Monitoring ERA National Action Plans (2020 exercise)

Priority 1. More Effective National Research Systems (ERAC)

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1. Process. Work plan

Task	Description	Start / Finish
Appointment of rapporteur	Designation of rapporteur at ERAC Plenary: Cecilia Cabello	December 17, 2019
Preparing a monitoring tool	The rapporteur presented a draft tool for Priority 1 to the Steering Board which could be used by all ERA-related groups. The Steering Board requested slight adaptations to render it more clear while keeping it simple. Adaptations were included, with an example to further clarify the tool.	February 2020
Request for input/ Reception of information	Email to delegates to request input. Reminder to all delegates of the importance to provide input on time and reception of input.	March - April 2020
Collection update	Update on the state of play to the Steering Board	April 29, 2020
Process/analysis of input	Process/analysis of input. The rapporteur provides guidance to the ERA-related groups for a harmonized format presentation of each priority	May 2020
Presentation of first results	Oral presentation at ERAC plenary based on input from all ERA related groups (preliminary results).	June 4, 2020
Preparation of final report	Information and input from groups elaborated into a report	
1st Revision of final report	Report revision by Chairs of ERA related groups	
2nd Revision of final report	Final version circulate to all ERAC Steering Board members	
3rd Revision of final report	Circulate ERAC before meeting plenary	
Presentation of final report	A consolidated report will be presented to the ERAC plenary	December 2020

