GPrix
Good Practices in Innovation Support Measures for SMEs

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1 The Methodology

1.1 Objectives of the project

A great number of measures currently exist to directly or indirectly support innovation in Europe, including measures supporting technology transfer, incubation and access to finance. The INNO-Policy TrendChart currently identifies more than 400 horizontal and specific measures in support of innovation. These measures play a key role to help organizations to innovate better and faster, by addressing specific market and system failures hindering European companies, and in particular SMEs, to fully exploit their innovation potential.

In order to accelerate the catch-up processes in Europe it is important that lessons are learnt from such measures, in particular as regards their effectiveness, i.e. how well are the measures adapted to the local targets and how do they succeed in converting inputs into outputs.

The main objective of the GPrix project is to identify good practices in innovation support measures to SMEs from the traditional sectors in seven European regions by developing a methodological framework for collecting internationally comparable data on existing Research and Innovation support programmes/measures in the public sector. This data will then be used to create a variety of indicators that can help to take conclusions and provide recommendations for improving the design and implementation of research and innovation programmes supported by the public sector directed towards traditional industries.

The project will develop a set of recommendations aiming to make a contribution to the future policies focusing the SMEs, namely on the design of the innovation support programmes/measures focusing on the following traditional sectors, including the automotive, textiles, leather, ceramics, mechanical/metallurgy and food sectors. For comparative purposes, these are the sectors that will be targeted in the seven regions to be addressed by the project.

1.2 Objective of the deliverable

The objective of this deliverable is to create a methodological framework to be follow by all partners in order to promote a systematic filed work and to create the conditions to reach a set of results on each region that are comparable. This methodological implementation guide describes all tools required to implement the project objectives and includes templates for all the required documents.

1.3 Definitions

Innovation in industry is a matter of doing new things, or finding new ways of doing familiar things. Much of the discussion of innovation revolves around **product innovation** (the creation of new or improved goods and services) and **process innovation** (new ways of producing goods and services). However, there are also innovations in terms of **interfaces** between organisations and between suppliers and users of products (marketing, ecommerce, new systems for delivering goods and services, after sales services, interactions between suppliers and users concerning product design and specification, etc.) **Organisational** innovations are sometimes differentiated from **technological** ones (though they often go hand in hand).[1]

[1] SMART INNOVATION: A Practical Guide to Evaluating Innovation Programmes

Another important distinction is between **incremental** innovations (minor modifications to products and processes) and more **radical** innovations (major changes in how processes are organised and how products work). Incremental innovations often emerge from the experience of making and delivering products; radical innovations often require Research and development or similar efforts to bring new knowledge to bear on the product or process. An idea or project is not an innovation unless it is applied in processes put onto the market, or used in the public sector. (In the business world, it is common to restrict use of the term to *successful* applications only: but we believe there can be much to learn from innovations that are unsuccessful in terms of attaining the expected markets, or even in terms of failing to meet technical specifications.)

The Linear Model of Innovation is based on the notion that predominantly, innovations emerge from the elaboration of increasingly practical applications of new fundamental knowledge. Innovation is typically triggered by discoveries made in research laboratories that are found to have potential use in creation of new products and processes. Stimulating innovation is then, largely a matter of pump-priming R&D: the new knowledge will be converted into innovation by entrepreneurs. Many innovation studies – and evaluations of R&D programmes – have cast doubt on this account, and a number of more complex models have been proposed. These incorporate, for example, all sorts of feedback loops, and the likelihood that innovation can be initiated at any point in what was earlier seen as a sequence or chain of activities – even by users. But while the linear mode is habitually criticised in the research literature, and has even been rejected in official documents, it is still implicit in a great deal of policymaking[2].

Innovation Programmes (IPs) are measures, schemes, initiatives, etc. Funded by (any level of) government, aimed at the promotion, support or stimulation of innovation and innovation-related activities. They may operate either directly, through the provision of funding, information or other support; or indirectly, through facilitation of the innovation process (i.e. via fiscal or regulatory reform). Note that some Innovation Programmes may have innovation as a secondary objective, or as a means to an end such as greater energy efficiency, or regional development.

Research and Innovation Programme Evaluation (RIPE) is the evaluation of Innovation Programmes – each of these component terms has been defined above. While many of the tools and techniques that are used here derive from those employed in the evaluation of R&D programmes, the aims of Innovation Programmes are typically wider than those of R&D programmes, and there are fewer standard indicators that can be used for evaluation purposes. For instance, R&D programmes can be assessed in terms of contributions to knowledge like publications and patents; but IPs requires that their impacts on, for example, business practices and performance, are assessed.

A culture of evaluation is a term that is used to refer to how far evaluation practices are embedded into an institution's policy and programme design and implementation. In an advanced Evaluation Culture, evaluation is treated as a natural and inherent feature of programmes, and planned for at the outset of programmes. It is not just something that is simply added on at the end of the exercise – though to conduct any evaluation at all is one step up from an institutional framework in which there is simply no evaluation at all. In more

[2] DIRECTORATE FOR SCIENCE, TECHNOLOGY AND INDUSTRY - COMMITTEE FOR SCIENTIFIC AND TECHNOLOGICAL POLICY - Working Party of National Experts on Science and Technology Indicators

advanced Evaluation Cultures, furthermore, evaluation is not just a way of assessing the performance of a particular programme. It has become a tool for informing the design of IPs, and indeed informing innovation policy, more generally.

The effectiveness of innovation support measures can be evaluated using the following two concepts; additionality and composition:

- **Additionality** is an important element in considering the effects of a Programme. Additionality is the change due to the activity, as compared to what would have happened had the activity not been undertaken at all.

- C**omposition** is another key aspect of the programme as it refers to which R&D and innovation projects are stimulated.

1.4 What do we mean by a traditional manufacturing sector?

The limited value of defining "traditional manufacturing sector" by the usual (OECD or other) is based in the distinction between "high", "medium" and "low-tech" industries.

Instead, there was some support for defining as "traditional" those manufacturing industries with the following characteristics.

1. **Long established**. One interpretation would be that the industry should have been established at least during the inter-war years (1918-1939). This is sufficiently broad to include, say, the motor industry but to exclude, say, computing. Most of the industries in which we are interested have been established for much longer.

Strictly speaking, age is both a necessary and sufficient condition for an industry to be classed as "traditional". However, I think we are interested in industries that, in addition, have the following characteristics.

2. **Once a - even the - main source of employment** at the sub-regional level (possibly even regional level?).

