UNDP Accelerator Labs – Final Report

SIPA ECONOMIC AND POLITICAL DEVELOPMENT WORKSHOP

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Executive Summary

With the mission to accelerate progress towards the 2030 Agenda and the Sustainable Development Goals (SDG), the UNDP Accelerator Labs set out on a mission to improve current development practices. With 91 Labs operating in 115 countries, the Accelerator Labs Network is uniquely placed to address some of the most urgent developmental needs.

Increasingly, the public sector is seen as the key to achieving substantive change and innovation. Therefore, UNDP aimed for a better understanding of the current state of Public Sector Innovation (PSI) in Accelerator Lab countries, which led to a partnership with the School of International and Public Affairs (SIPA) at Columbia University. Together, we developed a cross-country survey for PSI in Accelerator Lab countries, which is presented in this report.

Based on a detailed literature review, the partnership identified a lack of empirical work on PSI with multiple countries from the Global South, although baseline measures are necessary for countries to track social innovation across time. Thus, this survey seeks to fill the gap by providing policy-relevant data and actionable indicators for each respondent country. In addition, the survey can provide insights to UNDP by assessing the impact of Accelerator Labs on PSI, raising awareness for the public sector's pivotal role in the achievements of the SDGs, and creating a foundation for further qualitative and quantitative studies to expand actionable knowledge on PSI beyond the Accelerator Labs network.

The survey instrument itself aims to achieve four primary objectives - produce knowledge, identify opportunities and common challenges in the PSI ecosystem, facilitate exchange and dialogue between stakeholders, and assess the ripple effect of the Accelerator Labs over time. To ensure that these objectives are achieved through the survey, we were guided by seven design principles - comparability and intersubjectivity, thinking in systems, combining conceptual width (validity) and reliability, triangulation, participation and buy-in, forward-looking orientation, and actionability for data empowerment. By implementing these design principles through feedback loops, focus groups, expert consultations, objective mapping exercises, carefully choosing survey takers, we have designed a first-of-its-kind baseline mapping survey.

The survey includes questions on institutional capacity and national governments (including the national innovation strategies, innovation ecosystems, and culture), good practices (including innovation methods, practices, and procedures), access to public services (through digitization of essential services), and the current relationship between Accelerator Labs and their respective government counterparts.

In addition to the survey instrument, which will be administered through the online survey software *Qualtrics*, we have also created a survey manual website. The website introduces the survey, its purpose, and structure, and provides advice on the administration process, explains the use of Qualtrics, offers an FAQ, a glossary of relevant terms, references, and templates to get in touch with the public sector officials. Additionally, to ensure a seamless transition and continuity of the project, we have also drafted general guidelines for data analysis, which is to be conducted after the survey is rolled out and responses are received.

In sum, this report summarizes both the substance of the survey and the design process that led to its consolidation, which included many situations of experiential learnings and challenges, both methodologically and process-wise, that had to be overcome.

I. Introduction

A functioning and effective public sector is essential to better serve millions of people dependent on the provision of essential public services. As one of the key instruments to achieve the Sustainable Development Goals (SDGs), Public Sector Innovation (PSI) is at the forefront of UNDP's efforts to support countries in improving the welfare and well-being of their citizens. For this purpose, UNDP established the Accelerator Labs, a policy-oriented learning network covering 115 countries and providing support on innovation. To facilitate their learning and improvement, the Accelerator Labs outlined a project to assess uptake and impact of their work on innovation in partner countries. This project constituted the basis for the cooperation with a team of students at Columbia University's School of International and Public Affairs (SIPA) that is described in this report. Together, the partners conceptualized a cross-country survey on PSI for Accelerator Lab countries that should create insights and create a baseline that allows to track progress over time.

The remainder of this report is structured as follows. Subsequent sections introduce the client agency, project background, rationale, and objectives as well as research questions. Chapter II presents a literature review on the state of research of PSI. It identifies research gaps and informs an operational definition of PSI. Chapter III describes how the operational definition is translated into a research methodology. This includes a short introduction to survey methodology as well as elaborating the design processes and principles that guided the project. Chapter IV presents the final survey version, including its structure, participants, material, data analysis considerations, and limitations of the survey. The report ends by presenting the next steps for the client in chapter V and conclusions in chapter VI.

A. Client Agency

The United Nations Development Programme (UNDP) is the United Nations' global development network, advocating for connecting countries to knowledge, experience, and resources to help people build a better life.[1]

[1] UNDP. "About Us," 2021. https://www.undp.org/content/undp/en/home/about-us/faqs.html#undp.

In 2019, UNDP established what was expected to be the world's largest and fastest learning network for addressing sustainable development challenges – the Accelerator Labs.[2] The Accelerator Labs Network started with 60 Lab teams covering 78 countries and has now expanded to 91 Labs covering 115 countries.[3] The Accelerator Labs serve as a novel global learning model, and through increasing capability for scanning, sensemaking, and experimentation, the Accelerator Labs network has already scaled several sustainable development solutions at the accelerated pace "that our society and planet require."[4]

The Accelerator Labs network has more than 250 team members who utilize their digital knowledge and technical skills to promote groundbreaking development progress. Team members serve three principal functions: **Solution mapping** — looking for new solutions and bringing them inside UNDP to better understand the problem; **Experimentation** — collaborating with UNDP colleagues and stakeholders on the design of experiments to validate the hypotheses and test the effectiveness of identified prototypes, and **Exploration** — building new partnerships and organizations with the intention to expand UNDP's reach. As of May 2021, 68 percent of the team members have experienced prototyping, 55 percent can work with citizen-generated data, and 29 percent can perform tasks related to artificial intelligence and machine learning.

B. Project Background

The three primary functions discussed above – solution mapping, experimentation, and exploration – are evident in Accelerator Labs' country projects worldwide. For example, in terms of solutions mapping, the Uganda team has addressed deforestation via collective intelligence with the government and private companies to better manage natural resources.[5] The Accelerator Labs office in Bosnia and Herzegovina tested the ban on single-use plastics in workspaces to evaluate effects before scaling with national partners. Likewise, offices in the

2 UNDP Accelerator Labs. "Who Are We?," 2021. https://acceleratorlabs.undp.org/content/acceleratorlabs/en/home/our-work.html.

3 Ibid.

4 UNDP. "Accelerator Lab Network Multi-Country Project Document," 2018. https://info.undp.org/docs/pdc/Documents/SLE/PRODOC_AcceleratorLabsSL.pdf.

5 UNDP Uganda. "Dropping The Coats On Uganda's Deforestation Problem Through Collective Intelligence.," 2019. https://medium.com/@UNDPUganda/dropping-the-coats-on-ugandas-deforestation-problem-through-collective-intelligence-c2b4373065cc.

Caribbean have experimented with the possibility of using sargassum seaweed as a biodegradable alternative to single-use plastic.[6] [7] Collectively funded by the Federal Republic of Germany, Qatar Fund for Development, and UNDP core partners, the Accelerator Labs cooperate with local governments and diverse action partners in specialized fields of the respective projects to implement innovative ways to achieve the SDGs.

These and many other country projects have been fostered by a recent shift in the approaches to transformative innovation. Such new approaches build on UNDP's earlier work on innovation centers, referred to as "moon shots," which are bold, visionary inventions and technological breakthroughs, as well as "puddle jumps" that provide smaller, incremental progressions to ensure the inclusion of all individuals in need, including the most marginalized populations.[8] These methods, often at grassroots and community levels, not only help address fast-emerging problems of the modern era but are also aligned with the scope and aspiration of the SDGs, enabling progress that is required to truly "Leave No One Behind" and realize the 2030 Agenda.

These types of initiatives are especially reinforced by advancements in technology and digital capacity that can help provide modern solutions to modern problems. For example, UNDP's collaboration with Markers Space designed 3-D printed prosthesis for people with disabilities in Honduras; an interactive "spatial data sandbox" mapping platform named UN Biodiversity Lab was launched for biodiversity conservation and address development challenges, and blockchain has been used to decrease the remittance costs in Serbia.[9] [10] [11] Technological solutions and general evidence-based, substantiated analyses have been possible due to advancements of

[6] UNDP Bosnia Herzegovina. "Single-Use Plastic Free Workspaces? It Is Possible!", 2020. https://www.ba.undp.org/content/bosnia_and_herzegovina/en/home/Blog/single-use-plastic-free-workspaces--it-is-possible-.html.

7 UNDP Accelerator Labs. "Seaweed: Trend, Nuisance, or Development Solution?", 2020. https://Accelerator Labs.medium.com/seaweed-trend-nuisance-or-development-solution-aefa03da743.

8 UNDP Accelerator Labs. "Moon Shots and Puddle Jumps—Innovation for Sustainable Development Goals," 2020. https://www.undp.org/content/undp/en/home/news-centre/news/2018/moon-shots---puddle-jumps---innovation-for-sustainable-developme.html.

[9] UNDP Honduras. "The Reintegration of Victims of Violence That Use 3D Technology Prostheses," 2020. https://medium.com/@PNUDHN/the-reintegration-of-victims-of-violence-that-use-3d-technology-prostheses-be4c0579c0cb.

10 UNDP. "UN Biodiversity Lab Launched to Revolutionize Biodiversity Planning and Reporting.," n.d. https://www.undp.org/content/undp/en/home/news-centre/news/2018/un-biodiversity-lab-launched-to-revolutionize-biodiversity-plann.html.

11 UNDP Accelerator Labs. "Moon Shots and Puddle Jumps—Innovation for Sustainable Development Goals," 2020. https://www.undp.org/content/undp/en/home/news-centre/news/2018/moon-shots---puddle-jumps---innovation-for-sustainable-developme.html.

digital capacity, buttressing the formation of innovative development strategies and effective delivery to people around the world.

UNDP's approaches revolve around three foundational pillars of success, which include increasing capacity, establishing a global learning and scaling network, and growing new ways of working.[12] In order to accurately and comprehensively understand the actual impact and manifestation of these core pillars towards achieving the SDGs on various communities, rigorous and detailed collection and analysis of data on the UNDP's work are crucial.

The Accelerator Labs and SIPA's previous project in 2019-2020 targeted the second pillar, developing a toolkit and a scaling framework to guide UNDP's work on social impact innovation.[13] Our project this year aims to support all three pillars by designing a PSI baseline survey to assess the overall evaluation of the Labs around the world.