1. Process. Methodology (1 o 3)

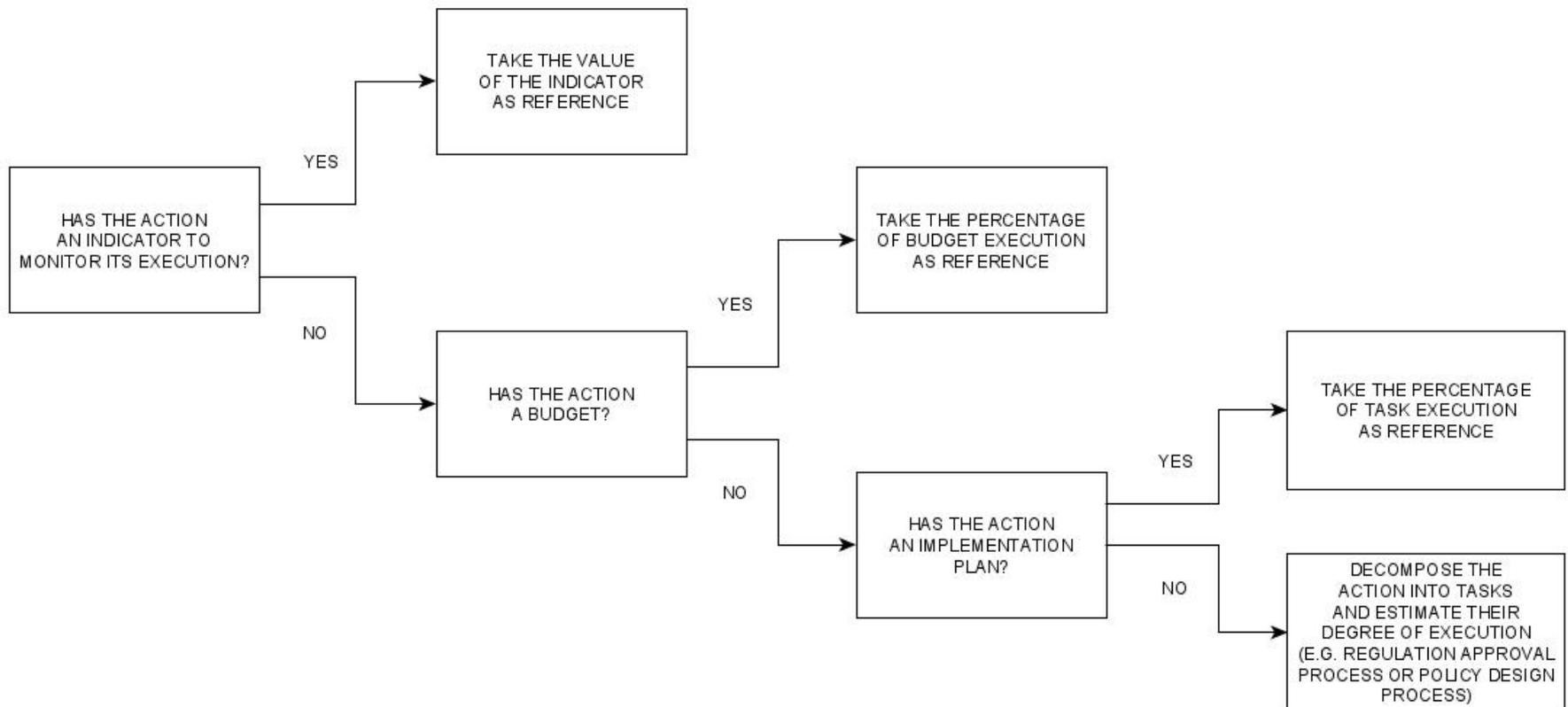**INSTRUCTIONS FOR FILLING IN THE TEMPLATE**

1. A spreadsheet is prepared for each country with actions described in their ERA Roadmap National Action Plans.

2. Below the prefilled actions, Delegates can include **new measures** that have been introduced at a later stage.

3. In column "C" Delegates should assess the **progress** of each action with the following questions:

1) Has any activity taken place for this action?		YES		NO
2) Is the action accomplished (stopped)?	YES	NO		
3) Is the degree of implementation of the action (not) greater or equal 50%?		YES	NO	
	FINISHED	ON-GOING (greater or = 50%)	ON-GOING (less than 50%)	CANCELLED

4. Additional COMMENTS may be written in column "D". For instance:

   - Add any useful information to clarify the **degree of implementation** (e.g. degree of execution of finished actions).

   - If the action has been **cancelled,** an explanation would be useful.

   - If the action has been **modified,** a concise comment would be useful.

   - If the action has been **delayed,** a concise comment would be useful.

   - Underline if **the action can be strongly recommended and that your country considers it is a best practice or that it is considered a great success (something to be proud of).**

5. In column "E", Delegates should answer the question on whether the action has been **evaluated (assessed).**

- For Priority 1, additional information on how to inform about the degree of progress has been included in the template:

1. Process. Methodology (3 of 3)

- For Priority 1, actions are classified according to the implied types taken from the ERA Roadmap 2015-20 and the ERA Progress Report 2018

Type of action	Description
1. Evaluation (including all focuses)	**Strengthening the evaluation of research and innovation policies:** - Members States should strengthen the capacity to learn from one's own experiences. - Member States should strengthen national policy intelligence tools and procedures to provide relevant data to inform their national science and innovation policy reviews and evaluations aligned with the European Semester. **Making the most of EU and, where relevant, OECD tools (such as the Policy Support Facility and the OECD Innovation Policy Platform).** Members States should strengthen the capacity to learn from good European practices. Mutual learning activities may be particularly relevant for some Member States. **Applying the core principles of international peer review to funding organizations**. All public bodies responsible for allocating research funds should apply the core principles of international peer review in all appropriate cases.
2. Strategies and alignment	**Promoting better alignment of national and European policies**: - Seeking complementarities between, and rationalization, of instruments at EU and national levels. - National STI strategy or plan. **Smart specialization policies**. Smart specialisation policies may be particularly relevant for some Member States.
3. Funding	**Finding a satisfactory balance between competitive and institutional funding**. Enhance competitive funding through calls for proposals and institutional assessments, respecting the need for a satisfactory balance between competitive and institutional funding.
4. Other policies (Education and Innovation)	**Investing in wider education, research and innovation systems**. Governmental investments going beyond research (e.g. in other knowledge centred activities) may also contribute to spreading excellence and capacity across Europe.
5. Other types of actions	

2. Analysis. Coverage

Indicator	Breakdown	Value
Number of contributions / Number of countries ERAC delegates	- Total - Member States - Associated Countries	20 / 42 = 48% 16 / 27 = 59% 4 / 15 = 27 %

- Cyprus, Germany, Estonia, Hungary, Latvia, Lithuania, Luxembourg, Romania, Slovakia and Slovenia do have a National Action Plan for Priority 1, but have opted out from providing a contribution.

- Poland does not have a National Action Plan for Priority 1.

- 4 Associated Countries (Israel, Norway, Switzerland and Ukraine) have provided a contribution.

2. Analysis. Quantitative information (1 of 5)

Current status of the measures (April 2020)

	FINISHED	ON-GOING (greater or = 50%)	ON-GOING (less than 50%)	CANCELLED	TOTAL
Member State	72	44	28	3	147
Associated Country	18	14	4		36
TOTAL	90	58	32	3	183

	FINISHED	ON-GOING (greater or = 50%)	ON-GOING (less than 50%)	CANCELLED	TOTAL
Member State	49%	30%	19%	2%	100%
Associated Country	50%	39%	11%	0%	100%
TOTAL	49%	32%	17%	2%	100%

- 183 different actions are included in the National Action Plans for Priority 1, of which 81% are finished or on-going with a degree of execution greater or equal 50%.

Measures that have been assessed up to now (April 2020)

	ASSESSED	NOT ASSESSED	NOT APPLICABLE	TOTAL
Member State	**13%**	20%	67%	100%
Associated Country	**25%**	0%	75%	100%
TOTAL	**15%**	16%	68%	100%

- Only 15% of the actions have been assessed (13% in Member States).