3. **Recent decline,** typically associated with globalisation. Because these industries are long established, knowledge has diffused and enabled production to develop in and/or be relocated to new locations with lower costs. This applies to at least some of our industries (e.g., ceramics) although not necessarily to all (maybe food processing?).

4. **Major sources of wealth creation and employment in regional (or, at least, sub-regional) economies**. In spite of recent decline, the traditional industries in which we are interested continue to be important to regional or, at least, sub-regional economies.

5. **Retain capacity for innovation**, hence the potential to continue as important sources of wealth creation and employment.

Recent and often dramatic decline is why we are especially concerned with traditional industries; because traditional industries often remain important sources of wealth creation and

employment in regional (or, at least, sub-regional) economies they are of concern to public policy; and capacity for innovation is likely to be both a feature of any industry that survives long enough to be classified as traditional and a necessary condition for a positive return on public sector support for these industries.

This potential for innovation may be more associated with particular firms than with the industry as a whole and, possibly, with SMEs rather than with larger and established industry leaders.

An additional characteristic of traditional manufacturing industries might also be:

6. **Substantial contribution to regional (or, at least, sub-regional) exports**, even if the industry has recorded a deteriorating trade balance as part of overall decline associated with growing competition from imports.

An example of a traditional industry according to the above criteria: the UK ceramics industry (SIC 262).[3]

Most of the UK ceramics industry is located in North Staffordshire, which is a sub-region within the West Midlands region of the UK.

1. **Long established**. A global industry since, at least, the early 19th Century.

2. **Once dominant.** The ceramics industry was once the main source of employment in North Staffordshire.

3. **Recent decline**. The most recent annual data from the *Annual Business Enquiry*, Subsection D1, shows that over the period 1995 to 2007 the following changes took place:
    - Number of enterprises, from 886 to 579
    - Total turnover, from £1,967 to £1,199 million
    - GVA (at basic prices) from £990 to £524 million
    - Total purchase of goods, materials and services, from £994 to £683 million
    - Total employment from 37,000 in 1998 to 15,000 in 2007.

4. **Major source of wealth creation and employment in regional (or, at least, sub-regional) economies**. In round terms, UK ceramics is still a £1.2 billion industry directly employing 15,000 and indirectly creating employment for many more. In particular, it is still at the centre of a ceramic supply industry, which is also an important traditional industry in the sub-regional economy of North Staffordshire.

5. **Retain capacity for innovation**. This is not a "dying industry", in terminal decline. For example, in the tableware and giftware sub-industry (SIC 2621), 80 percent of the decline in turnover over the past decade or so has been accounted for by the decline and eventual bankruptcy of two major firms: Doulton; and Wedgwood, Stoke now has a cluster of medium and small firms, many of which are world class innovators in technology and/or design.

[3] Ceramics SIC 262 (>Manufacture of non-refractory ceramic goods other than for construction purposes; manufacture of refractory products<) includes tableware/giftware, sanitary, refractories and technical ceramics (but not tiles and bricks etc).

6. **Substantial contribution to regional (or, at least, sub-regional) exports**. Export and import data from >UK Trade Information< for SITC 666 (roughly equivalent to SIC 262) is as follows for 2008: Imports: £264 million; Exports: £190 million. 10 years ago, the industry was in surplus. Even so, this is an important contribution to UK, regional and, especially, sub-regional exports.

1.5 Why doing such a study?

Although traditional or mature sectors did not serve our national and regional economies as engines of growth, but rather represent sectors in decline, SME's in traditional sectors still represent the majority of firms in Europe and accounts greatly to the number of jobs available in the region. Despite these facts, the policy focus has been mostly focussed on the support of the new and high-tech sectors which had much better growth perspectives.

The focus on R&D and high-tech SMEs follows the demand for high-tech products where the EU has a trade-deficit. In short R&D did not match industry needs (Soete, 2009). However R&D results and new technologies are not the sole sources of innovation (Mohnen, 2010) and today this policy needs to be complemented with specific measures targeting innovation in general as companies realized the importance of innovation even in traditional sectors.

In search for policy efficiency, R&D subsidies where provided to promising firms in promising sectors, in order to persuade them to take more risk, for the sake of the higher social return. Besides the rationale of providing (R&D and innovation) resources for the sake of static efficiency, a more systemic policy approach has been developed aiming for behavioural additionality (policy impact on change in behaviour, rationality, risk-perception, capabilities etc.) for the sake of dynamic efficiency.

The increase of demand driven and user-driven innovation and the fragmentation of value-chains in manufacturing sectors represent an increasing part (40%) of the value added in service activities;

Despite being neglected sectors, the traditional industry still holds many firms and offer employment, which has great value especially in regions where unemployment is becoming a major problem. Research and innovation policies adapted to their needs can support their efforts to move in a knowledge economy era. Bringing knowledge to these SME's in traditional sectors will surely help them to be more competitive and jobs can be retained.

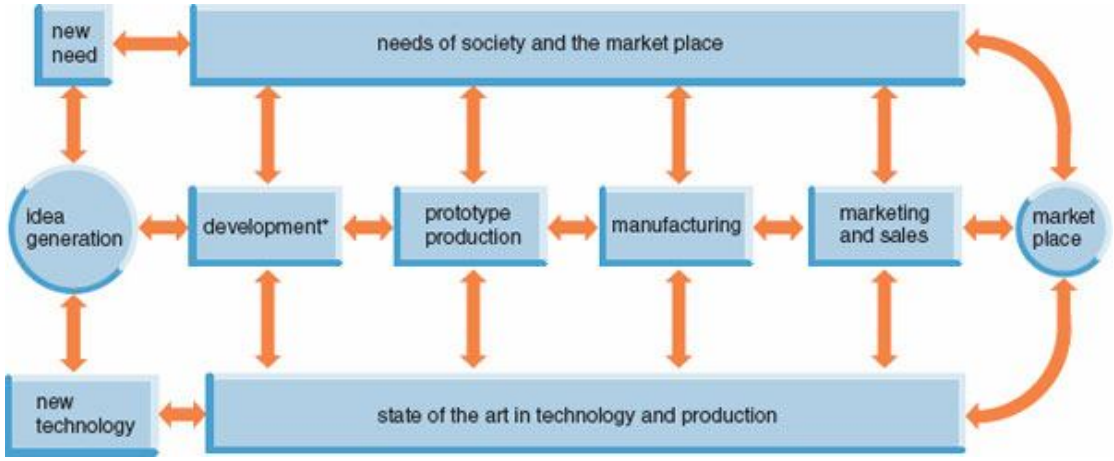

Figure 1: The coupling model of innovation (Source: adapted from Rothwell and Zegveld, 1985)

The process of innovation represents the confluence of technological capabilities and market-needs within the framework of the innovating firm. Contrary to the linear view on innovation, innovation and new 'value added' can come from any activity of a firm. Especially for SME's in traditional sectors innovation may not be based on new technological inventions from internal R&D, but rather on serving market-needs and the application of technologies developed externally.

