

# **INNOVATION SURVEYS: A Tool providing evidence for diagnostic and policy development**

**By**

**Réjean Landry**

**Department of Management**

**Faculty of Business**

**Laval University, Québec, QC, Canada**

**Rejean.landry@mng.ulaval.ca**

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# Outline

- Background in relation to this workshop
- Limits of national innovation surveys
- Launching an innovation diagnostic
- Organizing the different stages
  - Data collection
  - Data analysis
  - Policy development
- Managing the process from diagnostic to policy development
- Positive side benefits



# Background in relation to this workshop

- Based on regional customized innovation surveys: Produced diagnostic and action plans on innovation in 13 regions, and 3 times in one region
- The question addressed: how to use survey data to derive implications aiming to help firms improving their capabilities on innovation and factors increasing innovation
- Attitude of modesty: existing firms create jobs and wealth, they usually commercialize incremental, rarely radical product innovations
- Attitude of policy-makers: developing evidence-based policy measures helping firms to improve their innovation capabilities



# Limits of national innovation surveys

- Exclude small firms, therefore 90% of firms of less than 20 employees outside metropolitan areas
- Describe well countries, not regions
- Do not provide data to develop regional innovation policies helping firms to improve their innovation capabilities



# Launching an innovation diagnostic

- The take off: initiative of a policy entrepreneur who succeeds convincing other policy makers that innovation needs to be fostered
- Success condition: a few organizations have to be prepared to participate and contribute time and financial resources
- This small group of people develops an initial project



# Stages from diagnostic to policy development

**Data  
collection**

**Data  
analysis**

**Policy  
develop  
ment**



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# DATA COLLECTION



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# Tasks to be accomplished at the data collection stage

1. Review of evidence
2. Determination of aspects of innovation we want to increase and measure
3. List of factors increasing innovation
4. Formation of an advisory group
5. Questionnaire development



# Review of evidence on innovation

## Need:

- Collect information on how to measure:
  - Innovation, and
  - Factors increasing innovation

## How to find this information?

- Reviews of empirical studies on innovation
  - ex: BECHEIKH, N., Landry, R. and Amara, N., 2006. « Lessons from Innovation Empirical Studies in the Manufacturing Sector: A Systematic Review of the Literature from 1993-2003 », *Technovation*, 26 (5-6): 644-664.

## Output:

- List of ways of measure innovation
- List of factors increasing (or decreasing) innovation



# What aspects of innovation do we want to increase?

1. Technological innovation: changes in products and production processes
2. Organizational innovation: changes in organizational practices
3. Marketing innovation: changes in marketing practices
4. Etc.



# With what degree of sophistication?

- Presence/absence of innovation
- Limit of this approach:
  - assumption of no differences in the amount of changes or degrees of novelty of innovation



# With what degree of sophistication?

- Alternative ways to measure degrees of novelty of innovation:
- Product innovations commercialized as a firm first, industry first, regional first, national first, world first
- Product innovation introduced onto the market before/after competitors
- Used to defined targets for interventions....



# List of categories of factors increasing (decreasing) innovation

## Minimal list:

- R&D (employees, \$)
- Employees (number, HQP)
- Sources of ideas and information (market, research, general; local/non local;)
- Use of advanced technologies (lists...)
- Use of organizational practices (lists...)
- Use of strategic practices
- Use of intellectual property protection mechanisms (patents, secrecy,...)
- Use of government support programs
- Commercialization practices
- Sales and clients ( \$, number, local/non local; etc)
- Obstacles to innovation
- Competitive environment

## Control factors

- Industry
- region



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# Examples of questions on how to measure

- Innovation
- Use of advanced technologies
- Use of organizational practices
- Use of strategic practices
- Competitive environment
- Sources: questionnaires developed by Statistics Canada and CIS questionnaires developed by EU groups.
- Access: Available on the Internet



Source: Statistics Canada  
question measuring innovation

1. During the period 2004 to 2007, did you bring a new good or service or significantly improved good or service onto the market?

01001 1  Yes → Continue

3  No → Please return the questionnaire in the enclosed envelope, thank you.

---

2. a. Please indicate the number of new or significantly improved products that you introduced to the market during the period 2004 to 2007.