Defining and determining PSI is not an easy task, especially for the public sector in developing countries. The PSI baseline survey created has been inspired by multiple existing efforts, especially the UN's Innovation Capacity Mapping project. The UN System is no stranger to innovation and reflection, and its efforts to close the innovation gap stemmed from ambitious internal efforts. In 2018, the UN Secretary-General's Innovation Lab and the UN Innovation Network launched the Innovation Capacity Mapping project to reveal the state of UN System innovation capacity. This all-inclusive survey showcases how different UN entities are innovating, the areas of change, drivers of differentiation, specific strategies, and other mission-critical factors.

The UN's culture of innovation and internal progress evaluation encouraged the Accelerator Labs to look at how developing countries are handling PSI. Regarding our client's work, there are transferable lessons that can be learned from the earlier Innovation Capacity Mapping results. For example, this UN survey found that digital transformation strategy, data privacy policy, and

[12] UNDP. "Accelerator Lab Network Multi-Country Project Document," 2018. https://info.undp.org/docs/pdc/Documents/SLE/PRODOC_AcceleratorLabsSL.pdf.
[13] Baru, Akshara, Alexandra Treat, David Lonnberg, Eva Hoermann, Fares Taher, Mihret Moges, Zixin Yang, and Lawrence John. "Strategy to Scale Social Innovation for Development," August 2020. https://acceleratorlabs.undp.org/content/acceleratorlabs/en/home/library/AccLabSCALE.html.

Artificial Intelligence / machine-learning practices are among the top three areas with the highest innovation potential. This finding urged us to highlight innovation **methods** and **data sources** in our survey design, as they are important qualities of and indicators for innovation. Further, armed with the knowledge and experience from evaluating innovative progress and driving novel thinking, the Accelerator Labs can deliver better results for the people they serve.

C. Project Rationale

While much work has been done in the PSI field, there is little data on where countries stand in terms of innovation and intervention. Currently, there is no baseline against which interventions aimed at PSI can be measured. Furthermore, the existing methods and approaches from the Global North had limited applicability to underdeveloped regions with diverging interests, issues, resources, and funding. These challenges have made it particularly difficult to conduct a cross-country analysis due to such different national characteristics. Even within the UNDP, the absence of a uniform conceptualization of PSI complicates future experimentation.

So, in collaboration with SIPA, UNDP has undertaken this mapping exercise to prepare a baseline that measures innovation capacity, strategy, and priorities of Accelerator Labs countries. This baseline is intended to facilitate measurement and comparison of PSI progress over time.

D. Project Objectives

There are three objectives for this project. The primary objective is to develop a baseline survey for assessing the impact of the Accelerator Labs outside of UNDP on innovation in the public sector. While the Accelerator Labs network has been a significant facilitator for achieving the SDGs, it is crucial to investigate their impact and identify levers for adjustment and improvement. Thus, the purpose is to measure and understand PSI and create actionable and culturally acceptable indicators, so that they can be delivered back to countries in the most pragmatic, effective way.[14]

[14] OECD. "About Observatory of Public Sector Innovation," 2021. https://oecd-opsi.org/about-observatory-of-public-sector-innovation/.

While the **first** objective is outcome-oriented insofar as it investigates the existence of an effect, the **second** focuses on understanding the causal mechanisms and processes of Accelerator Labs' impact. Together with the first objective, these two form the major learning objectives of the project and are directed specifically to help UNDP adjust their value proposition and inform future policy and practice by UNDP and Accelerator Labs.

In more substantive terms, these two learning objectives should be achieved through participatory methods to provide an empirical basis for assessment and learning. The data should be obtained in cooperation with all of the Accelerator Labs that are operational at the time of the survey, consisting of one primarily quantitative and one mostly qualitative component (see the methodology section for further details). The former consists of a survey for which a theoretical framework on innovation assessment in the public sector must be consolidated. The SIPA team has assisted UNDP in finalizing the first component and contributed to its data analysis.

Finally, the **third** objective focuses separately from the measurement process on raising awareness of PSI among crucial stakeholders and Accelerator Labs on how PSI plays a pivotal role in the achievements of the SDGs. The awareness-building could encourage different stakeholders to collaborate in the Accelerator Labs data-collection processes, and ideally reorient more resources to PSI, making it easier for Accelerator Labs network to further their work.

E. Research Questions

In line with project objectives, there are three interrelated research questions. The primary question is, ***are the Accelerator Labs offices creating any impact in the field of PSI outside of UNDP*****?**

Second, to assess such impact, we ask ***what is the current state of PSI in Accelerator Lab countries?*** This question allows us to identify progress and changes over time.

Finally, both previous questions support UNDP in understanding and adjusting the Accelerator Labs' "value proposition", i.e., ***what are the opportunities and challenges to which the Accelerator Labs can add value and provide support for public sector officials*****?**

II. Literature Review

Even though PSI is an essential tool for governmental institutions to improve public service performance and create public values, the term is variously defined, making subsequent assessment for innovation performance and capabilities particularly challenging. Therefore, to develop a comprehensive survey to map out innovation performance and capabilities in the 115 lab countries, we have reviewed substantial existing frameworks created by the Organization for Economic Co-operation and Development (OECD), the Danish Innovation Barometer, NESTA, and other research and academic institutions.

In this section, our report will review the trajectory of PSI studies and existing PSI survey frameworks. Then, based on our research, the report explains why our definition emphasizes some vital concepts unique to the UNDP Accelerator Labs' approach to PSI.

A. Trajectory of PSI Research

According to van Acker and Lundvall, the origin of innovation research dates back to Schumpeter's "Theory of Economic Development," a macroeconomic theory that was first proposed in 1911.[15] [16] [17] The theory argues that through creative destruction (replacing traditional markets with new markets, niches, and opportunities), innovations can transform industries, improve entire economies, and move the whole society forward.[18] With Schumpeter's theory as the foundation, "the latter half of the twentieth century saw a greater emphasis upon [the] micro-economic implications [of innovation], together with a widening of its study to include sociological, political and psychological perspective."[19] The microeconomic implications of innovations led to an emphasis on "private-sector innovations" and "process innovations."[20]

[15] Acker, Wouter van. "An Introduction into Public Sector Innovation - Definitions, Typologies, and an Overview of Literature." SSRN Scholarly Paper. Rochester, NY: Social Science Research Network, August 14, 2018. https://doi.org/10.2139/ssrn.3231503.
[16] Lundvall, Bengt-Åke. "Innovation System Research and Policy Where It Came from and Where It Might Go." *Aalborg University*, 2006. https://citeseerx.ist.psu.edu/viewdoc/download?doi=10.1.1.502.1643&rep=rep1&type=pdf.
[17] Schumpeter, Joseph. "The Theory of Economic Development," 1961. https://www.hup.harvard.edu/catalog.php?isbn=9780674879904.
[18] Manimala, Mathew. "Creativity and Entrepreneurship," May 6, 2009. https://doi.org/10.4324/9780203888841.ch11.
[19] Osborne, Stephen, and Kerry Brown. "Managing Change and Innovation in Public Service Organizations," January 1, 2005. https://doi.org/10.4324/9780203391129.
[20] Bessant, John, and Manfred Grunt. "Management and Manufacturing Innovation in the United Kingdom and West Germany," 1985. https://www.abebooks.com/9780566007279/Management-Manufacturing-Innovation-United-Kingdom-0566007274/plp.

Nevertheless, Japan and Korea's economic success has shifted scholars' research focus from innovative actions by private sector firms to national innovation policies, including "public purchasing and public procurement of innovation as a development tool."[21] Subsequently, Western countries built the National Innovation System in the late 1980s, and research on PSI has been growing in the past two decades.[22] In 1992, OECD published the "Oslo Manual," which provided guidelines for collecting and interpreting innovation data.[23] Based on the "Oslo Manual," the OECD further developed the "Observatory of Public Sector Innovation (OPSI)" in 2013. OPSI is a global forum that works with national governments and public sectors to "understand and encourage new approaches to address society's complex problems by empowering public servants with new insights, knowledge, tools, and connections to help them explore new possibilities."[24] Furthermore, in 2015, the Nordic countries created the "Innovation Barometer," which is the world's first official statistic on PSI.[25] It was inspiration from these pioneering efforts that led to UNDP's initiation of the Accelerator Labs Network in 2018. Through the Accelerator Labs, UNDP intended to "surface and reinforce locally-sourced solutions at scale while mobilizing a wide and dynamic partnership of actors contributing knowledge, resources and experience."[26] In this regard, the Accelerator Labs present a shift towards localized ideas and subsequent exchange away from previously-held top-down approaches.

B. General Analysis of Innovation Research Frameworks

The SIPA team carefully reviewed existing innovation research frameworks, including those established by the OECD OPSI, Deloitte, Nordic Innovation Barometer, Canada, Chile, and Colombia (please see our complete analysis in Annex I). Based on our analyses, we identified a

[21] Lember, Veiko, Rainer Kattel, and Tarmo Kalvet. *Public Procurement, Innovation and Policy: International Perspectives*, 2014. https://doi.org/10.1007/978-3-642-40258-6.
[22] Freeman, Chris. "The 'National System of Innovation' in Historical Perspective." *Cambridge Journal of Economics* 19, no. 1 (February 1, 1995): 5–24. https://doi.org/10.1093/oxfordjournals.cje.a035309.
[23] OECD. "Proposed Guidelines for Collecting and Interpreting Technological Innovation Data: Oslo Manual," 1997 https://www.oecd-ilibrary.org/science-and-technology/proposed-guidelines-for-collecting-and-interpreting-technological-innovation-data_9789264192263-en.
[24] OECD. "About Observatory of Public Sector Innovation," 2021. https://oecd-opsi.org/about-observatory-of-public-sector-innovation/.
[25] Innovation Barometer. "About Innovation Barometer," 2021. https://www.innovationbarometer.org/about/#innovationbarometer.
[26] UNDP. "Accelerator Lab Network Multi-Country Project Document," 2018. https://info.undp.org/docs/pdc/Documents/SLE/PRODOC_AcceleratorLabsSL.pdf.

few loopholes within the current innovation analysis frameworks. Focusing on the loopholes, the SIPA team then provided suggestions on how the UNDP Accelerator Labs network can help improve the existing PSI studies and utilize PSI to accelerate sustainable development for all countries.