In short, the central research question that this study wants to answer is:

Which innovation support programmes are most effective in generating regional economic impact from SME's in traditional sectors in Europe?

1.6 Research Questions

To answer this general question, the project defined a set of more detailed questions to gather the information on the end-users-SMEs, as follows:

- **Q1**: *Which organizations* have participated in national/regional R&D&I programmes and how can they be differentiated from those that have not participated, including both those who tried and failed and those who have never tried?

- **Q2**: *Why* did these organizations take part in the R&D&I programmes and what benefits did they actually receive from their participation?

- **Q3**: What role does the R&D&I project play in the overall innovation strategy of the organization? How do companies manage their RTD portfolios inclusive of regional/national R&D&I programmes?

- **Q4:** *What kinds of projects* did the participating organizations undertake in the R&D&I programmes and how do these projects compare, or relate to, others that they undertook either independently or in collaboration with others but with no subsidy?

- **Q5**: How do *firm-level characteristics* including resources/capabilities, internal organization and *management* influence the likelihood of R&D&I activities, including internationalisation and commercialisation activities.

- **Q8**: How do *industry and market characteristics* affect the likelihood of development of research activities and respective uptake of results for innovation and commercialization?

- **Q9**: What types of *additionality* with specific emphasis on R&D&I activities can be observed in regional/national programmes? What can be done to improve additionality?

- **Q10**: What are the *lessons for improving the* R&D& R&D&I programmes in traditional sector industries?

1.7 The methodology step-by-step

The Project work will be organized among the following steps:

- **Step 1 - Conceptual framework**: Background research, design of overall conceptual framework, indicators, target populations, measurement of concepts.

- **Step 2 - Draft of Pilot Questionnaire and interview guidelines**: Developing one or more pilot questionnaires and interview guidelines.

- **Step 3 – Pilot testing**: Interviews, testing and study of potential respondents. The feasibility study will be undertaken in two stages: 1) interviews and cognitive testing of a group of potential respondents (public sector institutions); and 2) small scale testing of a pilot questionnaire (developed in Step 5) with interviewees.

- **Step 4 – Developing final versions of survey tools, questionnaires and interview guidelines**

- **Step 5 – Large scale implementation of survey**: Each region will conduct a large scale pilot survey among SMEs and public sector institutions.

- **Step 6 – Analysis of results:** based on data collection, drawing on and incorporating work from all Steps.

- **Step 7 – Development of policy recommendations for better structuring national/ regional support R&D&I programmes**

- **Step 8 - Mapping user needs**: form expert/stakeholder group in each region/country (hold one validation workshop to discuss the preliminary conclusions regarding Research and Innovation support programmes/measures.

- **Step 9 – European scale validation of recommendations developed and conclusion of the policy recommendation.**

- **Step 1o – Start of Pilot implementation of the recommendations developed.**

2 Template for Questionnaire Survey

2.1 Overview

The template for Questionnaire Survey was designed in collaboration with the MaPEeR SME project trying to match questions in both questionnaires as much as possible. However since the projects have different objectives and are targeting different sectors a one-to-one match was not possible but the relations to the questionnaire of MaPEeR project are highlighted throughout the template.

The following template is just a preliminary version that will surely be revised in the future to correct any possible errors and to improve the quality and quantity of the data gathered in order to extract useful conclusions based on sound data/evidence after its completion.

The questionnaire will have a paper version and an online version in each of the languages of the regions covered by the study.

2.2 Template

GPrix Innovation Policy Support Survey (draft)

This survey collects information on the impact of public innovation support on your enterprise during the five-year period 2005 and 2009 inclusive.

Draft – 20 May 2010

Please complete **all** questions, unless otherwise instructed.

Name of enterprise: _____

Address: _____

ZIP/Postal code: _____

Person we should contact if there are any queries regarding the form:

Name: _____

Phone: _____

E-mail: _____

GENERAL INFORMATION ABOUT YOUR ENTERPRISE

1. What was your enterprise's total turnover for 2005 and 2009? (cf. MAPEER #6)

Turnover is defined as the market sales of goods and services (Include all taxes except VAT). Give turnover in thousands of Euros

2005	2009
…	…

2. What was your enterprise's total number of employees in 2005 and 2009? (cf. MAPEER #7, #8)

Include all staff, i.e. those with both a permanent and a temporary contract. Annual average or at the end of each year

	2005	2009
Number of full-time employees:	…	…
Number of part-time employees:	…	…

3. In which of the following sectors is your main activity? (cf. MAPEER #9)

Select one industry only

Leather	☐
Ceramics	☐
Textiles	☐
Mechanical/metallurgy	☐
Automotive	☐
Food products	☐

4. How would you judge the competition in your main market(s)? (cf. MAPEER #10)

1 Very weak	2	3 Moderate	4	5 Strong
☐	☐	☐	☐	☐

5. What was the estimated share of total sales of your firm in 2009 sold to (cf. MAPEER #11)

	% of sales
[Noord Brabant]	…
Rest of [the Netherlands]	…
Other European countries	…
Rest of the world	…
total	100 %

INNOVATION ACTIVITIES

PRODUCT INNOVATION

A product innovation is the market introduction of a new or significantly improved good or service with respect to its capabilities, user friendliness, components or sub-systems.

- Product innovations (new or improved) must be new to your enterprise, but they do not need to be new to your market.
- Product innovations could have been originally developed by your enterprise or by other enterprises.

6. From 2005 to 2009 did your company introduce any new or significantly improved …?

	Yes	No
Goods	☐	☐
Services	☐	☐

PROCESS INNOVATION

A process innovation is the implementation of a new or significantly improved production process, distribution method, or support activity for your goods or services.

- Process innovations must be new to your enterprise, but they do not need to be new to your market.
- The innovation could have been originally developed by your enterprise or by other enterprises.
- Exclude purely organisational innovations.

7. From 2005 to 2009 did your company introduce any new or significantly improved …?

	Yes	No
Processes for manufacturing your goods or producing your services	☐	☐
Logistics, delivery or distribution processes	☐	☐
Support processes (e.g. maintenance, purchasing, accounting or computing systems and marketing planning)		

ORGANISATIONAL INNOVATION

An organisational innovation is a new organisational method in your enterprise's business practices (including knowledge management), workplace organisation or external relations that has not been previously used by your enterprise.