Measures that have been assessed up to now by current status (April 2020)

	ASSESSED	NOT ASSESSED	NOT APPLICABLE	TOTAL
FINISHED	**21%**	13%	66%	100%
ON-GOING (greater or = 50%)	**16%**	10%	74%	100%
ON-GOING (less than 50%)	**0%**	34%	66%	100%
CANCELLED	**0%**	33%	67%	100%
TOTAL	**15%**	16%	68%	100%

- Logically, the rate of finished actions that have been assessed (21%) is the highest.

Measures by typology (April 2020)

	Member State	Associated Country	TOTAL
1. Evaluation (including all focuses)	41%	19%	**37%**
2. Strategies and alignment	29%	36%	**30%**
3. Funding	19%	42%	23%
4. Other policies (Education and Innovation)	7%	0%	5%
5. Other types of actions	4%	3%	4%
TOTAL	100%	100%	100%

- Measures in the Top Action Priority of the ERA Roadmap 2015-20 (evaluation of policies and alignment of EU and national instruments) account for 67% of the total number of actions included in the National Action Plans.

Measures by typology and current status (April 2020)

	FINISHED	ON-GOING (greater or = 50%)	ON-GOING (less than 50%)	CANCELLED	TOTAL
1. Evaluation (including all focuses)	**54%**	**29%**	16%	0%	100%
2. Strategies and alignment	**47%**	**36%**	16%	0%	100%
3. Funding	44%	26%	23%	7%	100%
4. Other policies (Education and Innovation)	70%	20%	10%	0%	100%
5. Other types of actions	14%	71%	14%	0%	100%
TOTAL	49%	32%	17%	2%	100%

- 84% of the measures in the Top Action Priority of the ERA Roadmap 2015-20 (evaluation of policies and alignment of EU and national instruments) are finished or on-going with a degree of progress greater or equal 50%.

Status of actions

- Some actions have finished earlier than expected.
- Some actions (i.e. plan or programs) are not finished because:
  - They are quite broad (i.e. improvement of the articulation of EU and national policies) and involve a myriad of tasks with different timeframes and varying degrees of execution.
  - They reflect continuous efforts (i.e. consolidation of units or schemes) to improve the efficacy and efficiency of national STI systems.
  - Their execution extends beyond 2020 (i.e. those actions particularly affected by the COVID-19 crisis).
- Some actions are delayed due to changes in government or an intricate legislative process, or because they depend on other delayed measures.
- As Priority 1 is very broad and cover several types of actions, the analysis of the status of the actions should be complemented with its breakdown by typology.

Assessment of actions

- Measures where assessment is applicable are usually those included in the peer reviews of the Policy Support Facility, smart specialization actions and those measure included in national plans or strategies with a monitoring mechanism.

- Most delegates report that, in actions where assessment is applicable, the examination of the measure would take place in the near future.

- For assessed actions, the results of the examination are either positive or not yet available.

Top Action Priority: Strengthening the evaluation of R&I policies and seeking complementarities between, and rationalization of, instruments at EU and national levels

- Most countries have implemented or are close to fully implement measures to:
  - Raise the aggregate standard of national policy intelligence tools (i.e. monitoring platforms, information systems, foresight activities) to provide relevant data to inform their national science and innovation policy reviews and evaluations.
  - Carry out ex post evaluation and impact assessment of R&I public policy and its main instruments.
  - Seek complementarities and align instruments at EU and national levels.
- Some countries have implemented or are close to fully implement:
  - Mutual learning activities from good international practices, using tools such as the Policy Support Facility or the OECD Review of Innovation Policy.
  - Improved procedures for research performance assessments of public research organizations and universities.

Top Action Priority: Strengthening the evaluation of R&I policies and seeking complementarities between, and rationalization of, instruments at EU and national levels

- The recommendations of the evaluations of policies and instruments are included in subsequent measures, strategies and decision-making.

3. Summary of the analysis

- 16 out of 27 EU Member States have contributed to the monitoring exercise; of the other Member States, 1 does not have a roadmap and 10 have opted out from providing a contribution.

- 4 Associated Countries have provided a contribution.

- About 80% of the measures in the National Action Plans are finished or on-going with a degree of progress greater than 50%.

- Some actions are not finished because they are quite broad, their period of execution extends beyond 2020 or are continuous and have no end at sight.

- The ratio of assessed actions is yet very low, but may increase slightly in the near future.

- Most countries have implemented or are close to fully implement measures to raise the aggregate standard of national policy intelligence tools and to carry out ex post evaluation of R&I public policy and its main instruments, and measures to seek complementarities and align instruments at EU and national levels.

- The recommendations of the evaluations of policies and instruments are included in subsequent measures, strategies and decision-making.