02011  New or improved products  
(A product is a good or service)

b. Of this number, please indicate the percentage that was introduced by Internet (E-commerce) during the period 2004 to 2007.

02021  %

---

3. a. When did you introduce your most significant and recent product innovation to the market?

Month Year

03011   03012

b. What makes your product innovative? (Check all that apply.)

03021  Change in aesthetics of the product

03022  Improvement in user friendliness or the ease of use (more compact, more accessible, etc.)

03023  Addition of new features or functions

03024  Improvement in performances (strength, durability, flexibility, speed, etc.)

03025  Other, please specify:

03025TXT

---

4. Was your most significant and recent product innovation new to your market?

04001 1  Yes

3  No



# From CIS4 question measuring various types of innovation

## Wider innovation

This section seeks to investigate new or significantly amended forms of organisation, business structures or practices, aimed at step changes in internal efficiency of effectiveness or in approaching markets and customers.

23. Did your enterprise make major changes in the following areas of business structure and practices during the three-year period 2002-2004?

Please  one box for each category

Yes No

Implementation of a new or significantly changed corporate strategy



2310

Implementation of advanced management techniques within your enterprise  
e.g. knowledge management systems, Investors in People



2320

Implementation of major changes to your organisational structure  
e.g. introduction of cross-functional teams, outsourcing of major business functions.



2330

Implementation of changes in marketing concepts or strategies, e.g. packaging or presentational changes to a product to target new markets, new support services to open up new markets.



2340



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# Commercialization practices

7. For your most significant and recent product innovation, please indicate which commercialisation activities were carried out.

	In Canada		Abroad	
	Yes	No	Yes	No
a. Promotion of the product through advertising (Advertising campaign, etc.) .....	07011	1 <input type="radio"/> 3 <input type="radio"/>	07012	1 <input type="radio"/> 3 <input type="radio"/>
b. Promotion of the product via conferences, trade fairs and exhibitions .....	07021	1 <input type="radio"/> 3 <input type="radio"/>	07022	1 <input type="radio"/> 3 <input type="radio"/>
c. Promotion of the product via a website (Internet site, etc.) .....	07031	1 <input type="radio"/> 3 <input type="radio"/>	07032	1 <input type="radio"/> 3 <input type="radio"/>
d. Product positioning (First on the market, creating a niche, etc.) .....	07041	1 <input type="radio"/> 3 <input type="radio"/>	07042	1 <input type="radio"/> 3 <input type="radio"/>
e. Market research (Seeking information about the competition or product demand, etc.) .....	07051	1 <input type="radio"/> 3 <input type="radio"/>	07052	1 <input type="radio"/> 3 <input type="radio"/>
f. Activities to reorganise the production or distribution structure (Centralisation or decentralisation of production and distribution functions, matrix organisation, creation of a sales force division, etc.) .....	07061	1 <input type="radio"/> 3 <input type="radio"/>	07062	1 <input type="radio"/> 3 <input type="radio"/>
g. Product distribution agreements (Sharing of a distribution network; sharing resources and after-sale services, etc.) .....	07071	1 <input type="radio"/> 3 <input type="radio"/>	07072	1 <input type="radio"/> 3 <input type="radio"/>
h. Product research agreements (Knowledge transfer, access to network of university researchers, etc.) .....	07081	1 <input type="radio"/> 3 <input type="radio"/>	07082	1 <input type="radio"/> 3 <input type="radio"/>
i. Campaign to recruit personnel specialised in commercialisation (Sales persons, advisors, representatives, etc.) .....	07091	1 <input type="radio"/> 3 <input type="radio"/>	07092	1 <input type="radio"/> 3 <input type="radio"/>
j. Training on how to market the product (Training of in-house and external personnel, sales force, etc.) .....	07101	1 <input type="radio"/> 3 <input type="radio"/>	07102	1 <input type="radio"/> 3 <input type="radio"/>
k. Providing customer-specific services (Customising products, delivery methods, after-sale services, etc.) .....	07111	1 <input type="radio"/> 3 <input type="radio"/>	07112	1 <input type="radio"/> 3 <input type="radio"/>
l. Conducting research and development activities .....	07121	1 <input type="radio"/> 3 <input type="radio"/>	07122	1 <input type="radio"/> 3 <input type="radio"/>
m. Other, please specify: .....	07131	1 <input type="radio"/> 3 <input type="radio"/>	07132	1 <input type="radio"/> 3 <input type="radio"/>



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# Strategic practices

8. Please rate the importance of each of the following factors for the success of your plant during the three years, 2002 to 2004.