8. From 2005 to 2009 did your company introduce …?

	Yes	No
New business practices for organising procedures (e.g. supply chain management, business re-engineering, knowledge management, lean production, quality management, etc)	☐	☐

New methods of organising work responsibilities and decision making (e.g. first use of a new system of employee responsibilities, team work, decentralisation, integration or de-integration of departments, education/training systems, etc)	☐	☐
New methods of organising external relations with other firms or public institutions (e.g. first use of alliances, partnerships, outsourcing or sub-contracting, etc)		

MARKETING INNOVATION

A marketing innovation is the implementation of a new marketing concept or strategy that differs significantly from your enterprise's existing marketing methods and which has not been used before.

9. From 2005 to 2009 did your company introduce …?

	Yes	**No**
Significant changes to the aesthetic design or packaging of a good or service		
New media or techniques for product promotion (e.g. *the first time use of a new advertising medium, introduction of loyalty cards, etc*)	☐	☐
New methods for sales channels *(i.e. first time use of franchising or distribution licenses, direct selling, exclusive retailing, new concepts for product presentation, e-commerce facilities etc)*	☐	☐
New methods of pricing goods or services *(i.e. first time use of variable pricing by demand, discount systems, etc)*	☐	☐

10. Please estimate the total amount of expenditure for all of your innovation activities in 2009 only as a share of turnover (cf. MAPEER #16)

0-5%	**6-10%**	**11-15%**	**16-25%**	**26-50%**	**More than 50%**
☐	☐	☐	☐	☐	☐

11. Five years ago did you devote…

Fewer resources to innovation	**About the same resources to innovation**	**More resources to innovation**
☐	☐	☐

12. What has been the impact of the recession on your company in relation to (cf. MAPEER #20)

	Bad	**Neutral**	**Good**
Orders for new and improved products	☐	☐	☐
Orders for established products	☐	☐	☐

IMPORTANCE OF INNOVATION

13. How many job positions have been created, sustained or lost in your company as a direct result in the short-run of introducing new or substantially improved products or processes since 2005? (cf. MAPEER #15)

	0-5	6-10	11-20	21-30	31-40	41-50	>50
Jobs created	☐	☐	☐	☐	☐	☐	☐
Jobs sustained	☐	☐	☐	☐	☐	☐	☐
Jobs lost	☐	☐	☐	☐	☐	☐	☐

14. How many job positions have been created, sustained or lost in your company as a direct result in the long-run of introducing new or substantially improved products or processes since 2005? (cf. MAPEER #15)

	0-5	6-10	11-20	21-30	31-40	41-50	>50
Jobs created	☐	☐	☐	☐	☐	☐	☐
Jobs sustained	☐	☐	☐	☐	☐	☐	☐
Jobs lost	☐	☐	☐	☐	☐	☐	☐

15. How important are the following of your firm's innovation capabilities for survival and performance?

	Of no importance	Slightly important	Important	Highly important	Essential
Product innovation	☐	☐	☐	☐	☐
Process innovation	☐	☐	☐	☐	☐
Marketing innovation	☐	☐	☐	☐	☐
Organisational innovation	☐	☐	☐	☐	☐

16. How would you judge your firm's innovation capabilities within your industry in 2005, regarding: (cf. MAPEER #18)

	Lagging	Average	Leading	Not relevant
Product innovation	☐	☐	☐	☐
Process innovation	☐	☐	☐	☐
Marketing innovation	☐	☐	☐	☐
Organisational innovation	☐	☐	☐	☐

17. How would you judge your firm's innovation capabilities within your industry in 2009, regarding: (cf. MAPEER #18)

	Lagging	Average	Leading	Not relevant
Product innovation	☐	☐	☐	☐
Process innovation	☐	☐	☐	☐
Marketing innovation	☐	☐	☐	☐
Organisational innovation	☐	☐	☐	☐

18. What proportion of your current sales comes from new or substantially improved products or processes introduced since 2005? (cf. MAPEER #14)

0-5%	6-10%	11-15%	16-25%	26-50%	More than 50%
☐	☐	☐	☐	☐	☐

COLLABORATION

19. From 2005 to 2009 did your enterprise co-operate on any of your innovation activities with other enterprises or institutions?

Innovation co-operation is active participation with other enterprises or non-commercial institutions on innovation activities. Both partners do not need to commercially benefit. Exclude pure contracting out of work with no active co-operation.

Yes	☐
No	☐

20. Please indicate the type of innovation co-operation partner with whom you have collaborated.

	Yes	No
Other enterprises within your enterprise group	☐	☐
Suppliers of equipment, materials, components, or software	☐	☐
Clients or customers	☐	☐
Competitors or other enterprises in your sector	☐	☐
Consultants, commercial labs, or private R&D institutes	☐	☐
Universities or other higher education institutions	☐	☐
Government or public research institutes	☐	☐

POLICY SUPPORT

21. Did your enterprise during the five years 2005 to 2009 receive any public financial support for your process innovation from the following levels of government?

Include financial support via tax credits or deductions, grants, subsidised loans, and loan guarantees. Exclude research and other innovation activities conducted entirely for the public sector under contract.

	Yes	No
Local or regional authorities	☐	☐
Central government (including central government agencies or ministries)	☐	☐

The European Union (EU)	☐	☐

22. From how many different support measures did you receive support?

...

23. If possible, please name up to 3 public support measures which have been most important in supporting your innovation activities.
Please rank these measures in descending order or importance.

Name of public support measure	**Name of managing agency**	***[code]***
...	...	***PSM1***
...	...	***PSM2***
...	...	***PSM3***

For each of these support measures we will now ask a range of questions on the perceived benefits for your enterprise.