1. Limited Understanding in the Context of Developing Countries

The existing general scholarship on PSI primarily focused on developed countries. Most of the leading studies, analyses, and actions were carried out by institutions associated with developed regions or are conducted solely within a particular country. A significant portion of innovation case studies cited by the OECD, for example, discussed emission control in already prevalent and thriving manufacturing industries and highly advanced technology or artificial intelligence studies and utilization, all mostly in European countries. Similarly, the Nordic Innovation Barometer exclusively investigated PSI in the Nordic countries. Therefore, existing methods, approaches, and perspectives had limited usefulness and applicability to regions with diverging interests and issues and significantly limited resources and funding. There was demand and necessity to develop and expand PSI assistance and framework more tailored to developing nations' contexts.

2. Lack of Focused Studies on PSI

Current frameworks of PSI were grounded mainly on, and inspired by, private sector references and examples. As evident in Deloitte's adaptation of private sector frameworks and matrices to the public sector, many existing PSI methods have been driven by creating parallelism and analogies with private sectors.[27] While the expansion of private-sector methods to the public sector and interactions between the two sectors are by no means adverse, PSI is still a relatively new field without many studies exclusive to itself. As a result, applying approaches developed by the private sector to the public sector can create challenges. For instance, the public sector was usually composed of decentralized funding from various institutions and "big bets" only managed

[27] Marsh, Will, Alan Holden, John Cassidy, and Will Hallberg. "Developing Innovation Portfolios for the Public Sector," Deloitte Insights, 2020.

at the agency level, resulting in limited portfolio-driven approaches.[28] These variations indicated the need to further develop an understanding of innovation in the public-sector-specific context.

3. Limited Cross-country Comparison

A significant limitation of current PSI surveys was the lack of cross-country comparisons. Most countries, such as Canada, Colombia, and Chile, only conduct individual surveys on PSI. Even though the Nordic Innovation Barometer did provide cross-regional statistics on PSI, the statistics only covered the five culturally similar Nordic countries. Admittedly, each country's individual survey was essential for the national government to better adapt its innovation policies; however, the international development community could benefit from an overarching study investigating how different national governments value innovations. Hence, the existing literature required a transnational survey that investigates PSI across different cultures. Such a survey with cross-country comparison would provide added value to study the correlation between PSI and diverse cultures.

4. Results in the Form of an Aggregated Index

Another conspicuous characteristic of existing literature in PSI was its tendency to provide compact indexes and indicators. Existing PSI surveys and investigations mostly culminated to single indices and lack more descriptive delineation. This issue appeared in the PSI Index of Chile, Colombia, and the Nordic region. Indexes were useful for one-on-one comparison but restricted in taking diverse circumstances and interests into account, revealing limited aspects of the PSI ecosystem. Furthermore, the aggregated nature could generate a sense of competitiveness or ranking irrespective of other factors; in fact, the Colombian Innovation Index explicitly stated that the index would generate "healthy competition" between government entities.[29] However, it did have its drawbacks. Active engagement and participation of actors in the fields were often limited. This drawback could result in disconnection between the perspective of policymakers in bureaucracy and the practical manifestation of policies in the real world. One-way inculcation

[28] Ibid.
[29] Laboratorio de Gobierno, Gobierno de Chile. "Documento Metodologia Del Índice de Innovación Pública," 2021. https://innovadorespublicos.cl/documentation/publication/73/.

without sufficient feedback from the grassroots level that directly interacted with the beneficiaries and had first-hand knowledge and experience could sever intimate communication within a large bureaucracy. This communication issue was especially problematic if the ecosystem involves diverse, versatile, and unpredictable facets as in PSI. Therefore, while indexes could provide overarching views particularly useful to actors at the managerial level, it was also equally essential to provide a more flexible, participatory, and detailed illustration. More comprehensive and holistic illustration in a participatory way can benefit governments to have detailed, customized understanding and foster a more cooperative, encouraging environment.
In conjunction, these shortcomings informed the SIPA team of the necessity to fill in those gaps in innovation exclusive for the public sector ecosystem, focusing on comparability, applicability to developing nations, and illustrative delivery.

C. Defining PSI

While acknowledging existing research and understanding, we have developed our own framework and conception that addresses the loopholes mentioned earlier. We further developed the understanding of PSI in general and defined terminology and principles that carry specific meaning within this context. Also, within this definition, we particularly elaborated three key concepts: innovation ecosystem, grassroots approach, and experimental approach that are significant attributes of the survey, and each is explained below.

1. Overarching Definition of PSI

As van Acker argued, "innovation is one of those vague but all too popular concepts in public administration and politics."[30] Despite the complexity of defining PSI, we have developed an operational definition to facilitate meaningful mapping exercises after a comprehensive literature review. However, as with any of the others, we understand the limitations of our operational definition.

For the purpose of this project, we define *PSI* as "improvements to pre-existent public sector ecosystem based on the novel and original approaches (including grassroots), and/ or

[30] Acker, Wouter van. "An Introduction into Public Sector Innovation - Definitions, Typologies, and an Overview of Literature." SSRN Scholarly Paper. Rochester, NY: Social Science Research Network, August 14, 2018. https://doi.org/10.2139/ssrn.3231503.

experimentation to ensure that it is capable of facing complex, contemporary challenges to improve citizens' welfare and achieve sustainable development goals."

In this definition, the term "improvements" was inspired by OPSI and Mulgan and Albury's work. Mulgan and Albury argued that most PSIs are "incremental innovations" that come from "minor changes to existing services and processes" instead of fundamentally changing the organizations' structures or the dynamics within or between organizations.[31] These incremental innovations are essential to "the relentless improvement in public services, to the tailoring of services to individual and local needs, and value-for-money."[32]

Additionally, the term "novelty and originality" was influenced by the Innovation Barometer's definition of PSI which highlighted that "innovations must be new to the workplace but can be inspired by or a copy of solutions developed and used elsewhere. While private companies patent innovations to prevent competitors from copying them, public sector workplaces are usually at liberty to share innovations with others, and the public sector can benefit from the diffusion of innovation."[33]

We have also included improving "citizens welfare" as the goal of PSI. This idea was provoked by the team's interview with the Director of MindLab.[34] In the interview, he explained that innovation is not an end in itself; instead, it is an instrument to achieve the end of creating public values and improving citizens' welfare.[35] The understanding of innovation as an instrument to achieve common value is essential to incentivize national governments to transform from reactive, random, and coincidental innovations to strategic and purposeful planning of PSI.[36]

[31] Mulgan, Geoff, and David Albury. "Innovation in the Public Sector," October 2003. http://www.sba.oakland.edu/faculty/mathieson/mis524/resources/readings/innovation/innovation_in_the_public_sector.pdf.
[32] Ibid.
[33] Innovation Barometer. "Copenhagen Manual." The Danish National Center for Public Sector Innovation, 2021. https://www.innovationbarometer.org/cphmanual/.
[34] Columbia University SIPA. "The SIPA Team's Interview with Mr. Christian Bason, CEO of the Danish Design Center, Director of MindLab," March 26, 2021.
[35] Ibid.
[36] Ibid.

2. Innovation Ecosystem

Bason stated that "the innovation ecosystem proposes an integrated way of looking at public organizations' innovation efforts that include the key mutually dependent structures, processes, and leadership roles that can drive or impede change within and beyond the public sector."[37] Since 2019, the UNDP Accelerator Labs network has combined "knowledge from citizens, big data from the private sector and governments, and human expertise" to create learning networks that share "the know-how, tacit knowledge, wisdom, and experience."[38]

As shown below, in the current Accelerator Labs network, four connective tissues ensure the transmission of learnings, and these four tissues are "local," "horizontal," "vertical," and "networked." [39]

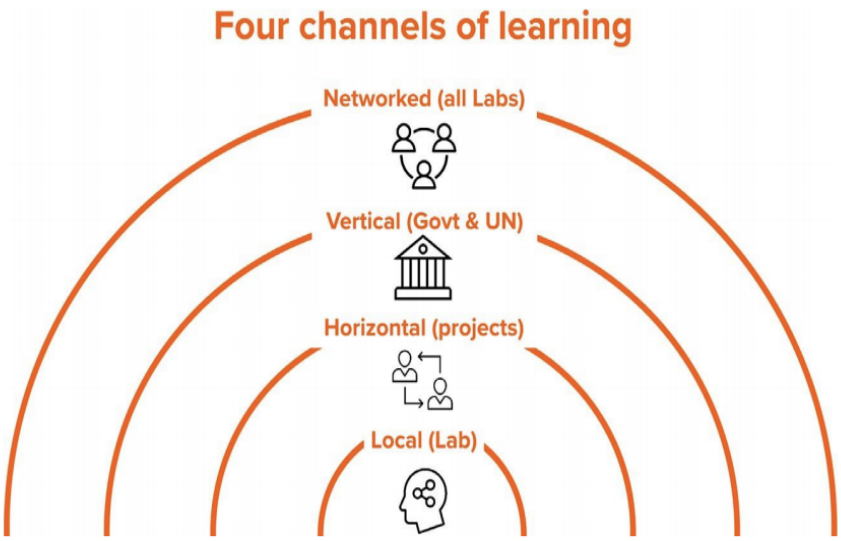

Figure 1: Four Channels of Learning

Source: UNDP. "Accelerator Lab Network Multi-Country Project Document," 2018. https://info.undp.org/docs/pdc/Documents/SLE/PRODOC_AcceleratorLabsSL.pdf.

At the local (lab) level, the Accelerator Labs are "testing hypotheses, action, observation and recognition" to consolidate knowledge products, including toolkits, practice guides, as well as

[37] Bason, Christian. *The Innovation Ecosystem*. *Leading Public Sector Innovation*. Policy Press. https://policypress-universitypressscholarship-com.ezproxy.cul.columbia.edu/view/10.1332/policypress/9781847426345.001.0001/upso-9781847426345-chapter-1.

[38] UNDP. "Accelerator Lab Network Multi-Country Project Document," 2018. https://info.undp.org/docs/pdc/Documents/SLE/PRODOC_AcceleratorLabsSL.pdf.

