than recommendations.

22. By contrast, some factors identified as supporting impact were found to not always be reflected in the Committee's products and processes:

- the format of reports, in particular the presence of clear policy questions, conclusions and an executive summary, which greatly ease their dissemination and use beyond delegates;
- the geographical focus of products, which conditions their perimeter of use, hence their level of impact, this particularly being the case of Innovation Policy Reviews which in most cases have a very strong impact in reviewed countries but significantly less in others (see [6.3.2](#)).

23. In the light of the above, the following recommendation focuses on underpinning the policy impact of the Committee's work and strengthening it as necessary:

Recommendation N°2: The CSTP should:

- ensure that the design of its products reflects more systematically the needs of potential key users beyond committee delegates, including through better and clearer structuring of reports and the inclusion of an executive summary in all cases; and,
- enhance the involvement of peer country policymakers in the conducting and dissemination of the Innovation Policy Reviews, including beyond the CSTP's policy community when feasible, in order to maximise the appropriation and impact of these products both in and beyond the reviewed countries.

24. Another factor identified, which may have contributed to the declining relevance for Members over the review period of the Committee's work in the areas of biotechnology and nanotechnology, is an overly long project cycle (i.e. the time between the programming of a work item and its delivery), which results in some final products in these rapidly moving areas being based on outdated data and case studies.

25. Some factors were also identified in the characteristics of the country policy environments:

- the impact of ‘sectoral’ products (notably in the areas of biotechnology and nanotechnology) is stronger in Members having in place appropriate structures and capabilities to contribute to and exploit the results of the CSTP’s work;
- The extent to which research and innovation policies are co-ordinated affects the potential for disseminating and using CSTP products by policymakers traditionally in charge of S&T policies.

3.3 *Assessment of efficiency*

26. The assessment of efficiency is based firstly on assessing the extent to which the Committee is producing products of the requisite quality for the resources allocated (technical efficiency) and secondly on an analysis of how well it is functioning (process efficiency).

27. The CSTP has been **highly to very highly efficient** over the period from 2005 to 2012.

28. Thirteen out of the CSTP’s seventeen Product Groups achieve the quality threshold accounting for 85% of its Part I budget. The Product Groups with the highest level of quality are those in the area of statistics as well as products in the area of human genetic testing and databases (see [7.1](#)).

29. The four Product Groups below the quality threshold are:

- Nanotechnologies;
- Innovation Strategy related products;
- International co-operation in science and technology to foster sustainable development;
- Licensing and patents in biotechnology.

30. During most of the review period, the development of the Committee’s successive work programmes has essentially been driven by the working parties, with limited involvement and effective oversight of the CSTP itself. This has resulted in a diffuse and fragmented work programme that has lacked a long term strategic vision to guide it. This has also made it difficult for the CSTP to monitor the implementation of the different strands of work and relate them to the different Committee priorities. Moreover, the absence of a clear view of the progress of projects and their maturation into policy relevant products has hindered their dissemination to and within Members’ administrations (see [7.2.1](#) and [7.2.2](#)).

31. The CSTP has, however, in the last two years significantly improved its strategic steering and work programme development process, using a more top-down and integrated approach identified as a potential ‘good practice’ (see [8](#)).

Box 1: Development of a strategic framework providing a fully integrated approach to programming, implementation and dissemination (Potential Good Practice Case)

The CSTP oversees the work of seven working parties, some of them being well-established and longstanding with a long history of relative autonomy in the development and implementation of their respective activities. This configuration, along with the specific expertise needed to address the mix of horizontal or vertical issues covered by the working parties, have resulted in fragmented programmes of work, developed in a bottom-way and insufficiently monitored by the CSTP.

Although efforts to better integrate and co-ordinate the different strands of work started in 2006 in response to the previous IDE, the strategic and programming process has been significantly revised as part of the development of the 2013-14 programme of work. The new process started with consultations with the

Bureau leading to the drafting of a “Forward-looking strategy for CSTP” and, a year later, a “Chair’s Strategic Document” setting out more precisely the strategic priorities in four thematic areas (Economic Impact, STI Interactions and Societal Challenges, Underpinning Elements), discussed in an extended bureau meeting and in the working parties in order to involve them in the overall committee strategy. These top-down overarching priorities, developed in consultation with the working parties, are the basis upon which each of them has developed their programme of work for the Biennium 2013/14.

This process has allowed the development of an overall matrix mapping the contributions of each working party to strategic policy issues in each thematic area, resulting in a more strategically focused and integrated programme of work, while still drawing upon the specific capabilities and responding to the specific needs of each policy area. In the course of the Biennium, the outputs of each working party with regards to the different strategic policy issues in the four thematic areas will be monitored based on this framework. At the end of the Biennium, the results of their work will be combined and consolidated in synthetic reports for discussion and promotion in specific events gathering the different policy communities.

32. Although the CSTP has interacted with other committees, in particular with the CIIE, through various means, these horizontal relations have not been as systematic as they could have been. Over the review period, the Secretariat has provided the main channel through which relations with other concerned committees have been maintained, both on a bilateral basis and within the framework of horizontal projects (see [7.2.3](#)).

Recommendation N°3: The CSTP should develop more systematic ways of interacting with other committees implementing complementary activities, in particular CIIE in the area of innovation policies, including Innovation Policy Reviews.

33. The Committee has a long track-record of relationship with non-Members, which was further strengthened during the review period, through different means, in particular observerships, the implementation of statistical activities, Innovation Policy Reviews, and more recently increased co-ordination within the framework of the activities of the Global Science Forum (see [7.2.4](#)).

34. The Committee has maintained relatively strong relations with several international organisations, despite their very low attendance at meetings, and has established regular and effective modes of interactions with other stakeholder bodies (see [7.2.5](#)).

4. Contribution of the CSTP to the Innovation Strategy

35. The Innovation Strategy was largely seen from the outset by the CSTP as providing an opportunity to broaden its approach to innovation beyond the technological dimension, to mainstream innovation policy issues and increase the visibility of the CSTP’s work.

36. Although an important component of the Committee mandate and programme of work prior to the launching of the Innovation Strategy, work on innovation policy issues was further strengthened in the 2009-10 work programme to the extent that a small number of other activities had to be slightly delayed or reduced in size (see [9.1](#)).

37. The Committee made key contributions to the final products resulting from the Innovation Strategy, drawing on the long established knowledge base policy resulting from its past activities on the topic of innovation and on its ongoing activities, as well as through the results of some dedicated activities. Considered together with the CIIE as one of the two “*core Committees*” of the Innovation Strategy, the CSTP also provided numerous comments and inputs on all deliverables when consulted at key project milestones (see [9.2](#)).

38. The CSTP's Innovation Strategy related products⁵ are assessed by policymakers as being of lower impact, compared to most of the Committee's other products (see [9.3](#)).

39. The Innovation Strategy main products⁶ have generally had a high level of impact from the perspective of the science and technology policy community, with a reach beyond the level of CSTP delegates, something which has always been a challenge for the Committee to achieve directly through its own work. While the Innovation Strategy is not universally viewed as having a significant impact, the products have been widely consulted and discussed in different ministries, and used for instance by those in charge of finance in the framework of budget negotiations and up to the highest level of policymaking.

40. The Innovation Strategy has fed back into how the CSTP develops its work programme, paving the way toward the more integrated process which has been used to establish the Committee's 2013-14 programme of work. It has also had an effect on the orientation of the work programme since, further to the completion of the Innovation Strategy, the Committee has decided to rebalance its work programme to focus more on science related issues (see [9.4](#)).

5. Proposed action

41. In the light of the preceding, the Council is invited to adopt the following draft conclusions:

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- a) noted document [C\(2012\)133](#);
- b) noted that the Evaluation Committee assessment with regard to the Committee for Scientific and Technological Policy was "high" for the evaluation criteria of relevance and effectiveness and "high to very high" for efficiency;
- c) approved the recommendations proposed by the Evaluation Committee as set out in document [C\(2012\)133](#);
- d) invited the Committee for Scientific and Technological Policy to take the appropriate measures for the implementation of the recommendations and to take into account the results of this evaluation during the next review of its mandate and the related evaluation of the continuing relevance of its substructure;
- e) invited the Evaluation Committee to monitor the implementation of the recommendations and provide an update on the implementation of the identified potential good practice, and to submit a report on this matter to the Council before the end of November 2013.

5. These are the products developed by the CSTP within its 2009-10 programme of work most specifically to be used as *inputs* into the Innovation Strategy. Much of the Committee's other work and resulting products also contributed more broadly to the project.

6. These products are the *final outputs* of the Innovation Strategy (see Box 1).

ANNEX I: OBSERVATIONS, ANALYSES AND ASSESSMENT

1. Scope and focus of the evaluation

42. The scope of this evaluation is the Committee for Scientific and Technological Policy (CSTP) and its sub-bodies. Also included within the scope of the evaluation is the CSTP's contribution to the conducting of the Innovation Strategy.⁷

43. The focus of the evaluation is on the period from 2005 to 2012 and covers the following elements:⁸

- the orientation and functioning of the CSTP from 2006 onwards;
- the quality of products produced under its responsibility during the period from 2005 to 2010⁹ belonging to Output Areas 1.3.2 (Science and Innovation Policies), 1.3.3 (Biotechnology) and 1.3.4H (Innovation Strategy);
- the impacts induced up to the present by the aforementioned products primarily at the level of Members.¹⁰

2. Methodology

44. The IDE of the CSTP was formally launched on 17 April 2012 when the Evaluation Committee met with the Bureau to validate the Terms of Reference. The intermediate report was reviewed by the Evaluation Committee at its meeting of 18 June 2012. The draft final report was reviewed by the Evaluation Committee at its meeting of 20 September 2012 and then presented to the CSTP Bureau for discussion and validation on 8 October 2012.

45. The Committee was evaluated with respect to the following evaluation criteria:

- **relevance**, i.e. whether the Committee is addressing the policy needs and concerns of Members;
- **effectiveness**, i.e. whether the Committee is having a significant policy impact in areas of highest policy needs and concerns for Members;
- **efficiency**, i.e. if the Committee is producing products of the requisite quality with the resources allocated and how well it is functioning.

46. In total, 51 key persons were interviewed (policymakers, delegates and representatives of other international organisations of stakeholder organisations).¹¹ A survey was conducted to collect data on the

7. The results of this evaluation with regard to the Innovation Strategy will be consolidated with those obtained from the IDEs of the CIIE and the CCP and a specific evaluation of the ICCP in this respect and presented as part of the Evaluation Committee's 2013 Annual Evaluation Report to Council.

8. The 1st Cycle IDE covered the period up to and including 2005 in terms of the CSTP's orientation and functioning and 2004 with regard to its Output Results.

9. This period corresponds with the availability of Programme Implementation Reporting (PIR) data. This does not preclude the use of feedback obtained from interviewees on products completed in 2011 and 2012.

10. Members should be understood as the 34 OECD Member countries and the European Union.

relevance of the Committee's expected outcomes to which 25 Members responded, a participation rate of 71.4%. Data from the Medium-Term Orientation (MTO) and Programme Implementation Reporting (PIR) surveys were also mobilised, along with relevant in-house documentary sources.¹²

3. Key Committee Facts

3.1 Formal Structure and Output Area(s)

47. The CSTP presently has seven Level II sub-bodies, of which the following ones are longstanding and in one case predate the creation of the Committee (see Figure 1, below):

- the Working Party of National Experts on Science and Technology Indicators (NESTI);
- the Working Party on Innovation and Technology Policy (TIP);
- the Working Party on Biotechnology (WPB);
- the Part II funded OECD Global Science Forum.¹³

48. The remaining three were either created during the review period, or in one case restructured and renamed:

- The Working Party on Research Institutions and Human Resources (RIHR), formerly the Ad Hoc Working Group on Steering and Funding of Research Institutions (SFRI) until April 2008;
- The Steering Group on Governance of International Co-operation on Science, Technology and Innovation for Global Challenges (STIG), created in October 2010;
- The Working Party on Nanotechnology (WPN), created in March 2007.

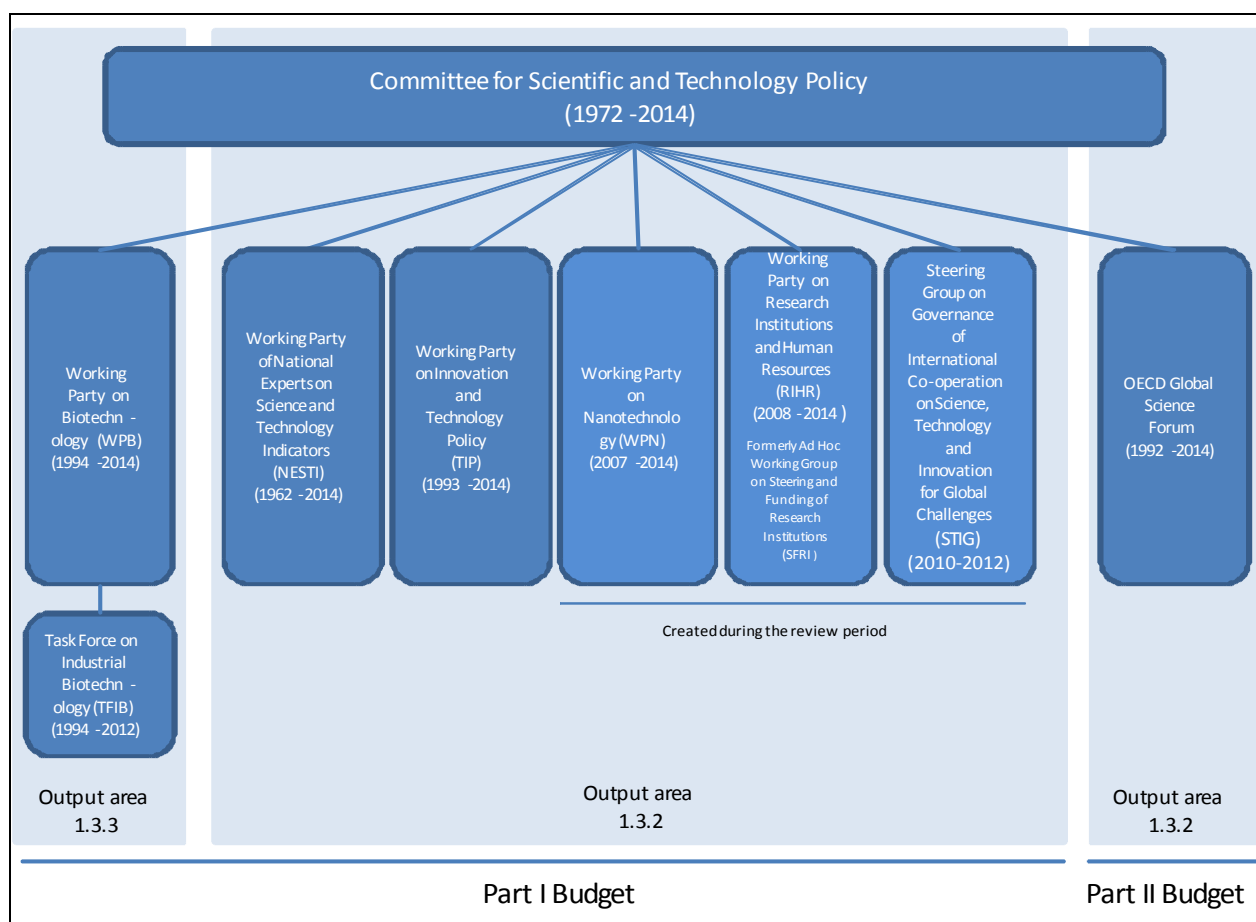
49. During the review period, the Committee has been accountable for two Output Areas, namely Science and Innovation Policies (1.3.2) and Biotechnology (1.3.3).

11. Relevant OECD officials were also consulted as necessary.

12. Further information on the conducting of the evaluation can be found in Annex III.

13. This body was the object of an evaluation in 2008 [[DSTI/STP/MS\(2008\)3](#)] the results of which have been used as an input into the present evaluation.

Figure 1: The Committee for Scientific and Technological Policy (CSTP) and its substructure (2005 to the present)



50. The Secretariat of the CSTP is situated within the Directorate for Science, Technology and Industry.

3.2 *Work Programme Profile and Products*

51. Over the review period, the outputs of the CSTP's work programme have covered most of the product types, with a longstanding emphasis on statistics and indicators as indicated in Table 1 (below) following the typology of PWB final product output categories.¹⁴

14. A detailed list of products can be found in Table 6.

Table 1: CSTP work programme profile (2005-2012)

Data/Models / Indicators, Statistical reports	Analytical / Outlook Reports	Good Practice Reports, Benchmark- ing Studies	Peer Reviews or surveys	Policy Recommend- ations	OECD Instruments		Evaluations
					Guidelines, Declarations (‘Soft’ Law)	Conventions and Legal Agreements (‘Hard’ Law)	
XXX	XX	XX	X	X	XX		XX

52. Specifically with respect to formal OECD instruments, the Committee was responsible for the development of five Council Recommendations over the review period, three of them being related to its work in the area of biotechnology:

- Recommendation of the Council on the Licensing of Genetic Inventions (2005);
- Recommendation of the Council concerning Access to Research Data from Public Funding (2006);
- Recommendation of the Council on Quality Assurance in Molecular Genetic Testing (2007);
- Recommendation of the Council on Human Biobanks and Genetic Research Databases (2009);
- Recommendation of the Council on Assessing the Sustainability of Bio-Based Products (2012).

4. Results of the 1st Cycle IDE

53. The 1st Cycle IDE of the CSTP was conducted from September 2005 to March 2006, covering the period from 2001 to 2005/06. The results of the evaluation were reported in March 2006,¹⁵ followed by two reports on the implementation of recommendations¹⁶ presented in December 2006¹⁷ and in July 2007.¹⁸ The results of the evaluation and follow up activities to implement recommendations are summarised in Table 2, below.

15. [C/ESG\(2006\)2](#), [C\(2006\)61](#) & [C/M\(2006\)7](#).

16. The monitoring exercise was at the beginning of the 1st Cycle conducted in two rounds: the first round of monitoring focused primarily on the preparation of appropriate ameliorative actions and the second, approximately one year after the evaluation, aimed to examine the extent to which appropriate concrete actions have been implemented.

17. [C\(2006\)160](#) & CORR1, [C/M\(2006\)20](#).

18. [C\(2007\)79](#) & [C/M\(2007\)11](#).

Table 2: Summary of the 1st Cycle IDE results

Assessment*	
Relevance: How well a committee is attuned to the needs of Members' policymakers.	Positive picture (No rating provided)
Effectiveness: The extent to which the work of a committee is having an impact on Members' policies, if these impacts are in line with a committee's objectives, and if they are likely to result in long-lasting policy changes.	Relatively positive characterised by highly contrasting results between biotech and S&T work (No rating provided)
Efficiency: The degree to which a committee is working efficiently, in terms of both how it functions and the relationship between resources used and outputs produced.	Relatively strong (No rating provided)
Recommendations and follow up	
Recommendations	<ol style="list-style-type: none"> 1. In the context of renewing its mandate at the end of 2009, the CSTP should conduct a formal assessment of the policy needs of stakeholders over the medium to longer term for both Science and Innovation Policy and Biotechnology; 2. It should examine how the visibility of Output Results can be raised where this appears to be a problem, and act to actively promote feedback on the impact of Outreach Output Results on non-Members to Members; 3. The Committee should develop a strategy to ensure that Voluntary Contributions do not give rise to "mandate creep", <i>i.e.</i> the conducting of ad hoc VC-financed projects that lead to a misalignment between the work programme and the Committee's medium to longer-term aims; 4. The Committee should encourage the continuing focus of a non-negligible part of the work of the GSF on issues of socio-economic interest; 5. The CSTP should continue to encourage the transition of the Working Party on Biotechnology (WPB) towards a stronger focus on policy issues, for example through clearly defining and communicating its needs to the Working Party; 6. The apparent low level of use and policy impacts of the majority of Output Results produced by TIP and the SFRI over the period covered by the evaluation should be examined more closely with a view to understanding better these results, drawing lessons for the future and taking action when necessary; 7. The CSTP should formally assess the extent to which evolutions in its requirements in the field of Biotechnology and in the capabilities of the European Commission in the field of Science and Innovation Policy give rise to a need to modify working relations between the two bodies and the scope of OECD activities.
Implementation	<p>By July 2007, actions relative to the seven recommendations were underway and were to continue to be implemented on an ongoing basis with the expected results of:</p> <ol style="list-style-type: none"> 1. A formal assessment of policy needs and strategic priorities of Member countries resulting from a high-level meeting at the level of senior executives in charge of scientific and technological policy; 2. Greater visibility of Output Results and of the Output Results on Outreach on policy development in non-Members, based on a newly developed impact strategy; 3. A stronger focus of resources on strategic areas of work, resulting in greater impact of the work (through the aforementioned impact strategy and CSTP high-level meeting); 4. Stronger link between the work of the GSF and the broader objectives of the OECD, notably as regards socio-economic challenges, through workshops and conferences addressing socio-economic issues; 5. Stronger focus of the WPB on policy, greater impact of its work on policy development

	<p>(notably through reporting of the WPB to CSTP and WPB self-evaluation of its focus on biotechnology policy-related issues);</p> <p>6. Greater use and policy impact of the work by TIP and SFRI, as set out in the CSTP impact strategy;</p> <p>7. Co-ordination with the European Commission in order to achieve greater complementarity with its work.</p>
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* The CSTP was evaluated as part of the 1st wave of IDEs, when the harmonised IDE rating scale was not yet put into place.

5. Relevance

54. This section presents an assessment of **the extent to which the Committee's work programme is aligned with Members' policy needs and concerns**.

55. Underlying analyses focus on:

- the degree of alignment between a Committee's expected outcomes and the policy needs of Members' policymakers;¹⁹
- the degree to which Members consider that the Output Area for which a Committee is accountable represents a priority for the OECD in terms of changes in Part I funding;
- the extent of interest of OECD Members in a Committee's work as evidenced by delegates' willingness to travel from capitals to participate in meetings.

5.1 *To what extent have the Committee's expected outcomes been aligned with the needs of policymakers?*

56. In the policy areas covered by the work of the CSTP (Science and Innovation, and Biotechnology), nine of the twelve expected outcomes are above the benchmark of one-half of Members replying to the survey rating them as at least highly relevant to their policymaking needs and concerns (see Figure 2, below).

57. Three expected outcomes are assessed as being of high or very high relevance by 80% or more of Members:

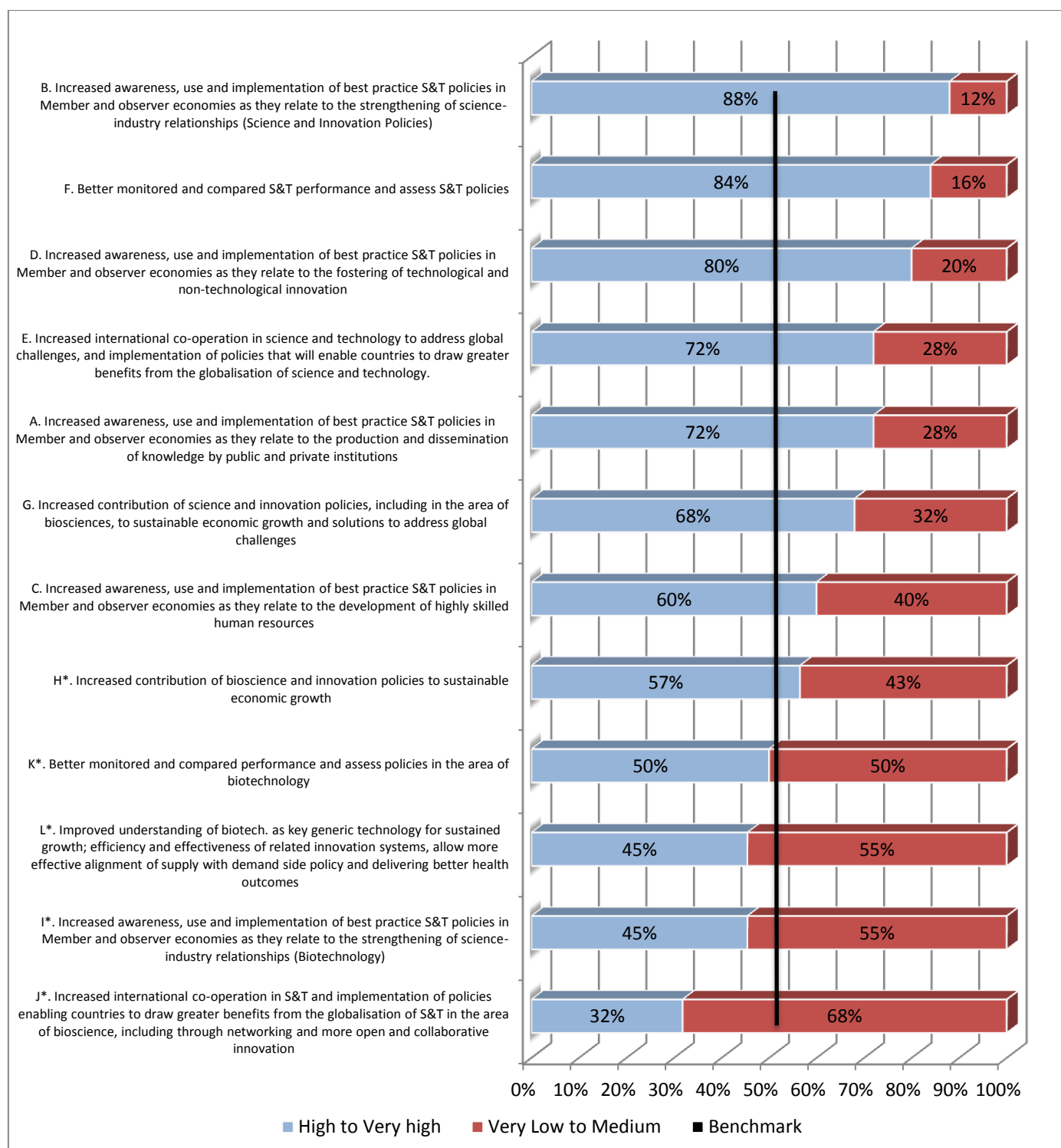
- Increased awareness, use and implementation of best practice S&T policies in member and observer economies as they relate to the strengthening of science-industry relationships (Science and Innovation Policies);
- Better monitored and compared S&T performance and assessment of S&T policies;
- Increased awareness, use and implementation of best practice S&T policies in Member and observer economies as they relate to the fostering of technological and non-technological innovation.

19. In the survey of delegates used for this assessment (see Annex II), the expected outcomes of the two Output Areas were separated and the survey sent to both policy communities allowing respondents to provide an assessment of the relevance of expected outcomes in their own area of policy expertise. The resulting survey data was tested for bias, primarily in terms of whether 'generalist' policymakers outside the biotechnology community rated the expected outcomes as being of lower relevance than the specialists. No evidence of bias was found.

58. The three expected outcomes that fall short of the benchmark of at least one-half of Members giving a rating of high or very high relevance are in the biotechnology policy area, namely:

- Increased international co-operation in science and technology and implementation of policies that will enable countries to draw greater benefits from the globalisation of science and technology in the area of bioscience, including through networking and more open and collaborative innovation;
- Increased awareness, use and implementation of best practice S&T policies in Member and observer economies as they relate to the strengthening of science-industry relationships (biotechnology);
- Improved understanding of biotechnology as a key generic technology for sustained growth and the efficiency and effectiveness of innovation systems that draw on biotechnology, particularly on genetic science, and allow more effective alignment of supply with demand side policy as well as delivering better health outcomes.