		Degree of Importance			
		High	Medium	Low	Not relevant
<b>Market and products</b>					
0901	a. Seeking new markets .....	5 <input type="radio"/>	3 <input type="radio"/>	1 <input type="radio"/>	0 <input type="radio"/>
0902	b. Satisfying existing clients .....	5 <input type="radio"/>	3 <input type="radio"/>	1 <input type="radio"/>	0 <input type="radio"/>
0903	c. Developing niche or specialized markets .....	5 <input type="radio"/>	3 <input type="radio"/>	1 <input type="radio"/>	0 <input type="radio"/>
0904	d. Developing export markets .....	5 <input type="radio"/>	3 <input type="radio"/>	1 <input type="radio"/>	0 <input type="radio"/>
0905	e. Developing domestic markets .....	5 <input type="radio"/>	3 <input type="radio"/>	1 <input type="radio"/>	0 <input type="radio"/>
0906	f. Developing custom-designed products (goods or services) for clients .....	5 <input type="radio"/>	3 <input type="radio"/>	1 <input type="radio"/>	0 <input type="radio"/>
<b>Other</b>					
0907	g. Active involvement in developing new industry-wide standards .....	5 <input type="radio"/>	3 <input type="radio"/>	1 <input type="radio"/>	0 <input type="radio"/>
0908	h. Ability to comply with environmental standards and regulations .....	5 <input type="radio"/>	3 <input type="radio"/>	1 <input type="radio"/>	0 <input type="radio"/>
0909	i. Implementing new information and communications technologies .....	5 <input type="radio"/>	3 <input type="radio"/>	1 <input type="radio"/>	0 <input type="radio"/>



# Strategic practices

11. Which strategies did you use to commercialise your most significant and recent product innovation? (Please, identify the importance assigned to the strategies listed below). ("Strategy" refers to organising the enterprise's activities and actions in order to reach an objective using a method determined in advance.)

Strategy	Importance assigned to the strategy				
	Little Importance	Moderate Importance	Great Importance	Essential	Not applicable
a. Develop a market niche .....	11011 1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	0 <input type="radio"/>
b. Develop a website to promote the product .....	11021 1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	0 <input type="radio"/>
c. Make the enterprise structure as flexible as possible to adapt to the market quickly .....	11031 1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	0 <input type="radio"/>
d. Locate production based on labour costs .....	11041 1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	0 <input type="radio"/>
e. Seek partnership with universities .....	11051 1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	0 <input type="radio"/>
f. Seek partnership with other organisations or other enterprises .....	11061 1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	0 <input type="radio"/>
g. Increase sales capacity .....	11071 1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	0 <input type="radio"/>
h. Meet environmental requirements .....	11081 1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	0 <input type="radio"/>
i. Other, please specify: .....	11091 1 <input type="radio"/>	2 <input type="radio"/>	3 <input type="radio"/>	4 <input type="radio"/>	0 <input type="radio"/>



# Advanced technologies

## Advanced Technologies

1. Please indicate (✓) whether you are currently using, plan to use (within two years), or have no plans to use the following advanced technologies in your plant.

	In use	Plan to use within 2 years	No plans to use/ Not applicable
<b>Design, Engineering and Virtual Manufacturing</b>			
a. Computer Aided Design/Engineering (CAD/CAE) including modelling or simulation technologies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Computer Aided Design/Manufacturing (CAD/CAM)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Virtual Product Development	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Virtual Manufacturing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. Virtual Reality/Visualization	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f. Electronic exchange and management of CAD files	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g. Rapid prototyping	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Processing, Fabrication and Assembly</b>			
a. Flexible Manufacturing Cells or Systems (FMC/FMS)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Reconfigurable systems	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Lasers used in materials processing (including surface modification)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. E-beam processes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. Robot(s) with or without sensing capabilities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f. High speed machining	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g. Near net shape technologies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
h. Micro manufacturing (micro machining or micro molding)			
i. Micro Electro Mechanical Systems (MEMS)			
<b>Inspection</b>			
a. Automated vision-based systems used for inspection/testing of inputs and/or final products	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Other automated sensor-based systems used for inspection/testing of inputs and/or final products including e-beam inspection	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