[39] Ibid.

training programs.[40] At the horizontal (projects) level, labs engage and share knowledge internally with other actors, such as creative hubs, coworking spaces, start-ups, and social enterprises in the ecosystem.[41] At the vertical level (Government & UN), "Labs feeds back knowledge gained locally by sharing it with UNDP and the wider UN system in the country as well as with other government institutions."[42] The UN and UNDP are essential stakeholders to the Accelerator Labs Network; hence, the support from the UN and UNDP has a significant impact on "the extent to which the new ways of working by the labs can be scaled up within UNDP's own business model."[43] Last but not least, at the networked learning (all labs) level, there is a "spread of knowledge across the network as inputs to solutions-mapping, experimentation, and collective intelligence elsewhere."[44] Ideally, by creating innovation ecosystem networks in developing countries, the Accelerator Labs Network can further advance South-South and Triangular Cooperation and strengthen the international development community.[45]

3. Grassroots Approach

The Accelerator Labs emphasized the value of the grassroots approaches, whereby the grassroots level, as the "most fundamental level of activity with the most direct interaction with the target population," actively participates and drives the innovation process from the bottom up. The grassroots approach is essential as it directly considers the first-hand experience and knowledge of those who are most involved and familiar with the beneficiaries. This is essential since, without grassroots feedback, formulation of innovation policy is contingent upon a vicarious understanding of the reality in the field without witnessing the manifestation of innovation policies in person. Given the "proximity to the problem," grassroots innovations involving grassroots innovators foster "user-led innovation solutions," and Accelerator Labs intend to bring grassroots innovation to the mainstream.[46]

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[40] Ibid.
[41] Ibid.
[42] Ibid.
[43] Ibid.
[44] Ibid.
[45] Ibid.
[46] UNDP Accelerator Labs. "Frugal Innovations to Accelerate Sustainable Development," 2021. https://acceleratorlabs.undp.org/content/acceleratorlabs/en/home/blogs/Frugal-Innovations-Accelerate-Sustainable-Development.html.

4. Experimentation Approach

The experimentation approach is another feature of the Accelerator Labs network. According to Nesta, the experimentation approach is "a way of trying something new while putting in place the necessary structures to find out if it works."[47] The experimentation approach is beneficial because it allows more flexibility for public sector entities to "explore new solutions, reducing wasted time, and resources on initiatives that do not work."[48] In the context of the Accelerator Labs network, the experimentation approach is vital for two specific reasons. Firstly, experimentation can help "identify and fill knowledge gaps without spending too much time or resources and enables actors to accelerate the discovery of new potential solutions."[49] Thus, by creating a political environment that encourages non-linear testing of complex policy problems, "practitioners can explore radical solutions in a safe-to-fail context."[50] Secondly, experimentation approaches can enhance learnings from "good failures," which help people understand the "potential real-life effects of a hypothesis."[51] As mentioned in the Accelerator Labs project document, "Finland's Design for Government program is strategically introducing experimentation into policy-making and PSI initiatives to learn from failures as much as to expand success."[52]

[47] Nesta. "Experimentation." 2021. https://www.nesta.org.uk/feature/innovation-methods/experiments-and-trials/.
[48] Ibid.
[49] UNDP. "Accelerator Lab Network Multi-Country Project Document," 2018. https://info.undp.org/docs/pdc/Documents/SLE/PRODOC_AcceleratorLabsSL.pdf.
[50] Ibid.
[51] Ibid.
[52] Ibid.

III. Methodology

This chapter presents our methodological approach. It starts with introducing surveys as a research method and the survey-specific objectives that guided its design. We will then explain our survey design principles, the process of implementing them and present our team's journey of learning through this project.

A. Survey Methodology and Objectives

Questionnaires are one of the most common research instruments in the social sciences.[53] They have the advantage of being highly flexible and allow adaptations to the learning objectives. Citing Folz, McNabb summarizes the essential of survey design as follows:

> Know what you want to ask and why you want to ask it; compose clear, unambiguous questions; keep the survey (questionnaire) as brief as possible; and have a plan for analyzing the result before the instrument is administered. (McNabb et al., 2015)

The survey was designed to contribute to the three project objectives outlined in Chapter 1. Further, there are survey-specific objectives with which we were tasked by the client. While the project objectives are more general goals, the survey objectives directly relate to the design and administration process of the instrument itself. In line with UNDP's results framework, the baseline survey has been designed to fulfill four main objectives:

1. ***To produce knowledge on PSI that can inspire public workplaces in Accelerator Labs countries***. The Accelerator Labs offices intend to develop and implement innovations in a particular region or subject matter, and learn from the process and share such learnings with the Accelerator Labs network and other stakeholders so that they can adapt these innovations across regions and subject matter.
2. ***To identify opportunities and common challenges in the PSI ecosystem where the Accelerator Labs can add value***. A relatively new undertaking, Accelerator Labs network aims to use this baseline mapping exercise to identify opportunities in the field where they can assist governments and other stakeholders. Additionally, identifying common

[53] McNabb, David E. *Research Methods for Political Science: Quantitative and Qualitative Approaches* (2nd Ed. Armonk, N.Y: M.E. Sharpe, 2015, 109.

challenges in the field is also the first step towards developing and testing solutions to address these challenges.

3. ***To facilitate exchanges and dialogues between stakeholders, national governments, and Accelerator Labs***. One of the critical functions of the Accelerator Labs, together with UNDP country offices, is to build and maintain political and institutional relationships. This baseline survey will help build working relationships with national governments and other local stakeholders in two stages. First, it allows labs' members to approach their government counterparts and introduce this unique survey exercise, opening up a space for dialogue and discussion. Second, the results will be shared with all participating governments through an interactive dashboard. This will provide the Accelerator Labs and their government counterparts the chance to unpack the 'results' of the survey together.
4. ***To assess the ripple effect of the Accelerator Labs Network over time***. This survey establishes the baseline against which changes in PSI and the Accelerator Labs' contribution will be measured over time. This "ripple effect" includes the number of lab insights, processes, or products taken up by governments or other partners, the proportion of partners and governments that increase their take up of the innovation methods.

In order to fulfill these objectives, the design stages of the survey followed McNabb's eight steps:[54]

- Establish what information is needed
- Specify how to gather the information (face-to-face, self-administered, etc.)
- Determine the analysis of the data
- Select question types and structure
- Be attentive to the optimal wording of each question
- Review the order or questions

[54] McNabb, 111.

- Pretest and revise
- Rewrite the questions and administer the survey

In the following sections, we will explain how we approached and implemented each of the eight steps. At the same time, while these eight steps represent useful guidance, survey design is an iterative process in which many of the steps must be completed several times. Further, these steps only guide the design process in abstract terms but do not provide content-related cues. Therefore, we also established seven design principles: comparability and intersubjectivity; thinking in systems; combining conceptual width (validity) and reliability; triangulation; participation and buy-in; forward-looking orientation; and actionability and data for empowerment. These principles represent clear benchmarks for both content and process dimensions of the survey. Most of the seven principles relate to *quality criteria* for survey design in psychometrics, among which the most important are *objectivity, reliability, validity,* and the quality of the survey design process.[55] These criteria are derived from *Classical Test Theory*, which uses mathematical models to assess and compare survey instrumentation.[56] They represent a practical framework to think about survey design and criteria for assessment. Nevertheless, the criteria's transferability from psychometric questionnaires to social science concepts such as PSI needs sensitive application, for instance, regarding the type of information being gathered or the level of data aggregation. Since we have not implemented these criteria as in psychometric testing, their use was limited to helping us conceptualizing the implementation of the seven design principles that are described in the following section.

B. Design Principles

1. Comparability and Intersubjectivity

The objectives of this survey pose challenges for survey design, since it aims to gather data points across 91 Accelerator Labs with different cultural contexts, mindsets, and political environments. Another challenge consists of the high number of different native languages. This requires careful translation and an examination if translated versions use terminology that reflects

[55] Schmidt-Atzert, Lothar et al. *Psychologische Diagnostik* (5th ed.). Berlin, Heidelberg: Springer, 2012, 130-131.
[56] Carmines, Edward and Zeller, Richard. *Reliability and Validity Assessment*. San Francisco, CA: SAGE Publications, 1979.

intersubjective meaning across different language families. Thus, the survey design process must achieve high levels of comparability of its results. This can be done by standardization, which relates to the quality criterion of objectivity. In addition to formulating many questions in a closed format, the survey user manual provides standardized guidelines on the survey implementation process (see next chapter). Both should contribute to a reduction of measurement errors in the survey. In regard to intersubjectivity, more recent research has emphasized the importance of understanding the "space between two or more people's subjective judgments of a common person or psychological phenomenon."[57] In order to allow for this space, research can follow different approaches.[58] In our survey, questions often offered the opportunity to modify answers with text entries. Moreover, the survey was tested, including by future survey-takers with different language backgrounds, to achieve high levels of intersubjective understanding. At the time of writing this report, the finalization of translated survey versions is not yet completed, such that an examination of an "intersubjective meaning" would has to be conducted again once all language versions are translated.

2. Thinking in Systems

Systems thinking is an approach to capture concepts embedded into a larger system of relationships and meanings. PSI, as outlined in our definition, is a concept that requires precisely such an understanding that overcomes a compartmentalized analysis of issues and in which units of observation are less enclosed entities but rather "perceived sets of relationships which have a coherence to those looking at them."[59] In order to understand and measure the whole ecosystem of PSI, we used the following approaches:

- recognize different organizational levels of PSI (national, state, local level)
- map the ecosystem of PSI stakeholders

[57] De Los Reyes, Andres, Matthew D. Lerner, Lauren M. Keeley, Rebecca J. Weber, Deborah A. G. Drabick, Jill Rabinowitz, and Kimberly L. Goodman. "Improving Interpretability of Subjective Assessments About Psychological Phenomena: A Review and Cross-Cultural Meta-Analysis." *Review of General Psychology* 23, no. 3 (September 2019): 293.
[58] Smaling, Adri. "Varieties of Methodological Intersubjectivity — the Relations with Qualitative and Quantitative Research, and with Objectivity." *Quality & Quantity* 26, no. 2. 1992: 169–80. https://doi.org/10.1007/BF02273552.
[59] Burns, Danny, and Stuart Worsley. Navigating Complexity in International Development: Facilitating Sustainable Change at Scale. Rugby, Warwickshire: Practical Action Publishing, 2015, 31.