Figure 2: Relevance of PWB expected outcomes to Members' policy needs in the policy area of Science and Innovation (Output Area 1.3.2) and Biotechnology (Output Area 1.3.3)



Source: IDE survey

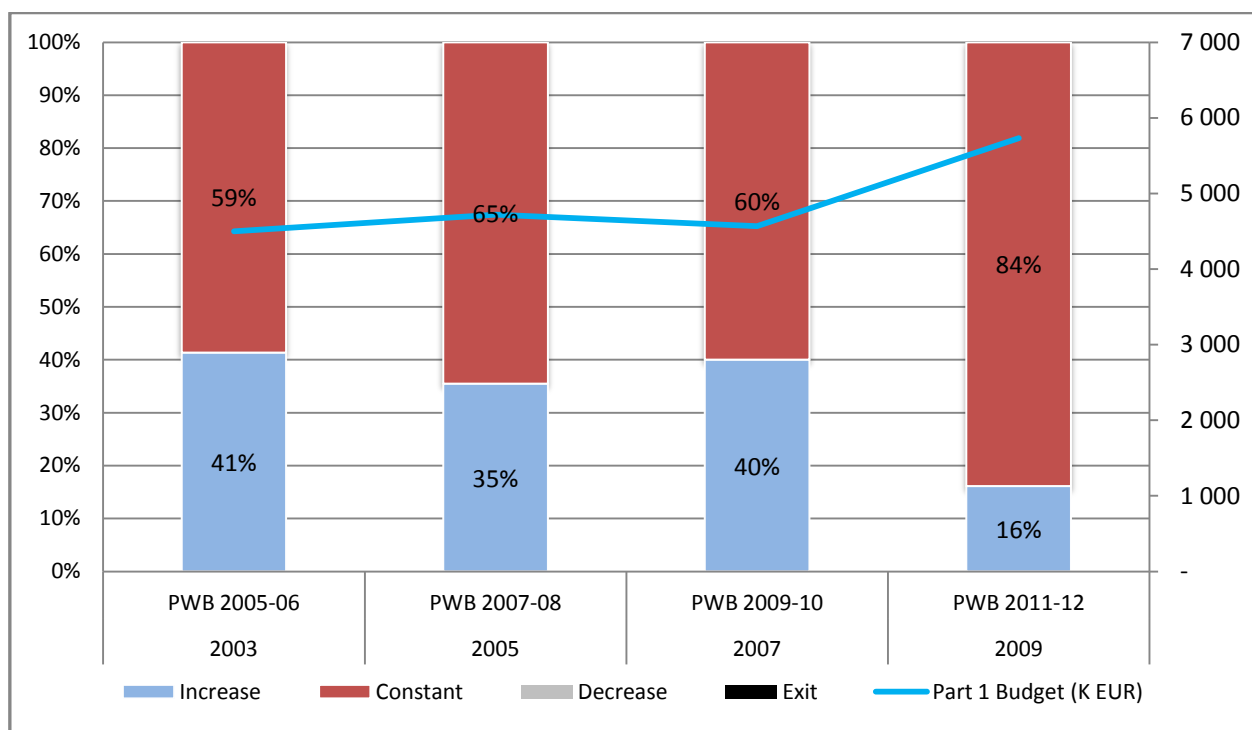
Note: Expected Outcomes A to G are specific to the Output Area 1.3.2 and H* to L* to the Output Area 1.3.3.

5.2 To what extent has the work of the Committee been viewed by Members to be in a priority Output Area?

59. The two different Output Areas (1.3.2 and 1.3.3) in which the work of the CSTP has been programmed show significant differences in terms of Members' priorities during the review period.

60. Output Area 1.3.2 (Science and Innovation Policies) has been a higher priority²⁰ for Part I funding for the most of the review period. Following three Bienniums of stable Part I funding, the Committee's Part I resources were increased by 25% in nominal terms in the 2011-12 Biennium. The 2009 MTO survey indicates that this Output Area for the 2011-12 Biennium is considered as a middle-ranking priority with a significant majority of Members indicating via the MTO survey a preference for the level of Part I resources to remain unchanged (see Figure 3, below).

Figure 3: MTO results (%) for Output Area 1.3.2 (Science and Innovation Policies) and Part I budget, in K Euros (2005-2012)



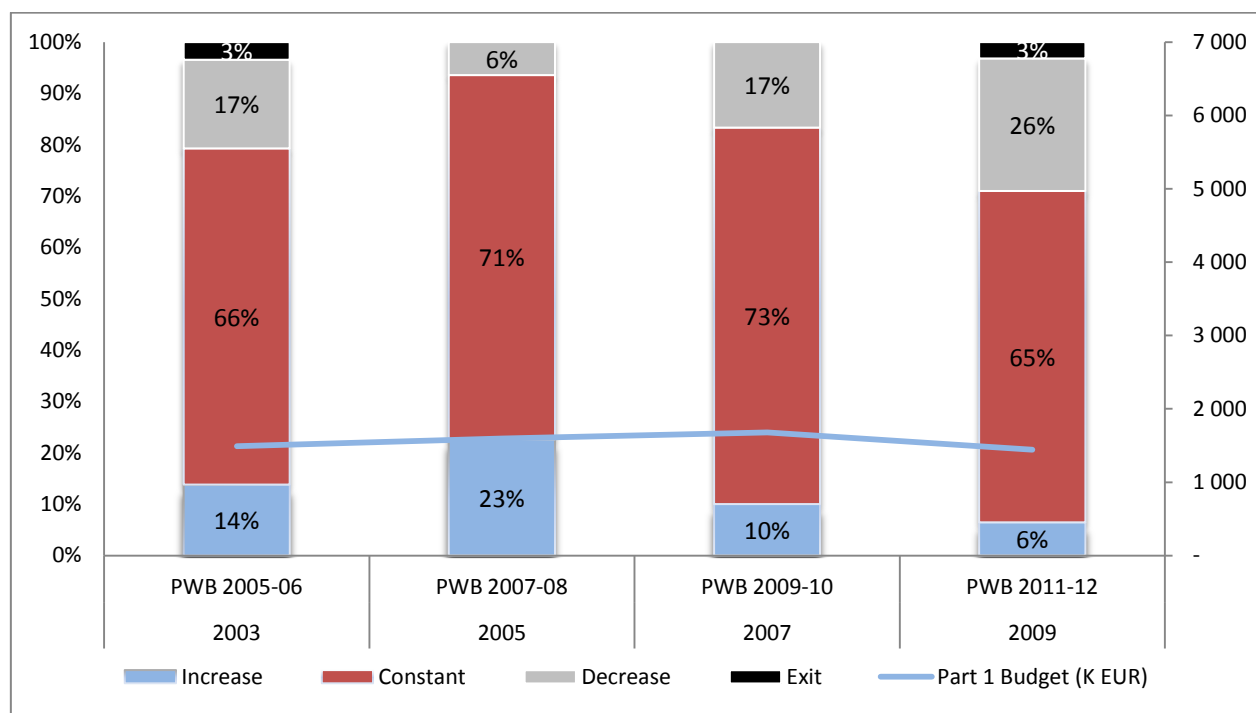
Source: MTO and PWB

20. The objective of the MTO survey is to ascertain Members' views as to the desired direction of resources in the OECD's policy work over the medium term. In the context of In-depth Evaluation, the desire of Members to move resources into or away from an Output Area is used as a proxy for the relevance of the work vis-à-vis their policy needs. The survey has been refined since its inception in 2003, but the basic question that it poses is unchanged, i.e. *whether resources allocated to each of the 'substantive' Output Areas in the Organisation's Strategic Management Framework should be increased, remain about constant, or be decreased.* [(C(2007)52/REV1)].

A 'higher priority' Output Area corresponds with at least 7 Members indicating that they would prefer to increase resources from the Part I Budget in the concerned policy field. A 'lower priority' Output Area corresponds with as at least 7 Members (i.e. at least 22% calculated on the basis of 31 Members up to 2010) indicating that they would prefer to decrease resources in the concerned policy field. A 'middle ranking' priority is situated between the two and also includes Output Areas where Members' preferences are polarised between increasing and decreasing Part I resources.

61. The results of the successive MTO surveys relating to the 2005-06, 2007-08, 2008-09 PWBs indicated that the Biotechnology Output Area was a middle-ranking priority for Part I funding for much of this period with some polarisation of Members about the direction of funding changes. The 2009 MTO survey relating to the Biennium 2011-12 indicates that biotechnology has become a lower priority Output Area with more than 7 Members showing a preference for the Part I budget to be decreased. Following a period of increased Part I funding, Part I resources allocated to the Biotechnology Output Area were trimmed back by 14% in the 2011-12 Biennium (see Figure 4, below).

Figure 4: MTO results (%) for Output Area 1.3.3 (Biotechnology) and Part I budget, in K Euros (2005-2012)

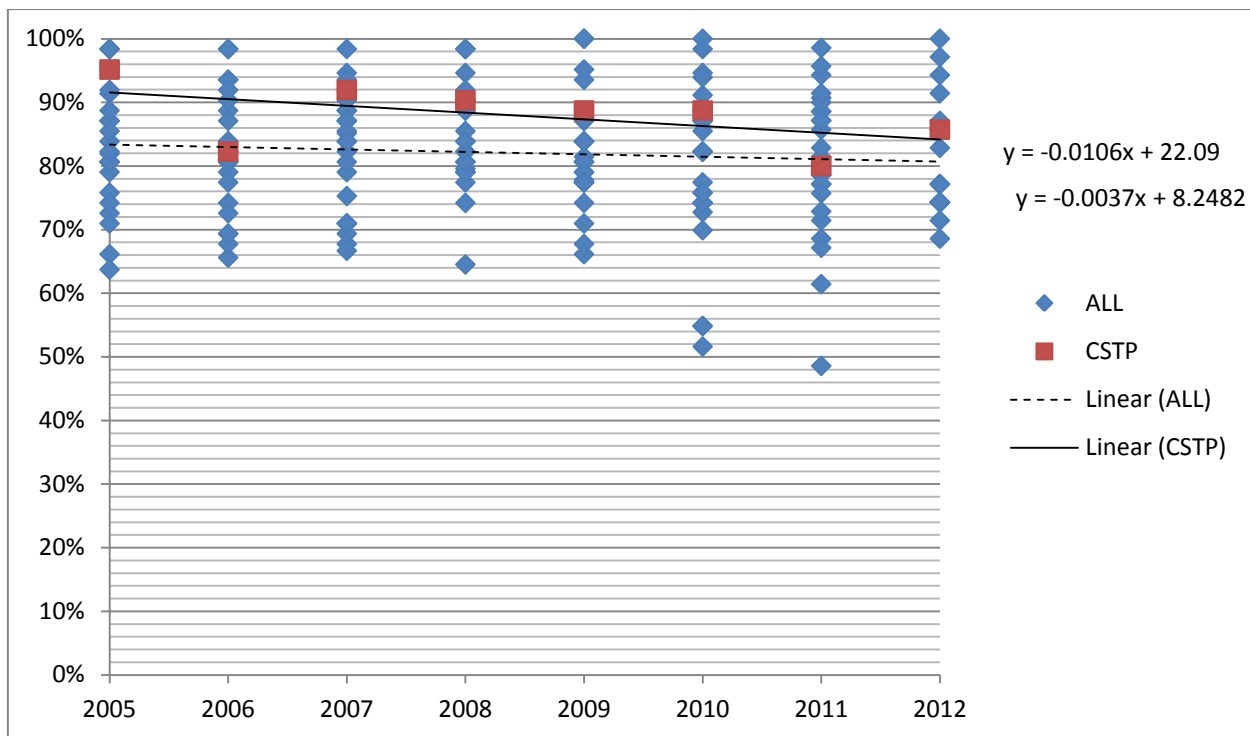


Source: MTO and PWB

5.3 *To what extent is the Committee attracting experts and policymakers to participate in its meetings?*

62. Capital-based delegate participation in the OECD committees has been on a slight downwards trend over the period from 2005 to 2012. The trend in participation in the CSTP has also fallen during this period, though the rate of decline is almost three times higher than for the OECD overall (see Figure 5, below).

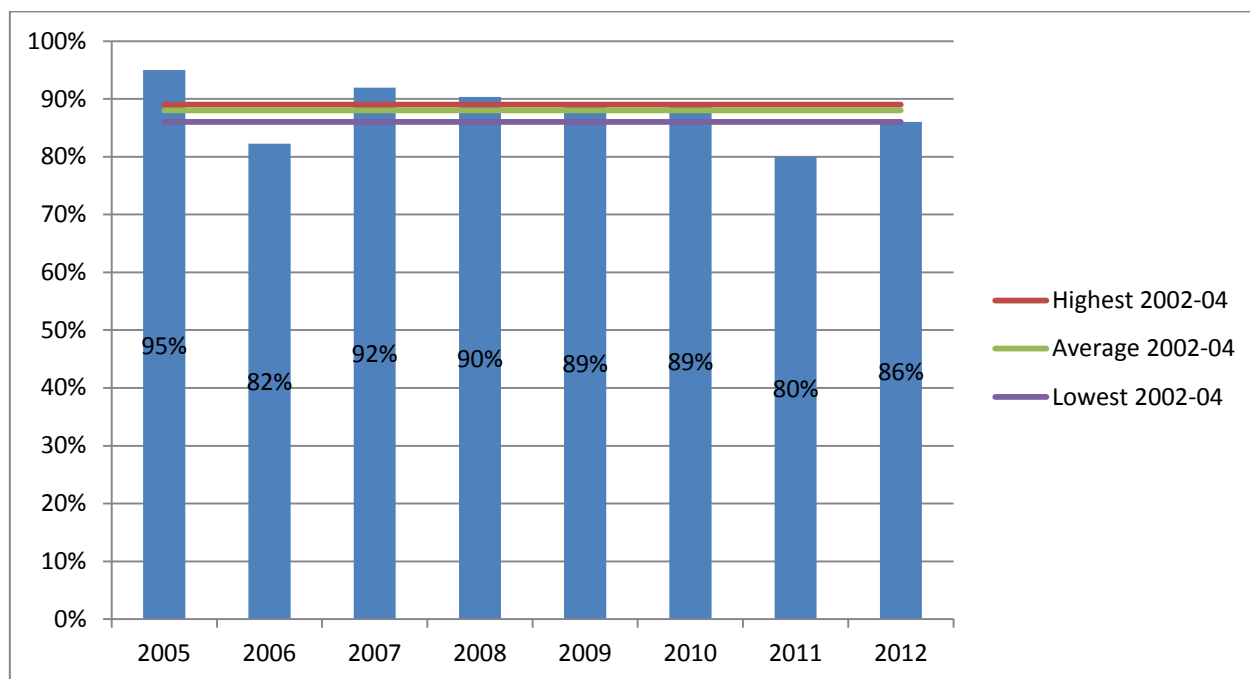
Figure 5: Evolution of capital-based delegate participation in the CSTP for 2005-12 compared to overall participation in OECD committees²¹



Source: Meeting summaries and EMS

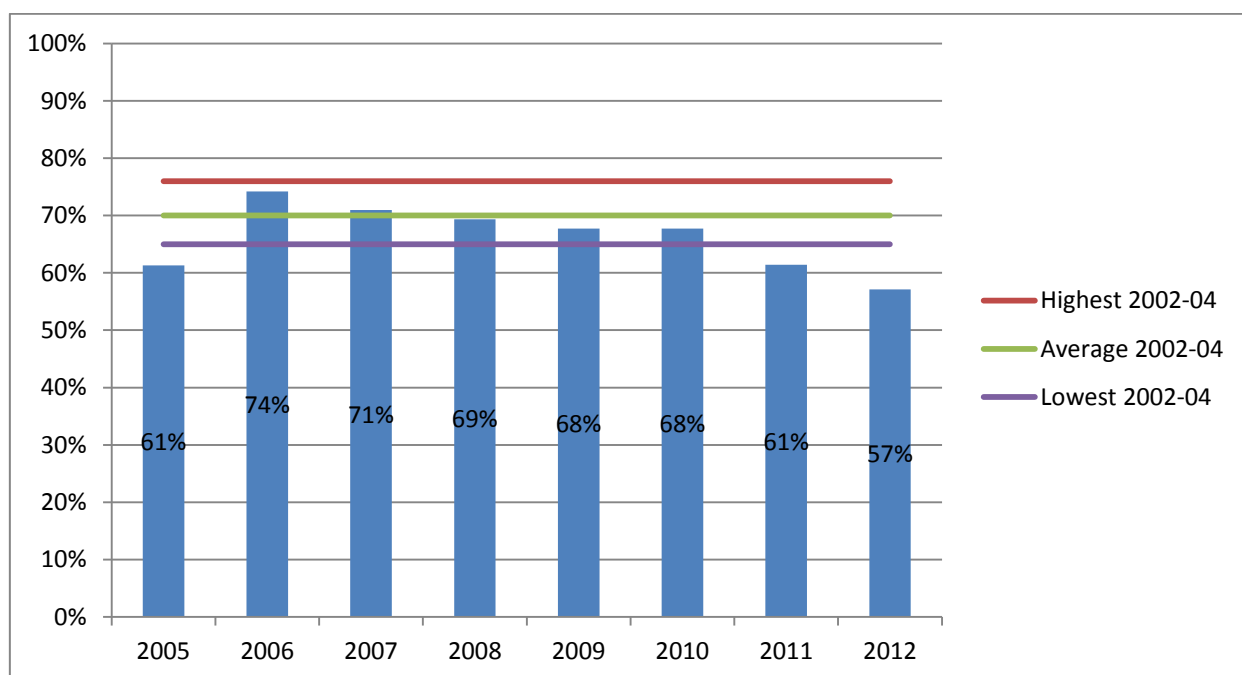
63. The proportion of Members sending capital-based delegates to participate in CSTP meetings in the reference period of 2002 to 2004 averaged 88%. During the review period capital-based participation has exceeded this level for 5 years out of eight, although it has fallen to or beyond the lowest level of the reference period in the last two years (see Figure 6, below).

21. All Level I OECD bodies in existence at some point during the review period and responsible for work funded from the Part I budget.

Figure 6: Capital-based delegate participation in the CSTP for 2005-12 benchmarked against 2002-04

Source: Meeting summaries and EMS

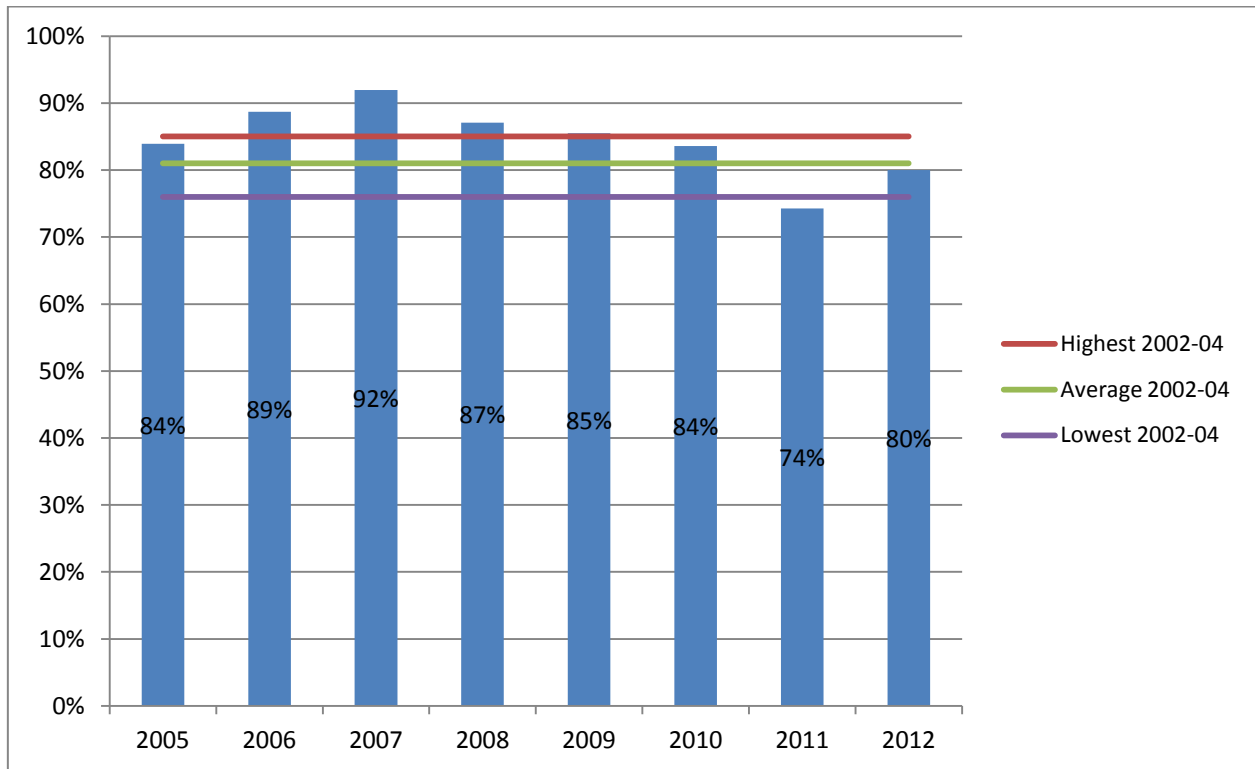
64. For 6 years out of 8 during the review period 2005-2012, capital-based participation in the WPB has been below the average of 70% observed during the reference period of 2002 to 2004 (70%). On a decreasing trend since 2006, participation in the WPB has descended below the lowest level of the reference period during the last two years and reaching its lowest level (57%) at the first meeting of 2012 (see Figure 7, below).

Figure 7: Capital-based delegate participation in the WPB for 2005-12 benchmarked against 2002-04

Source: Meeting summaries and EMS

65. In the case of the TIP, capital-based delegate participation over the review period has been higher than the average for the reference period in six out of eight years, and for three years greater than the highest level. However, the level peaked in 2007, at 92%, and has subsequently declined year-on-year to reach 74% in 2011, before increasing in 2012 to 80% (see Figure 8, below).

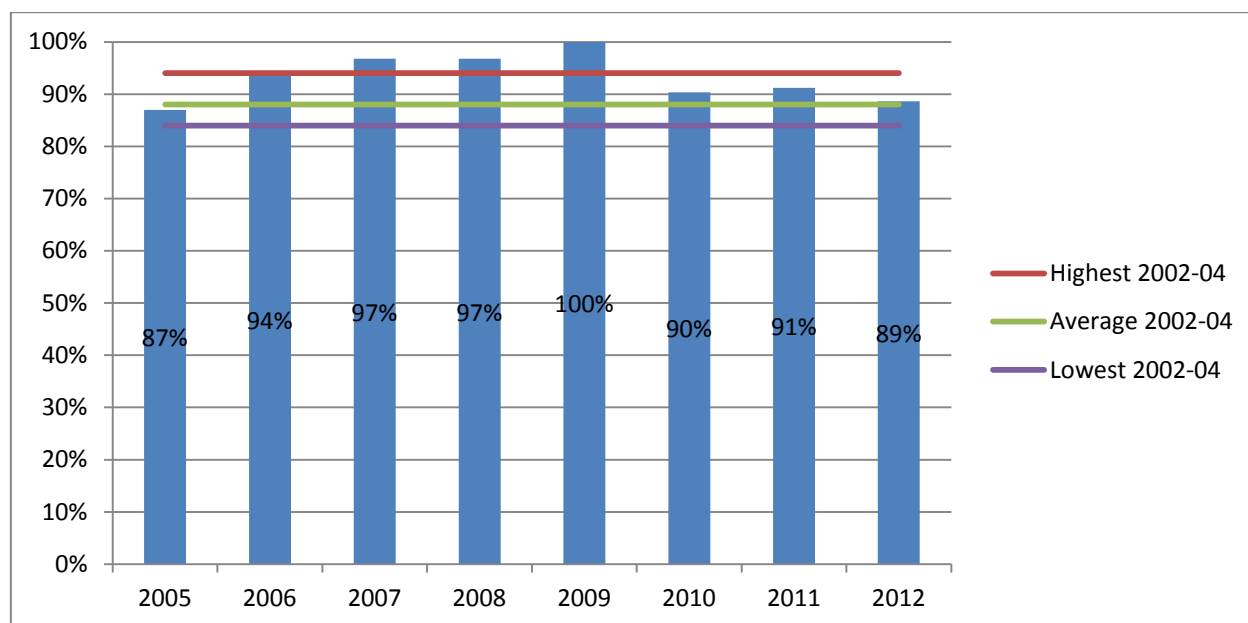
Figure 8: Capital-based delegate participation in the TIP for 2005-12 benchmarked against 2002-04



Source: Meeting summaries and EMS

66. Capital-based delegate participation in NESTI from 2005 to 2012 has been above the average level observed during the 2002-04 reference period for seven years out of eight and for three years has exceeded than the highest level, reaching 100% in 2009. It has since declined to around 90% (see Figure 9, below).

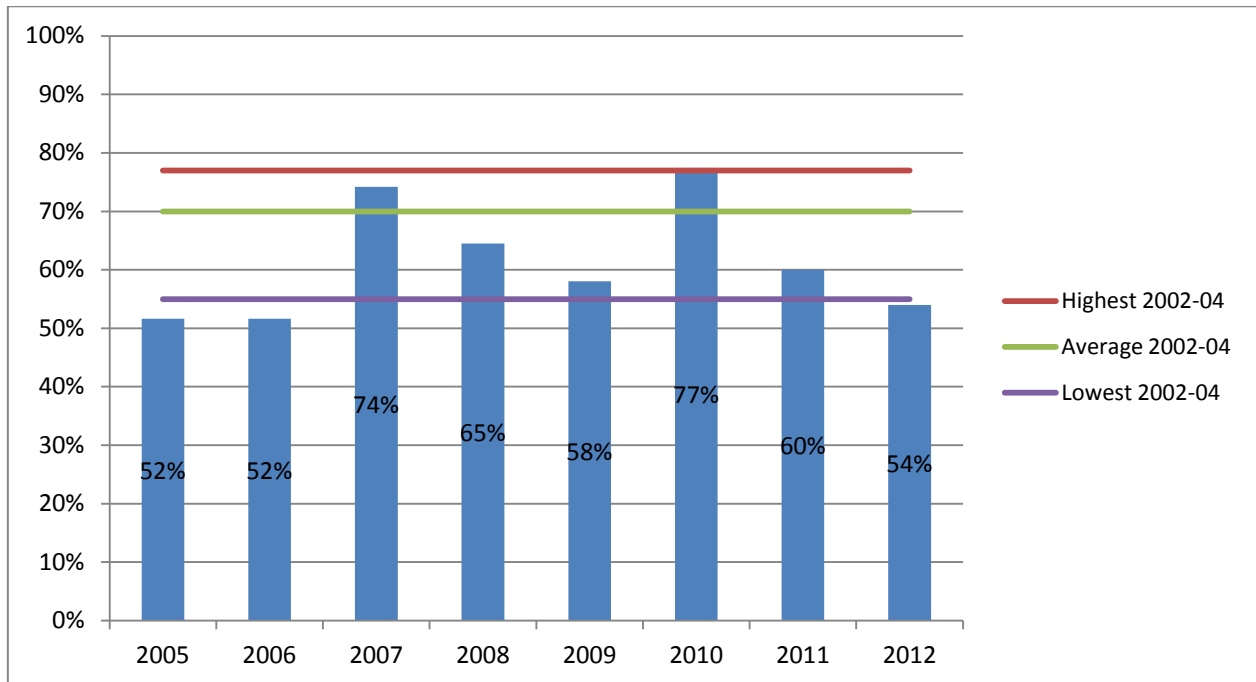
Figure 9: Capital-based delegate participation in the NESTI for 2005-12 benchmarked against 2002-04



Source: Meeting summaries and EMS

67. In the case of the Working Party on Research Institutions and Human Resources (2009-12), capital-based delegate participation has tended to be higher than in its predecessor body, the Ad Hoc Working Group on Steering and Funding of Research Institutions during the 2005-08 period. However, when considering the whole review period regardless of the changes in 2009, capital participation while fluctuating widely has been lower than the average of the reference period for six years out of eight (see Figure 10, below).