24. For [PSM1] which were the main impacts from your participation on ...? (cf. MAPEER #33, #34, #35, #36, #37)

	1 Of no importance	**2**	**3 Important**	**4**	**5 Of very high importance**
Improved internal organisation (e.g. management of innovation process)	☐	☐	☐	☐	☐
Improved business or innovation strategy (e.g. an improved business model)	☐	☐	☐	☐	☐
New quality certifications (ISO)	☐	☐	☐	☐	☐
New safety or environmental certifications	☐	☐	☐	☐	☐
Improved research competences	☐	☐	☐	☐	☐
Improved marketing competences	☐	☐	☐	☐	☐
Improved design competences	☐	☐	☐	☐	☐
Improved level of skills of personnel	☐	☐	☐	☐	☐
Formation of new partnerships and networks	☐	☐	☐	☐	☐
Improved R&D linkages with universities and research institutes	☐	☐	☐	☐	☐
Improved R&D linkages with other business organisations	☐	☐	☐	☐	☐
Improved commercial linkages with other organisations	☐	☐	☐	☐	☐
Enhanced reputation and image	☐	☐	☐	☐	☐
Facilitated participation in other R&D or innovation programs	☐	☐	☐	☐	☐
Improved competitive position					
Increased turnover	☐	☐	☐	☐	☐
Increased profitability	☐	☐	☐	☐	☐

Enhanced productivity	☐	☐	☐	☐	☐
Access to international markets	☐	☐	☐	☐	☐
Internationalisation of activities	☐	☐	☐	☐	☐
More product innovations	☐	☐	☐	☐	☐
Faster 'completion' of product innovations	☐	☐	☐	☐	☐
More process innovations	☐	☐	☐	☐	☐
Faster 'completion' of process innovations	☐	☐	☐	☐	☐
Access to new markets	☐	☐	☐	☐	☐

25. Please give an overall assessment of [PSM1].

1 Negative	2 Neutral	3	4	5 Very important
☐	☐	☐	☐	☐

26. For [PSM2] which were the main impacts from your participation on …? (cf. MAPEER #33, #34, #35, #36, #37)

	1 Of no importance	2	3 Im-por-tant	4	5 Of very high importance
Improved internal organisation (e.g. management of innovation process)	☐	☐	☐	☐	☐
Improved business or innovation strategy (e.g. an improved business model)	☐	☐	☐	☐	☐
New quality certifications (ISO)	☐	☐	☐	☐	☐
New safety or environmental certifications	☐	☐	☐	☐	☐
Improved research competences	☐	☐	☐	☐	☐
Improved marketing competences	☐	☐	☐	☐	☐
Improved design competences	☐	☐	☐	☐	☐
Improved level of skills of personnel	☐	☐	☐	☐	☐
Formation of new partnerships and networks	☐	☐	☐	☐	☐
Improved R&D linkages with universities and research institutes	☐	☐	☐	☐	☐
Improved R&D linkages with other business organisations	☐	☐	☐	☐	☐
Improved commercial linkages with other organisations	☐	☐	☐	☐	☐
Enhanced reputation and image	☐	☐	☐	☐	☐
Facilitated participation in other R&D or innovation programs	☐	☐	☐	☐	☐
Improved competitive position					
Increased turnover	☐	☐	☐	☐	☐
Increased profitability	☐	☐	☐	☐	☐
Enhanced productivity	☐	☐	☐	☐	☐
Access to international markets	☐	☐	☐	☐	☐
Internationalisation of activities	☐	☐	☐	☐	☐
More product innovations	☐	☐	☐	☐	☐
Faster 'completion' of product innovations	☐	☐	☐	☐	☐
More process innovations	☐	☐	☐	☐	☐
Faster 'completion' of process innovations	☐	☐	☐	☐	☐
Access to new markets	☐	☐	☐	☐	☐

27. Please give an overall assessment of [PSM2].

1 Negative	2 Neutral	3	4	5 Very important
☐	☐	☐	☐	☐

28. For [PSM3] which were the main impacts from your participation on …? (cf. MAPEER #33, #34, #35, #36, #37)

	1 Of no importance	2	3 Im-por-tant	4	5 Of very high importance
Improved internal organisation (e.g. management of innovation process)	☐	☐	☐	☐	☐
Improved business or innovation strategy (e.g. an improved business model)	☐	☐	☐	☐	☐
New quality certifications (ISO)	☐	☐	☐	☐	☐
New safety or environmental certifications	☐	☐	☐	☐	☐
Improved research competences	☐	☐	☐	☐	☐
Improved marketing competences	☐	☐	☐	☐	☐
Improved design competences	☐	☐	☐	☐	☐
Improved level of skills of personnel	☐	☐	☐	☐	☐
Formation of new partnerships and networks	☐	☐	☐	☐	☐
Improved R&D linkages with universities and research institutes	☐	☐	☐	☐	☐
Improved R&D linkages with other business organisations	☐	☐	☐	☐	☐
Improved commercial linkages with other organisations	☐	☐	☐	☐	☐
Enhanced reputation and image	☐	☐	☐	☐	☐
Facilitated participation in other R&D or innovation programs	☐	☐	☐	☐	☐
Improved competitive position					
Increased turnover	☐	☐	☐	☐	☐
Increased profitability	☐	☐	☐	☐	☐
Enhanced productivity	☐	☐	☐	☐	☐
Access to international markets	☐	☐	☐	☐	☐
Internationalisation of activities	☐	☐	☐	☐	☐
More product innovations	☐	☐	☐	☐	☐
Faster 'completion' of product innovations	☐	☐	☐	☐	☐
More process innovations	☐	☐	☐	☐	☐
Faster 'completion' of process innovations	☐	☐	☐	☐	☐
Access to new markets	☐	☐	☐	☐	☐

29. Please give an overall assessment of [PSM3].

1 Negative	2 Neutral	3	4	5 Very important
☐	☐	☐	☐	☐

30. Which of the following would you say are the specific needs by SMEs in order to participate in innovation support programmes? (cf. MAPEER #53, #54, #55, #56)

	1 Of no import ance	2	3 Impor- tant	4	5 Of very high import ance
Administrative needs					
Simple application procedures	☐	☐	☐	☐	☐
Short time-to-contract periods	☐	☐	☐	☐	☐
Short application-to-funding periods	☐	☐	☐	☐	☐
Simple reporting requirements	☐	☐	☐	☐	☐
Transparent proposal evaluation procedures	☐	☐	☐	☐	☐
Adequate assistance/guidance during project by programme officer	☐	☐	☐	☐	☐
Financial needs					
High funding rates	☐	☐	☐	☐	☐
Limited requirements to get loans, provide bank guarantees, etc.	☐	☐	☐	☐	☐
Availability of additional financing opportunities	☐	☐	☐	☐	☐
SME – internal needs					
Adequate in-house knowledge on project management	☐	☐	☐	☐	☐
Adequate networks of potential partners	☐	☐	☐	☐	☐
Compliance of programme aims to SMEs interests	☐	☐	☐	☐	☐
Strong acknowledgement of need to participate in innovation programmes	☐	☐	☐	☐	☐
Easy access to information about available programmes	☐	☐	☐	☐	☐
External needs					
Adequate marketing of/ information about programme(s)	☐	☐	☐	☐	☐
Adequate external assistance / guidance during project	☐	☐	☐	☐	☐
Adequate external assistance / guidance after project (exploitation)	☐	☐	☐	☐	☐
Appropriate technological conditions	☐	☐	☐	☐	☐
Appropriate market conditions	☐	☐	☐	☐	☐
Appropriate general economic conditions	☐	☐	☐	☐	☐

31. If you have comments or want to share specific reasons why you participated in one or more publicly funded support measures please briefly share these with us.