- understand the Accelerator Labs place in the system(s)
- overall methodological approach to keep in mind relationships within, around, and between the innovation ecosystems

3. Combining Conceptual Width (Validity) and Reliability

Many concepts in social sciences are highly complex and consist of many components that require distinct operationalizations (e.g. definitions).[60] Measuring complex concepts often leads to considerations about the balance between conceptual width and the concept's validity, on the one hand, and reliability, on the other. Validity refers to the accuracy between what instruments purport to measure (the so-called latent concept) and the empirical measurements that result (indicators).[61] [62] Reliability describes the precision of measurement of an instrument.[63] In our considerations on balance, we prioritized validity and the conceptual width while simultaneously striving for high levels of reliability and objectivity in regard to survey standardization and the levels of measurement (nominal, ordinal, interval, ratio).[64]

4. Triangulation

Since many of the questions in the baseline survey measure perception, which may vary significantly across respondents, it is imperative that responses are triangulated at the data analysis stage. According to Mathison[65], triangulation is the use of multiple methods, data sources, and researchers to "construct meaningful propositions about the social world."[66] Importantly, it increases the transparency of the research process and allows for a more open exchange.

In our survey, we have used at least two data sources to triangulate responses. In each Accelerator Labs country, the survey will be filled out by two sets of respondents - government

[60] Jabareen, Yosef. "Building a Conceptual Framework: Philosophy, Definitions, and Procedure." *International Journal of Qualitative Methods* 8, no. 4 (December 2009): 49–62. https://doi.org/10.1177/160940690900800406.
[61] Carmines and Zeller, 9-12;
[62] Carmines and Zeller; Cronbach, Lee J., and Paul E. Meehl. "Construct Validity in Psychological Tests." *Psychological Bulletin* 52, no. 4 (July 1955): 290.
[63] Schmidt-Atzert and Amelang, 45.
[64] Fowler.
[65] Mathison, Sandra. "Why Triangulate?" *Educational Researcher* 17, no. 2 (March 1988): 13–17.
[66] Mathison, 15; see also Campbell, Donald T., and Donald W. Fiske. "Convergent and Discriminant Validation by the Multitrait-Multimethod Matrix." *Psychological Bulletin* 56, no. 2 (1959): 81–105.

officials and Accelerator Labs members. The two distinct sources of data will allow for identification of any significant difference in the responses and investigate such differences further. Moreover, it will also allow for discussion around why and where the responses converge and increase the transparency of the survey results.

5. Participation and Buy-in

An essential aspect for the success of this baseline mapping exercise is that it receives buy-in from the national governments and Accelerator Labs involved. To ensure buy-in, we have used participatory approaches [67] and non-extractive methods. Non-extractive methods refer to research where the participants do not perceive themselves as mere data providers for the researcher. Instead, the goal is to establish processes from which the participants can benefit as well, indicating a shift from "do no harm" to trying to "do good."[68] Essentially, such an approach places the researcher and participants on an equal footing and reduces skepticism, thereby encouraging buy-in from participants.

In this project, survey takers themselves were able to contribute to the design process through focus groups and continuous consultations with members of the Accelerator Labs. Rather than following an extractive approach, this represents an important blueprint for how participatory methods can be used in the development realm.

6. Forward-looking Orientation

We also tried to ensure that the survey has a forward-looking orientation. Since this is a baseline survey, the ultimate goal is to determine the current state of PSI in Accelerator Labs countries against which progress in the field can be measured in the coming years. Therefore, all questions included in this survey measure aspects of a country's PSI space - e.g. strategies, challenges, opportunities, - that can assist these countries to develop this space as well as periodically measure the progress made. This includes considerations as to which variables are still relevant

[67] Chambers, Robert. "What Works and Why?" In *Whose Reality Counts? Putting the First Last*, edited by Robert Chambers, 130–54. London: Intermediate Technology, 2003.
[68] Hammett, Daniel. "Ethics in Development Fieldwork." In *Research and Fieldwork in Development*, edited by Daniel Hammett, Chasca Twyman, and Mark Graham, 84–120. London ; New York: Routledge, Taylor & Francis Group, 2015.

measurements for PSI in a few years and how differences between countries can be measured and represented over longer time periods.

7. Actionability and Data for Empowerment

Finally, the seventh design principle was complimentary to the previous six, as it represented a constant reminder that all technical and scientific aspects of the survey design serve the purpose of providing actionable results and data that should empower the various 'agents' in their innovation activities. In essence, while the previous six emphasized the academic rigor of our undertaking, the seventh increased the probability that the survey will have an impact on future actions in the field of PSI. This is a distinctive criterion of this survey in comparison with previous surveys presented in the literature review.

C. Implementing the Design Principles

While we undertook numerous efforts to achieve the principles described above, we want to highlight three modes of implementation specifically:

1. Feedback Loops, Focus Groups, Expert Consultations

From the early stages onwards, our client contact guaranteed a high rate of exchange with members of the Accelerator Labs and UNDP's Global Team to receive frequent, valuable input on revising the survey. The input was mostly related but not limited to the practicality of the survey, the formulation of items, and the selection of scales. With every feedback we received, we began a new cycle of revision processes.

Moreover, we held two focus group sessions with over 30 members of the Accelerator Labs with participants from Latin American countries (including Argentina, Paraguay, Colombia, Panama, Guatemala), Eastern Europe (Bosnia and Herzegovina), Africa (Sudan) from West Asia (Lebanon) and the Asian subcontinent (India, Philippines). A focus group is a "semi-structured discussion among individuals deemed to have some knowledge of or interest in the issues associated with the research study."[69] In this case, the participants were experts on the subject and helped

[69] Rea, Louis M., and Richard A. Parker. *Designing and Conducting Survey Research: A Comprehensive Guide*. Fourth edition. San Francisco, CA: Jossey-Bass, 2014, 37.

testing messages, obtain background information, and adjust the survey.[70] Clearly, these fora helped us to compare the "reality about which respondents will be answering questions with the abstract concepts embedded in the study objectives."[71] The guide for, and notes from the focus group sessions are presented in Annex II and Annex III. Both focus group sessions were held after the first scaffolding of the survey was completed to receive more general feedback on its overall structure, the implementation process, learning goals, and usefulness for the Accelerator Labs. Finally, we conducted both synchronous and asynchronous consultations with experts from the field to receive further input on specific and general aspects of survey design and implementation.

In conjunction, these steps speak to our design principles as they improved the intersubjective understanding of the survey, facilitated a systemic conceptualization of PSI, further ensured construct validity, guaranteed participation and buy-in, and, finally, optimized the potential actionability of the survey.

2. Internal Reflection Exercise: Mapping the Objectives on the Survey

Passing through numerous revision cycles, our work often focused on specific questions rather than the overall structure of the survey. Thus, we had to design a process that helped us maintain a view for the *survey as a whole*. With a first final draft in hand, we conducted a mapping exercise in which each team member individually mapped the four survey objectives onto each survey question. We conducted this exercise twice, and Annex IV presents the final mapping. By passing through this process individually, we hoped to increase reliability and comparability.[72] Further, this triangulation allowed us to discuss areas of convergence and divergence.[73] After compiling all individual objectives into one file, we concluded that, overall, the survey was headed in the right direction, as we covered all objectives for the survey extensively and had high levels of agreement as to what objectives are covered with each question.

[70] Rea and Parker, 81.
[71] Fowler, 116.
[72] For further information, see, for instance, McHugh, Marry L. "Interrater Reliability: The Kappa Statistic." *Biochemia Medica*, 2012, 276–82.
[73] Mathison.

3. Survey Takers

The Accelerator Labs are an essential partner for host governments in achieving high levels of PSI. Therefore, their perceptions of the state of PSI in the respective countries are similarly important. The survey incorporates this importance by receiving responses from two sets of respondents. On the one hand, high-level public sector officials familiar with PSI in their countries will complete the survey. On the other, Accelerator Labs members will equally be respondents. Given the limited number of respondents per country, the survey provides important PSI perceptions by two main actors. The approach to focus on perceptions is in line with more recent research in many fields. Further, the opportunity to discover congruences and divergences between the public sector officials and the Accelerator Labs members within a country allows for triangulation and will offer an opportunity for exchange between both once data is obtained, analyzed, and presented.

D. Journey of Learning

As a first-of-its-kind exercise for mapping PSI in 115 countries, this survey presented unique opportunities as well as challenges. With little precedent to guide us through this undertaking, it was important to develop a deep understanding of PSI (and various concepts, practices, and perceptions related to it), the role and objectives of UNDP Accelerator Labs in the field, and participatory survey methodologies. In this regard, we began our project by conducting a detailed literature review. From our findings, we drew insights from how other organizations conceptualized comparable mapping exercises and maintained major categories as done in the field of innovation research.

The focus groups represented another important juncture of learning since they allowed us to understand which aspects of the survey framework were useful to the labs and which aspects were not adding much value. Another important aspect highlighted by the focus groups was the need to acknowledge political sensitivities.

An additional step in implementing the principles as well as a milestone of our journey of learning were consultations with experts from the field to receive further input on specific and general aspects of survey design and implementation.[74]

Based on the valuable inputs received from focus groups and expert consultations, we went back to the drawing board and edited the survey. In this fresh draft, we made significant changes to the form and content of the questionnaire. For instance, we simplified the language and tried to minimize the use of jargon. We also added introductions and explanations to questions to give the respondent context on why we are asking certain questions. We also simplified the answer choices by using a three or five-point Likert scale for many questions. We also decided to remove a few questions that may be politically sensitive for survey takers and hamper survey administration.

A final draft was then sent to the UNDP Accelerator Labs team in New York as well as to the participating local lab members for their comments and review. This final review also served as an opportunity to user-test the survey on Qualtrics and identified any mistakes on content or the fill out process. We received an overwhelming number of responses from lab members, with many of them expressing excitement about the final survey. This final review process enabled us to add the final finishing touches to the survey in terms of its presentation and user experience.

[74] Our experts include Ms. Eva Horemann from UNDP Accelerator Labs, Mr. Christian Bason from Dannish Creative Center, and Mr. Alex Roberts from OECD Observatory of Public Sector Innovation.