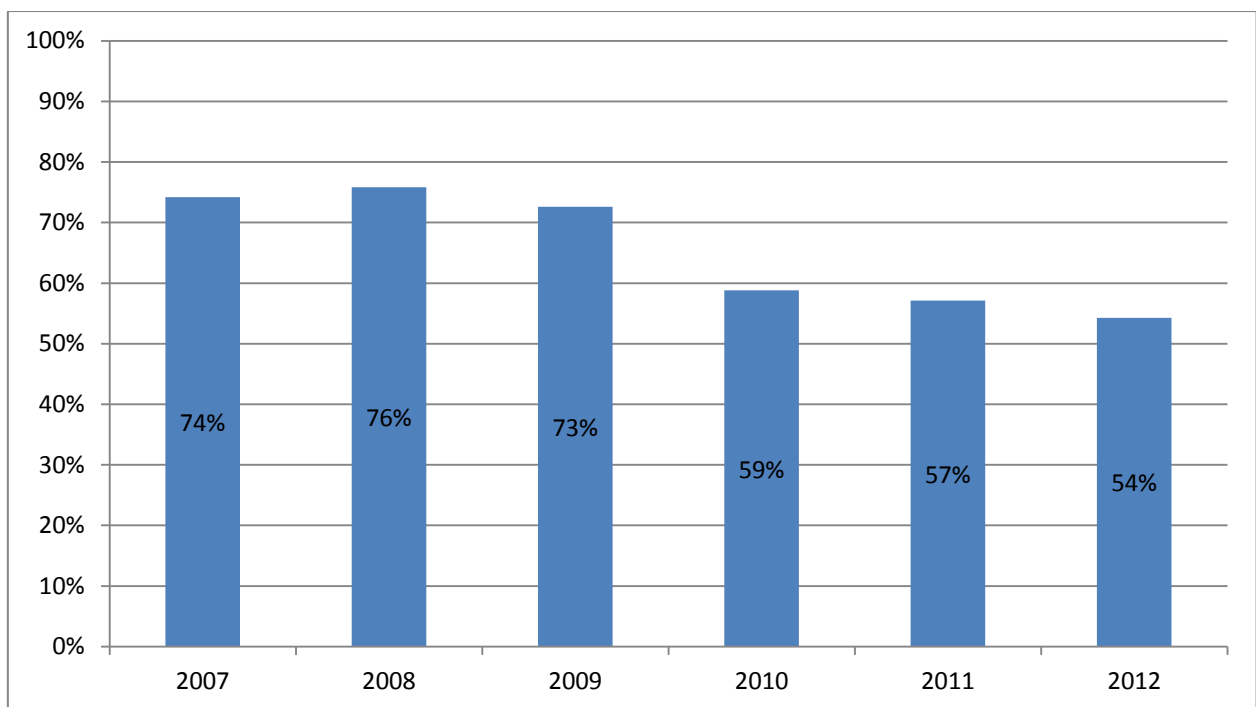
Figure 10: Capital-based delegate participation in the SFRI/RIHR for 2005-12 benchmarked against 2002-04



Source: Meeting summaries and EMS

68. Capital-based participation in the Working Party on Nanotechnology, which in its first two years after its creation was around 75%, has since tailed off to 57% in 2011 and 54% in 2012 (see Figure 11, below).

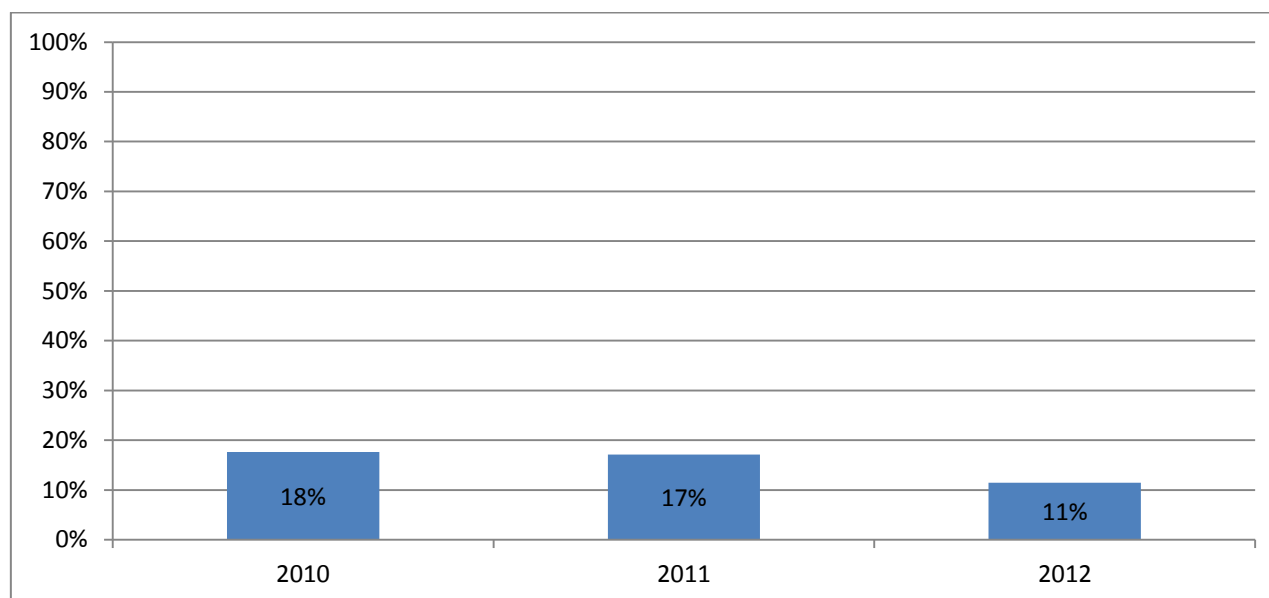
Figure 11: Capital-based delegate participation in the WPN for 2007-12



Source: Meeting summaries and EMS

69. Finally, the most recently created CSTP sub-body, the Steering Group on Governance of International Co-operation on Science, Technology and Innovation for Global Challenges (STIG), in its first year (2010) attracted capital-based delegates from 18% of Members, down to 11% in 2012 (see Figure 12, below).

Figure 12: Capital-based delegate participation in the STIG for 2010-12



Source: Meeting summaries and EMS

5.4 Assessment

70. The assessment of relevance draws on the above mentioned indicators, benchmarked and weighted as follows:

- 75% of the CSTP's expected outcomes are assessed by at least one-half of Members as being highly or very highly aligned with Members' policy needs and concerns with those falling below this threshold belonging to its work in the biotechnology area (see Figure 2, page 19). This corresponds with a sub-rating for relevance of 'high' (see Table 3, page 29). This sub-rating rating carries a weighting of 50%, i.e. it has the same weight as the indicators for MTO results and capital-based delegate participation indicators combined.
- The successive MTOs in the two Output Areas also show contrasted results: the Output Area 1.3.2 "Science and Innovation Policies" has moved from being a higher to middle-ranking priority following an increase in Part I Budget during the review period; the Output Area 1.3.3 "Biotechnology" has moved from a middle ranking to lower priority, with a significant budget decrease in the last Biennium (see Figure 3 and Figure 4, pages 20 and 21 respectively). Consequently, this sub-rating for relevance is considered to be 'medium' (see Table 4, page 29). This sub-rating rating carries a weighting of 25%.
- Capital-based delegate participation in the CSTP during the review period has been on a downwards trend with a rate of decline that is almost three times higher than the overall trend for OECD committees, which corresponds with a situation of decreased relevance (see Figure 5, page 22). Despite this downwards trend, the relevance of the CSTP is deemed unchanged when compared to the 2002-04 reference period. At sub-by level, when compared to the reference period, the two longstanding bodies (NESTI, TIP) are of increased relevance and two (WPB and RIHR) are of a decreased relevance (see Figure 6 to

Figure 10, pages 23 to 26). Participation in the WPN, created in 2007, has declined year on year as of the second year of its existence (see Figure 11, page 26). These observations correspond globally with a slight overall decline in relevance of the Committee. Against the backdrop of the 1st Cycle IDE, which points to the CSTP as being of high to very high relevance, this sub-rating is deemed to be 'high' (see Table 5, page 30). This sub-rating carries a weighting of 25%.

71. In the light of these results and taking into account the weightings of the indicators, the CSTP is assessed as **HIGH** in terms of relevance.

Table 3: To what extent have the Committee's expected outcomes aligned with the needs of policymakers?

% of expected outcomes assessed by at least one-half of Members as being highly or very highly aligned with their policy needs									
Ratings	Very Low	Very Low to Low	Low	Low to Medium	Medium	Medium to High	High	High to Very High	Very High
%	0% to 16%	17% to 23%	24% to 36%	37% to 43%	44% to 56%	57% to 63%	64% to 76%	77% to 83%	84% to 100%
Assessment							CSTP		

Table 4: To what extent has the work of the Committee been viewed by Members to be in a priority Output Area?

Early part of review period	Later part of review period	Part I Budget evolution over review period	Rating	Assessment
Higher priority	Higher priority	Increasing	Very High	
		Falling or stable	High	
	Middle Ranking Priority	Increasing	High	CSTP (OA 1.3.2)
		Falling or stable	Medium	
	Lower Priority	Increasing	High	
		Falling or stable	Low	
Middle Ranking Priority	Higher Priority	Increasing	High	
		Falling or stable	High	
	Middle Ranking Priority	Increasing	Medium	
		Falling or stable	Medium	
	Lower Priority	Increasing	Medium	
		Falling or stable	Low	CSTP (OA 1.3.3)
Lower Priority	Higher Priority	Increasing	High	
		Falling or stable	High	
	Middle Ranking Priority	Increasing	Medium	
		Falling or stable	Medium	
	Lower Priority	Increasing	Low	
		Falling or stable	Very Low	

Table 5: To what extent is the Committee attracting experts and policymakers to participate in its meetings?

Capital-based delegate participation in the Level I Committee compared to overall participation in OECD committees		
Trend line in capital-based delegate participation is:	Assessment:	
• upwards	Increased relevance	
• downwards but less than overall trend for OECD committees	No significant change in relevance	
• downwards	Decreased relevance	CSTP
Capital-based delegate participation benchmarked against the reference period		
Capital-based delegate participation in the review period regularly (66% or more of the time):		
• exceeds the highest level for reference period of three preceding years	Significantly increased relevance	
• exceeds average for reference period of three preceding years	Increased relevance	NESTI, TIP
• falls below the average for reference period of three preceding years	Decreased relevance	WPB RIHR
• falls below the lowest for reference period of three preceding years	Significantly decreased relevance	
Capital-based delegate participation in the review period has been stable, and is thus outside the above categories	Unchanged relevance	CSTP

6. Effectiveness

72. This section presents an assessment of **the extent to which policy impacts resulting from the Committee's products are occurring and whether they correspond with areas of highest policy needs and concerns.**

73. Underlying analyses focus on:

- the degree of impact on Members' policies of Committee products;²²
- insights from a selection of Members into what policy impacts have occurred and why;
- the extent to which impacts correspond with areas of Members' highest policy need.

6.1 *What has been the overall impact of the Committee's work from 2005 to 2010?*

74. The overall impact of a Product Group is calculated on the following basis:²³

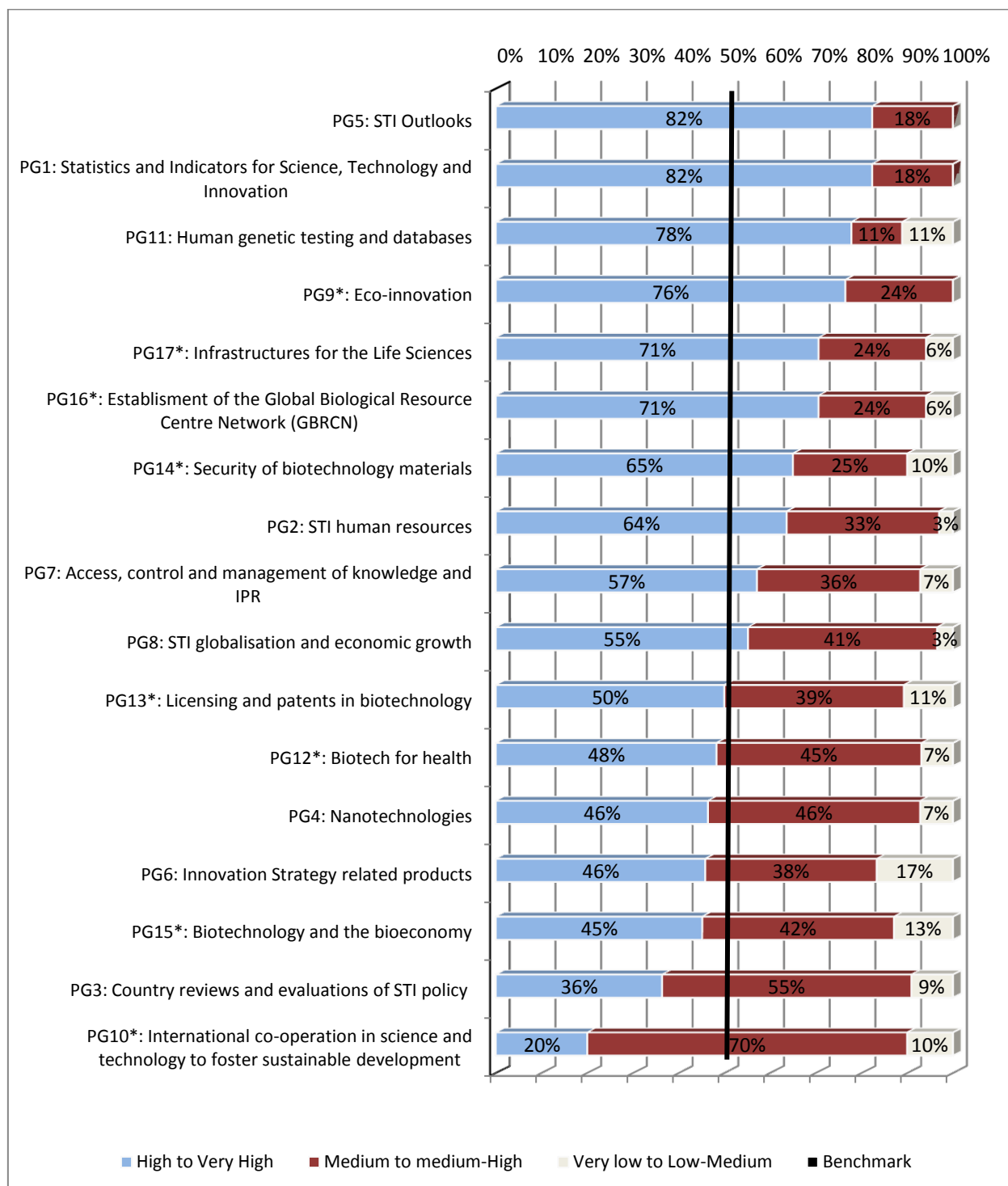
Overall impact = Actual impact on Members' policy + Potential impact on Members' policy + Impact on the visibility and credibility of the OECD

75. PIR data indicates that eleven out of the seventeen Product Groups developed from the Committee's 2005-06, 2007-08 and 2009-10 work programmes have had at least a 'high' level of overall impact for one-half or more of Members. The strongest overall impacts have resulted from the work of the Committee in two Product Groups both relating to statistics and indicators (see Figure 13, below):

- Statistics and Indicators for Science, Technology and Innovation (2005-10);
- STI Outlook (PWBs 2005-10).

22. Two distinct PIR surveys (see Annex III) were designed for the two Output Areas. They were sent to both policy communities so that relevant policy makers respond to the Output Results in their respective areas.

23. Overall impact reflects PIR survey results prior to breaking out different types of impacts. However, the breakout analysis is only possible for the 2009-10 PWB following the integration of use/impact descriptors into the 2011 PIR questionnaire. Consequently, calculating the actual impact on Members (i.e. overall impact less *potential impact on Members' policy* less *impact on the visibility and credibility of the OECD*) is only possible in the case of the most recently completed products [See Section 5.2].

Figure 13: Overall impact of the CSTP's work (2005-10)

Source: 2007, 2009 and 2011 PIR surveys

Note: Product Groups 1 to 9 include Output Results that fall under the Output Area 1.3.2 and 10* to 15* under the Output Area 1.3.3

76. Feedback from ten Members, some of which had not responded to PIR surveys or had provided partial responses, obtained through interviews with policymakers broadly echoed the findings presented in Figure 13 (page 32), in particular the very strong impact of statistical products. Somewhat different results

were obtained from interviews with regards to eco-innovation products, which rank high in terms of impact according to the PIR survey but did not give rise to any observations during interviews. Conversely, the impact of Innovation Strategy related products, which were rated relatively lower by survey respondents, were generally described as impactful during interviews.

6.2 What has been the actual impact of the Committee's work on Members' policymaking in 2009 and 2010?

<p>Actual impact on Members' policy =</p> <p>Overall impact</p> <p>- Potential impact on Members' policy</p> <p>- Impact on the visibility and credibility of the OECD</p>
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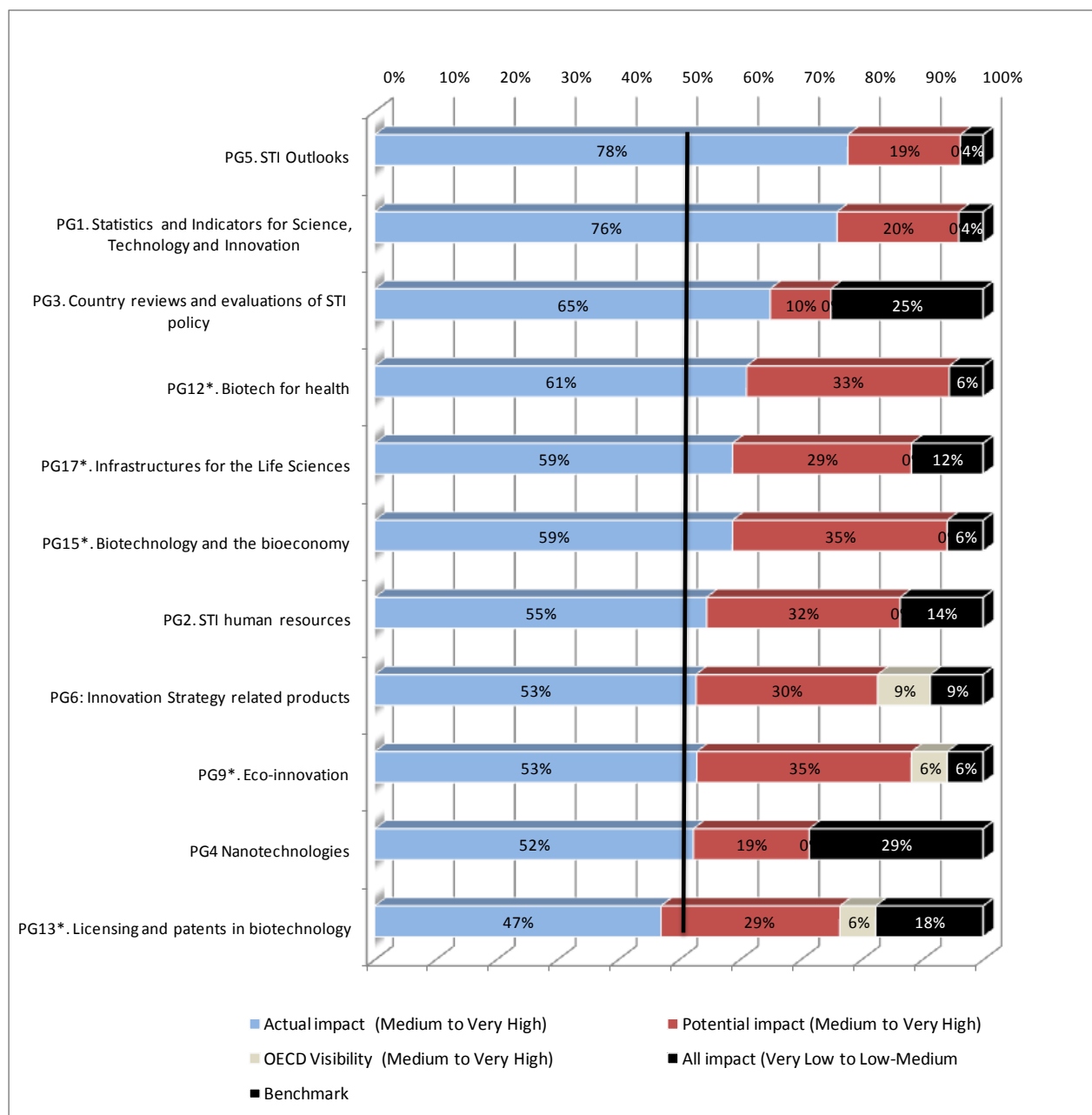
77. Of the seventeen Product Groups developed on the basis of the Committee's work covered by the review period, eleven included products figuring in the Committee's 2009-10 work programme, thus allowing an analysis of their actual impact.

78. All of these eleven Product Groups but one achieved at least a 'medium' level of actual impact on policy in one-half or more of Members (see Figure 14, below). Actual impact is assessed as highest at over 70% in the case of the two Product Groups also achieving the highest overall impact:

- Statistics and Indicators for Science, Technology and Innovation;
- STI Outlook.

79. The one Product Group that fell below the benchmark relates to *Licensing and patents in biotechnology*. More generally with respect to work in the area of biotechnology, many Members (up to around one-third) report that much of the impact is potential in nature rather than actual at the time feedback was sought.

80. Product Groups in the areas of *Nanotechnology* and *Country reviews and evaluations of STI policy* also stand out as having a low actual impact in over one-quarter of Members. In the case of the former, this limited impact could be related to the relatively recent creation of the WPN which is charged with developing these products. As for the Country reviews, this finding can at least in part be explained by the country specific focus of the work.

Figure 14: From overall to actual impact of the CSTP's work (2009-10)

Source: 2011 PIR survey

Note: Product Groups 1 to 9 include Output Results that fall under the Output Area 1.3.2 and 10* to 15* under the Output Area 1.3.3

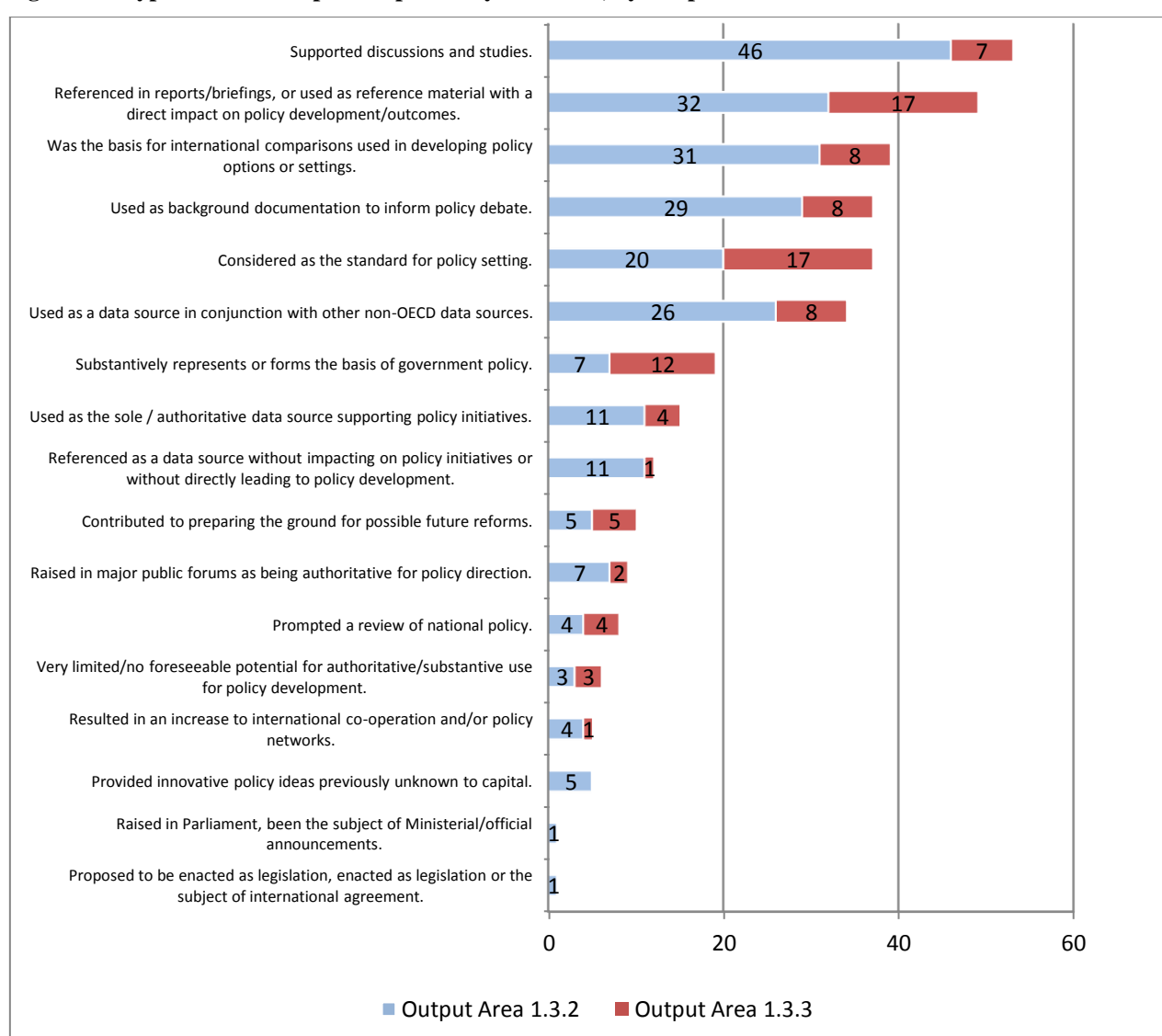
81. Twenty five of the twenty seven Members responding to the 2011 PIR survey provided feedback on the types of actual impacts produced by the Committee's eleven Product Groups of the 2009-10 Biennium (see Figure 15, below). The most prevalent types of actual impacts are as follows:

- to support discussions and studies;
- referenced in reports/briefings, or used as reference material with a direct impact on policy development/outcomes;
- as the basis for international comparisons used in developing policy options or settings.

82. Some differences across the two Output Areas can be, however, observed. In particular, some of the most tangible and direct types of actual impact are reported more frequently as resulting from products in the Output Area of Biotechnology (1.3.3) than from products in the Output Area of Science and Innovation Policies (1.3.2), notably with regard to:

- substantively representing or forming the basis of government policy in 12% of actual impact statements (12 out of 97 cases) in Output Area 1.3.3 compared to 3% (7 out of 243 cases) for Output Area 1.3.2;
- being considered as the standard for policy setting in 18% of actual impact statements (17 out of 97 cases) compared to 8% of impact statements (20 out of 243 cases) for Output Area 1.3.2.

Figure 15: Types of actual impacts reported by Members, by Output Area



6.3 *In-depth examination of policy impacts*

83. This analysis draws on data collected from a cross-section of Members, namely France, Ireland, Israel, Japan, Luxembourg, New-Zealand, Sweden, United Kingdom, United States and the European Union. It also includes, as relevant, interview data collected from other key persons (delegates of other Members and non-Members, and representatives of other stakeholder bodies).

6.3.1 *Examples of policy impacts*

84. Table 6 (below) compiles examples of impacts arising from the CSTP's products and in the case of ongoing work includes potential for impact. Members' policymakers responsible for science and technology policy were able to provide numerous examples of direct impact on design and implementation of policy and legislation and tools to support these activities, as well as a more diffuse range of impacts such as informing decisions on structures, procedures and communications practices of administrations. Some of the examples of impacts were also provided by non-Member policymakers.

85. By contrast, feedback from interviews with policymakers in the different administrations in charge of the specific area of biotechnology (ministries and agencies of research, industry, health...) provided few examples of impacts arising from products completed during the review period. Impacts in this area are less widespread across the Membership but can, however, be very strong in those countries where there is a sectoral strategy that matches these products.

86. Some additional information on biotechnology products is provided by the monitoring of the implementation of two of the instruments developed during the review period, as instructed by Council:²⁴

- Recommendation of the Council on quality assurance in molecular genetic testing;
- Recommendation of Council on the licensing of genetic inventions.