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# Organizational practices

## Business Practices

11. Are the following practices or techniques regularly used in your plant? Please check (✓) all that apply.

a. Cross-functional design teams	<input type="checkbox"/>
b. Concurrent engineering	<input type="checkbox"/>
c. Continuous improvement (including TQM)	<input type="checkbox"/>
d. Competitive technological intelligence (CTI) and Benchmarking	<input type="checkbox"/>
e. Plant certification (e.g., ISO9000, ISO14000)	<input type="checkbox"/>
f. Certification of suppliers	<input type="checkbox"/>
g. Just-in-time (JIT) inventory control	<input type="checkbox"/>
h. Statistical Process Control (SPC)	<input type="checkbox"/>
i. Electronic work order management	<input type="checkbox"/>
j. Distribution Resource Planning (DRP)	<input type="checkbox"/>
k. Quality Function Deployment (QFD)	<input type="checkbox"/>
l. Outsourcing/Offshoring	<input type="checkbox"/>
m. Collaborations(s)/strategic alliance(s)	<input type="checkbox"/>
n. Training and skills development	<input type="checkbox"/>
o. Lean Manufacturing	<input type="checkbox"/>
p. Six sigma	<input type="checkbox"/>
q. Manufacturing Resource Planning (MRP II)/Enterprise Resource Planning (ERP)	<input type="checkbox"/>
r. Supply chain management	<input type="checkbox"/>
s. Innovation management process	<input type="checkbox"/>
t. Electronic commerce	<input type="checkbox"/>
u. Planned/proposed technical research	<input type="checkbox"/>
v. Sustainable development strategy/Environmental stewardship plan	<input type="checkbox"/>
w. None of the above	<input type="checkbox"/>



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# Competitive environment

## Competitive Environment

7. For your business unit, how strongly do you agree or disagree with the following statements? Please indicate your opinion by using the following scale where 1 is strongly disagree and 5 is strongly agree.

	Degree of importance					Not relevant
	Strongly Disagree	-----	Strongly Agree			
a. My client's demands are easy to predict	1 π	2 π	3 π	4 π	5 π	π
b. My clients can easily substitute my products (services or goods) for the products of my competitors	1 π	2 π	3 π	4 π	5 π	π
c. My competitors are easy to predict	1 π	2 π	3 π	4 π	5 π	π
d. The arrival of new competitors is a constant threat	1 π	2 π	3 π	4 π	5 π	π
e. The arrival of competing products (services or goods) is a constant threat	1 π	2 π	3 π	4 π	5 π	π
f. My firm can easily replace its current suppliers	1 π	2 π	3 π	4 π	5 π	π
g. It is difficult to hire qualified staff and workers	1 π	2 π	3 π	4 π	5 π	π
h. It is difficult to retain qualified staff and workers	1 π	2 π	3 π	4 π	5 π	π
i. My products (services or goods) quickly become obsolete	1 π	2 π	3 π	4 π	5 π	π
j. Production and delivery technologies change rapidly	1 π	2 π	3 π	4 π	5 π	π
k. Office technologies change rapidly	1 π	2 π	3 π	4 π	5 π	π



# Qualitative diagnostic by advisory group

- Composition of advisory group: policy-makers, representative of industry associations, industry champions, experts
- Mandate: to produce an initial qualitative SWOT assessment on innovation
- output: briefing notes



# Questionnaire development

## Background material to use:

- Existing questionnaires as templates: CIS (Community innovation survey), Statistics Canada, ...)
- The briefing notes produced by the advisory group

## Development of a questionnaire meeting the needs of the client organization:

- Need to have questions for benchmarking (on innovation, R&D, ...)
- Need to have questions addressing issues identified in the SWOT briefing notes
- Need to have questions addressing issues identified by the client organization(s)

## Challenge:

- Too many questions
- Questions not related to factors increasing or decreasing innovation
- ...