IV. The Survey

In this section, we will present the survey structure along with details regarding its implementation. This includes identification of participants, procedures and logistics, ethical considerations, guidelines for data analysis, and limitations.

A. Survey Structure and Measures

As noted previously, the survey had been designed for two distinct sets of respondents - public sector officials and UNDP Accelerator Labs members. This allows us to discover disparities as well as areas of agreement between the public sector officials and the Accelerator Labs members within a country and enables us to triangulate responses as well as offers an opportunity for exchange between the two once data is obtained, analyzed, and presented. All questions are based on existing scholarship and adjusted to the needs of the Accelerator Labs. The survey questionnaire can be found in Annex VII, and an overview of sources from which we draw can be found in Annex VI.

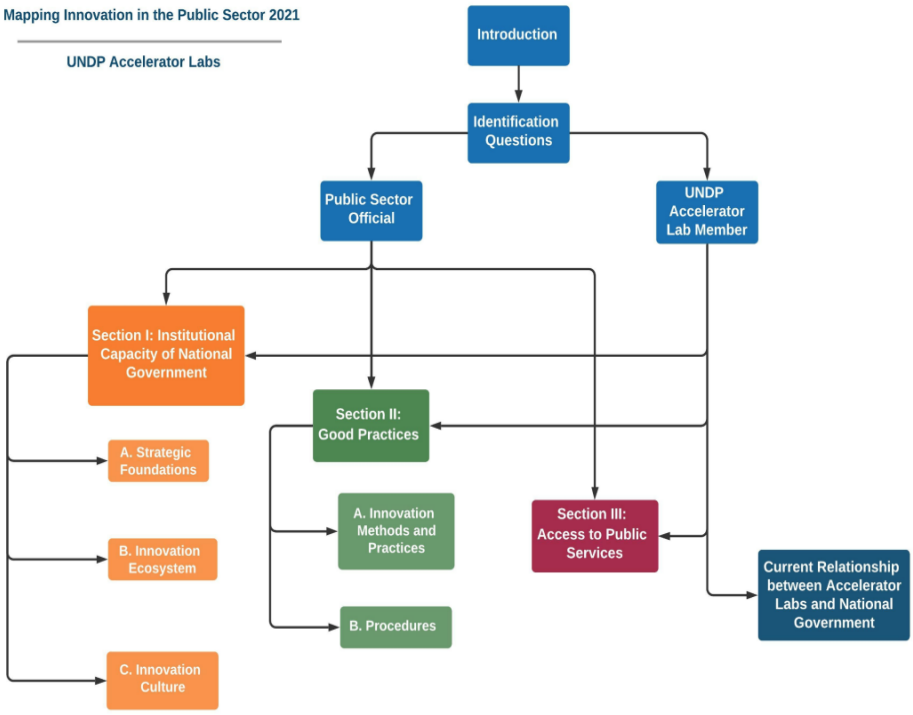

Figure 2: Mapping Innovation in the Public Sector 2021
Source: Columbia University School of International and Public Affairs, 2021.

In terms of structure, the survey is divided into the following sections:

1. **Institutional Capacity and National Government**

   The questions included in this section aim to gather information on the current state of PSI in the country. It is further divided into three subsections:

   i. *Strategic foundations*:

   This subsection includes questions on the country's national innovation strategy. Through these questions, we want to understand whether the country has a well-articulated national strategy for innovation, who the drivers behind such strategy are, the main elements of the policy, progress made on such elements, innovation capacity, key priorities, and scaling strategies.

   ii. *Innovation ecosystem*:

   In this subsection, we want to map partnerships and collaborations between national governments, the Accelerator Labs, and other organizations with the goal of understanding the innovation landscape. Many different players including, NGOs, multilateral and bilateral organizations, private sector organizations, academic institutions, local incubators, etc., have been working in the space, either independently or in collaboration with each other. We try to identify these collaborations to better understand the innovation ecosystem of the country.

   iii. *Innovation culture*:

   To understand the innovation culture, in this subsection, we want to identify the obstacles faced by those working on PSI. Such obstacles may include aversion to taking risks, lack of knowledge sharing, lack of funds and other resources, political considerations, etc. Additionally, we also want to understand how the COVID-19 pandemic has affected the country's work on PSI.

2. Good Practices

Next, we want to gather information on how governments and other stakeholders are actually designing and implementing innovative solutions in the public sector. We have therefore included questions on the innovation methods and practices used, along with the procedures in place to execute these methods.

i. *Innovation methods and practices*:

In this subsection, we aim to map the processes, tools, and techniques used to foster innovation. From a comprehensive list of over 35 innovation methods, respondents identify whether their respective countries have used or had the capacity to use these methods. They are also asked to provide examples of previous projects that use some of these methods. Additionally, we also explore the status of data-driven innovation in the country by identifying data sources and projects that have utilized such data in the past.

ii. *Procedures*:

Here, we focus on the procedures followed to implement innovation solutions, bottom-up solutions by local actors, grassroots innovation, experimentation, small-scale trials, etc.

3. Access to Public Services

Innovation is not an end in itself; instead, it is an instrument to achieve the end of creating public values and improving citizens' welfare.[75] As a proxy for measuring citizen's welfare, we want to see how accessible vital public services are for ordinary citizens. We have, therefore, attempted to map the current state of digitization of essential public services such as filing and paying taxes, political participation, primary, secondary and higher education, public transportation, etc.

[75] Columbia University SIPA. "The SIPA Team's Interview with Mr. Christian Bason, CEO of the Danish Design Center, Director of MindLab," March 26, 2021.

4. **Current Relationship between Accelerator Labs and National Government**

   This section is meant to be filled by Accelerator Labs members only and assesses their current relationship with their public sector counterparts. We identify which institutions/branches within the government the Accelerator Labs has been working with so far and the kind of work they have been doing together. We also try to delve deeper into the kind of relationships that have been fostered in terms of strategic alignment, collaboration value, frequency of contact, etc.

B. Participants and Samples

As outlined above, our survey will be taken by two sets of survey takers. On the one hand, members of the Accelerator Labs will fill out the survey for their respective countries. On the other, public sector officials who work on or oversee innovation in their countries will be answering the survey. The major parts of the survey for both are identical. Overall, the survey represents a large-N baseline survey with the goal of reaching all Accelerator Labs countries (n=91). The roll-out of the survey will start with a smaller sample of ten Accelerator Labs to provide early feedback on improvements and to allow for time for translating the survey into languages other than English. The characteristics of survey takers also influence the wording and complexity of the questionnaire. This impacted the design process, as outlined in our principle on intersubjectivity, since it was important to use adequate vocabulary that matches the survey taker's knowledge and jargon across the natural differences that exist in a sample of such heterogeneity.

Sample considerations are an important element of every survey design process to avoid sample errors and biases.[76] In this case, they have to be undertaken separately for the Accelerator Labs members and the public sector officials. For the former, the structure of the Labs with three members overall gives reason to believe that their PSI perceptions are surveyed in a representative way, given that there are high levels of exchange between the three team members. In regard to the latter, the survey does not aim to achieve a representative sample

[76] Fowler, 11-47; Rea and Parker, 135-200.

with one data point for a certain country, which would not be achievable with one respondent.[77] Thus, while future surveys might certainly want to expand the number of data points for each country, the survey's sample allows us to map out PSI in general terms. Finally, the final selection of the public sector official is also contingent on other considerations, such as the existence of a relationship, availability, political circumstances, etc., that are natural limitations when conducting a survey in a political environment.

C. Procedure and Material: The Survey Manual Website

One important approach to reduce error in the data gathering process is to standardize the conditions of survey administration.[78] We aimed for this goal by undertaking various steps. First, our survey is administered online using the survey software *Qualtrics*, which allows easy data entry and data collection. Further, we developed guidelines for the Accelerator Labs on how to fill out the questionnaire. We also provided guidelines on how to select, approach, and accompany the public sector officials throughout the survey process. Given the specificity of the vocabulary, we also saw the need to provide definitions to avoid terminological ambiguity.[79] In order to provide all information at one centralized location, we created a survey manual website, which is available on this link. The website introduces the survey, its purpose and structure, provides advice on the administration process, explains the use of Qualtrics, offers an FAQ, a glossary of relevant terms, references, and templates to get in touch with the public sector officials. Overall, the website contributes to standardization; it reduces the time and effort required by survey respondents, which also reduces the likelihood of non-responders, and facilitates the transition of the project administration at the end of our cooperation.

[77] Fowler, 19-47.
[78] Fowler, 86.
[79] Fowler, 91-92.

D. Guidelines for Data Analysis

The design process of a survey is guided by considerations for the analysis of data obtained during data collection. This relates, for instance, to the level of measurement (nominal, ordinal, interval, ratio), relationships between variables, plans for the presentation of results of certain questions (matrices, quartiles, etc.), similarities among items to increase reliability, etc.

Our project ended with the roll-out of the survey. At the same time, we provided our client with general guidelines for the data analysis (Data Analysis Plan Guidelines, see Annex V). These are not exhaustive and need further consideration by the data analysts, but they help create a certain continuity in the transition from our project contributions back to UNDP. However, the lack of communication with the data analysts hindered the process of elaborating the data analysis plan (see limitations). This leaves questions unanswered, such as how to deal with non-responses or coding schemes.[80] [81]

Finally, we also provided UNDP with terms of reference for advancing data analysis, for which they are hiring an external partner.

E. Limitations & Constraints

Through our design principles, we have endeavored to ensure that the survey results will be reliable and accurate. However, there are a few limitations and constraints we faced that are important to highlight. Firstly, to achieve standardization, many of the questions had to be simplified to ensure comparability across countries. As a result, we are not able to gather too many details regarding innovation strategies, ongoing projects, challenges, opportunities, innovation culture, etc. However, once the baseline exercise has been completed, based on the results of the data analysis, UNDP will be able to select the countries where it wants to conduct deep-dives and develop a more comprehensive understanding of the innovation ecosystem.

Second, as already mentioned above, there are certain sample limitations. A single public sector official may not be fully aware of the entire PSI landscape in the country. Moreover, many of the questions deal with perceptions, which often vary from person to person. Additionally, the final

[80] Fowler, 154-155.
[81] Fowler, 149-153.

selection of the public sector official is contingent upon other considerations, such as the existence of a relationship, availability, political circumstances, etc.