87. In both cases, these monitoring exercises showed that most of the countries which responded to the survey (between 40% and 69% of Members) have implemented the key provisions of these recommendations.²⁵

88. Although Global Science Forum products were not specifically reviewed, feedback from interviews on their use and impact were positive, echoing the results of an evaluation conducted in 2008. This evaluation did, however, emphasise that the GSF was not sufficiently well known beyond the GSF delegation members.²⁶

89. Some examples of impact were also provided by non-Member policymakers.

24. Four or five years after the instrument adoption according to cases.

25. [DSTI/STP/BIO\(2010\)11/REV1](#) and [DSTI/STP/BIO\(2011\)17](#)

26. [DSTI/STP/MS\(2008\)3](#)

Table 6: Examples of use and policy impacts in Members

Products	Years	Examples of impacts
PG1 Statistics and Indicators for Science, Technology and Innovation <ul style="list-style-type: none"> Publications entitled <ul style="list-style-type: none"> ➤ Main Science and Technology Indicators (2005, 2006, 2007, 2008, 2009, 2010 editions) ➤ Research and Development Statistics (2005, 2007, 2009, 2010 editions) ➤ OECD Science, Technology and Industry Outlook (2006, 2008, 2010 editions) ➤ R&D Tax Incentives and Government Foregone Tax Revenue: A Cross-country Comparison and Policy Brief (2010) ➤ ANBERD (Analytical Business Enterprise Research and Development, R&D by sector) (2009) ➤ Science, Technology and Innovation Indicators in a Changing World: Responding to Policy Needs (2007) Proceedings of the Blue Sky Forum on new S&T indicators held in September 2006 in Ottawa ➤ OECD Science, Technology and Industry Scoreboard (2005) ➤ Oslo Manual: Guidelines for Collecting and Interpreting Innovation Data, 3rd edition (2005) ➤ Research and Development Expenditure in Industry (2004) Databases <ul style="list-style-type: none"> ➤ STAN family databases: STAN Database for Structural Analysis, STAN Bilateral Trade by Industry and End-use category (BTDIxE), STAN Input-Output, STAN Indicators, ANBERD Reports entitled <ul style="list-style-type: none"> ➤ Creating Guidelines for the Measurement of Public Sector Innovation (2010) OECD Science, Technology and Industry Working Papers <ul style="list-style-type: none"> ➤ Careers and Mobility of Doctorate Holders: CDH Guidelines - Second Edition - OECD/UIS/EUROSTAT (STI Working Paper 2010/1) ➤ Careers of Doctorate Holders: Employment and Mobility Patterns (STI Working Paper 2010/4) 	2005-10	<ul style="list-style-type: none"> Data used in most national STI indicator yearbooks, for example: <ul style="list-style-type: none"> ➤ “L’Etat de l’enseignement supérieur et de la recherche”. [France] ➤ “NSF Science and Engineering indicators”. [United States] ➤ “Economic Development indicators”. [New Zealand] ➤ “Innovation Union Competitiveness Report in the EU”. [European Union] ➤ NISTEP Science and Technology Indicators report. [Japan] ATIP workshop held in France in 2007 on R&D tax credit impact and the resulting publications were instrumental in the discussions around the reform of <i>Crédit d’Impôt Recherche</i>. [France] The STAN indicator database was used to calibrate the overall EU and country R&D commitments in the framework of the EU 2020 on the basis of country R&D sectoral intensity data. [European Union] Main Science and Technology Indicators data supported arguments used by the authorities to advocate an increase of investment in basic research in the context of deliberations on the Federal government budget. The result was an increase of basic research budget in recent budget submissions (cf. the President’s Plan for Science and Innovation). [United States]
PG2 STI human resources and institutions, including <ul style="list-style-type: none"> Publications entitled <ul style="list-style-type: none"> ➤ Skills for Innovation and Research (2011) ➤ Research Institutions: Mapping Sector Trends (2011) ➤ Proceedings of the Workshop “Performance-based Funding for Public Research in Tertiary Education Institutions” held in June 2010 in 	2006-10	<ul style="list-style-type: none"> Reports used as a source to support policies being proposed or implemented, and to provide comparisons with other countries for benchmarking Ireland’s progress relative to international norms and other countries (see for example the 2010 report “Role of PhDs in the Smart Economy”). [Ireland] Reports used as background documentation in the 2011 Ministry of

Products	Years	Examples of impacts
<p>Paris</p> <ul style="list-style-type: none"> ➤ The Global Competition for Talent: Mobility of the Highly Skilled (2008) ➤ Women in Scientific Careers - Unleashing the Potential (2006) ➤ GSF Report on the Evolution of Student Interest in Science and Technology Studies (2006) • Reports entitled <ul style="list-style-type: none"> ➤ The Transformation of Public Research Institutions (2011) ➤ Human Resources in Science and Technology: Draft Policy Report (2006) • OECD Science, Technology and Industry Working Papers <ul style="list-style-type: none"> ➤ Labour market characteristics and international mobility of doctorate holders: results for seven countries (STI Working Paper 2007/2) ➤ Mapping Careers and Mobility of Doctorate Holders (STI Working Paper 2007/6) 		<p>Education's report on PhDs' careers and to benchmark internationally the characteristics of the country's PhD students. [New-Zealand]</p> <ul style="list-style-type: none"> • Used as an input into the development of the 2011 "Innovation and Research Strategy for Growth" and to raise awareness of the shifting position of the UK versus other OECD Members in the area of higher-level skills. [United Kingdom]
<p>PG3 Country reviews and evaluations of STI policy</p> <ul style="list-style-type: none"> • Publications entitled <ul style="list-style-type: none"> ➤ Government R&D Funding and Company Behaviour: Measuring Behavioural Additionality (2006) ➤ Fostering Public-Private Partnerships for Innovation in Russia (2005) • Country Reviews of Innovation Policy including <ul style="list-style-type: none"> ➤ Draft Synthesis Report (2008, 2009) ➤ OECD Reviews of Innovation Policy: Switzerland Luxembourg, New Zealand, South Africa, Chile, China Korea, Mexico Norway, Hungary (2006, 2007, 2008) ➤ R&D and Innovation in Spain: Improving the Policy Mix (2007) ➤ Report on Improving the Policy for Innovation: Poland (2007) ➤ Policy Mix for Innovation in Iceland (2006) • Reports entitled <ul style="list-style-type: none"> ➤ The Role of Expert Review in the Evaluation of Science and Technology: Issues and Suggestions for advanced Practices (2008) ➤ Framework and Guidelines for Case studies on the Systems used to evaluate Public R&D in OECD Countries (2008) ➤ Towards good practices in priority setting: Background and Issues Paper (2008) 	2005-10	<ul style="list-style-type: none"> • Luxembourg Review of Innovation Policy: <ul style="list-style-type: none"> ➤ The final report was presented to the Chamber of Deputies in 2006, which took the decision that all recommendations should be implemented, which was the case for most of them (e.g. setting of performance contracts between the State and public research institutes and the creation of the <i>Comité supérieur de la recherche et de l'innovation</i> to set a long term strategy); ➤ A seminar with OECD experts and attended by the Minister of Economy and the Minister of Research was held two years after to review the implementation of recommendations. • The New Zealand Review of Innovation Policy: <ul style="list-style-type: none"> ➤ The report was and still is extensively used as a reference document. Although released in 2007, the report might become even more relevant to guide the integrated innovation policy further to the merger of the Ministry of Economic Development and the Ministry of Research and Innovation; ➤ Two years after the release of the country review, workshops were held in to review the evolution of the system and update the review. These workshops, which had a strong impact, were attended by business leaders and high level officials including the Prime Minister. • The South Africa Review of Innovation Policy: <ul style="list-style-type: none"> ➤ Although no formal response from the government has been made public, some of the key recommendations have been

Products	Years	Examples of impacts
		<p>implemented such as the creating of an agency in charge of the commercialisation of research findings the Technology Innovation Agency, the setting of a 10 year Innovation Plan;</p> <ul style="list-style-type: none"> ➤ Five years after the review, in 2012, it was used as a baseline by a Ministerial Review Committee tasked with assessing the achievements in the area of innovation. • The Peru Review of Innovation Policy: <ul style="list-style-type: none"> ➤ The report has been widely circulated and commented upon. It has raised awareness of policy makers on innovation policy issues; ➤ The recommendations have become a reference in policy discussions. Although the most ambitious ones, such as the creation of dedicated S&T ministry, have not yet been implemented they have been included in the Peru Competitiveness Agenda that set the programme of reforms to implement. A few recommendations have been implemented, such as the extension of the agency set up to manage the Inter-American Development Bank and the modification of the corporate tax law to provide incentives for innovation activities. • Ongoing Reviews of Innovation Policy are creating strong expectations in two of the sampled reviewed countries, with the evaluation process and the consultation around the drafts already having significant effects, raising awareness on key challenges and triggering discussions in services. [United States, Sweden] • The “self-assessment tool” provided in Annex of the document Europe 2020 Flagship Initiative Innovation Union” [SEC[2010] 1161] was developed by the European Commission partly on the basis of the analytical framework of the Country Reviews of Innovation Policy. [European Union]
PG4 Nanotechnologies <ul style="list-style-type: none"> • Publications entitled <ul style="list-style-type: none"> ➤ The Impacts of Nanotechnology on Companies: Policy Insights from Case Studies (2010) ➤ Fostering Nanotechnology to Address Global Challenges: Water (2010) ➤ Nanotechnology: an overview, Project Indicators and Statistics (2008) ➤ Global Challenges, Nanotechnology and Water (2008) • Reports entitled <ul style="list-style-type: none"> ➤ Statistical Framework for Nanotechnology (2011) 	2007-10	<ul style="list-style-type: none"> • These guidelines were used by the chairs of the <i>Commission Nationale du Débat Public</i> and of the <i>Commission Particulière</i> in charge of the public debate on nanotechnologies in 2009-2010. [France]

Products	Years	Examples of impacts
<ul style="list-style-type: none"> ➤ Public Engagement in Nanotechnology (2009) ➤ Project: Policy Dialogue - Progress Report and Questionnaire Findings (2008) • OECD Science, Technology and Industry Working Papers ➤ Capturing nanotechnology's current state of development via analysis of patents (STI Working Paper 2007/4) 		
PG5 STI Outlooks <ul style="list-style-type: none"> • Publication entitled OECD Science, Technology and Industry Outlook (2006, 2008, 2010 editions) 	2006/08-10	<ul style="list-style-type: none"> • In the country notes, the radar graph of the country science and innovation profile has been reportedly used in several presentations, including at the highest level of policy making in order to synthesise the country performance across key variables and benchmark it against a selection of relevant countries. [New-Zealand]
PG6 Innovation Strategy related products <ul style="list-style-type: none"> • Reports entitled <ul style="list-style-type: none"> ➤ Adjusting STI Policies to the Globalisation of R&D and Innovation (2011) ➤ Priority-setting for Public Research: Challenges and Opportunities (2010) ➤ New Approaches and Governance Mechanisms for Multilateral Co-operation in Science, Technology and Innovation to Address Global Challenges (2010) ➤ New Forms of Innovation: Draft Synthesis and Outline of the Final Report (2010) ➤ Demand-side Innovation Policies (2010) ➤ Summary Report of the Vienna Workshop on National STI Governance (2010) ➤ Evaluation and Impact Assessment of Science and Technology (2009) 	2009-10	<ul style="list-style-type: none"> • Raised awareness of demand-side types of policies. [Israel] • Used in particular for exploratory policy work, for instance when reflecting on public procurement for innovation. [New-Zealand] • Helped to broaden the concept of innovation in domestic discussions. [Sweden]
PG7 Access, control and management of knowledge and IPR <ul style="list-style-type: none"> • Publications entitled <ul style="list-style-type: none"> ➤ OECD Patent Statistics Manual (2009) ➤ Compendium of Patent Statistics (2006 and 2008 editions) ➤ Draft Recommendation of the Council concerning Access to Research Data from Public Funding (2007) ➤ Summary report of the Conference on 'Research Use of Patented Inventions' held in Madrid in May 2006 ➤ Summary report of the EPO-OECD Conference 'Patents: Realising and Securing Value' held in London in November 2006 • OECD Science, Technology and Industry Working Papers 	2005-06/08	<ul style="list-style-type: none"> • OECD Triadic patents data are used in several national S&T indicator reports, for instance by: <ul style="list-style-type: none"> ➤ the NSF in "Asia's Rising Science and Technology Strength" (2007) or in "Science and Engineering Indicators 2012". The economic significance of this data, demonstrated by the expense of filing patents in the EU, Japan, and the US, is emphasised in the report; [United States] ➤ the <i>Institut de la statistique du Québec</i> in its « Compendium d'indicateurs de l'activité scientifique et technologique au Québec ». [Canada]

Products	Years	Examples of impacts
<ul style="list-style-type: none"> ➤ The OECD REGPAT Database: A Presentation (STI Working Paper 2008/2) ➤ Valuation and Exploitation of Intellectual Property (STI Working Paper 2006/5) ➤ Research Use of Patented Knowledge: A Review (STI Working Paper 2006/2) ➤ Promoting Intellectual Property Rights Policy and Enforcement in China (STI Working Paper 2005/1) 		
<p>PG8 STI globalisation and economic growth</p> <ul style="list-style-type: none"> • Publications entitled <ul style="list-style-type: none"> ➤ The Internationalisation of Business R&D: Evidence, Impacts and Implications (2008) ➤ Open Innovation in Global Networks (2008) ➤ STI Outlook 2008 - Chapter 4 -- Assessing the Socio-Economic Impacts of Public R&D: Recent Practices and Perspectives (2008) ➤ Forum on Internationalisation of R&D (2005) • Reports entitled <ul style="list-style-type: none"> ➤ Innovation and productivity at the firm's level: Main Results and Options for the next Phase of the Project (2008) ➤ Innovation in firms: Findings from a Comparative Analysis of Innovation Surveys Microdata - Background and Highlights (2008) 	2005/08	<ul style="list-style-type: none"> • Used by the Treasury department in its reflection on the country factors of attractiveness and to raise the awareness of decision-makers of the shift of multinationals' R&D activities toward emergent economies. [France] • Data and analysis on the very high share of research activities performed by multinationals in Israel triggered a research project by the National Research Council to explore further into this issue and identify the associated strength and weakness. [Israel]
<p>PG9 Eco-innovation</p> <ul style="list-style-type: none"> • Publications entitled <ul style="list-style-type: none"> ➤ Towards the Development of OECD Best Practices for Assessing the Sustainability of Bio-based Products OECD (2010) • Reports entitled <ul style="list-style-type: none"> ➤ Summary report of the Workshop 'Building an Efficient Biobased Economy' held in St Petersburg in 2010 ➤ Summary Report of the Workshop 'Biotechnology for the Environment in the Future: Science, Technology and Policy' held in Rimini, Italy in September 2010 ➤ Draft Council Recommendation on Assessing the Sustainability of Biobased Products (2010) ➤ Summary record and background papers for the Workshop 'Outlook for Industrial Biotechnology' held in Vienna in January 2010 <ul style="list-style-type: none"> ○ Trends in Technology Applications ○ Policy Trends ○ Industry Structure and Business Models 	2009-10	<ul style="list-style-type: none"> • No examples provided.

Products	Years	Examples of impacts
PG10 International co-operation in science and technology to foster sustainable development <ul style="list-style-type: none"> Publication entitled Integrating Science & Technology into Development Policies: An International Perspective (2007), and Proceedings of the Workshop on International Scientific and Technological Co-operation for Sustainable Development held in November 2005 in Johannesburg 	2007	<ul style="list-style-type: none"> No examples provided.
PG11 Human genetic testing and databases <ul style="list-style-type: none"> Reports entitled <ul style="list-style-type: none"> Draft Recommendation on Human Biobanks and Genetic Research Databases (2008) Introduction, Annotations and Glossary to the Draft Recommendation on Human Biobanks and Genetic Research Databases (2008) Draft Recommendation of the Council on Quality Assurance in Molecular Genetic Testing (2007) Draft Guidelines for the management and governance of human genetic research databases (HGRDs) (2006) Draft Guidelines for Quality Assurance in Molecular Genetic Testing (2006) 	2006-08	<ul style="list-style-type: none"> The Draft Recommendation of the Council on Quality Assurance in Molecular Genetic Testing was used by the Council of Europe to design its 2008 Additional Protocol on Genetic Testing, adopted by Committee of Ministers in 2008, which has accelerated international harmonization. [European Union] The national recommendation on tissue banks was largely based on the OECD Draft Recommendation on Human Biobanks and Genetic Research Databases. [Israel] The OECD Draft Recommendation on Human Biobanks and Genetic Research Databases is often used in domestic policy and regulatory discussions in a domain where there is not a European Directive. [Luxembourg]
PG12 Biotech for health <ul style="list-style-type: none"> Publications entitled <ul style="list-style-type: none"> Biomedicine and Health Innovation - Synthesis Report (2010) Summary report of the Workshop "Better Health through Biomedicine: Innovative Governance" held in September 2010 in Berlin Summary report of the Genomics and the Bioeconomy: Symposium Report and Policy Considerations held in May 2010 in Montpellier Emerging research models for delivery of health innovation (2007) Reports entitled <ul style="list-style-type: none"> Progress in Governance of Biomedicine and Other Health Innovations (2010) Policy Issues for the Development and Use of Biomarkers in Health (2010) Pharmacogenetics: Opportunities and Challenges for Health Innovation (2009) Analytical Papers for the workshop on Policy Issues in the Development and Use of Biomarkers in Health held on 6-7 October 2008 in Hinxton, United Kingdom <ul style="list-style-type: none"> Industry Strategies and Biomarkers Business Models (2008); 	2006-10	<ul style="list-style-type: none"> Increased basic understanding of the challenges and opportunities of health research activities, and especially 'red biotechnologies' (i.e. the use of organisms for the improvement of medical processes) for national health care systems. [France] Supported reflections on the economic and social implications of new advances in red biotechnologies such as genomics, which can potentially have a huge effect on national health systems. [Luxembourg] Work on new approaches to health innovation was used by the Commissioner of the U.S. Food and Drug Administration in the regulatory policy development arena and in meetings with the ICH, an inter-governmental group of international health and food regulators (European Medicines Agency, US FDA, Japan Ministry of Health, China, etc.). [United States]

Products	Years	Examples of impacts
<ul style="list-style-type: none"> ○ Clinical Evaluation of Biomarkers (2008), ○ Formulation of the Basic Grounds for Health Industry Using Biomarker Database (2008); Evidence Base and Knowledge Sharing (2008); ○ Integration, Sharing and Access to Biomedical Data to Facilitate Decision Making in the Discovery and Validation of Biomarkers (2008) ○ Regulation and Policy (2008) ○ Biomarkers: Impact on Biomedical Research and Healthcare: Case Reports (2008) ➤ Policy Issues in the Development and Use of Biomarkers in Health: Workshop outcomes and options for future work, Report on workshop held on October 2008 in Hinxton, UK ➤ Synthesis Report of OECD Work related to Biomedicine and Health Innovation (2008) ➤ Analytical Report on the Uptake and Diffusion of Health-related Biotechnologies (2006) ➤ Policy Report on Challenges to Health Systems from Pharmacogenetics (2006) 		
PG13 Licensing and patents in biotechnology <ul style="list-style-type: none"> • Publication entitled <ul style="list-style-type: none"> ➤ OECD Guidelines for the Licensing of Genetic Inventions (2006) • Reports entitled <ul style="list-style-type: none"> ➤ Collaborative Mechanisms for Intellectual Property Management in the Life Sciences (2010) ➤ Collaborative mechanisms for Intellectual Property Rights (2007) ➤ Validation of Biotechnology Patent Classes (2006) 	2005-06	<ul style="list-style-type: none"> • No examples provided.
PG14 Security of biotechnology materials <ul style="list-style-type: none"> • Report entitled <ul style="list-style-type: none"> ➤ OECD Best Practice Guidelines on security for Biological Resources Centres (2007) 	2006-08	<ul style="list-style-type: none"> • see PG16.
PG15 Biotechnology and the bioeconomy <ul style="list-style-type: none"> • Publications entitled <ul style="list-style-type: none"> ➤ OECD Biotechnology Statistics (2006 and 2009 editions) ➤ A Framework for Biotechnology Statistics (2005) • Reports entitled <ul style="list-style-type: none"> ➤ Guidelines for a Harmonized Statistical Approach to Biotechnology Research and Development in the Government and Higher Education 	2006/10	<ul style="list-style-type: none"> • Used as international standard for collection of data in the area of biotechnology. [France]

Products	Years	Examples of impacts
<p>Sectors (2009)</p> <ul style="list-style-type: none"> ➤ Metrics to support Informed Decision making for Consumers of Biobased Products (2008) ➤ Policy report and recommendations on delivering a biobased economy survey on managing the transition to a biobased economy (2007) ➤ Biotechnology statistics - Impacts, tabulations and the way forward (2007) 		
<p>PG16 Establishment of the Global Biological Resource Centre Network (GBRCN)</p> <ul style="list-style-type: none"> • Reports entitled <ul style="list-style-type: none"> ➤ OECD Best Practice Guidelines for Biological Resource Centre (2007) ➤ Summary report of the Workshop on “Biosecurity of microbial biological resources – complementing innovation” held in Moscow in September 2006 	2006	<ul style="list-style-type: none"> • Provides the only set of international norms to harmonise the Biological Resources Centres. [France] • Under the supervision of the Ministry of Science and Technology and Innovation, the OECD guidelines have been translated in Portuguese and adapted to national specificities so they can be used to test the compliance of pilot Biological Resources Centres. [Brazil] • The OECD Guidelines have been applied in several countries in order to demonstrate their implementation, with support from the European Commission and relevant organisations in the field, in particular in the context of the European Strategy Forum for Research Infrastructures (ESFR). [European Union]
<p>PG17 Infrastructures for the Life Sciences</p> <ul style="list-style-type: none"> • Publication entitled <ul style="list-style-type: none"> ➤ Summary report of the Symposium 'Opportunities and Challenges in the Emerging Field of Synthetic Biology' held in Washington, DC, in July 2009 • Reports entitled <ul style="list-style-type: none"> ➤ Knowledge Networks and Markets for the Life Sciences (2010) ➤ Open Innovation and Bio-security: Achieving a Virtuous Balance and Dual Benefit (2010) 	2009-10	<ul style="list-style-type: none"> • Raised awareness on the importance of Synthetic Biology, an emerging area that is not addressed in other international fora. [France] • Reports and summaries related to synthetic biology, as well as the results of the OECD Symposium 'Opportunities and Challenges in the Emerging Field of Synthetic Biology' held in Washington in 2009, were circulated to all the members of the Presidential Commission for the Study of Bioethical Issues and were commented on in various meetings and deliberations of the Commission. [United-States]

6.3.2 *Factors identified as supporting or hindering policy impacts*

90. Policymakers identified a range of factors that affect policy impacts of the Committee's work within their own administrations. Some factors are generally applicable to the Committee and its work (see Table 7, below) while others are related to specific Product Groups and products (see Table 8). Some factors were identified as being uniquely supportive of impact in all instances (indicated by (+)), while others were identified as uniquely hindering in nature (indicated by (-)). In other cases, factors were identified that were more ambiguous in terms of their effects, or which either supported or hindered impacts according to the extent to which they were present/absent (indicated by (+/-)).

91. An analysis of the factors highlighted by interviewees indicates that:

- The policy impact of analytical products is supported when these are based on a strong and solid analytical framework, backed by robust comparative indicators covering a wide range of countries (including non-Members), illustrated by case-studies, and when they provide a diverse set of policy options. However, precise policy recommendations are not expected as Members prefer that their own analysts and policy makers identify the necessary next steps in the light of their own specific structural and policy contexts.
- The time lag between the initial identification and scoping of the needs and the final delivery of the product is a key determinant of its value for policymakers, especially in rapidly changing areas such as nanotechnology and biotechnology.
- Products focused on a particular country are in most cases rarely used by other countries, apart from specific occasions such as visits from high officials or missions to the reviewed country.
- The emphasis on policy trends and issues in the thematic chapters and the Country profiles of STI Outlook is factor of higher impact.
- The likelihood of analytical and policy-oriented products being actively disseminated by delegates within their administrations and used by policymakers is significantly increased when reports contain clear conclusions and an executive summary.
- A few products benefit from high visibility and are widely disseminated, in particular statistical and other flagship products, for instance the Reviews of Innovation Policy in reviewed countries, as well as some Innovation Strategy-related products. Apart from these products, the scope and regularity of dissemination is largely in the hands of delegates and varies greatly from one Member to another, depending largely on:
 - whether relevant ministries and agencies are represented in meetings since delegates constitute both the first layer of users and the main bridge toward other policy-makers concerned by research and innovation matters;
 - the existence of specific domestic procedures or networks to circulate information and products, or (more usually) in the absence of such arrangements, delegates' personal commitment or interest in the work;
 - Members' administrative arrangements in the concerned policy areas:
 - in the case of innovation-related products as a result of the degree to which policymaking in the areas of industry and research are integrated;
 - in the case of biotechnology-related products since decision making in this area is usually spread across several ministries (research, industry, health, environment in particular) which in some Members are linked by active horizontal networks to facilitate the exchange of information and the dissemination of products;

- the national industrial strategies and settings in the case of the nanotechnology and biotechnology products, which largely determine the extent of interests and needs of Members and non-Members in these areas;
- The financial and economic crisis and longer-term structural trends have acted to significantly diminish the resources and time available for high-level/upstream thinking within many Members' administrations. Whilst this has not affected the use and impact of statistical products, most of which have no equivalent, it appears to have inhibited the use of the Committee's analytical products which have to compete for decreasing policymakers' time with other products from alternative sources (e.g. domestic think-tanks, research services and consultancies).