32. Would you be happy to participate in a follow up interview?

Yes	☐
No	☐

Thank you for your help, to find out more on the project visit our website at http://www.gprix.eu

The GPrix project team
[Name of local partner to be included at the end]

- France: Fabrice Macquet (ESTER Technopole)
- Germany: Katrin Reschwamm (Fraunhofer Gesellschaft, Fraunhofer IFF)
- Italy: Diego Santi (National Agency for New Technologies, Energy and the Environment (ENEA))
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- Portugal: Pedro Soutinho (INOVA+)
- UK: Geoffrey Pugh (Staffordshire University)
- Spain: Ana Levin (Universidad Politécnica de Valencia (UPVLC)

3 Template for Programmes description

3.1 Overview

The template was designed in collaboration with the MaPEeR SME project.

A suggested way to go about filling in this template is:

- First review all the available programme documentation (programme reports, relevant policy documents, calls for proposals, programme monitoring reports, etc.)
- Then, search for available articles, papers and other published or unpublished reports that refer to the performance, evaluation and achievements of the specific programme
- Third, identify the programme manager(s) and ask for an interview with the purpose to fill in the last missing information and verify with him/her the data inserted already through the previous steps above.

It may be the case that even after these three steps there are still some missing data. In such cases please fill in DATA NOT AVAILABLE and indicate in the comment box why these data is not available yet. The degree to which certain data is available or the reason why it is not is equally valuable information.

It may also be the case where certain piece of information is available but cannot be disclosed due to confidentiality reasons. Please indicate these cases explicitly by filling in DATA NOT DISCLOSABLE in the respective cases.

3.2 Template

A. Programme Summary	
(data to be inserted in uniform format to allow comparability – follow guidelines)	
1. Programme's name	*(text – in native language and translated into English);*
2. Keywords	*(provide max 5 keywords for easy identification of programme – indicate example keywords: research excellence; research commercialisation; innovation; training; mentoring; technology transfer; experimental development; etc.);*
3. Structure and objectives	*Please provide information about the main aims and various modules/subprogrammes and specific activities of the programme*
(text – max 5 lines);	
4. Relevant policy priorities	

(text – max 2 lines);	
5. Country	*use codification found at:* *http://publications.europa.eu/code/en/en-370100.htm*
6. Region	According to *NUTS2*
7. Programme budget	*(figure in K€ + reference year(s))*
8. Approximate share of overall programme budget going to SMEs	*(% + reference year(s) + please also state whether the % is an 'obligation as stated in programme documentation', or an 'estimation by interviewee', or 'actual allocations that have already been made')*
9. Sources of programme funding + respective %	*(multiple choices are possible - chose from 'regional', 'national', 'European', 'international' - indicate name of the entity in each case applicable); e.g. national (50%); European (50%)*
10. Start date	*(mm/yyyy);*
11. End date	*(mm/yyyy of the official end of the validity of the programme);*
12. Programme owner	*(name of organization)* *(name of person(s) responsible for programme)*
B. Main programme characteristics	
1. Sector	*(specify if ALL sectors; otherwise insert sector/industry);*
2. Type of beneficiaries	*(multiple choices are possible - chose from:* • *REC: Research (i.e. organisations only or mainly established for research purposes);* • *HES: Higher Education (i.e. organisations only or mainly established for higher education/training, e.g. universities, colleges);* • *LE: large enterprise i.e. larger than SME (i.e. industrial organisations private or public, both manufacturing and industrial services);* • *SMEs: entities with < 250 employees and annual turnover ≤ € 50 million or annual balance sheet total ≤ €*

	43 million) • *OTH: Others - specify)*
3. role of SME (type of involvement	*(chose from 'research user', 'research producer', 'both research user and producer', 'demonstrator', 'other-specify')*
4. Existence of programme requirements that a specific type of organisation is the project coordinator	*(if yes, chose between 'SME' or 'Scientific Partner' or 'other – specify')*

5. Programme subscription and success indicators. *(If figures are available please fill in the following table and estimate the specific shares that follow 5.1 - 5.6). The figures provided should refer to the total duration of the programme if possible. Otherwise please indicate year(s) of reference of inserted figures. If figures are not available but there are some success rates or other shares mentioned in programme documentation, relevant reports or interviews please fill them in at the respective cell.)*

	Latest available year or period of years	SMEs (a)	Others (b)	Total (c)=a+b
(1) Number of proposals submitted by…				
(2) Number of approved proposals (projects) by				
(3) Number of applicants (of either approved or not approved proposals)				
(4) Number of participants (in projects)…				

5.1 % of submitted SME coordinated proposals vs. all submitted proposals	*(a1/c1)*
5.2 % of SMEs coordinators of approved proposals vs. all coordinators	*(a2/c2)*
5.3 % of SME participants vs. all programme participants	*(a4/c4)*
5.4 % of SMEs participants vs. SMEs applicants	*(a4/a3)*
5.5 Success rate of proposals coordinated by SMEs	*(a2/a1)*
5.6 Overall programme success rate	*(c2/c1)*

6. Average time to contract	*(time that usually passes from proposal submission till contract signing: choose from '<3 months, '3 months – 6 months', '>6 months)*
7. Average size (budget) of funded projects	*(chose from '<100.000€', '100.000€ - 500.000€', '>500.000€')*
8. Average duration of projects	*(chose from. 'less than 1 year', 'between 1 - 3 years', 'more than 3 years')*