Third, we are concerned about social desirability bias, which can result from social norms that suggest positive or negative answers to questions that are socially preferred.[82] In the current survey, public sector officials may be mindful of showing their country in a positive light and may therefore underplay constraints and exaggerate achievements. To address this, we have tried to use language that minimizes a sense of judgment and maximizes the importance of accuracy.[83] The use of self-administered data collection procedures has been found to be less prone to social desirability bias.[84] For this reason, we decided to administer this survey through an online survey instead of an in-person interview.

Fourth, while translations are underway, the current baseline survey is only available in English. Yet, even translations into the official UN languages could leave impediments for national government officers.

Finally, it was not possible to establish a relationship with the data analysts from PwC who will be analyzing the data. This strongly impacted our ability to provide a coordinated data analysis plan.

[82] Larson, Ronald B. "Controlling Social Desirability Bias." *International Journal of Market Research* 61, no. 5 (September 2019): 534–47. https://doi.org/10.1177/1470785318805305.
[83] Fowler, 108.
[84] Fowler, 108.

V. Next Steps

For a smooth transition between the SIPA team and UNDP, we suggest the four next steps: survey administration, data analysis, presentation of results, and debriefing.

1. Survey Administration

To facilitate the administration of the survey, the website mentioned before is a centralized source of information for the Accelerator Labs members. It will provide information and guidance through the following steps.

To kick off the survey roll-out, the Accelerator Labs global team will send the survey to the Resident Representative (RR) of each country. The RR will be responsible for identifying potential respondents from relevant ministries or federal governments. During the process, Accelerator Labs members will need to be available to assist the respondents.

In the beginning, ten countries will participate in the first phase of roll-out, followed by a distribution to all 91 labs. The phasing-in survey distribution can provide early feedback for the Accelerator Labs to adjust the baseline survey. This sequenced approach will also allow for the time required to translate the survey to other languages.

2. Data Analysis

Data analysis will be conducted by an external partner, for which we provided the initial guidelines outlined in the previous chapter. UNDP might increase coordination with the external partner over the following days in order to guarantee that the survey instrument fulfills the analytical requirements.

3. Presentation of Results

The presentation of findings can be consolidated in an online dashboard where Lab members and policymakers can visualize the survey results in an interactive, comprehensible, and comparable manner. Ideally, the audiences may utilize the dashboard to produce graphs, charts, categorized tables, and other forms of visualization to understand the current state of and related ecosystem, compare various innovation environments, examine exemplary projects, and address other necessary objectives.

In general terms, the survey results are not intended to provide a ranking of countries or to result in an aggregated index. Instead, while countries might be mapped for individual questions, for instance, in quartiles or quadrants (if two items are being combined), the results should be presented in a way that encourage exchange and collaboration between public sectors and the Accelerator Labs. An example of an effective visualization within the parameters outlined above can be seen in in Figure 3, which presents the results of the previously introduced innovation capacity mapping in quadrants or deviations from the average.

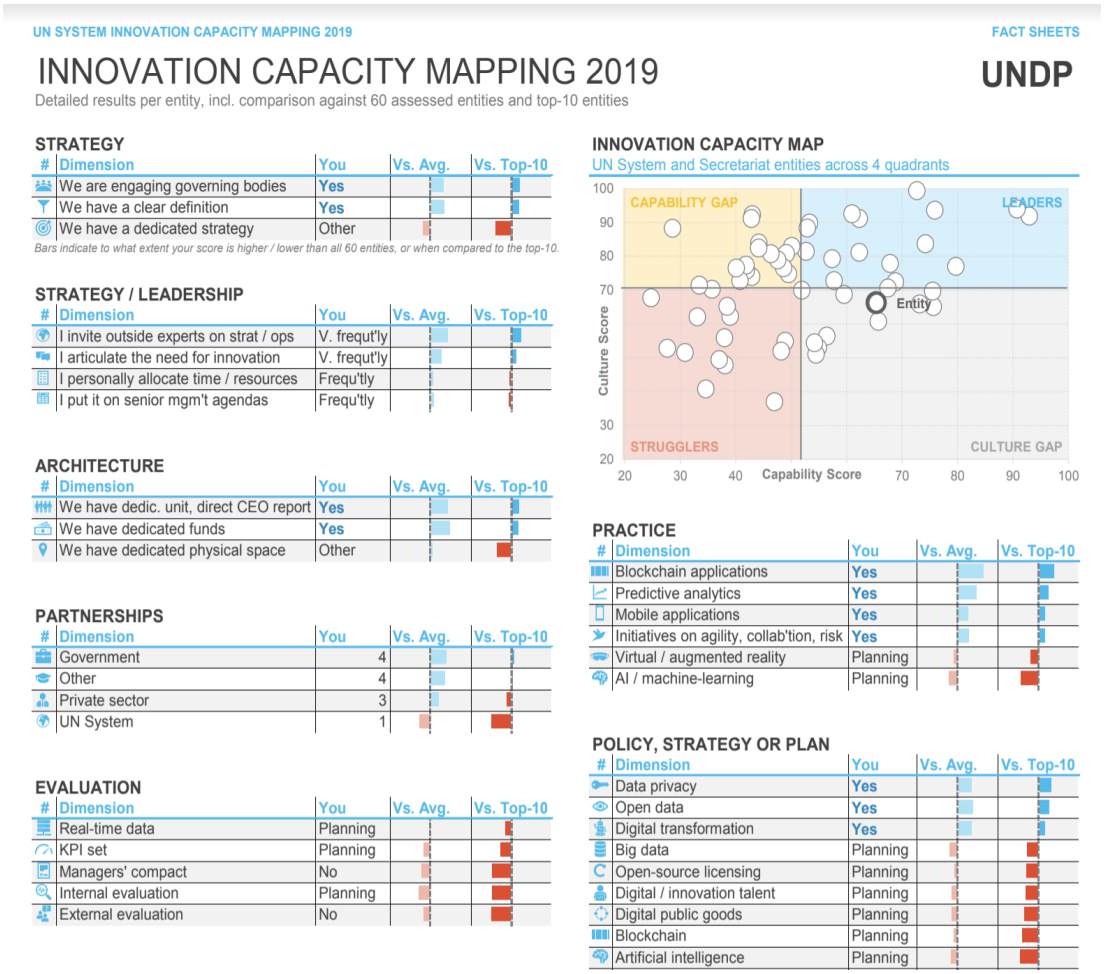

Figure 3: Innovation Capacity Mapping 2019
Source: UNDP Accelerator Labs, 2019

4. Debriefing of Results

Following the survey, it is recommended for the client to proceed with these next steps: follow-up with non-respondents, unpacking sessions, and consider a deep-dive study.

First, during the process of the survey, Accelerator Labs will be responsible for reminding participants to fill out the survey. In the case of having non-respondents, the client may choose to use the same survey to capture results for the sake of consistency or choose to use updated versions of the questionnaire for additional rounds of surveying. Moreover, it is important to figure out why these respondents are not participating and find actionable solutions.

Second, the survey results provide a valuable basis for an exchange between the labs and the government counterparts in each country. In unpacking sessions, they could jointly identify key concerns, barriers, objectives, and potential areas of cooperation. At the same time, the session itself provides an opportunity to foster their relationship.

Third, our baseline survey was designed to capture macro-level understanding, but it might not answer all questions that are of relevance for the Accelerator Labs' global team. Thus, we recommend more granular deep-dive case studies in countries of interest. This would complement the more quantitative survey with a more qualitative understanding of the issues that a specific country, ministry, and industry is facing. In this regard, we especially recommend considering the area of innovation culture that might be better understood in case studies.

VI. Conclusion

In the past seven months, the SIPA team has worked closely with the UNDP Accelerator Labs to create the PSI baseline survey. This product will help our client to facilitate change and accelerate progress towards achieving the SDGs. Having this questionnaire as the cornerstone for empirical assessments, the Accelerator Labs will have a tool that provides guidance for adjustment and improvements of their work. Moreover, this product will enable development professionals and government officials to have a better understanding of PSI in a cross-country perspective.

While the survey's empirical validity remains to be tested, the design process that led to its finalization awarded both partners with important lessons learned. Thus, we can conclude that this project has created both substantive and process-related outcomes. For the SIPA team, the project's complexity, time zone differences, social distancing protocols during the Covid-19 pandemic, team coordination, and language barriers presented challenges that had to overcome to make a meaningful contribution to the work of the Accelerator Labs. For both partners, the innumerous meetings and discussions, the energy and time jointly invested into the project demonstrated the challenges of balancing scientific rigor, lean design, coordination of all stakeholders, actionability, and the political context in which the survey had to be developed, tested, implemented, and analyzed. Thus, this survey is not only the final product of cooperation but also an expression of a joint experiential learning endeavor that SIPA and UNDP undertook to advance the SDGs.

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VIII. Annexes

Annex I: Review of Previous Innovation Analysis Frameworks

1. OECD Observatory of Public Sector Innovation

OPSI is a global forum for PSI functioning under the (OECD). Focusing on policy innovation in areas such as Sustainable Development Goals, transformative technology impact, and PSIsystems and methods, OPSI aims to assist governments to understand and approach innovation through four major projects: highlighting and analyzing major trends in PSI; evaluating how government systems are set up to support innovation; engaging public servants at all levels on the different phases of innovation and delineating skills and tools useful to navigating each; and sharing practice and case studies of innovation at all levels of government.[85]

OPSI's contribution to the field includes defining complex, multifaceted principles via systematic classification of PSI: : (1) enhancement-oriented innovation that involves improving existing policies, (2) mission-oriented innovation that emphasizes particular outcomes and objectives, (3) adaptive innovation that is driven by new knowledge or the changing environment, and (4) anticipatory innovation that addresses emerging possibilities and how those possibilities should influence society. The first principle of enhancement and improvement particularly influences how the SIPA team defines PSI, and its impact will explain in more detail in the later definition section.