Table 7: General factors supporting or hindering policy impacts

Category	Factors identified
Committee functioning	<ul style="list-style-type: none"> • Interactions between researchers/analysts, statisticians and policy makers are key to developing Committee products (+)
Product attributes	<ul style="list-style-type: none"> • Focused documents containing clear conclusions and an executive summary (+) • Timely delivery of products, in particular in rapidly changing areas such as nanotechnology and biotechnology (+/-) • Country focus of the reports (+/-)
Dissemination	<ul style="list-style-type: none"> • Delegates are the main channel through which the Committee's work in their specific policy areas is disseminated (+/-)
Policy environment	<ul style="list-style-type: none"> • The extent to which interactions occur between the ministries responsible for policy in the areas of research and industry affects the dissemination and use of CSTP products, especially with regard to innovation policy (+/-) • The existence or not of parallel domestic projects and/or established science and technology policymaking communities with sufficient capacity to absorb the knowledge and insights arising from the Committee's work, the degree of centralisation and openness of these policy communities, the extent to which of evidence-based policy making is the norm, the extent of connections between research and policymaking communities, and the rate of turnover in administrations are determinants of the dissemination and use of the CSTP products (+/-) • The financial and economic crisis make CSTP products increasingly useful as an authoritative source of evidence of the link between science, innovation and growth in order to defend related public budget in the framework of negotiations with administrations in charge of finance (+) • Industrial strategy and settings in specific sectors determine the need for specific analyses, in particular in the nanotechnology and biotechnology areas (+/-) • Budget and staff reductions and restructuring of administrations responsible for science and technology policy have affected the ability of delegates to disseminate information and products, as well as the time available for policymakers to devote to non operational issues (-)

Table 8: Factors supporting or hindering policy impacts

Products	Years	Category	Factors identified
PG1 Statistics and Indicators for Science, Technology and Innovation (also PG5 STI Outlooks) <ul style="list-style-type: none"> Publications entitled <ul style="list-style-type: none"> ➤ Main Science and Technology Indicators (2005, 2006, 2007, 2008, 2009, 2010 editions) ➤ Research and Development Statistics (2005, 2007, 2009, 2010 editions) ➤ OECD Science, Technology and Industry Outlook (2006, 2008, 2010 editions) ➤ R&D Tax Incentives and Government Foregone Tax Revenue: A Cross-country Comparison and Policy Brief (2010) ➤ ANBERD (Analytical Business Enterprise Research and Development, R&D by sector) (2009) ➤ Science, Technology and Innovation Indicators in a Changing World: Responding to Policy Needs (2007) Proceedings of the Blue Sky Forum on new S&T indicators held in September 2006 in Ottawa ➤ OECD Science, Technology and Industry Scoreboard (2005) ➤ Oslo Manual: Guidelines for Collecting and Interpreting Innovation Data, 3rd edition (2005) ➤ Research and Development Expenditure in Industry (2004) Databases <ul style="list-style-type: none"> ➤ STAN family databases: STAN Database for Structural Analysis, STAN Bilateral Trade by Industry and End-use category (BTDIxE), STAN Input-Output, STAN Indicators, ANBERD. Reports entitled <ul style="list-style-type: none"> ➤ Creating Guidelines for the Measurement of Public Sector Innovation (2010) OECD Science, Technology and Industry Working Papers <ul style="list-style-type: none"> ➤ Careers and Mobility of Doctorate Holders: CDH Guidelines - Second Edition - OECD/UIS/EUROSTAT (STI Working Paper 2010/1) 	2005-10	Committee orientation	<ul style="list-style-type: none"> Core work in the area of statistics and indicators responds to the needs of statistical units while also influencing their agendas (+)
		Product attributes	<ul style="list-style-type: none"> Unique source of science and technology international data and indicators (much of which is common to EUROSTAT) Where alternative source of data are available, the main advantages are (+): <ul style="list-style-type: none"> ○ extensive geographic coverage; ○ robustness (despite some issues of timeframe and harmonisation); ○ some specific indicators (indirect R&D support, biotech and nanotech data, STAN structural databases).
		Utility	<ul style="list-style-type: none"> Useful for international benchmarking in a variety of policymaking contexts (+) The Frascati and Oslo manuals set international standards for data collection and definitions as well as establishing the basic features of key policy measures (e.g. eligible expenses for R&D tax credit, the definition of knowledge-intensive services) (+) The STI Scoreboard useful for briefing policy makers, including at the highest levels (+): <ul style="list-style-type: none"> ○ about trends in science and innovation; ○ in the context of bilateral relationships to support discussions and negotiations about S&T co-operation. Work on R&D Tax Incentives has provided new data and evidence on the appropriate balance between direct and indirect support to R&D (+)
		Policy environment	<ul style="list-style-type: none"> Smaller countries in particular, as they are generally very open internationally, use international benchmarking to trigger discussions in favour of policy change (+)

Products	Years	Category	Factors identified
➤ Careers of Doctorate Holders: Employment and Mobility Patterns (STI Working Paper 2010/4)			
PG2 STI human resources and institutions, including <ul style="list-style-type: none"> Publications entitled <ul style="list-style-type: none"> ➤ Skills for Innovation and Research (2011) ➤ Research Institutions: Mapping Sector Trends (2011) ➤ Proceedings of the Workshop 'Performance-based Funding for Public Research in Tertiary Education Institutions' held in June 2010 in Paris ➤ The Global Competition for Talent: Mobility of the Highly Skilled (2008) ➤ Women in Scientific Careers- Unleashing the Potential (2006) ➤ GSF Report on the Evolution of Student Interest in Science and Technology Studies (2006) Reports entitled <ul style="list-style-type: none"> ➤ Human Resources in Science and Technology: Draft Policy Report (2006) OECD Science, Technology and Industry Working Papers <ul style="list-style-type: none"> ➤ Labour market characteristics and international mobility of doctorate holders: results for seven countries (STI Working Paper 2007/2) ➤ Mapping Careers and Mobility of Doctorate Holders (STI Working Paper 2007/6) 	2006-10	Product attributes	<ul style="list-style-type: none"> Several reports are “meta-analyses” that are of limited relevance in a policy context (-)
		Utility	<ul style="list-style-type: none"> Useful as background documents for international benchmarking and to distinguish between international and national trends (+) Report in Skills for Innovation and Research useful with regard to (+): <ul style="list-style-type: none"> ○ establishing analytically the link between competencies, employability and innovation; ○ show the breadth of competencies for innovation beyond traditional definitions and understanding of S&T.
PG3 Country reviews and evaluations of STI policy <ul style="list-style-type: none"> Publications entitled <ul style="list-style-type: none"> ➤ Government R&D Funding and Company Behaviour: Measuring Behavioural Additionality (2006) ➤ Fostering Public-Private Partnerships for Innovation in Russia (2005) Country Reviews of Innovation Policy including <ul style="list-style-type: none"> ➤ Draft Synthesis Report (2008, 2009) ➤ OECD Reviews of Innovation Policy: Switzerland, Luxembourg, New Zealand, South Africa, Chile, China, Korea, Mexico, Norway, Hungary (2006, 2007, 2008) 	2005-10	Committee functioning	<ul style="list-style-type: none"> Policymakers involved in the development of the Reviews of Innovation Policy (+) Involvement of delegates (and consultants used in review and evaluation process) in the EU's country peer reviews of national innovation systems allowing the development of a common knowledge base that has helped to support the CSTP's own review work (+)
		Product attributes	<ul style="list-style-type: none"> High visibility products (in the reviewed country) across the different relevant ministries and at different levels of government (+) Highly authoritative and legitimate products compared to similar evaluations carried out by consultancies (+) Country Reviews of Innovation Policy are based on a sound

Products	Years	Category	Factors identified
<ul style="list-style-type: none"> ➤ R&D and Innovation in Spain: Improving the Policy Mix (2007) ➤ Report on Improving the Policy for Innovation: Poland (2007) ➤ Policy Mix for Innovation in Iceland (2006) • Reports entitled <ul style="list-style-type: none"> ➤ The Role of Expert Review in the Evaluation of Science and Technology: Issues and Suggestions for advanced Practices (2008) ➤ Framework and Guidelines for Case studies on the Systems used to evaluate Public R&D in OECD Countries (2008) ➤ Towards good practices in priority setting: Background and Issues Paper (2008) 		Utility	<ul style="list-style-type: none"> • analytical framework and provide robust policy recommendations (+) • Country Reviews of Innovation Policy are: <ul style="list-style-type: none"> ➤ useful for the reviewed country in raising awareness on key challenges and ways of dealing with them (+); ➤ complementary to EU country peer reviews of national innovation systems, being more in-depth and having a stronger analytical base, though less quickly conducted and more demanding in terms of the follow-up work needed in order to be absorbed and implemented by the reviewed country (+/-).
		Policy environment	<ul style="list-style-type: none"> • In some Members, tightening budget constraints, lack of interest of high level decision makers and preexisting domestic evaluation and strategy processes are barriers to the use of Reviews of Innovation Policy (-) The international political interest raised by the reviewed countries affects the extent of the use of the product. For instance, the China Review of Innovation Policy was the only country review that was widely consulted in the other countries in a context of rapid evolution of the Chinese S&T investment and performance
PG4 Nanotechnologies <ul style="list-style-type: none"> • Publications entitled <ul style="list-style-type: none"> ➤ The Impacts of Nanotechnology on Companies: Policy Insights from Case Studies (2010) ➤ Fostering Nanotechnology to Address Global Challenges: Water (2010) ➤ Nanotechnology: an overview, Project Indicators and Statistics (2008) ➤ Global Challenges, Nanotechnology and Water (2008) • Reports entitled <ul style="list-style-type: none"> ➤ Statistical Framework for Nanotechnology (2011) ➤ Public Engagement in Nanotechnology (2009) ➤ Project : Policy Dialogue - Progress Report and Questionnaire Findings (2008) • OECD Science, Technology and Industry Working Papers <ul style="list-style-type: none"> ➤ Capturing nanotechnology's current state of development via analysis of patents (STI Working Paper 2007/4) 	2007-10	Committee orientation	<ul style="list-style-type: none"> • Long project cycle tends lead to some of the reports being based on somewhat outdated data (-) • More recent work programmes have had a stronger focus on policy issues (+)
		Committee functioning	<ul style="list-style-type: none"> • Delays to completion of products leads to some reports being based on somewhat outdated data (-)
		Product attributes	<ul style="list-style-type: none"> • Mainly analytical and research oriented products still at an early stage of development providing (-): <ul style="list-style-type: none"> ➤ a picture of global state of the art of nanotechnology-related activities; ➤ first definition and data collection methodologies. • More recent products have had a stronger economic policy content, in particular showing the trade-offs between the economic impacts, risks and costs of investing in nanotechnologies (+)
		Utility	<ul style="list-style-type: none"> • Products in the nanotechnology policy area are generally less useful in a policymaking than a technical context (+/-)
		Policy environment	<ul style="list-style-type: none"> • Some Members have disbanded their dedicated nanotechnology units in ministries as a result of reorganisation (e.g. the integration of nanotechnologies according to their application into sectoral units)

Products	Years	Category	Factors identified
			and budget constraints (-)
PG5 STI Outlooks <ul style="list-style-type: none"> Publication entitled <ul style="list-style-type: none"> ➤ OECD Science, Technology and Industry Outlook (2006, 2008, 2010 editions) 	2006/08-10	Product attributes	<ul style="list-style-type: none"> Includes country notes for the Key Partners (+)
		Utility	<ul style="list-style-type: none"> The preliminary analyses in STI Outlook country notes are useful to follow the evolution of selected countries without having to refer to raw data and indicators (+)
PG6 Innovation Strategy related products <ul style="list-style-type: none"> Events <ul style="list-style-type: none"> ➤ High-level policy roundtables held in 2010 in: Mexico, Spain, Japan, Sweden (regional event), France, the United Kingdom, Austria, Canada, Australia, Korea, Belgium, Italy, Czech Republic (regional event), Poland, the United States, China Reports entitled <ul style="list-style-type: none"> ➤ Adjusting STI Policies to the Globalisation of R&D and Innovation (2011) ➤ Priority-setting for Public Research: Challenges and Opportunities (2010) ➤ New Approaches and Governance Mechanisms for Multilateral Co-operation in Science, Technology and Innovation to Address Global Challenges (2010) ➤ New Forms of Innovation: Draft Synthesis and Outline of the Final Report (2010) ➤ Demand-side Innovation Policies (2010) ➤ Summary Report of the Vienna Workshop on National STI Governance (2010) ➤ Evaluation and Impact Assessment of Science and Technology (2009) 	2009-10	Product attributes	<ul style="list-style-type: none"> These documents, particularly the reports on New Forms of Innovation and Demand-side Innovation Policies, explore the most topical, cutting edge, policy concepts, while being backed by international case studies and data (+)
PG7 Access, control and management of knowledge and IPR <ul style="list-style-type: none"> Publications entitled <ul style="list-style-type: none"> ➤ OECD Patent Statistics Manual (2009) ➤ Compendium of Patent Statistics (2006 and 2008 editions) ➤ Draft Recommendation of the Council concerning Access to Research Data from Public Funding (2007) ➤ Summary report of the Conference on 'Research Use of Patented Inventions' held in Madrid in May 2006 	2005-06/08	Product attributes	<ul style="list-style-type: none"> Work on the economics of patents is distinct from and complementary to other types of analysis being done on IPRs in other organisations (+)

Products	Years	Category	Factors identified
<ul style="list-style-type: none"> ➤ Summary report of the EPO-OECD Conference 'Patents: Realising and Securing Value' held in London in November 2006 • OECD Science, Technology and Industry Working Papers <ul style="list-style-type: none"> ➤ The OECD REGPAT Database: A Presentation (STI Working Paper 2008/2) ➤ Valuation and Exploitation of Intellectual Property (STI Working Paper 2006/5) ➤ Research Use of Patented Knowledge: A Review (STI Working Paper 2006/2) ➤ Promoting Intellectual Property Rights Policy and Enforcement in China (STI Working Paper 2005/1) 			
PG8 STI globalisation and economic growth <ul style="list-style-type: none"> • Publications entitled <ul style="list-style-type: none"> ➤ The Internationalisation of Business R&D: Evidence, Impacts and Implications (2008) ➤ Open Innovation in Global Networks (2008) ➤ STI Outlook 2008 - Chapter 4 -- Assessing the Socio-Economic Impacts of Public R&D: Recent Practices and Perspectives (2008) ➤ Forum on Internationalisation of R&D (2005) • Reports entitled <ul style="list-style-type: none"> ➤ Innovation and productivity at the firm's level: Main Results and Options for the next Phase of the Project (2008) ➤ Innovation in firms: Findings from a Comparative Analysis of Innovation Surveys Microdata - Background and Highlights (2008) 	2005/08		<ul style="list-style-type: none"> • No specific factors identified
PG9 Eco-innovation <ul style="list-style-type: none"> • Publications entitled <ul style="list-style-type: none"> ➤ Towards the Development of OECD Best Practices for Assessing the Sustainability of Bio-based Products OECD (2010) • Reports entitled <ul style="list-style-type: none"> ➤ Summary report of the Workshop 'Building an Efficient Biobased Economy' held in St Petersburg in 2010 	2009-10		<ul style="list-style-type: none"> • No specific factors identified

Products	Years	Category	Factors identified
<ul style="list-style-type: none"> ➤ Summary Report of the Workshop 'Biotechnology for the Environment in the Future: Science, Technology and Policy' held in Rimini, Italy in September 2010 ➤ Draft Council Recommendation on Assessing the Sustainability of Biobased Products (2010) ➤ Summary record and background papers for the Workshop 'Outlook for Industrial Biotechnology' held in Vienna in January 2010 <ul style="list-style-type: none"> ○ Trends in Technology Applications ○ Policy Trends ○ Industry Structure and Business Models 			
PG10 International co-operation in science and technology to foster sustainable development <ul style="list-style-type: none"> • Publications entitled <ul style="list-style-type: none"> ➤ Integrating Science & Technology into Development Policies: An International Perspective (2007), Proceedings of the Workshop on International Scientific and Technological Co-operation for Sustainable Development held in November 2005 in Johannesburg 	2007		<ul style="list-style-type: none"> • No specific factors identified
PG11 Human genetic testing and databases <ul style="list-style-type: none"> • Reports entitled <ul style="list-style-type: none"> ➤ Draft Recommendation on Human Biobanks and Genetic Research Databases (2008) ➤ Introduction, Annotations and Glossary to the Draft Recommendation on Human Biobanks and Genetic Research Databases (2008) ➤ Draft Recommendation of the Council on Quality Assurance in Molecular Genetic Testing (2007) ➤ Draft Guidelines for the management and governance of human genetic research databases (HGRDs) (2006) ➤ Draft Guidelines for Quality Assurance in Molecular Genetic Testing (2006) 	2006-08	Committee orientation	<ul style="list-style-type: none"> • Respond to the needs of Members developing national guidelines and regulations on human biobanks or molecular genetic testing quality assurance
		Product attributes	<ul style="list-style-type: none"> • Provide authoritative and legitimate recommendations that touch upon sensitive issues (+)
		Utility	<ul style="list-style-type: none"> • Useful in supporting greater international harmonisation in an area where activities are largely global in nature (+)
PG12 Biotech for health <ul style="list-style-type: none"> • Publications entitled <ul style="list-style-type: none"> ➤ Biomedicine and Health Innovation - Synthesis Report (2010) 	2006-10	Utility	<ul style="list-style-type: none"> • Useful for developing a basic understanding of the challenges and opportunities of health research activities, and especially 'red biotechnologies' for improving medical processes within national health care systems and the economic and social implications of new

Products	Years	Category	Factors identified
<ul style="list-style-type: none"> ➤ Summary report of the Workshop "Better Health through Biomedicine: Innovative Governance" held in September 2010 in Berlin ➤ Summary report of the Genomics and the Bioeconomy: Symposium Report and Policy Considerations held in May 2010 in Montpellier ➤ Emerging research models for delivery of health innovation (2007) • Reports entitled <ul style="list-style-type: none"> ➤ Progress in Governance of Biomedicine and Other Health Innovations (2010) ➤ Policy Issues for the Development and Use of Biomarkers in Health (2010) ➤ Pharmacogenetics: Opportunities and Challenges for Health Innovation (2009) ➤ Analytical Papers for the workshop on Policy Issues in the Development and Use of Biomarkers in Health held on 6-7 October 2008 in Hinxton, United Kingdom <ul style="list-style-type: none"> ○ Industry Strategies and Biomarkers Business Models (2008) ○ Clinical Evaluation of Biomarkers (2008) ○ Formulation of the Basic Grounds for Health Industry Using Biomarker Database (2008); Evidence Base and Knowledge Sharing (2008) ○ Integration, Sharing and Access to Biomedical Data to Facilitate Decision Making in the Discovery and Validation of Biomarkers (2008) ○ Regulation and Policy (2008) ○ Biomarkers: Impact on Biomedical Research and Healthcare: Case Reports (2008) ➤ Policy Issues in the Development and Use of Biomarkers in Health: Workshop outcomes and options for future work, Report on workshop held on October 2008 in Hinxton, UK ➤ Synthesis Report of OECD Work related to Biomedicine and Health Innovation (2008) ➤ Analytical Report on the Uptake and Diffusion of Health-related Biotechnologies (2006) ➤ Policy Report on Challenges to Health Systems from 			<p>advances in this area (+)</p>

Products	Years	Category	Factors identified
Pharmacogenetics (2006)			
PG13 Licensing and patents in biotechnology <ul style="list-style-type: none"> Publications entitled <ul style="list-style-type: none"> ➤ OECD Guidelines for the Licensing of Genetic Inventions (2006) Reports entitled <ul style="list-style-type: none"> ➤ Collaborative Mechanisms for Intellectual Property Management in the Life Sciences (2010) ➤ Collaborative mechanisms for Intellectual Property Rights (2007) ➤ Validation of Biotechnology Patent Classes (2006) 	2005-06	Utility	<ul style="list-style-type: none"> The Guidelines for the Licensing of Genetic Inventions are mainly directly toward private companies which have fewer incentives to follow OECD guidelines (-)
PG14 Security of biotechnology materials <ul style="list-style-type: none"> Reports entitled <ul style="list-style-type: none"> ➤ OECD Best Practice Guidelines on security for Biological Resources Centres (2007) 	2006-08	Policy environment	<ul style="list-style-type: none"> See PG 16
PG15 Biotechnology and the bioeconomy <ul style="list-style-type: none"> Publications entitled <ul style="list-style-type: none"> ➤ OECD Biotechnology Statistics (2006 and 2009 editions) ➤ A Framework for Biotechnology Statistics (2005) Reports entitled <ul style="list-style-type: none"> ➤ Guidelines for a Harmonized Statistical Approach to Biotechnology Research and Development in the Government and Higher Education Sectors (2009) ➤ Metrics to support Informed Decision making for Consumers of Biobased Products (2008) ➤ Policy report and recommendations on delivering a biobased economy survey on managing the transition to a biobased economy (2007) ➤ Biotechnology statistics - Impacts, tabulations and the way forward (2007) 	2006/10	Product attributes	<ul style="list-style-type: none"> The Framework for Biotechnology Statistics and the Guidelines sets the international standards for measuring biotechnology research and industrial activities (+)
PG16 Establishment of the Global Biological Resource Centre Network (GBRCN) <ul style="list-style-type: none"> Reports entitled <ul style="list-style-type: none"> ➤ OECD Best Practice Guidelines for Biological Resource Centre (2007) ➤ Summary report of the Workshop on "Biosecurity of microbial biological resources – complementing 	2006	Product attributes	<ul style="list-style-type: none"> The guidelines are the unique standard in this area (+)

Products	Years	Category	Factors identified
innovation" held in Moscow in September 2006			
PG17 Infrastructures for the Life Sciences <ul style="list-style-type: none"> • Publications entitled <ul style="list-style-type: none"> ➤ Summary report of the Symposium 'Opportunities and Challenges in the Emerging Field of Synthetic Biology' held in Washington, DC, in July 2009 • Reports entitled <ul style="list-style-type: none"> ➤ Knowledge Networks and Markets for the Life Sciences (2010) ➤ Open Innovation and Bio-security: Achieving a Virtuous Balance and Dual Benefit (2010) 	2009-10		<ul style="list-style-type: none"> • No specific factors identified

6.4 *Assessment*

92. The assessment of effectiveness draws on the abovementioned indicators, while taking into account the extent to which impacts are occurring in areas of important policy needs and concerns (see [5.1](#)).

93. Eleven out of the seventeen of the CSTP's Product Groups are assessed by at least one-half of Members' as being of high or very high overall impact (see Figure 13, page 32). Ten out of the eleven Product Groups for which this assessment was feasible were assessed as having at least a medium actual impact (see Figure 14, page 34). This corresponds with a 'high' level of impact (see Table 10, page 62).²⁷

94. Since nine of the twelve (i.e. 75%) expected outcomes to which the Product Groups respond are well highly aligned with Members' policymaking needs and concerns (see Figure 2 and Table 4, pages 19 and 29 respectively), the CSTP is assessed as **HIGH** in terms of effectiveness.²⁸

27. This assessment is made as follows: 11/17 Product Groups (overall impact) + 10/11 Product Groups (actual impact) = 21/28 Product Groups (total impact) or 75%.

28. Since effectiveness is defined as the extent to which a Committee it is having a significant policy impact **in areas of highest policy needs and concerns for Members**, the degree of alignment of expected outcomes with policy needs as indicated in Table 3 is adopted as an upper limit on the rating of effectiveness.

Table 9: What has been the overall and actual impact of the Committee's work and to what extent has it been effective?

% of Product Groups for which at least one-half of Members indicate at a medium or higher level of policy impacts (and modulation to take into account the extent of significant impact in areas of important policy needs and concerns, i.e. its effectiveness)									
Ratings	Very Low	Very Low to Low	Low	Low to Medium	Medium	Medium to High	High	High to Very High	Very High
%	0% to 16%	17% to 23%	24% to 36%	37% to 43%	44% to 56%	57% to 63%	64% to 76%	77% to 83%	84% to 100%
Assessment							CSTP		

7. Efficiency

95. This section presents an assessment of **the extent to which the Committee is producing products of the requisite quality for the resources allocated (technical efficiency) and how well it is functioning (process efficiency)**.

96. The analysis of technical efficiency is primarily based on data obtained through the PIR survey and from the PWB. These sources are complemented, when relevant, with data generated through interviews.

97. The analysis of process efficiency uses data collected from Committee documentation and interviews. It focuses on how well the Committee:

- sets its policy orientations;
- functions in the implementation of its work programme;
- interacts across policy areas within the OECD;
- engages with non-Members;
- engages with other international organisations and stakeholder bodies;

7.1 How is the quality of the Committee's work appreciated from an end-user perspective?

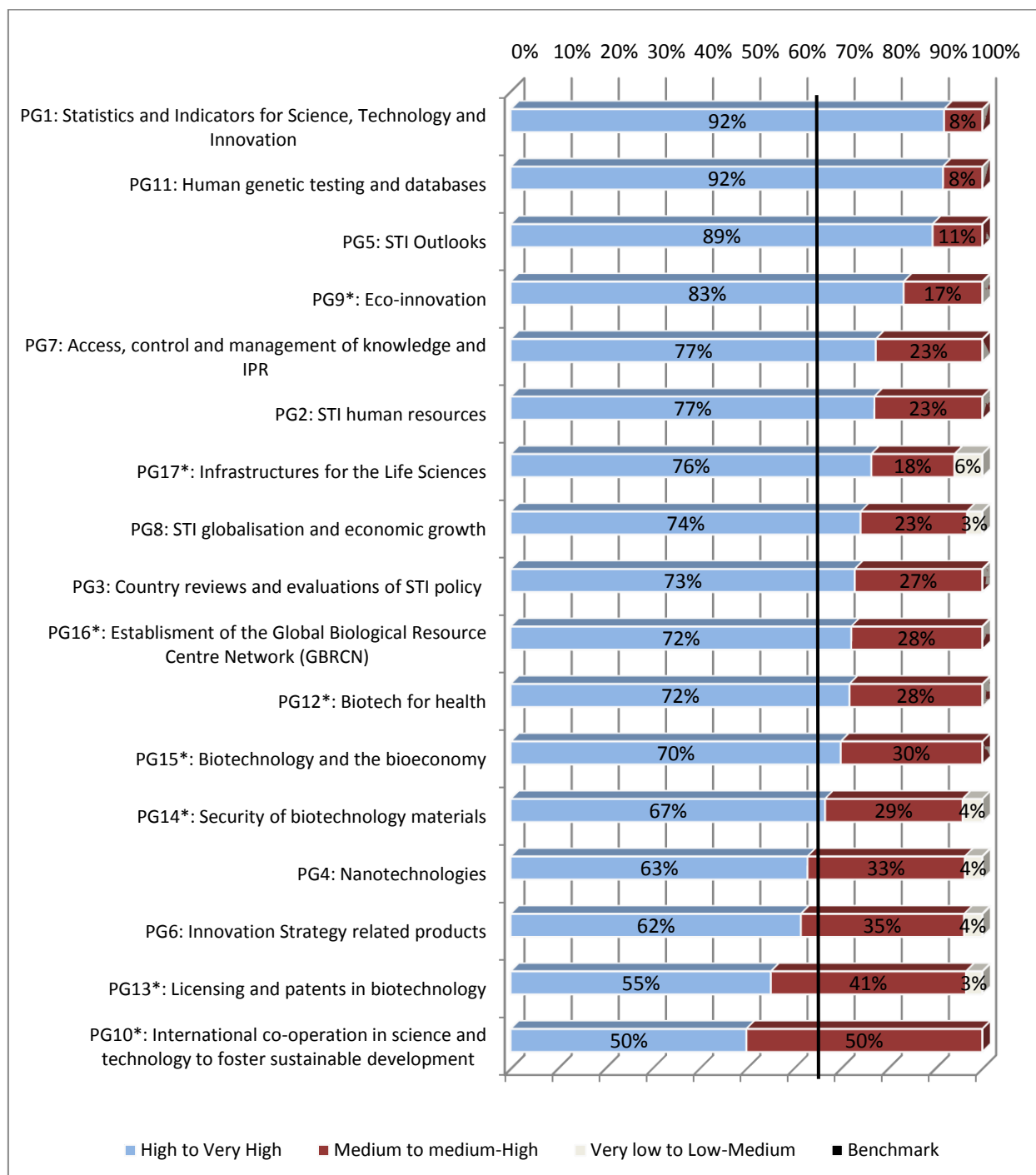
98. PIR survey data indicates that thirteen of the seventeen Product Groups are assessed as having at least a high level quality in two-thirds or more of Members.

99. The most highly rated of the Committee's products in quality terms (see Figure 16, below), where at least four-fifths of Members made an assessment of at least high quality are listed below:

- Statistics and Indicators for Science, Technology and Innovation Statistics and Indicators for Science, Technology and Innovation (2005-10);
- Human genetic testing and databases (2006-08);
- STI Outlooks (2006-08/10);
- Eco-innovation (2009-10).

100. The thirteen Product Groups achieving the quality threshold represent 85% of the Committee's Part I budget. The four Product Groups assessed by more than one-third of Members as being below the quality threshold are:

- Nanotechnologies (2007-10);
- Innovation Strategy related products (2009-10);
- International co-operation in science and technology to foster sustainable development (2006);
- Licensing and patents in biotechnology (2005-06).

Figure 16: Quality of the CSTP's work (2005-10)

Source: 2007, 2009 and 2011 PIR survey

Note: Product Groups 1 to 9 include Output Results that fall under the Output Area 1.3.2 and 10* to 15* under the Output Area 1.3.3

101. The great majority of users of the Committee's products view most of them as being of high or very high quality, emphasising in particular the wealth and reliability of data and international evidence provided and the sound analytical and conceptual basis underlying most of the reports. The quality of a small number of products, particular in the areas of biotechnology and nanotechnology, was considered as being of lower quality due to outdated data and empirical evidence.

7.2 *How efficiently has the Committee been functioning?*

7.2.1 *Setting Committee orientations*

102. Throughout most of the review period, the CSTP exercised limited influence on the overall strategic steering of the Committee. The work programmes for the Bienniums from 2005-06 to 2009-10 were largely developed in a bottom-up fashion, with discussions in plenary sessions adding little in the way of inputs to the proposals originating from the sub-bodies. This is particularly the case for work in the area of biotechnology which is programmed within its own distinct Output Area.²⁹ Some working parties (NESTI, TIP) have established processes for developing their own work programme that includes the holding of strategic workshops and the development of roadmaps which, however, have been minimally connected the Committee's overall strategy. This has resulted, according to a majority of interviewees, in a diffuse and fragmented work programme characterised by projects that:

- are many in number compared with the resources available;
- are difficult to map on to the Committee's priorities;
- do not draw on the range of competencies available across the Committee's substructure;
- result in some cases in products of limited policy relevance.