# Questionnaire administration

- Qualitative interviews of small number of firms are not sufficient
- Need to have a precise quantitative diagnostic able to capturing variations across firms, industries, regions...
- Such a goal require interviewing hundred of firms



# DATA ANALYSIS



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# The logic of data analysis

Data analysis organized around two basic ideas:

1. **Innovation**, especially product innovation, is considered as the dependent variable (what we want to increase) because product innovation is what firms commercialize
2. The **other questions** are variables (factors) contributing to increase (decrease) innovations



# Production of reports on...

1. Innovation (types and degrees of novelty)
2. R&D
3. Sources of ideas and information (market, research, general; local/non local;)
4. Use of advanced technologies (lists...)
5. Use of organizational practices (lists...)
6. Use of explicit strategic practices
7. Use of intellectual property protection mechanisms (patents, secrecy,...)
8. Use of government support programs
9. Commercialization practices
10. Sales and clients ( \$, number, local/non local; etc)
11. Obstacles to innovation
12. Competitive environment
13. Executive summary



# Outline of reports

Reports 1 to 11 in relation to each factor contributing to increase innovation:

1. propensity to innovate, degree of novelty of innovation

- Benchmarks ( EU innovation score boards, Statistics Canada reports, etc.)
- Industries/clusters
- Size of firms

2. In order to derive recommendations based on:

- Strengths and
- weaknesses



# Outline of report 12 on competitive environment

Based on questions related to competitive environment, derive recommendations based on

- Threats
- Opportunities

Regarding:

1. Innovation (types and degrees of novelty)
2. R&D
3. Sources of ideas and information (market, research, general; local/non local;)
4. Use of advanced technologies (lists...)
5. Use of organizational practices (lists...)
6. Use of explicit strategic practices
7. Use of intellectual property protection mechanisms (patents, secrecy,...)
8. Use of government support programs
9. Commercialization practices
10. Sales and clients ( \$, number, local/non local; etc)
11. Obstacles to innovation



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# Policy development



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# Development of an action plan and policy recommendations

Based on the SWOT analysis, derive implications for an action plan regarding:

1. Innovation (types and degrees of novelty)
2. R&D
3. Sources of ideas and information (market, research, general; local/non local;)
4. Use of advanced technologies (lists...)
5. Use of organizational practices (lists...)
6. Use of explicit strategic practices
7. Use of intellectual property protection mechanisms (patents, secrecy,...)
8. Use of government support programs
9. Commercialization practices
10. Sales and clients ( \$, number, local/non local; etc)
11. Obstacles to innovation
12. Competitive environment



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# Issues regarding the management of the process from diagnostic to policy formulation



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# Managing the process from diagnostic to policy development

- In order to increase the **progressive** appropriation of the diagnostic and action plan, it is useful to involve representatives of the client organization(s), advisory group and some people to be involved in policy development at:
  - The initial qualitative assessment stage (what are the major challenges in this region, cluster, industry regarding innovation?)
  - The various versions of the diagnostic tool (the questionnaire)
  - The various reports as they are produced
- Useful mechanisms of appropriation :
  - Regular meetings with the contractor (team doing the work)
  - Regular informal contacts between the contractor and the client
  - Power Point presentations at the different stages of the project
- Goal:
  - To increase absorptive capacity of the client
  - To avoid surprises (unexpected results)
  - To build expectations that induce the clients to get prepared for the implementation stage of the action plan and policy development



# Managing the implementation stage of the project

- Transform the advisory group into an implementation group
- Different organizations should be responsible for implementing different parts of the action plan
- Organize focus groups with firms (by industry, cluster, region) to finetune the diagnostic and action in action plan



# Final remarks

Success conditions to insure at the different stages:

1. **At the initial stage:** selecting a contractor without expertise in innovation studies and/or statistical diagnostics – most consulting firms prefer producing qualitative reports based on qualitative interviews and focus groups
2. **During the process:** maintaining the involvement of members of advisory group and other participants
3. **At the policy development and action plan formulation stage:** maintaining an evidence-based approach – some participants will always claim that they know what should be done, regardless of the evidence
4. **At the implementation stage:** creating and maintaining consensus among participant organizations, focusing on actions that make consensus and are not costly



# Side benefits of such exercises

- Most policy measures helping firms to improve their capabilities are not expensive
- Build policy consensus
- Create evidence appropriate to focus on specific factors increasing innovation
- Create opportunities for policy coordination



**Thank you for your attention**  
**Questions?**  
**Comments?**



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