9. Funding rates to SMEs	*% (e.g. 50% of total eligible costs)*
10. % of different size of SMEs targeted / attracted	*(multiple choices are possible – chose from 'micro: 0-9 empl'; 'small:10-49 employees'; 'medium': 50-249 employees' – indicate % of each SME type targeted, e.g. 5% micro, 30% small, 65% medium)*
11. Types of collaboration of SMEs vis-à-vis RTD partners	*(Choose from 'partner' or 'sub-contractor' or 'other – specify' to specify the role of SME vis-à-vis the RTD partners in the project)*
12. Ownership of research results for SMEs	*(Choose from 'full ownership' (where it is only the SMEs that own the research results) or 'co-ownership with research partner(s)' (where results are co-owned with research partners even at various degrees and not equally) or 'co-ownership with other participating SMEs' (where results are co-owned only by the SMEs and not the research partners) or ' other – specify'.)*
13. Type of research supported	*(Choose from – multiple choices are possible:* • *'basic', (Basic research is experimental or theoretical work undertaken primarily to acquire new knowledge of the underlying foundation of phenomena and observable facts, without any particular application or use in vie);* • *'applied', (Applied research is also original investigation undertaken in order to acquire new knowledge. It is, however, directed primarily towards a specific practical aim or objective);* • *'experimental development, (experimental development is systematic work, drawing on existing knowledge gained from research and/or practical experience, which is directed to producing new materials, products or devices, to installing new processes, systems and services, or to improving substantially those already produced or installed. R&D covers both formal R&D in R&D units and informal or occasional R&D in other units).* *(Definitions adopted by the Frascati Manual, 2002).*
14. Programme's focus	*(Choose from following – multiple choices are possible);* • *Support for R&D and innovation (R&D&I) activities;* • *Support for activities referring to creation of networks &*

	clusters, • *Support for activities referring to science – industry cooperation;* • *Support for activities referring to technology/knowledge transfer;* • *Support for the creation of new and innovative products or services, processes;* • *Support for research and innovation management including training activities and human resource development;* • *Support for the dissemination and uptake / exploitation of research results;* • *Support for the creation of start-ups and spin-offs;* • *Indirect measures supporting R&D&I like tax incentives.*
15. Programme features affecting SME involvement before, during, after project	*(based on your understanding or the interviewees' views what are the features of the programme (if any) affecting the involvement of SMEs before, during or after the project. For example: before the project the SMEs may be asked to provide input/feedback for the programme design or it may be them who are usually the initiators of the project idea. During the project they may receive support to cover the IPR / patent application expenses, or they may be encouraged to undertake the research on their own. After the project, they may be encouraged to be involved in the dissemination of the results in various ways.*
(free text max 5 lines)	
16. Sources of information and available reports:: *(the database should provide ability to upload the reports used reports)*	*(Reference to* • *published reports;* • *URLs,* • *names of interviewees and their organisations,* • *etc.)*
C. Programme performance	
(Information to be inserted as text but be concise, succinct and to the point as possible – refrain from repeating general text from policy / programme documentation – insert not more than 8-10 lines per question – use bullet points whenever possible to facilitate easy reading)	

1. Impact assessment and evaluation results, where available, that address in particular the programmes' scientific and technological, economic, social and environmental impacts
*(For example: The programme's main impacts lie in the area of technology (production of prototypes, new tools and services). Impacts are also recorded in socio-economic field (creation of X new job positions in the field of micro-electronics.) Report results from interviews and available evaluation / impact assessment studies. Please refer to actual impacts that have been recorded or estimations by interviewees. Do not refer to impacts that are only expected but **not** verified in any way.*
2. Key elements in the programmes' design that determine the success or failure in achieving targets and objectives
(Report results from reviewing programme documentation and relevant evaluation / impact assessment studies (if any available) and from interviews with programme managers / owners, etc. When the SME questionnaire survey results are available under WP1 an update of the text answering this question will be made if necessary)
3. Key drivers and opportunities for the development of such programmes and initiatives
(e.g. what was the rationale for developing such a programme? what were the needs and challenges that drove its development? what opportunities does this programme try to exploit? Insert relevant extracts from the WP2 National Report and from WP2 interviews)
4. Programmes' characteristics responding to SMEs' needs
(Report results from reviewing programme documentation and relevant studies (if any available) and from interviews with programme managers / owners, etc. When the SME questionnaire survey results are available under WP1 an update of the text answering this question will be made if necessary)
5. Benefits for the participating SMEs
(Report results from reviewing programme documentation and relevant studies (if any available) and from interviews with programme managers / owners, etc. When the SME questionnaire survey results are available under WP1 an update of the text answering this question will be made if necessary)
D. Programme results dissemination and communication activities
1. Is detailed planning of results' dissemination activities required by programme for each project? (Y/N); 2. If Yes, what kind of dissemination actions are required *(multiple choices are possible – chose from web page creation, open forums, events,*

press releases, meetings, training, other – specify)	
3. Area marketing campaigns associated to the programme? (Y/N); 4. If Yes please detail *(multiple choices are possible – chose from TV, Radio, printed media, emailing, events, other- . specify)*	
5. Sources of information and available reports: *(the database should provide ability to upload the reports used reports)*	*(Reference to main information sources:* • *published reports (incl. programme documentation: ???)* • *URLs: ???* • *names of interviewees and their organisations (in case they have no problem of disclosing their name: ???* • *etc.???)*
Name of person and organization and date of filling in the template	
Comment box:	
(you can use this space in case you wish to make any clarifications about the data provided in the table or sources of information or reasons why some data was not able to gather or other points you think necessary for the better understanding of the specific programme).	

4 Template for Regional Economic Fabric Report

4.1 Overview

4.2 Template

1. **Economic context of the region**
   - I. **Summary of the main points related in the followings sections.**
     - Common to all 7 reports
   - II. **Introduction to the regional economy**
     - History, Size, Demography (population, age composition, degree of urbanisation, immigration), Economic (GDP, Income levels, Growth Rate of Income, Skills or level of education, Unemployment rate, Regional competitiveness, Main industries, Sectoral composition)
       - One page

2. **SME profiling in the region**
   - I. **SME situation in the region**
     - a. **Importance of SMEs on regional economy**
   - II. **SMEs in traditional sectors**
     - a. **Sectors (NACE V2 / V1) ? (exclude retail, services, design)**
       - Leather (shoes, handbags/gloves) - NACE 19
       - Ceramics – C23 / 26.2
       - Textiles – C13
       - Mechanical/Metallurgy - C24
       - Automotive
       - Food products

     - Companies (average size, employees)
     - Clusters / associations / poles
     - *Core expertise / Innovation strategies*
     - *Challenges / Threats /*
     - *Main Innovation-led growth paths.*

3. **SWOT Analysis**

   - I. **Strengths, Weaknesses, Opportunities and Threats on the following aspects:**
     - *Combining traditional sectors with innovation*
     - *Regional organisation of SMEs*
     - *The region as a centre of attraction*
     - *?*

   - II. I. **Final considerations**
     - *Prospects on of Innovation-led growth paths*
     - *Prospects on potential good practices*

5 Template for Regional R&D&I Policies Report

5.1 Overview

The report of Regional R&D&I Policies intend to provide an in-depth analysis of the strategic lines behind the regional/national programmes concerning the traditional sectors that we cover. These strategic lines are usually the result of the policy priorities defined by the local authorities. So, what the project will try to assess is the innovation policy currently implemented in each region and if there's any specific approach to address traditional industries when designing the innovation support programmes and what are the goals for these industries in terms of innovation and business development (new tech, new markets, qualified workers, etc..)