103. While a high level meeting gathered senior executives in science and technology policy in March 2008 to establish the Committee priorities, its results only influenced the work programme 2009-10 at the margin.³⁰ A more integrated and inclusive approach to the development of the programme of work 2013-14 was initiated in 2010 with the release of a "Forward-looking strategy for CSTP". This framework document, the development of which involved the Bureau, set out three medium-term strategic themes, spanning both Output Area 1.3.2 and Output Area 1.3.3.³¹ These were further refined in the "Chair's Strategic Document"³², discussed in an extended Bureau meeting and in the working parties, with corresponding potential outputs to be delivered by the CSTP and its subsidiary bodies. A fourth theme comprising the "Underpinning Elements" (i.e. statistics, reviews, etc.) has been added to the strategic framework. The working parties, on the basis of these top-down overarching priorities and in some cases their own roadmap³³, set in consultation with them, have developed their programme of work for the Biennium 2013-14 and an overall matrix has been developed to map the contributions of each working party, including the Global Science Forum and the International Future Programme (IFP), to each theme.³⁴

29. In 2012, the CSTP endorsed a proposal to merge the two Output Areas in order to consolidate their outputs within a rationalised Output Group 1.3, with the aim of facilitating the development of a coherent and integrated strategic orientation for the Committee [[DSTI/STP/M\(2011\)2](#)]. There was, however, no consensus within the Budget Committee for making such a change for the coming Biennium [[BC\(2012\)12](#) & [BC/M\(2012\)6](#)].

30. [DSTI/STP\(2008\)6](#).

31. The three themes were: (i) Linking Science to innovation, economic growth and social welfare; (ii) Enhancing the capacity to co-operate in Science, Technology and Innovation (STI); (iii) Fostering STI to address global and social challenges ([DSTI/STP\(2011\)2/REV1](#)).

32. [DSTI/STP\(2011\)9](#).

33. See for instance the RIHR roadmap [[DSTI/STP/RIHR\(2011\)6/REV1](#)].

34. See for instance [DSTI/STP/TIP\(2011\)11](#) and [DSTI/STP/BIO\(2012\)7](#).

7.2.2 *Committee functioning*

104. Meetings of the CSTP and its sub-bodies are well prepared with sessions hosting substantive discussions of great interest to the participants. Indeed, participation in the Committee is seen as one of the few opportunities that most policymakers have to step back from their daily work and reflect on issues in the company of analysts and researchers, and to contribute directly to projects of interest.

105. Relating specifically to the large number of projects conducted under the CSTP's oversight (see above), some delegates observe that this makes it difficult for them to monitor the implementation of the different strands of work and relate them to the different Committee priorities. Moreover, in the absence of a clear view of the progress of projects and their maturation into policy relevant products some delegates indicate that they are unable or in some cases unwilling to disseminate products within their administrations.

106. Overseeing of the work of the sub-bodies has been particularly challenging for CSTP, due to their number and, especially for the long-standing ones, their strength and legitimacy. This difficulty has translated into several options being tested overtime with regards to the balance between reporting from working parties (including the GSF) and the holding of strategic discussions in CSTP meetings. The latest approach has comprised the submission to the CSTP of working party progress reports by written procedure, while only key questions are discussed in CSTP meetings. As a complement, a more thorough presentation of the work of one or two working parties takes place on a rolling basis.

107. Other changes to the way the Committee operates have been implemented toward the end of the review period to improve the co-ordination between the CSTP and its working parties, including through the use of more regular extended Bureau meetings. These new modes of operation have been laid out in a set of dedicated guidelines.³⁵

7.2.3 *Interactions within the OECD structure*

108. The CSTP has intensified its relationships with the CIIE, mainly through joint Bureau meetings, a back-to-back meeting of the two Committees, joint meetings/workshops and a small number of co-operative projects (for instance between NESTI and WPIA on the microdata project and between the CIIE and the TIP on demand-side innovation policies). More recently, meetings between the CIIE and the CSTP Chairs have taken place in order to co-ordinate the two Committees' respective work programmes, sometimes using teleconferencing.

109. However, most of these initiatives have been undertaken on an *ad hoc* basis and no formal arrangements have been established to systematically co-ordinate the Committees' activities despite innovation-related policy issues having increased in importance at both Member level and within the Organisation in the context of the Innovation Strategy³⁶ and its follow-up. Nearly all delegates interviewed saw a need for better co-ordination of innovation-related work across the two Committees.

110. The CSTP has also carried out limited horizontal work with other committees mainly in the context of horizontal projects, primarily the Innovation Strategy, but also the Green Growth Strategy, New Source of Growth and the Strategy for Development. Within the framework of these projects, the role of delegates has been to formally review contributions prepared by the Secretariat which has also been the main channel through which relations with other concerned committees have been maintained.

35. [DSTI/STP\(2011\)3/REV2](#).

36. A more detailed review of the Committee's contribution to the Innovation Strategy is presented in Section 9.

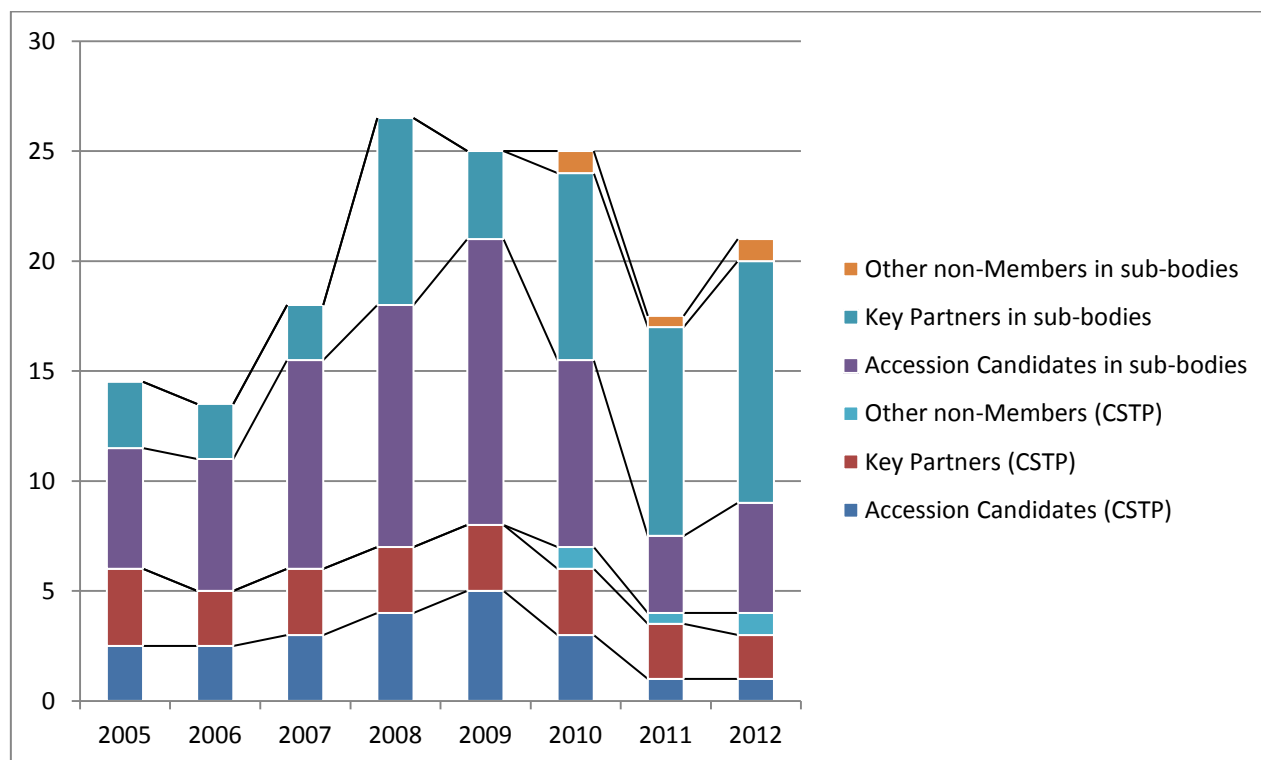
7.2.4 Global engagement

111. The Committee has a long track-record of relationship with non-Members (Russia being an observer since 1992, South Africa since 1998 and China since 2001). However, over the review period, global relations have intensified, with non-Members participating in meetings as either regular (Brazil, Argentina) or ad hoc (Egypt, Columbia) observers. The CSTP has developed and updated its Global Relation Strategy regularly during the review period (in 2005, 2007 and 2011).

Table 10: Milestones in non-Member engagement

Year	Council	CSTP
2004	<ul style="list-style-type: none"> Approval of the <i>Resolution of the Council concerning the Participation of non-Members in the Work of Subsidiary Bodies of the Organisation</i> [C(2004)132 & C/M(2004)17] 	
2005		<ul style="list-style-type: none"> Outreach strategy for the CSTP [DSTI/STP(2005)18]
2006		<ul style="list-style-type: none"> India invited in May 2006, no response Chile becomes regular observer [C(2006)15]
2007	<ul style="list-style-type: none"> MCM of May 2007 adopts draft Council Resolution on Enlargement and Enhanced Engagement as set out in the <i>Report to Ministers on Enlargement and Enhanced Engagement</i> [C/MIN(2007)4/REV1 & C/M(2007)9/PART1] 	<ul style="list-style-type: none"> Outreach strategy from the CSTP and renewal of observers [DSTI/STP(2007)21] Request from Brazil for regular observership in the CSTP Brazil becomes regular observer [C/M(2007)6]
2008		<ul style="list-style-type: none"> Dedicated CSTP session on the review of accession candidates
2009		<ul style="list-style-type: none"> Renewal of China regular observership [C/M(2009)25]
	<ul style="list-style-type: none"> Approval of <i>Guidelines for Deepening Enhanced Engagement</i> [C(2010)100/FINAL & C/M(2010)15] 	<ul style="list-style-type: none"> Strategic guidelines for CCP, CIIE, CSTP, ICCP discussed and a decision made to develop an action plan [DSTI/IND/M(2010)2/ADD1] Request from Argentina for regular observership in the CSTP Renewal of Brazil regular observership [ERC/M(2010)11]
2011		<ul style="list-style-type: none"> Global relations strategy for the CSTP [DSTI/STP(2011)5] Argentina becomes regular observer [C/M(2011)8] Renewal of China, Russia, South Africa regular observership [ERC/M(2011)10] Approval of the creation of the Global Forum on Knowledge Economy [DSTI/IND/STP/ICCP/CP(2011)1]

112. Participation of Key Partners in the Committee has been relatively high. Three out of five are regular observers at CSTP, NESTI, TIP, WPN and STIG meetings throughout most of the review period (see Figure 17, below). However, apart from South Africa which attends regularly the meetings of sub-bodies, other Key Partners only regularly attend CSTP, TIP and NESTI meetings. The number of non-Members attending meetings increased from 2007 to 2009 primarily due to the accession process. Since 2010, when four of the five accession countries joined the OECD, non-Member participation has been driven mainly by Key Partners in the sub-bodies and increasing attendance in the CSTP and its working parties of other non-Members (Argentina, Egypt and to a lesser extent Colombia).

Figure 17: Participation of non-Members in meetings (2005-12)

Source: Meeting summaries and EMS

113. Besides observerships, the Committee also reaches out to non-Members through:

- its Reviews of Innovation Policy that have covered Russia, China, South Africa, Peru, Chile (before accession), and more recently Vietnam and South-East Asia (8 countries of the region).
- forum-type settings, in particular the GSF and the Global Forum on Biotechnology.³⁷
- its statistical products and standards, such as for instance the five Key Partners Country Profiles section of the STI Outlook. Recently the Committee has developed specific guidelines for the application of its standards in developing countries.³⁸
- specific projects such as “Innovation and Development” (funded by the Swedish International Development Cooperation Agency), which includes a sub-programme on Research and Innovation Policy [[DSTI/STP/M\(2011\)1](#)].

7.2.5 Engagement with other international organisations and stakeholder bodies

114. The Council of Europe (CoE) and the UN Conference on Trade and Development (UNCTAD) are observers in CSTP meetings. However, in practice, they have only rarely attended meetings during the

37. The newly restructured Global Forum on the Knowledge Economy is also expected to be used as a joint STI global relations platform by the CSTP and the other STI Committees [[DSTI/IND/STP/ICCP/CP\(2011\)1](#)].

38. New Annex to the *Frascati Manual* on Measuring R&D in Developing Countries forthcoming in 2012 ([DSTI/EAS/STP/NESTI\(2011\)5/REV1](#)). In 2005, the Committee already had released a similar Annex to the third edition of the Oslo Manual.

review period. This holds true also for sub-bodies, apart from the UNESCO Institute for Statistics which attends regularly NESTI meetings.

115. The CSTP co-operates with other international organisations in the framework of the Reviews of Innovation Policy, for instance the ASEAN Committee On Science and Technology (COST) and the Inter-American Development Bank (IDB) respectively in the South-East Asia and the Peru reviews. The CSTP also interacts with regional organisations such as APEC to support its global relation activities.³⁹

116. BIAC is a longstanding, regular and actively engaged participant in the CSTP and its working parties and TUAC has been a regular participant in CSTP meetings, though less so in the second half of the review period.

7.3 *Assessment*

117. The assessment of efficiency draws primarily on the above indicator of the quality of the Committee's products, while taking into account their cost to the Part I Budget (technical efficiency). It also considers how well the Committee has been functioning during the review period (process efficiency).

118. Thirteen out of the seventeen (76%) of the CSTP's Product Groups are assessed by at least two-thirds of Members' as being of high or very high quality (see Figure 16, page 59), accounting for 85% of its Part I budget. In the light of these results, the CSTP is assessed as very high in terms of technical efficiency (see Table 11, page 65).


119. However, some shortfalls in the Committee's process efficiency have been observed during the review period, notably with regards to:

- a diffuse and fragmented work programme;
- insufficient oversight of sub-bodies by CSTP;
- a limited degree of interaction with other committees, in particular the CIIE.

120. Consequently, the overall assessment of efficiency is **HIGH TO VERY HIGH**.

39. [DSTI/STP/M\(2010\)2/ADD.](#)

Table 11: How is the quality of the Committee's work appreciated from an end-user perspective?

% of Product Groups for which at least one-half of Members indicate at a medium or higher level of policy impacts (and modulation to take into account the cost to the Part I Budget)									
Ratings	Very Low	Very Low to Low	Low	Low to Medium	Medium	Medium to High	High	High to Very High	Very High
%	0% to 16%	17% to 23%	24% to 36%	37% to 43%	44% to 56%	57% to 63%	64% to 76%	77% to 83%	84% to 100%
Assessment									

CSTP

8. Good Practices

121. One recent initiative has been identified as a potential ‘good practice’ in the course of the evaluation, namely aiming to improve the strategic integration of the programme of work.⁴⁰

122. On the basis of interviews with delegates, interactions with STI and a documentary review, the following information sheet has been developed.

Information Sheet 1: Development of a strategic framework providing a fully integrated approach to programming, implementation and dissemination	
<i>Good practice category</i>	1. Setting policy direction
<i>Objectives</i>	<ul style="list-style-type: none"> • To adopt a medium to long term overall and structured strategic approach to lead Committee activities beyond the biennial PWB timeframe. • To provide a framework to integrate and co-ordinate the work of the different working parties, focusing efforts on common strategic policy issues while still taking into account the particularities of the different policy areas (with regard to Members’ needs, the international context, etc.). • To map out and subsequently monitor the contributions of the working parties to the common strategic policy issues, and of the latter to OECD priorities. • To better manage resources on the basis of progress made in dealing with the common strategic policy issues and the identification of potential gaps. • To facilitate the capitalisation and diffusion of the results of CSTP and working parties’ contributions to common strategic policy issues. • To enhance the visibility of Committee products.
<i>Initiating circumstances</i>	<ul style="list-style-type: none"> • A largely bottom-up process for developing the PWB, which confined the CSTP to a managerial role, endorsing the individual work programmes of its wide range of working parties covering a wide range of issues from sectoral (WPN and WPB) to cross-cutting (TIP, RIHR and STIG), including statistical (NESTI). • Longstanding bodies (NESTI, TIP, WPB) having a long tradition of relative autonomy in the development and implementation of their work programmes. • New OECD process to develop Committee s’ Programmes of Work taking into account the Organisation Strategic Priorities.
<i>Process and difficulties overcome</i>	<ul style="list-style-type: none"> • Reflection about the strategic orientation of the Committee started as a response to the 2006 IDE which recommended that the Committee should adopt a more strategic approach, starting with a formal assessment of the policy needs of stakeholders over the medium to longer term, and better integrate the work of its working parties, in particular the WPB. • The OECD meeting of senior executives on “Strategic Priorities for Science, Technology and Innovation Policy” took place in Oslo in March 2008 in order to identify broad strategic and long-term key policy issues in the area of science, technology and innovation and discuss ways in which the Committee could help in addressing these issues [DSTI/STP(2008)6]. • Development of a “Forward-looking strategy for CSTP” [DSTI/STP(2010)16 and DSTI/STP(2011)2] by the Secretariat on the basis of discussions in the Bureau, notably during a Bureau retreat in October 2010. This document presented overall three medium-term strategic themes, spanning both the Output Areas 1.3.2 and 1.3.3. It also included tentative operational process to systematise the strategic process within the Committee. • Development of a set of guidelines for the operation of the CSTP and its subsidiary bodies including the process for developing the PWB [DSTI/STP(2011)3]. • The first step to guide the development of the Programme of Work 2013-14 consisted of the development of a short (3-4 pages) strategic document in the third quarter of the odd-years by the CSTP Chair entitled the “Chair’s Strategic Document” [DSTI/STP(2011)9]. This document, discussed first in extended

40. As the initiative is recent, it is too early to assess it in relation to its ‘impacts’ and ‘lessons learnt’.

	<p>Bureau meeting, then in the Committee, further refined the strategic themes with corresponding potential outputs to be delivered by the CSTP and its subsidiary bodies and added a fourth theme comprising the “Underpinning Elements” (i.e. statistics, reviews, ...).</p> <ul style="list-style-type: none"> • On the basis of these strategic themes, the working parties have developed their work programmes for the Biennium 2013-14 and an overall matrix has been developed to map the contributions of each working party to strategic policy issues in four thematic areas (Economic Impact, STI Interactions and Societal Challenges, Underpinning Elements); The GSF, although it is financed with Part II budget, is also expected to take account of the Committee’s strategic framework. • As the 2013-14 Biennium advances, it is foreseen that: <ul style="list-style-type: none"> ◦ The results of each working party with regards to the different strategic policy issues in the four thematic areas will be combined and consolidated in three synthetic reports. ◦ Specific events by thematic area, gathering relevant policy makers and experts from different policy communities, will be held to elaborate, discuss and diffuse these results. ◦ Co-ordination with other committees in related policy areas, especially the CIIE, will be ensured through links between Committee Chairs (teleconference), Bureaus (joint Bureau meetings), and delegates (joint workshops). The Secretariat has developed a strategic document to set the basis for the co-ordination of their respective activities.
<i>Success in implementation</i>	<ul style="list-style-type: none"> • Co-ordinated consultations have taken place in all working parties to discuss the strategic issues to be dealt with in four thematic areas and the potential contributions of each working party to these issues. • A more cohesive and strategic programme of work has now been developed, based on a matrix that cross references CSTP-wide strategic policy issues to be dealt with in four thematic areas and the specific capabilities of each working party.
<i>Impacts</i>	<ul style="list-style-type: none"> • At this stage only organisational effect can be observed, in terms of improvements to the strategic development and programming processes. • Impacts on policy making will be measured on the basis of the visibility and use of the three synthetic reports, expected to become flagship products.
<i>Contextual factors</i>	<ul style="list-style-type: none"> • Specific resources will be dedicated to the development of the synthesis reports, so the reports are not a mere collection of the different working party contributions. The success of the process will therefore partly rely upon the success in raising additional VCs for such task.
<i>Lessons learnt</i>	<ul style="list-style-type: none"> • Since the new practice has only recently been implemented, no lessons have yet been drawn.
<i>Transferability</i>	<ul style="list-style-type: none"> • The strategic steering of a committee, covering all the working parties’ activities in an integrated manner and going beyond the timeframe of PWBs, is a challenge faced by other OECD committees. The CSTP strategic framework could be adapted to many committee configurations, particularly those with a complex substructure.

9. Contribution of the CSTP to the Innovation Strategy

123. The CSTP was identified in the framework of the PWB 2009-10 as one of the four committees with accountability for the implementation of the Innovation Strategy. This section examines the extent to which the CSTP contributed to the Strategy and why, and the impacts of the Strategy from the perspective of the Committee's policy community.

124. The timeline for the Innovation Strategy and related actions of the Committee can be found in Table 12 (below) and subsequently developed in the rest of this section.

Table 12: Innovation Strategy - Timelines

Year	Council	CSTP
2007	<ul style="list-style-type: none"> Approval of the Innovation Strategy project at the 2007 MCM 	<ul style="list-style-type: none"> Informal workshop on OECD Innovation Strategy and CSTP programme of work for 2009-2010
2008	<ul style="list-style-type: none"> Progress report released at 2008 MCM 	<ul style="list-style-type: none"> CSTP Innovation Strategy Roadmap Six out of the seven Output Results of the Output Area 1.3.2, CSTP 2009-10 work programme were earmarked are contributing to the Innovation Strategy Joint Workshop of OECD Committee for Scientific and Technological Policy (CSTP) and OECD Committee for Industry, Innovation and Entrepreneurship (CIIE) on the OECD Innovation Strategy
2009	<ul style="list-style-type: none"> Interim report on the Innovation Strategy released at 2009 MCM 	<ul style="list-style-type: none"> Joint CIIE-CSTP Workshop on Demand-led Innovation Policies. 14-15 September 2009 CSTP agrees to focus resources on the Innovation Strategy and consequently delay or resize a few other works
2010	<ul style="list-style-type: none"> Innovation Strategy synthesis report and other final documents released at 2010 MCM 	<ul style="list-style-type: none"> CSTP contributes to the Innovation Strategy main publication and other dedicated documents
2011 onwards	<ul style="list-style-type: none"> Mainstreaming of Innovation Strategy work 	<ul style="list-style-type: none"> CSTP is the lead Committee in charge of the Innovation Policy Platform, an integrated project derived from the Innovation Strategy CSTP is contributing to several Output Results of the Horizontal Project "New sources of growth: intellectual assets" CSTP decides to put the emphasis on science related issues in the 2013/14 Programme of Work

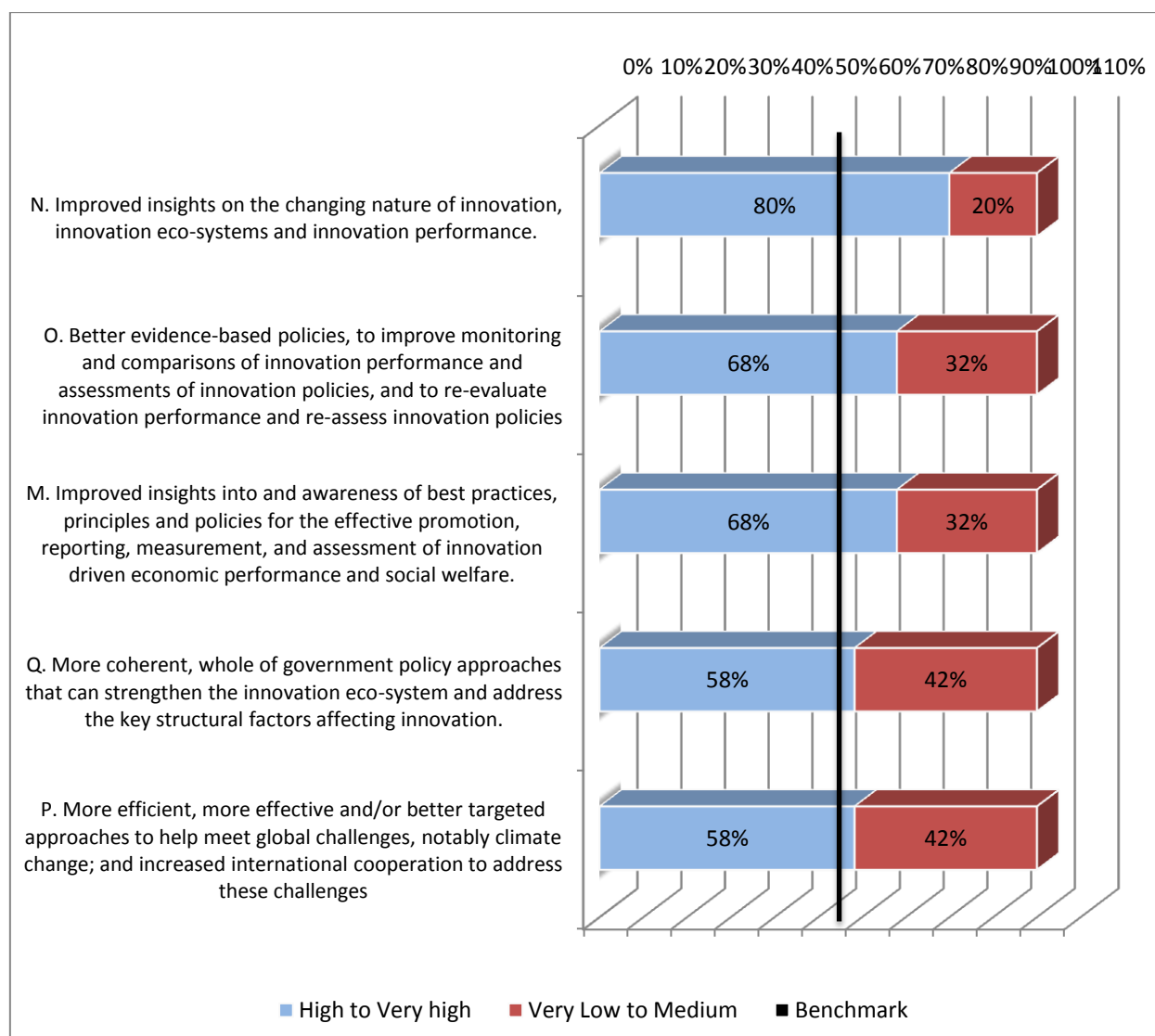
9.1 To what extent was the Innovation Strategy of relevance to the CSTP's policy community?

125. Innovation related issues were already an important component of the Committee mandate and programme of work prior to the launching of the Innovation Strategy and particularly in the case of work carried out by TIP. This helped to ensure a close alignment of the Strategy's objectives to the needs of the CSTP's policy community.

126. From the beginning, even before the Innovation Strategy was endorsed at the 2007 MCM, the widespread and high level of interest of CSTP delegates in the project was clearly expressed in meetings. The main benefits foreseen were the broadening of the approach to innovation beyond the technological dimension and the associated mainstreaming of innovation policy issues, in each Member as well as within the Organisation.

127. Feedback from policymakers echoes that obtained from meeting summaries, indicating that all of the Innovation Strategy's five expected outcomes were of at least high relevance in the area of science and technology policy for the majority of Members (see Figure 18, below).

Figure 18: Alignment of PWB expected outcomes relating to the Innovation Strategy (1.3.4.H) with policymaking needs in the area of science and technology policy



Source: IDE survey

9.2 To what extent did the CSTP contribute to the Innovation Strategy?

128. From the very start of the project, the CSTP has been expected to be, with the CIIE, one of the two “core Committees” of the Innovation Strategy.⁴¹ Since the project was launched in the course of the 2007-08 Biennium, it was fully integrated in the programme of work of the Committee as of the 2009-10 Biennium. Out of the seven Output Results in the Output Area 1.3.2, six were earmarked as

41. [DSTI/STP\(2007\)20](#).

contributing to the Innovation Strategy (all but the one related to the STI Outlook).⁴² To plan and monitor such an extensive commitment, dedicated roadmaps were produced.⁴³

129. In practice, the CSTP and most of its working parties have provided essential components to the project through:

- products originating from work already underway as part of the 2007-08 programme of work, which were used as building-blocks in the early Innovation Strategy documents;⁴⁴
- Innovation-Strategy work carried out as part of the 2009-10 programme of work. Although it is difficult to state precisely which products would not have been carried out in the absence of the Innovation Strategy, a small number of products were identified as specific to the project (referred to as Innovation Strategy related products), in particular those linked to cutting-edge work on new forms of innovation, new policy options and social innovation⁴⁵;
- more generally, through the knowledge base on innovation policy resulting from past CSTP work (case studies, established statistical trends,...).

130. Regarding the Innovation Strategy related products specifically, which, as stated above, do not account for all the contributions of the Committee to this project, these were assessed as being of at least high quality from a user perspective by 60% of Members, *i.e.* below the quality threshold (see Figure 16).

131. The Committee also contributed to the Innovation Strategy through specific events where relevant issues were discussed, for instance in a dedicated workshop held back-to-back with the October 2007 CSTP meeting⁴⁶ and in specific workshops such as those on social innovation held in 2009.⁴⁷

132. The CSTP also contributed to the Innovation Strategy at all stages of the project, providing inputs and comments on scoping documents and synthesis report outlines as well as contributing to the progress, interim and draft final reports, directly in discussions and through written comments.

133. Finally, the extent of the contribution of the Committee to the Innovation Strategy is also clearly apparent in the final products delivered at the 2010 MCM. The main publication resulting from the project, *The OECD Innovation Strategy: Getting a Head Start on Tomorrow*, heavily relies on the CSTP inputs. Also, one of the key documents of the Innovation Strategy package, the report entitled "*Measuring Innovation: A New Perspective*", was almost entirely produced by NESTI, which had set up a dedicated Innovation Strategy steering group.

134. The importance of the Innovation Strategy in the Committee's 2009-10 work programme was such that it affected some on-going Committee work less directly related to innovation. As indicated in the summary of its 95th meeting, the Committee "*reluctantly agreed*" to delay its work on human resources

42. [DSTI/STP\(2008\)9/REV1](#).

43. See the CSTP and NESTI Innovation Strategy roadmaps [respectively [DSTI/STP\(2008\)23](#) and [DSTI/EAS/STP/NESTI\(2008\)13/REV1](#)].

44. [DSTI/STP\(2007\)20](#).

45. See the list of products in the Product Group 6 "Innovation Strategy related products" in the Table 6 and Table 8 above.

46. Informal workshop on the OECD Innovation Strategy and the CSTP programme of work for 2009-2010, October 2007 [[DSTI/STP/AH/A\(2007\)2](#)].

47. [DSTI/STP\(2009\)5](#).

and institutions, and to reduce the scope of the 2010 edition of the STI Outlook.⁴⁸ In practice, only the RIHR work on human resources was delayed and the STI Outlook was not downsized.

9.3 *To what extent did the CSTP's contribution to the Innovation Strategy have a direct impact on policymaking?*

135. With respect to the overall policy impact for Members resulting directly from the products in the above mentioned Product Group 6 “Innovation Strategy related products”, 46% of respondents to the 2011 PIR survey assessed it as high or above, i.e. below the overall impact threshold of 50% (see Figure 13 page 32). In terms of actual impact on Members’ policymaking, i.e. overall impact minus the potential impact of the products on Members’ policy and their impact on the visibility and credibility of the OECD, this is assessed as medium or higher by 53% of responding Members (see Figure 14 page 34).

136. Feedback from policymakers drawn from a cross-section of Members provides a more diverse picture about the level of policy impact arising from this work, although this still tends towards impacts being mainly in the medium to very high range.

137. Nineteen Members out of the twenty-five responding to the 2011 PIR survey provided feedback on the types of actual impact resulting from the Innovation-Strategy related products. The most prevalent type of actual impacts reported is in terms of use to support discussion and studies and as background documentation to inform policy debate (respectively accounting for 24% and 20% of impact statements).

9.4 *To what extent are the results of the Innovation Strategy having an impact in the area of science and technology policy?*

138. The Innovation Strategy resulted in the production of a set of reports, publications and papers (see Box 1, below) that can be considered as the *main* Innovation Strategy products.

Box 1: The main products of the Innovation Strategy

- Ministerial Report on the OECD Innovation Strategy: Fostering Innovation to Strengthen Growth and Address Global and Social Challenges - Key Findings (2010)
- Publications entitled:
 - Measuring Innovation: A New Perspective (2010);
 - The OECD Innovation Strategy: Getting a Head Start on Tomorrow (2010);
 - Innovation and the Development Agenda (OECD and the IDRC, 2010);
 - Policy Responses to the Economic Crisis - Investing in Innovation for Long-Term Growth (2009);
 - Innovation and Growth: Chasing a Moving Frontier (OECD and the World Bank (2009).
- OECD Science, Technology and Industry Working Papers:
 - Workforce Skills and Innovation: An Overview of Major Themes in the Literature (2011/01);
 - OECD Work on Innovation - A Stocktaking of Existing Work (2009/02).

139. Feedback from policymakers drawn from a cross-section of Members clearly indicates that the diffusion of the main products of the Innovation Strategy has significantly enhanced the visibility of the CSTP’s work, which was one of the expectations of delegates with regards to the Strategy. Even policymakers who were not able to identify a single Committee product were aware of the project’s main publication, and often also of some of the annex documents (in particular *Measuring Innovation*). Some results originating from CSTP work, although not new to the Committee, benefited from the wider

48. [DSTI/STP/M\(2009\)2](#).

dissemination of these products and raised high level political debates in several countries. Visibility of the CSTP work was thus enhanced:

- with documents reaching the highest level of policy making, including ministers in several countries thanks to the support provided by the holding of high level roundtables in a number of Members;
- beyond administrations primarily in charge of the co-ordination of science and technology policy, in particular in the ministries of finance, and sectoral ministries of health, agriculture, etc.

140. Interviewees also indicate that the policy impact of the Innovation Strategy products in the area of science and technology policy, while quite varied has tended towards high (see Table 13, below). The Innovation Strategy was deemed instrumental in several Members during budget negotiations with ministries of finance to provide legitimate analytical and empirical evidences of the links between innovation, growth and employment, in a context of strong public budget cuts. However, a small number of interviewees, often delegates, indicate that the products were of limited use since the breadth of the approach had come at the detriment of its depth as a result of trying to accommodate a wide range of policy areas and country contexts. As a result, the strategy was too general to have a significant impact.

Table 13: Impacts of the Innovation Strategy (1.3.4.H) in the area of science and technology policy

Number of interviewees indicating that policy impact is...								
Very Low	Very low to low	Low	Low to medium	Medium	Medium to high	High	High to very high	Very high
0	1	0	2	5	2	6	2	6

141. Some interviewees provided examples of the types of impacts arising from the Innovation Strategy in their policy field, as shown below in Table 14, below.

Table 14: Examples of policy impacts arising from the Innovation Strategy in the area of science and technology policy

France	<ul style="list-style-type: none"> • Used as background documents to legitimate public support to innovation activities as a countercyclical policy.
United Kingdom	<ul style="list-style-type: none"> • A briefing on the main results of the Innovation Strategy was made for the Minister for Universities and Science and how it fits with the domestic strategic priorities. Overall, the Innovation Strategy provided: <ul style="list-style-type: none"> ➤ a framework to develop the country innovation strategy (Innovation and Research Strategy for Growth, December 2011); ➤ arguments on the contribution of innovation to economic growth used in negotiations regarding S&T public budget; ➤ useful information on how other Members support innovation, in particular the practical implementation of new options such as demand-led innovation policies.
Israel	<ul style="list-style-type: none"> • Raised awareness on demand side innovation policy report.
New-Zealand	<ul style="list-style-type: none"> • Used in exploratory policy discussions (for instance when reflecting on public procurements for innovation).
European Union	<ul style="list-style-type: none"> • "Measuring innovation" provides new and exploratory indicators (in particular in relation to social challenges), some of which will be taken up in the future by the Commission.
United-States	<ul style="list-style-type: none"> • "Measuring Innovation" is seen as a critical document for the organisation in charge of S&T statistics as it provides information on future data to be collected and new indicators to be

	produced.
United-States	<ul style="list-style-type: none"> • Widely circulated and commented on within the government, including among high level policy makers. • provided inputs for policy discussions in the forms of data, international best practices and analytical insights into cutting edge policy issues.
Japan	<ul style="list-style-type: none"> • Provided inputs for the "New Growth Strategy: Blueprint for Revitalizing Japan" developed in 2010 by the Cabinet. "Measuring Innovation" was used in the context of the effort to develop new innovation-related indicators.
South Africa	<ul style="list-style-type: none"> • The publications and the high-level roundtable influenced the development of the 10 year Innovation Plan, in particular the approach towards practical support to social and inclusive innovation, based on international experiences.
Sweden	<ul style="list-style-type: none"> • Used regularly for finding formulations, perspectives, references with regards to a range of S&T policy issues. • Allowed to broaden the concept of innovation in the policy debate to new forms of innovation and anchor that vision in the ministry.

142. The Innovation Strategy has also had some impact on the work of the Committee (i.e. mainstreaming) with respect to:

- how it programmes its work, as the Innovation Strategy paved the way toward the more top-down and integrated approach used for the development of the 2013-14 programme of work (as indicated in the section on good practices);
- the Innovation Policy Platform, a project formerly known as the Policy Handbook led by the CSTP, is also an evidence of the effort toward greater integration of the different innovation-related work following on from the Innovation Strategy;⁴⁹
- the focus of its work, which in line with the concerns raised among delegates by the weight of the Innovation Strategy within the Committee's 2009-10 programme of work, is being more strongly focused on science related issues.

49. [SG/INNOV\(2010\)4](#).

**ANNEX II:
PRODUCT GROUPS AND BUDGETS**

Output Areas 1.3.2 and 1.3.3 (K EUR)	Year	Part 1	CPF	VCs in Hand	New VCs (expected)*	Total VCs (including expected VCs)*	TEC (KEUR)*
PG1: Statistics and Indicators for Science, Technology and Innovation <ul style="list-style-type: none"> • Publications entitled <ul style="list-style-type: none"> ➤ Main Science and Technology Indicators (2005, 2006, 2007, 2008, 2009, 2010 editions) ➤ Research and Development Statistics (2005, 2007, 2009, 2010 editions) ➤ ANBERD (Analytical Business Enterprise Research and Development, R&D by sector) (2009) ➤ OECD Science, Technology and Industry Scoreboard (2005) ➤ Oslo Manual: Guidelines for Collecting and Interpreting Innovation Data, 3rd edition (2005) ➤ Research and Development Expenditure in Industry (2004) ➤ R&D Tax Incentives and Government Foregone Tax Revenue: A Cross-country Comparison and Policy Brief (2010) ➤ Science, Technology and Innovation Indicators in a Changing World: Responding to Policy Needs (2007) ➤ Proceedings of the Blue Sky Forum on new S&T indicators held in September 2006 in Ottawa • Databases <ul style="list-style-type: none"> ➤ STAN family databases : STAN Database for Structural Analysis, STAN Bilateral Trade by Industry and End-use category (BTDIxE), STAN Input-Output, STAN Indicators, ANBERD. 	2005-10	3,595.29	-	461.76	1,871.54	2,333.30	5,928.60

Output Areas 1.3.2 and 1.3.3 (K EUR)	Year	Part 1	CPF	VCs in Hand	New VCs (expected)*	Total VCs (including expected VCs)*	TEC (KEUR)*
<ul style="list-style-type: none"> Reports entitled <ul style="list-style-type: none"> ➤ Creating Guidelines for the Measurement of Public Sector Innovation (2010) OECD Science, Technology and Industry Working Papers <ul style="list-style-type: none"> ➤ Careers and Mobility of Doctorate Holders: CDH Guidelines - Second Edition - OECD/UIS/EUROSTAT (STI Working Paper 2010/1) ➤ Careers of Doctorate Holders: Employment and Mobility Patterns (STI Working Paper 2010/4) 							
PG2: STI human resources and institutions <ul style="list-style-type: none"> Publications entitled <ul style="list-style-type: none"> ➤ Skills for Innovation and Research (2011) ➤ Research Institutions: Mapping Sector Trends (2011) ➤ Proceedings of the Workshop 'Performance-based Funding for Public Research in Tertiary Education Institutions' held in June 2010 in Paris ➤ The Global Competition for Talent: Mobility of the Highly Skilled (2008) ➤ Women in Scientific Careers- Unleashing the Potential (2006) ➤ Report on the Evolution of Student Interest in Science and Technology Studies (2006) Reports entitled <ul style="list-style-type: none"> ➤ Human Resources in Science and Technology: Draft Policy Report (2006) OECD Science, Technology and Industry Working Papers <ul style="list-style-type: none"> ➤ Labour market characteristics and international mobility of doctorate holders: results for seven countries (STI Working Paper 2007/2) 	2005-10	2,038.97	-	102.18	932.01	1,034.19	3,073.16

Output Areas 1.3.2 and 1.3.3 (K EUR)	Year	Part 1	CPF	VCs in Hand	New VCs (expected)*	Total VCs (including expected VCs)*	TEC (KEUR)*
➤ Mapping Careers and Mobility of Doctorate Holders (STI Working Paper 2007/6)							
PG3: Country reviews and evaluations of STI policy <ul style="list-style-type: none"> • Publications entitled <ul style="list-style-type: none"> ➤ Government R&D Funding and Company Behaviour: Measuring Behavioural Additionality (2006) ➤ Fostering Public-Private Partnerships for Innovation in Russia (2005) ➤ Country Reviews of Innovation Policy including <ul style="list-style-type: none"> ○ OECD Reviews of Innovation Policy: Switzerland, Luxembourg, New Zealand, South Africa, Chile, China, Korea, Mexico Norway, Hungary (2006, 2007, 2008) ○ Draft Synthesis Report (2008, 2009) ○ Report on Improving the Policy for Innovation: Poland (2007) ○ Policy Mix for Innovation in Iceland (2006) ○ R&D and Innovation in Spain: Improving the Policy Mix (2007) • Reports entitled <ul style="list-style-type: none"> ➤ The Role of Expert Review in the Evaluation of Science and Technology: Issues and Suggestions for advanced Practices (2008) ➤ Framework and Guidelines for Case studies on the Systems used to evaluate Public R&D in OECD Countries (2008) ➤ Towards good practices in priority setting: Background and Issues Paper (2008) 	2005-10	1,510.61	-	223.77	1,983.95	2,207.72	3,718.33

Output Areas 1.3.2 and 1.3.3 (K EUR)	Year	Part 1	CPF	VCs in Hand	New VCs (expected)*	Total VCs (including expected VCs)*	TEC (KEUR)*
PG4: Nanotechnologies <ul style="list-style-type: none"> Publications entitled <ul style="list-style-type: none"> The Impacts of Nanotechnology on Companies: Policy Insights from Case Studies (2010) Fostering Nanotechnology to Address Global Challenges: Water (2010) Nanotechnology: an overview, Project Indicators and Statistics (2008) Global Challenges, Nanotechnology and Water (2008) Reports entitled <ul style="list-style-type: none"> Statistical Framework for Nanotechnology (2011) Public Engagement in Nanotechnology (2009) Project : Policy Dialogue - Progress Report and Questionnaire Findings (2008) OECD Science, Technology and Industry Working Papers <ul style="list-style-type: none"> Capturing nanotechnology's current state of development via analysis of patents (STI Working Paper 2007/4) 	2007-10	394.50	-	80.61	1,033.18	1,113.79	1,508.29
PG5: STI Outlooks <ul style="list-style-type: none"> Publication entitled <ul style="list-style-type: none"> OECD Science, Technology and Industry Outlook (2006, 2008, 2010 editions) 	2006/08-10	925.68	-	-	165.00	165.00	1,090.68
PG6: Innovation Strategy related products <ul style="list-style-type: none"> Events <ul style="list-style-type: none"> High-level policy roundtables held in 2010 in: Mexico, Spain, Japan, Sweden (regional event), France, the United Kingdom, Austria, Canada, Australia, Korea, Belgium, Italy, Czech Republic (regional event), Poland, the United States, China Reports entitled 	2009-10	1,613.70	-	14.48	1,307.00	1,321.48	2,935.18

Output Areas 1.3.2 and 1.3.3 (K EUR)	Year	Part 1	CPF	VCs in Hand	New VCs (expected)*	Total VCs (including expected VCs)*	TEC (KEUR)*
<ul style="list-style-type: none"> ➤ Adjusting STI Policies to the Globalisation of R&D and Innovation (2011) ➤ Priority-setting for Public Research: Challenges and Opportunities (2010) ➤ New Approaches and Governance Mechanisms for Multilateral Co-operation in Science, Technology and Innovation to Address Global Challenges (2010) ➤ New Forms of Innovation: Draft Synthesis and Outline of the Final Report (2010) ➤ Demand-side Innovation Policies (2010) ➤ Summary Report of the Vienna Workshop on National STI Governance (2010) ➤ Evaluation and Impact Assessment of Science and Technology (2009) 							
PG7: Access, control and management of knowledge and IPR <ul style="list-style-type: none"> • Publications entitled <ul style="list-style-type: none"> ➤ OECD Patent Statistics Manual (2009) ➤ Compendium of Patent Statistics (2006 and 2008 editions) ➤ Draft Recommendation of the Council concerning Access to Research Data from Public Funding (2007) ➤ Summary report of the Conference on 'Research Use of Patented Inventions' held in Madrid in May 2006 ➤ Summary report of the EPO-OECD Conference 'Patents: Realising and Securing Value' held in London in November 2006 • OECD Science, Technology and Industry Working Papers <ul style="list-style-type: none"> ➤ Promoting Intellectual Property Rights Policy and Enforcement in China (STI Working Paper 2005/1) 	2005-06/08	908.18	-	273.73	683.97	957.70	1,865.87

Output Areas 1.3.2 and 1.3.3 (K EUR)	Year	Part 1	CPF	VCs in Hand	New VCs (expected)*	Total VCs (including expected VCs)*	TEC (KEUR)*
<ul style="list-style-type: none"> ➤ Valuation and Exploitation of Intellectual Property (STI Working Paper 2006/5) ➤ Research Use of Patented Knowledge: A Review (STI Working Paper 2006/2) ➤ The OECD REGPAT Database: A Presentation (STI Working Paper 2008/2) 							
PG8: STI globalisation and economic growth <ul style="list-style-type: none"> • Publications entitled <ul style="list-style-type: none"> ➤ The Internationalisation of Business R&D: Evidence, Impacts and Implications (2008) ➤ Open Innovation in Global Networks (2008) ➤ STI Outlook 2008 - Chapter 4 -- Assessing the Socio-Economic Impacts of Public R&D: Recent Practices and Perspectives (2008) ➤ Forum on Internationalisation of R&D (2005) • Reports entitled <ul style="list-style-type: none"> ➤ Innovation and productivity at the firm's level: Main Results and Options for the next Phase of the Project (2008) ➤ Innovation in firms: Findings from a Comparative Analysis of Innovation Surveys Microdata - Background and Highlights (2008) 	2005/08	762.72	-	107.63	401.56	509.18	1,271.90
PG9: Eco-innovation <ul style="list-style-type: none"> • Publications entitled <ul style="list-style-type: none"> ➤ Towards the Development of OECD Best Practices for Assessing the Sustainability of Bio-based Products OECD (2010) • Reports entitled <ul style="list-style-type: none"> ➤ Summary report of the Workshop 'Building an Efficient Biobased Economy' held in St Petersburg in 2010 ➤ Summary Report of the Workshop 'Biotechnology for the Environment in the Future: Science, Technology and Policy' 	2009-10	302.84	-	28.00	472.00	500.00	802.84

Output Areas 1.3.2 and 1.3.3 (K EUR)	Year	Part 1	CPF	VCs in Hand	New VCs (expected)*	Total VCs (including expected VCs)*	TEC (KEUR)*
<ul style="list-style-type: none"> ➤ held in Rimini, Italy in September 2010 ➤ Draft Council Recommendation on Assessing the Sustainability of Biobased Products (2010) ➤ Summary record and background papers for the Workshop 'Outlook for Industrial Biotechnology' held in Vienna in January 2010 <ul style="list-style-type: none"> ○ Trends in Technology Applications ○ Policy Trends ○ Industry Structure and Business Models 							
PG10: International co-operation in science and technology to foster sustainable development <ul style="list-style-type: none"> • Publications entitled <ul style="list-style-type: none"> ➤ Integrating Science & Technology into Development Policies: An International Perspective (2007), Proceedings of the Workshop on International Scientific and Technological Co-operation for Sustainable Development held in November 2005 in Johannesburg 	2006	-	-	-	50.00	50.00	50.00
PG11: Human genetic testing and databases <ul style="list-style-type: none"> • Reports entitled <ul style="list-style-type: none"> ➤ Draft Recommendation on Human Biobanks and Genetic Research Databases (2008) ➤ Introduction, Annotations and Glossary to the Draft Recommendation on Human Biobanks and Genetic Research Databases (2008) ➤ Draft Recommendation of the Council on Quality Assurance in Molecular Genetic Testing (2007) ➤ Draft Guidelines for the management and governance of human genetic research databases (HGRDs) (2006) 	2006-08	407.99	-	-	60.00	60.00	467.99

Output Areas 1.3.2 and 1.3.3 (K EUR)	Year	Part 1	CPF	VCs in Hand	New VCs (expected)*	Total VCs (including expected VCs)*	TEC (KEUR)*
➤ Draft Guidelines for Quality Assurance in Molecular Genetic Testing (2006)							
PG12: Biotech for health <ul style="list-style-type: none"> • Publications entitled <ul style="list-style-type: none"> ➤ Biomedicine and Health Innovation - Synthesis Report (2010) ➤ Summary report of the Workshop "Better Health through Biomedicine: Innovative Governance" held in September 2010 in Berlin ➤ Summary report of the Genomics and the Bioeconomy: Symposium Report and Policy Considerations held in May 2010 in Montpellier ➤ Emerging research models for delivery of health innovation (2007) • Reports entitled <ul style="list-style-type: none"> ➤ Progress in Governance of Biomedicine and Other Health Innovations (2010) ➤ Policy Issues for the Development and Use of Biomarkers in Health (2010) ➤ Pharmacogenetics: Opportunities and Challenges for Health Innovation (2009) ➤ Analytical Papers for the workshop on Policy Issues in the Development and Use of Biomarkers in Health held on 6-7 October 2008 in Hinxtton, United Kingdom <ul style="list-style-type: none"> ○ Industry Strategies and Biomarkers Business Models (2008) ○ Clinical Evaluation of Biomarkers (2008), ○ Formulation of the Basic Grounds for Health Industry Using Biomarker Database (2008); Evidence Base and Knowledge Sharing (2008) ○ Integration, Sharing and Access to Biomedical Data to Facilitate Decision 	2006/08-10	880.58	144.70	-	1,122.00	1,122.00	2,147.28

Output Areas 1.3.2 and 1.3.3 (K EUR)	Year	Part 1	CPF	VCs in Hand	New VCs (expected)*	Total VCs (including expected VCs)*	TEC (KEUR)*
<p>Making in the Discovery and Validation of Biomarkers (2008)</p> <ul style="list-style-type: none"> ○ Regulation and Policy (2008) ○ Biomarkers: Impact on Biomedical Research and Healthcare: Case Reports (2008) <p>➤ Policy Issues in the Development and Use of Biomarkers in Health: Workshop outcomes and options for future work, Report on workshop held on October 2008 in Hinxton, UK</p> <p>➤ Analytical Report on the Uptake and Diffusion of Health-related Biotechnologies (2006)</p> <p>➤ Synthesis Report of OECD Work related to Biomedicine and Health Innovation (2008)</p> <p>➤ Policy Report on Challenges to Health Systems from Pharmacogenetics (2006)</p>							
<p>PG13: Licensing and patents in biotechnology</p> <ul style="list-style-type: none"> • Publications entitled <ul style="list-style-type: none"> ➤ OECD Guidelines for the Licensing of Genetic Inventions (2006) • Reports entitled <ul style="list-style-type: none"> ➤ Collaborative Mechanisms for Intellectual Property Management in the Life Sciences (2010) ➤ Collaborative mechanisms for Intellectual Property Rights (2007) ➤ Validation of Biotechnology Patent Classes (2006) 	2005-06	156.58	-	21.00	-	21.00	68.93
<p>PG14: Security of biotechnology materials</p> <ul style="list-style-type: none"> • Reports entitled <ul style="list-style-type: none"> ➤ OECD Best Practice Guidelines for Biological Resources Centres (2007) 	2007-08	-	-	-	140.00	140.00	140.00

Output Areas 1.3.2 and 1.3.3 (K EUR)	Year	Part 1	CPF	VCs in Hand	New VCs (expected)*	Total VCs (including expected VCs)*	TEC (KEUR)*
PG15: Biotechnology and the bioeconomy <ul style="list-style-type: none"> Publications entitled <ul style="list-style-type: none"> ➤ OECD Biotechnology Statistics (2006 and 2009 editions) ➤ A Framework for Biotechnology Statistics (2005) Reports entitled <ul style="list-style-type: none"> ➤ Guidelines for a Harmonized Statistical Approach to Biotechnology Research and Development in the Government and Higher Education Sectors (2009) ➤ Metrics to support Informed Decision making for Consumers of Biobased Products (2008) ➤ Policy report and recommendations on delivering a biobased economy survey on managing the transition to a biobased economy (2007) ➤ Biotechnology statistics - Impacts, tabulations and the way forward (2007) 	2005-06/ 2008-10	623.01	-	2.00	266.60	268.60	834.94
PG16: Establishment of the Global Biological Resource Centre Network (GBRCN) <ul style="list-style-type: none"> Reports entitled <ul style="list-style-type: none"> ➤ OECD Best Practice Guidelines for Biological Resource Centre (2007) ➤ Summary report of the Workshop on "Biosecurity of microbial biological resources – complementing innovation" held in Moscow in September 2006 	2006	114.08	-	9.00	10.00	19.00	133.08
PG17: Infrastructures for the Life Sciences <ul style="list-style-type: none"> Publications entitled <ul style="list-style-type: none"> ➤ Summary report of the Symposium 'Opportunities and Challenges in the Emerging Field of Synthetic Biology' held in Washington, DC, in July 2009 Reports entitled 	2009-10	435.60	-	38.00	632.00	670.00	1,105.60

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Output Areas 1.3.2 and 1.3.3 (K EUR)	Year	Part 1	CPF	VCs in Hand	New VCs (expected)*	Total VCs (including expected VCs)*	TEC (KEUR)*
<ul style="list-style-type: none"> ➤ Knowledge Networks and Markets for the Life Sciences (2010) ➤ Open Innovation and Bio-security: Achieving a Virtuous Balance and Dual Benefit (2010) 							
Grand Total		14,670.31	144.70	1,362.16	11,130.81	12,492.97	27,142.66

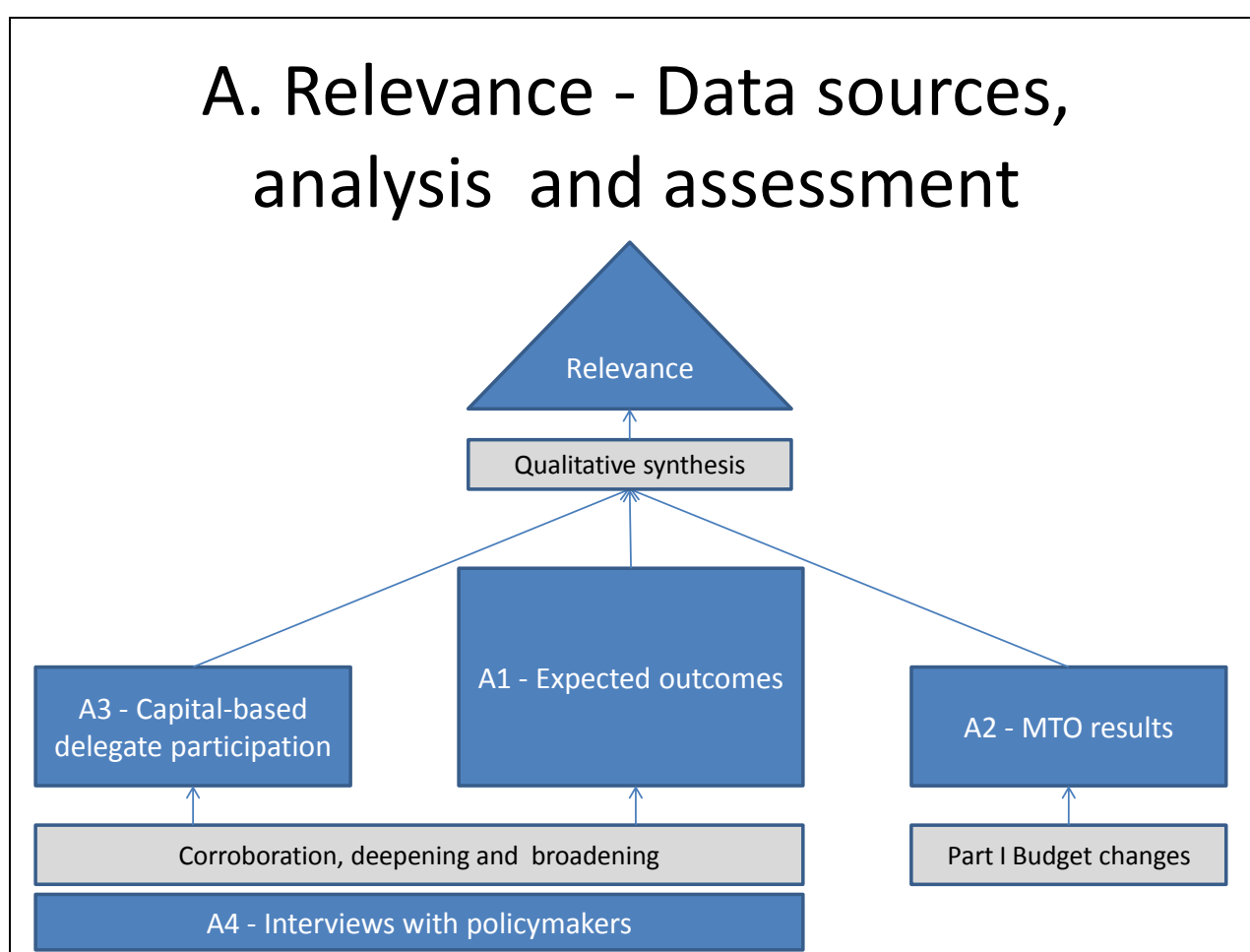
Source: PWB database

* To be adjusted on the basis of VCs received.