5.2 Template

1. **Introduction**
   I. Introductory comments about the contextual analysis of regional **innovation policies and strategies in terms of Innovation-led growth paths**.
   II. Should give a summary of the main points related in the followings sections.

2. **Overview of the innovation context in the region**

   I. Innovation status
   - *Barriers to innovation*
   - *Innovation strategies*
   - *Core expertise*
   - *Needs analysis*
   - *Absorptive capacity*
   - *Barriers to innovation*
   - *Innovation strategies*
   - *?*

   II. Current status of Regional innovation policies in terms of Innovation-led growth paths.

3. **Innovation strategies in the region**

   I. Description of R&D&I support measures Programmes, ended and current ongoing.
   - *Identification name – acronym*
   - *Description of the programme*
   - *Scope and Objective* (paying particular attention to the distinction between basic and applied research)
   - *Target users*
   - *Structure of the programme*
   - *Implementation modalities (e.g. eligibility criteria and project* parameters):

- Phases (e.g., demonstration/ validation/ testing/ *piloting/ and prototyping phases);*
- *Knowledge transfer;*
- *Exploitation of results;*
- *Training of staff (e.g., addressing IPR issues, etc.);*

- *Start date/duration of the programme*
- *Total Budget of the programme*
- *Outcomes*
- *Information sources (Websites dedicated to providing information, academic journal paper, Ad-hoc policy statements/plans, consultant reports, conference papers, PhD theses, Masters dissertations)*

II. Inventory project funded within R&D&I support measures

- *Funded projects: general infos*
  - *Brief description*
  - *Objectives*
  - *Budget*
  - *Impact*
  - *Results*
  - *Evaluation report realized*

4. Impact analysis of the R&D&I support measures on regional SMEs.

I. Statistics on beneficiaries :

- *"Participation data".*
- *Profile of participating SMEs;*

II. Programme assessment from the SME point of view.

- *Economic assessment*
- *Assessment in term of Innovation*
- *Overall impact*

III. Programme evaluation from a public policy perspective.

- *Economic analysis useful to characterize the regional context*
- *Assessment in term of Innovation*
- *Overall impact at regional level*

5. Conclusions

I. Finals considerations on:

- *Innovation capacity*
- *Good practices identified*

Prospects on of Innovation-led growth paths

6. Data collection

I. Innovation data collection in the region concerned

II. Economic and Innovation indicators

III. Economic and Innovation terminology

7. Appendices

Appendices should include other information that is considered useful but not central to the report.

6 Template for Case Studies

6.1 Interview Guidelines

The case studies will be identified by promoting semi-structured interviews to SMEs' managers and will complement the survey. The interview schedule together with the case study guidelines will allow for the same structure and at least the same core of questions to be asked in all of the regions covered by the project.

The interviews should also targeted non-participant firms to understand why current support measures are not suitable for their companies and what recommendations could be extracted to improve those existent programmes in line with the bottom-up approach that will be implemented by the project.

The interviews will also help to evaluate the possible additionality of those programmes by asking firms what innovations were implemented due to the support of innovation programmes and which innovations delayed because of not accessing this support.

Another key aspect of the case studies is to assess the potential of transferability of those measures in the future in other European regions or in the all European Union through the existent or new funding instruments.

6.2 Template

1. ***Introduction***
   - *Include a Summary of the case study.*
   - *Useful to make introductory comments about the regional area concerned, highlighting the cities and the SMEs are mentioned in later chapters.*
   - *One section to be devoted to a synthesis of the main existing problems in the regional area (with relevance to the innovation policy and to the fabric sector) thus enabling the reader to understand why some of the measures described in later chapters were implemented.*

2. ***Priority given to Innovation in policy documents***
   - *General observations on the importance (or not) of innovation strategy in the region concerned*
   - *The approach taken in this chapter will inevitably be based upon what sort of policy documents are available for the region concerned*

3. ***R&D&I support programmes***

   3.1 ***Overview***

   o *Summary of the main points in Chapter 3, based upon the more detailed descriptions of R&D&I support programmes.*

- *Explain/justify the choice of the case study: why is interested or relevant?*
- *Identify the type of R&D&I support programmes: case study could focus on different type of innovation action: a fiscal incentive, financial incentive (for example, soft loan interest), different type of funding (with no reimbursement or with partial reimbursement), incentive to training action, support to internationalization activities or other type. Try to classify it.*

3.2 ***Specific Information***

Description of R&D&I support programmes should be given. Please use the follow structure that includes an additional heading concerning information sources (internet sites, journal articles etc) and data collection

- *Description:*
  - *Current status (2010): ongoing, ended?*
  - *Objectives and Strategic issues of the R&D&I support programmes*
  - *Start- end date/duration*
  - *Description – may includes:*
    - *Background*
    - *Business vision*
    - *"Starting ideas" or ideation session*
    - *Logical steps/system model/methodology*
    - *Role of research and technology based innovation*
    - *Elements of innovation*
    - *Implementation/Performance/application*
  - *Entities involved: promoters, targeted SMEs, other possibly Users…*
  - *Outcome/results/evaluation*
    - *Description of the main results achieved*
    - *Overall impact*
    - *Quantitative and Qualitative Evaluations Reports (if available)*
    - *SMEs/users evaluation review (including a description of the main strength and weaknesses made by the SMEs)*

3.3 ***Conclusions: possible recommendations***

Which recommendation or feedback could be drawn by the analysis of this case study? Please collect some recommendation and draw the conclusion.

3.4 ***Information sources and data collection:***

- *Regarding the information sources distinguishing between:*
  - *Websites dedicated to the specific R&D&I support programmes analysed in the case study.*
  - *Websites dedicated to providing information on general innovation policy*
  - *International academic journal papers addressing innovation*
  - *Ad-hoc city policy statements/plans, consultant reports, conference papers, PhD theses, Masters dissertations etc available on the internet.*

- *Survey, interviews, direct contact…*

o *Data collection*

- *Overview of data collection on Innovation policy/programme/ etc… (in the region concerned).*
- *Innovation indicators (in the region concerned).*
- *Innovation terminology (in the region concerned).*