ANNEX III METHODOLOGICAL FRAMEWORK AND NOTES

The methodological framework used for assessing the relevance, effectiveness and efficiency of a committee is described *in situ* in sections 5.4, 6.4 and 7.3 of Annex I. This Annex presents a diagrammatic overview of the framework and notes on how specific aspects of data analysis are conducted.

Relevance



Main sources:

A1 – Survey of delegates (as a transition measure until this data is fully integrated into the Programme Implementation Reporting survey (PIR) for the full review period).

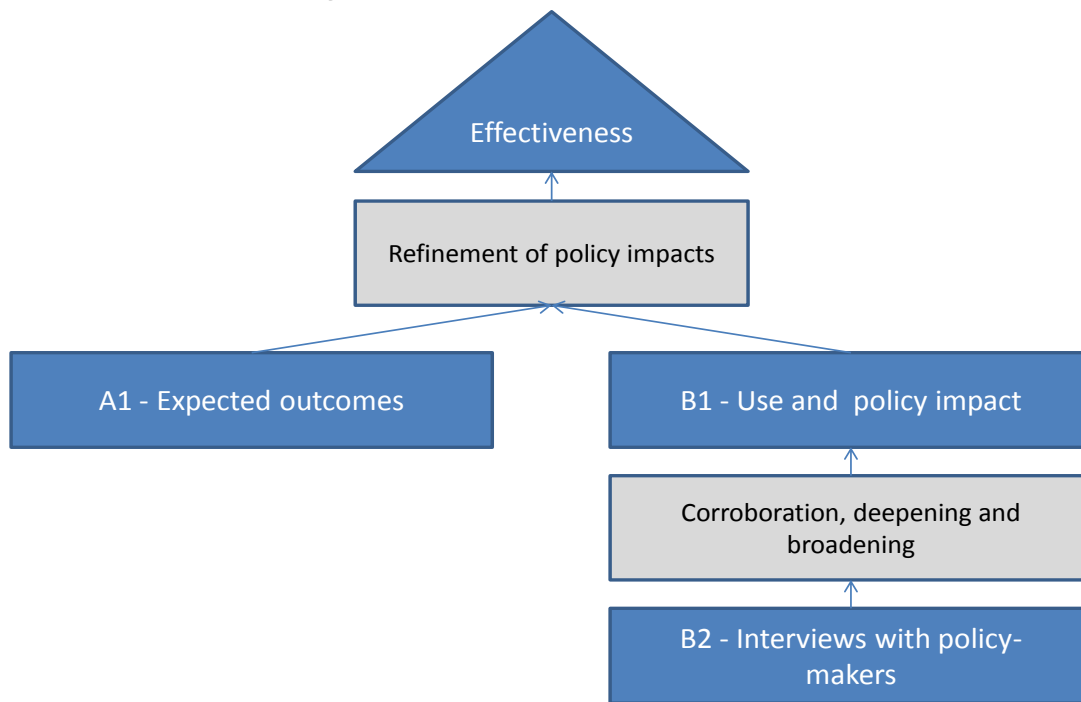
A2 – Biannual Medium-Term Orientations survey.

A3 – Meeting summaries and Event Management System database (EMS).

A4 – Delegates and other policymakers (plus non-Member delegates and representatives of other international bodies and stakeholder bodies as relevant).

Effectiveness

B. Effectiveness - Data sources, analysis and assessment

Main sources:

A1 – Survey of delegates (as a transition measure until this data is fully integrated into the Programme Implementation Reporting survey (PIR) for the full review period).

B1 – PIR survey, the analysis of which in terms of data on policy impacts comprises a number of steps:

- Output Results from the relevant Bienniums are analysed to ascertain whether they contain related or interlocking products. Those that do are merged into multi-annual Product Groups that provide a basis for consolidating PIR ratings over the review period and for focusing discussions on impacts and supporting factors with interviewees. The reports and instruments included in a given Product Group are those that fall under its constituting Output Results. A Product Group impact rating calculated by triangulating across the mean, mode and median of the constituent Output Result ratings.
- Product Group ratings are analysed to provide an overall (i.e. of actual and potential impacts on both Members' policymaking and the visibility and credibility of the Organisation) assessment of impacts.
- Since the 2011 PIR survey (covering the 2009-10 PWB), Output Results are rated both in terms of the level of impact and the nature of impact, with PIR respondents being able to assign up to five types of impacts (or indicate why impacts are low). This data is used as follows:
 - To corroborate ratings and impact descriptions and recalibrate them as necessary using the guidance matrix, below. Thus, for example, a rating of 'very high' that is qualified as 'Referenced as a data source without impacting on policy initiatives or without directly

leading to policy development’ would be recalibrated as ‘very low to low’. Similarly, a rating of ‘low’ characterised as ‘Prompted a review of national policy’ would be recalibrated as ‘medium to very high’.

- To analyse overall impacts in order to arrive at an assessment of actual impact, defined as impact on Members’ policymaking (i.e. overall impact minus potential impact on Members and impact on the visibility and credibility of the OECD).

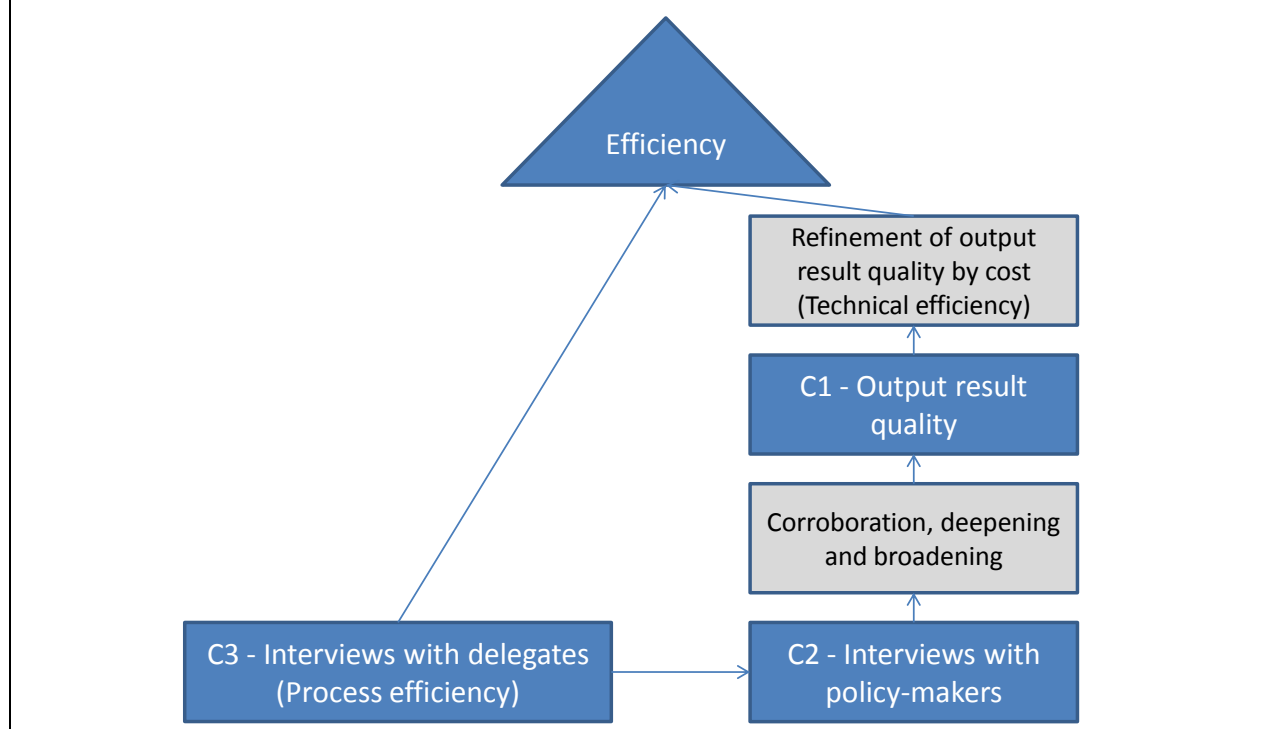
B2 – Delegates and other policymakers (plus non-Member delegates and representatives of other international bodies and stakeholder bodies as relevant).

Guidance on use/impact descriptions and ratings

Very Low Impact	Low Impact	Medium Impact	High Impact	Very High Impact
			Substantively represents or forms the basis of government policy	
			Considered as the standard for policy setting	
			Raised in Parliament, been the subject of Ministerial/official announcements	
			Proposed to be enacted as legislation, enacted as legislation or the subject of international agreement	
			Raised in major public forums as being authoritative for policy direction	
		Referenced in reports/briefings, or used as reference material with a direct impact on policy development/outcomes		
		Used as the sole / authoritative data source supporting policy initiatives		
		Prompted a review of national policy		
		Was the basis for international comparisons used in developing policy options or settings		
		Provided innovative policy ideas previously unknown to capital		
		Contributed to preparing the ground for possible future reforms		
		Used as a data source in conjunction with other non-OECD data sources		
		Supported discussions and studies		
		Used as background documentation to inform policy debate		
		Resulted in an increase to international co-operation and/or policy networks		
Referenced as a data source without impacting on policy initiatives or without directly leading to policy development				
Not used /little used since it is not known / little known in capital				
Not used / little used since it focuses on issues of no or limited concern in capital				
Not used / little used due to quality concerns				
Not used due to limited interest in capital following changes in national policy priorities / the policy environment				

Efficiency

C. Efficiency - Data sources, analysis and assessment



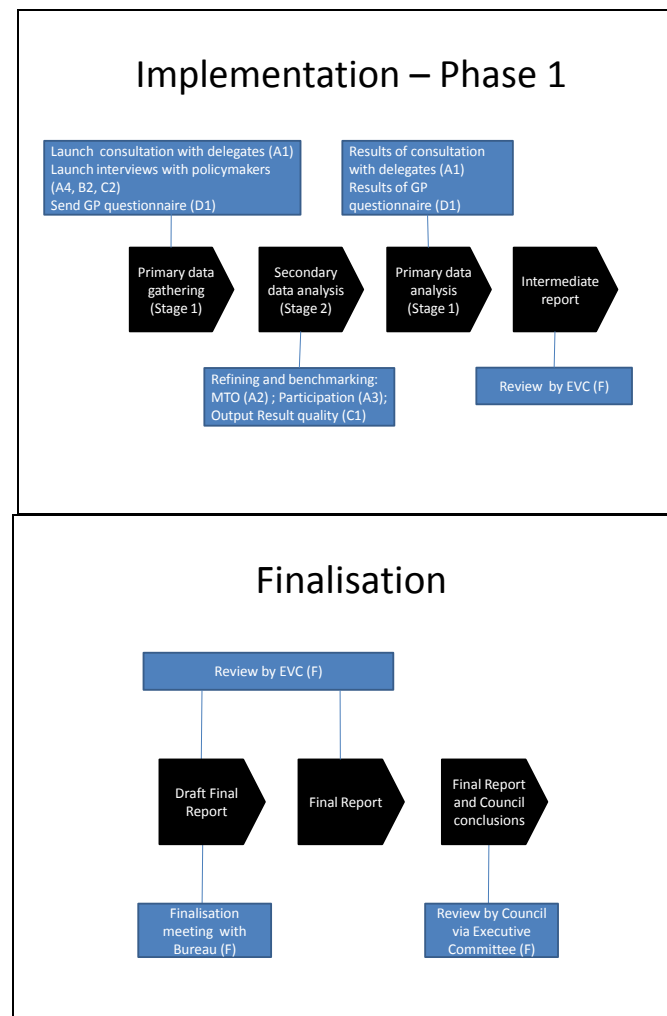
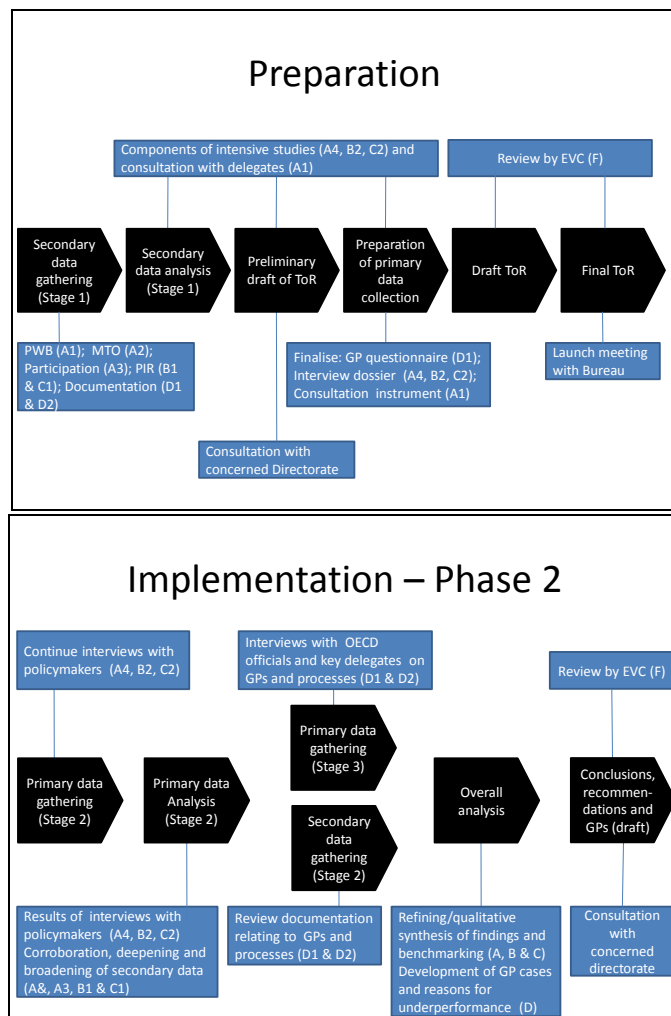
Main sources:

C1 – PIR survey.

C2 – Delegates and other policymakers (complemented by interviews with representatives other international bodies and stakeholder bodies, as relevant).

C3 – Delegates (plus non-Member delegates and representatives of other international bodies and stakeholder bodies present in committee meetings, as relevant).

IDE Implementation



Persons interviewed

Science and innovation

Mr. Ward ZIARKO	Belgium Chair NESTI	Head of Unit of R&D Indicators	Belgian Federal Science Policy,
Mr. Barend VERACHTERT	EU	Deputy Head of Unit	Policy Aspects Life Sciences: Biotechnology
Mr. Matthieu DELESCLOSE	EU	Official	DG Research and Innovation European Commission
Mr. Patrick BRENIER	EU	Deputy Head of Unit Economic analysis and indicators	DG Research and Innovation, European Commission
M. Grégoire POSTEL-VINAY	France	Ingénieur général des mines	Direction générale de la compétitivité, de l'industrie et des services Ministère de l'Économie, des Finances et de l'Industrie
M. Pierre FERY	France	Chef du bureau Politique industrielle, recherche et innovation	Sous-direction des Politiques sectorielles - Service des Politiques publiques Direction générale du Trésor
M. Rémi BARRÉ	France	Professeur	CNAM, anciennement Ministère recherche
Mme Frédérique SACHWALD	France	Chef de Département des politiques d'incitation à la recherche et développement des entreprises	Service des entreprises, du transfert de technologie et de l'action régionale Direction générale pour la recherche et l'innovation, Ministère de l'Enseignement supérieur et de la Recherche
Ms. Karen HYNES	Ireland	Senior Manager	Ireland's National Policy Advisory Board for Enterprise, Trade, Science, Technology & Innovation (Forfás)
Dr. Ian HUGHES	Ireland	Senior Policy Advisor	Forfás
Mr. Shlomo HERSKOVIC	Israel	Consultant	National Council for Research and Development
Mr. Gil SHAKI	Israel	Economist/Analyst	Ministry of Industry, Trade and Labor
Mr. Yoji UEDA	Japan	Director	Industrial Science and Technology Policy and Environment Bureau Ministry of Economy, Trade and Industry
Mr. Tomohiro IJICHI	Japan	Affiliated Fellow	Ministry of Education, Culture, Sports, Science and Technology (MEXT)
Ms. Tomomi WATANABE	Japan	Technical Official	International Affairs Office, Industrial Science and Technology Policy and Environment Bureau, Ministry of Economy, Trade and Industry
Dr. Tae-Young SHIN	Korea	Senior Fellow	Science and Technology Policy Institute (STEPI)
M. Robert KERGER	Luxembourg	Chargé de mission	Département Recherche et Innovation, Ministère de l'Enseignement Supérieur et de la Recherche
Mr. Hamish HILL	New Zealand	Manager	Business Infrastructure and Performance Unit Statistics
Mr. Per KOCH	Norway Chair STIG	Special Adviser	Strategy Division, Innovation Norway
Mr. Luis SANZ-MENÉNDEZ	Spain Chair CSTP	Science Policy Advisor	CSIC Institute of Public Goods and Policies (IPP),

			Ministry of Science and Innovation
Mr. Roger PROCTER	New Zealand	Chief Economist	Ministry of Economic Development
Mr. John LAURENSEN	New Zealand	Senior Advisor	Outcome Performance team Ministry of Science and Innovation
Mrs. Jana WEIDEMANN	Norway Chair RIHR	Deputy Director General	Ministry of Education and Research
Mr. Mats JOHNSON	Sweden	Senior Adviser	Ministry of Education and Research
Mrs. Sara MODIG	Sweden	Senior Adviser	Ministry of Enterprise Energy and Communications
Mr. Patrick VOCK	Switzerland Chair TIP	Chairman TIP	State Secretariat for Education & Research
Mr. Daniel HODGES	United Kingdom	Economic Advisor	Department for Business, Innovation and Skills
Mr. David EVANS	United Kingdom	Senior Advisor	Government Aff Driving Innovation Technology Strategy Board
Dr. Ray LAMBERT	United Kingdom	Economist/Analyst	Birkbeck, University of London School of Business, Economics and Informatics
Dr. Keith SMITH	United Kingdom	Head of Knowledge and Innovation Analysis	Innovation Directorate, Department of Business, Innovation and Skills
Ms. Lynda CARLSON	United States	Manager	National Science Foundation (Attended NESTI meetings 2012)
Dr. Matthew GERDIN	United States	Foreign Affairs Officer	Office of Science and Technology Cooperation, U.S. Department of State
Mr. Kei KOIZUMI	United States	Assistant Director for Federal R&D	Office of Science and Technology Policy Executive Office of the President
Mr. José Alfredo LA ROSA BASURCO	Peru	Economist	Ministry of Economy and Finance
Prof Michael KAHN	South Africa	Professor Extraordinaire	Stellenbosch University
Ms. Mmampei MABUSELA	South Africa	Chief Director	Multilateral Co-operation, Department of Science and Technology
Mr. Juan Carlos NAVARRO	IO	Science and Technology Technical Leader	Competitiveness and Innovation Division Inter-American Development Bank
Miss Hanni ROSENBAUM	Stakeholder	Consultant	BIAC
Mr. Roland SCHNEIDER	Stakeholder	Senior Policy Advisor	TUAC

Biotechnology and nanotechnology

M. Alain ROCHEPEAU	France	Economiste	Ministère Délégué à l'Enseignement supérieur et à la Recherche
Dr. Jacqueline ALLAN	Ireland	Senior Policy Advisor	Science and Technology Division, Forfás
Mme Françoise ROURE	France Chairperson WPN	Contrôleur Général Economique et Financier	Conseil Général des l'économie, de l'industrie, de l'énergie et des technologies, Ministère de l'Économie, des Finances et de l'Industrie
Dr. Ora Dar	Israel	Head of Life Sciences sector	Ministry of Industry, Trade and Labor
Mme Patrizia LUCHETTA	Luxembourg	Attaché	Direction des nouvelles technologies Ministère de l'Économie et du Commerce extérieur

Dr. Gerardo JIMÉNEZ-SÁNCHEZ	Mexico Chair WPB	Professor of Genomic Medicine	National Autonomous University
Dr. David SMITH	United Kingdom	Senior Manager	CABI Europe
Dr. Marvin R. DUNCAN	United States Chair TFIB	Senior Agricultural Economist	Department of Agriculture
Dr. Mark BALE	United Kingdom	Deputy Director	Health Science & Bioethics, Department of Health
Mr. Mats JAREKRANS	Sweden	Programme Manager, Biotechnology	The Swedish Agency for Innovation Systems, VINNOVA
Mrs. Liz PRENDERGAST	New Zealand	Principal Policy Advisor, Biotechnology Policy	Ministry of Science and Innovation
Mr. Richard JOHNSON	Stakeholder	Vice Chairman of BIAC Biotechnology Committee, CEO of Global Helix (US)	BIAC
Mr. Terry Medley	Stakeholder	Chairman of BIAC Nanotechnology Committee, Director of DuPont SHE & Sustainable Growth Center	BIAC

Documents consulted

In addition to the Committee's meeting summaries relevant to review period, the following documents were also consulted:

Council	
C(2004)132	RESOLUTION OF THE COUNCIL CONCERNING THE PARTICIPATION OF NON-MEMBERS IN THE WORK OF SUBSIDIARY BODIES OF THE ORGANISATION
C(2006)61	IN-DEPTH EVALUATION OF COMMITTEES: COMMITTEE ON INDUSTRY AND BUSINESS ENVIRONMENT AND COMMITTEE FOR SCIENTIFIC AND TECHNOLOGICAL POLICY
C(2006)160	MONITORING OF THE FOLLOW-UP OF IN-DEPTH EVALUATION RECOMMENDATIONS - COMMITTEE ON INDUSTRY, INNOVATION AND ENTREPRENEURSHIP, COMMITTEE FOR SCIENTIFIC AND TECHNOLOGICAL POLICY AND THE TOURISM COMMITTEE
C(2007)52/REV1	MEDIUM-TERM ORIENTATIONS SURVEY REVIEW
C(2007)79	IN-DEPTH EVALUATION OF THE COMMITTEE FOR SCIENTIFIC AND TECHNOLOGICAL POLICY - MONITORING OF IMPLEMENTATION OF RECOMMENDATIONS
C(2010)100/FINAL	DEEPENING ENHANCED ENGAGEMENT: GUIDELINES TO COMMITTEES
C/M(2005)25	SUMMARY RECORD OF THE 1126th SESSION
C/M(2006)7	SUMMARY RECORD OF THE 1133rd SESSION
C/M(2006)20	SUMMARY RECORD OF THE 1146th SESSION
C/M(2007)6	SUMMARY RECORD OF THE 1153rd SESSION
C/M(2007)9/PART1	SUMMARY RECORD OF THE 1156th SESSION
C/M(2007)11	SUMMARY RECORD OF THE 1158th SESSION
C/M(2010)15	SUMMARY RECORD OF THE 1225th SESSION
C/M(2011)8	SUMMARY RECORD OF THE 1242nd SESSION
Council – Meeting at Ministerial Level	
C/MIN(2007)4/REV1	REPORT TO MINISTERS ON ENLARGEMENT AND ENHANCED ENGAGEMENT

<i>Council – Budget Committee</i>	
BC/M(2012)6	DRAFT SUMMARY RECORD OF THE BUDGET COMMITTEE MEETING HELD ON 12 JUNE
BC(2012)12	PROPOSAL FOR MODIFICATIONS TO THE STRATEGIC MANAGEMENT FRAMEWORK - Output Group 1.3 - Science and Technology Policies
<i>Council – External Relations Committee</i>	
ERC/M(2010)11	SUMMARY RECORD OF THE 64th SESSION
ERC/M(2011)10	SUMMARY RECORD OF THE 74th SESSION
<i>Council – Evaluation Sub-Group</i>	
C/ESG(2006)2	IN-DEPTH EVALUATION OF THE COMMITTEE FOR SCIENTIFIC AND TECHNOLOGICAL POLICY
<i>Committee on Scientific and Technological Policy</i>	
DSTI/STP(2005)18	REVISED DRAFT OUTREACH STRATEGY FOR THE COMMITTEE FOR SCIENTIFIC AND TECHNOLOGICAL POLICY
DSTI/STP(2007)21	OUTREACH STRATEGY FROM THE CSTP AND RENEWAL OF OBSERVERS
DSTI/STP(2008)6	STRATEGIC PRIORITIES FOR SCIENCE, TECHNOLOGY AND INNOVATION POLICY - SUMMARY AND CONCLUSIONS FROM THE HIGH-LEVEL MEETING OF THE COMMITTEE FOR SCIENTIFIC AND TECHNOLOGICAL POLICY
DSTI/STP(2011)2/REV1	FORWARD LOOKING STRATEGY FOR CSTP - FURTHER DEVELOPMENT OF THE MEDIUM-TERM SUBSTANTIVE FOCUS FOR THE COMMITTEE'S WORK
DSTI/STP(2011)3/REV2	MODES OF OPERATION FOR THE CSTP AND ITS SUBSIDIARY BODIES
DSTI/STP(2011)5	GLOBAL RELATIONS STRATEGY
DSTI/STP(2011)9	CSTP CHAIR'S STRATEGIC DOCUMENT – IN PREPARATION OF THE 2013-2014 PWB
<i>Committee on Scientific and Technological Policy – Global Science Forum</i>	
DSTI/STP/MS(2008)3	EVALUATION OF THE GLOBAL SCIENCE FORUM, 2004-2008 - REPORT BY THE EVALUATION PANEL
<i>Committee on Scientific and Technological Policy – Working Party on Biotechnology</i>	
DSTI/STP/BIO(2012)7	DRAFT PROGRAMME OF WORK AND BUDGET 2013-2014: PROPOSALS FOR OUTPUT AREA 1.3.3
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