OPSI elaborates on these four facets' reciprocal relationships, implementation, and ramification in order to better understand the innovation ecosystem. Various interactions between the four types of innovation processes produce different results and changes, and OPSI provides case studies of the OECD member countries to illustrate those changes. For example, Australian government provides energy efficiency labels of electric appliances to consumers in order to reduce energy demand and compel manufacturers to improve their product performance is an example of a "sustaining change" resulting from the combination of mission-oriented innovation and enhancement-oriented innovation. These kinds of classifications promote higher

[85] Observatory of Public Sector Innovation. "Projects," accessed April 19, 2021, https://oecd-opsi.org/our-work/projects/.

understanding of exactly what the public sector is trying to achieve and a more strategic approach to produce efficient and effective innovative policies.

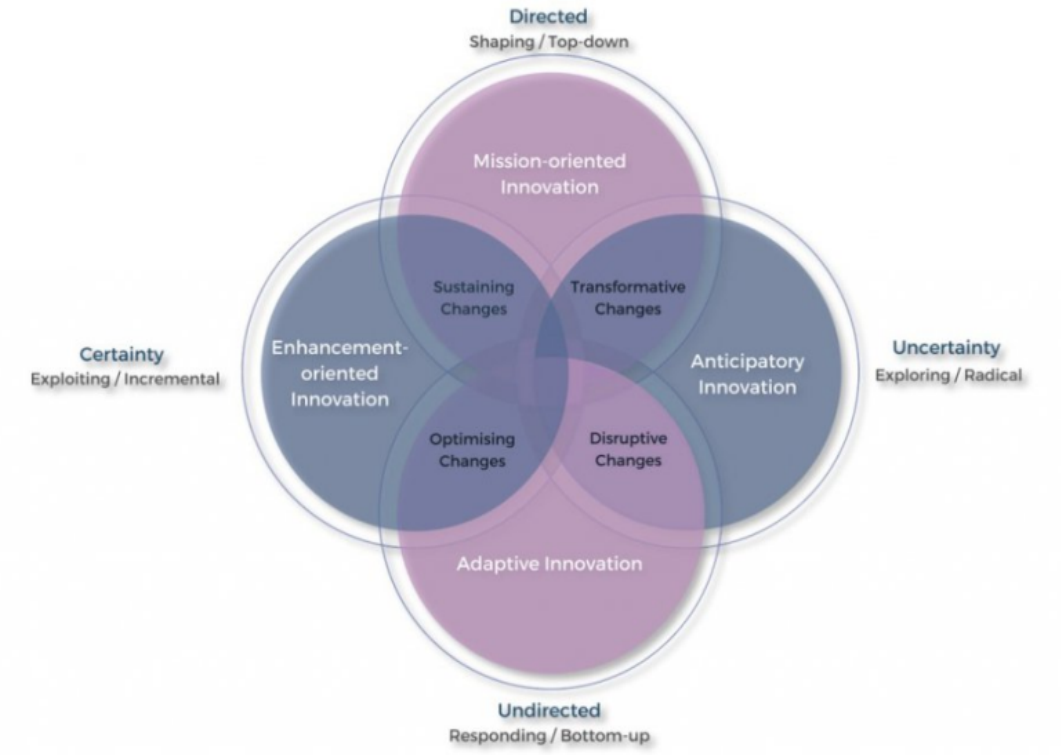

Figure 4: Facets of Innovation
Source: OSPSI. "Innovation Facets Part 4," 2018.
https://www.oecd-opsi.org/innovation-facets-part-4-mission-oriented-innovation/.

Further, considering drastically changing environments and the disruptive force of crises, OPSI emphasizes the risk associated with relying on one single strategy or approach. To navigate through these complex and uncertain "investments" more efficiently and effectively, OPSI advocates a portfolio approach composed of multiple projects and investments to achieve an aim to spread risk and mitigate losses.[86] Applying private sector's portfolio approach on investments to reduce financial risks, OPSI's conception of public sector's portfolio approach foresees the investment in a number of novel, potentially impactful approaches involving different facets of innovation mentioned above. Currently, OPSI offers governments portfolio exploration

[86] Observatory of Public Sector Innovation. "Public Sector Innovation Facets," accessed May 5, 2021, https://oecd-opsi.org/projects/innovation-facets/.

workshops to "assess the balance of innovation activities undertaken by civil servants, leaders, and decision makers" based on OPSI's experience with the facets model and portfolio approach.[87]

OPSI also outlines innovation life cycles to understand different stages of the PSI process and track its development with the aim of providing more tailored assistance and strategies. OPSI currently delineates six stages to represent the innovation process, which is shown below.[88] The six stages of OPSI's innovation life-cycle also provide suggestions on how the UNDP Accelerator Labs can further unpack the data analysis and amplify the influence of this baseline survey as the next steps.

Figure 5: Innovation Life Cycle
Source: OPSI
https://oecd-opsi.org/projects/innovation-lifecycle/.

[87] Ibid.
[88] Observatory of Public Sector Innovation. "Innovation Lifecycle," accessed April 19, 2021, https://oecd-opsi.org/projects/innovation-lifecycle/.

Overall, OPSI underscores that learning is "a key component of innovation," and this idea aligns with the Accelerator Labs' proposal of creating extensive learning networks ecosystem[89] Further, as innovation oftentimes draws from creativity and unprecedented formulation of ideas, building policies based on as much information and knowledge possible to substantiate innovation is essential. With increasingly more studies, data, and analysis methods (simulation, computational power) on innovation, OPSI states that the cost and duration of ideation, prototyping, and testing ideas are greatly reduced.[90] This, in turn, supports the learning process and contributes to the understanding of the problem, needs, and opportunities for action to develop improved innovation policies.

2. Deloitte Report

The consulting firm Deloitte's *Center for Government Insights* specializes in government innovation and addresses the needs of public sector organizations. Stemming from experiences and knowledge of the private sector, Deloitte especially applies the principles of portfolio approach as a means to diversify investment, minimize risks, and increase the chance of achieving the innovation objective. Deloitte's portfolio approach inspires the SIPA team's fundamental perception of survey design, and we especially include questions in the survey to promote this concept among national government officers.

Deloitte proposes the "Ambition Matrix" as one of the "proven approaches" to portfolio-driven innovation management which is based on work by Bansi Nagji and Geoff Tuff.[91] [92] The matrix categorizes innovation into three categories of increasing risk: core innovations of the lowest risk where incremental enhancements to existing solutions and challenge areas take place; adjacent innovations with a medium level of risk that enhances or applies existing solutions to new challenges, and transformational innovations with the highest level of risk referring to new

[89] Obervatory of Public Sector Innovation. "What's the Problem? Learning to Identify and Understand the Need for Innovation; Alpha Bersion: For Discussion and Comment," 2016. https://www.oecd.org/media/oecdorg/satellitesites/opsi/contents/files/OECD_opsi_LearningForInnovationStudy_Alpha.pdf.
[90] Ibid.
[91] Bansi Nagji and Geoff Tuff, "Managing Your Innovation Portfolio," *Harvard Business Review*, May 1, 2012, https://hbr.org/2012/05/managing-your-innovation-portfolio.
[92] Marsh, Will, Alan Holden, John Cassidy, and Will Hallberg. "Developing Innovation Portfolios for the Public Sector," Deloitte Insights, 2020.

offerings or businesses.[93] To spread risks, Nagji and Tuff suggest a breakdown of investment among these types of innovation in a ratio of 70-20-10 in core, adjacent, and transformational projects, respectively. Deloitte has adapted this approach to the public sector. It cites the case of USAID's Bureau for Global Health's benchmarking of the Ambition Matrix, where USAID invested 70 to 90 percent of its innovation efforts to "improving the known" solutions and the rest to more explorative, high-risk innovations categorized as adjacent and transformational. The SIPA believes that portfolio-driven management is an essential element of the experimentation approach that Accelerator Labs promotes. Deloitte's private sector perspective can provide significant insights into Accelerator Labs' existing work.

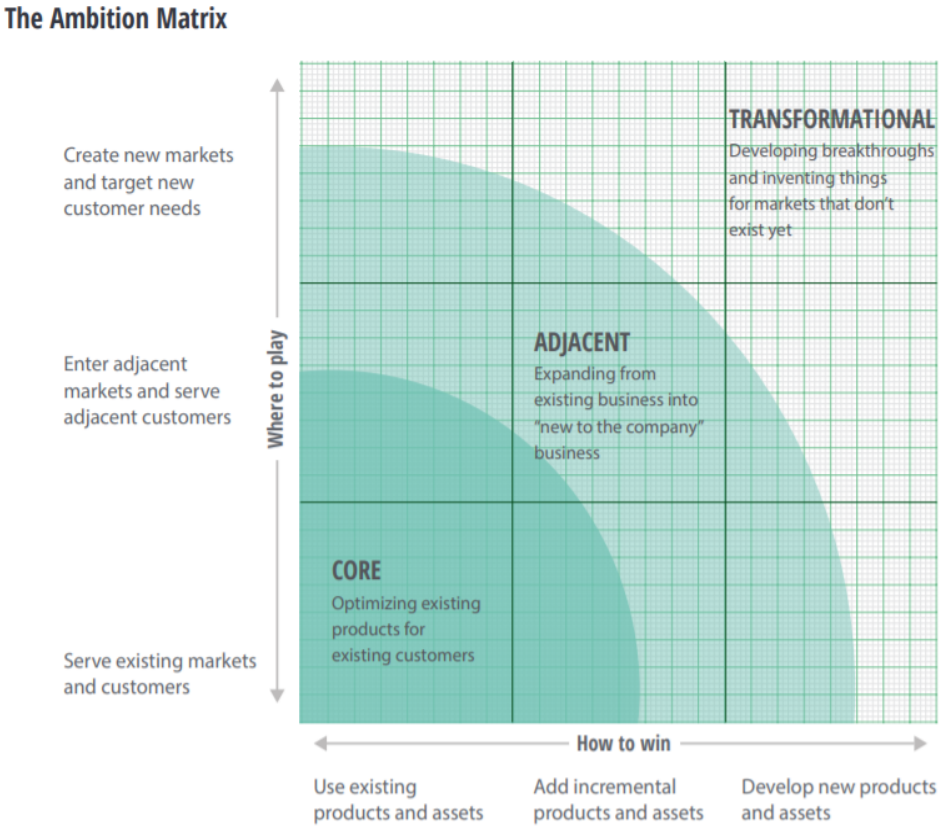

Figure 6: The Ambition Matrix
Source: Deloitte. "Developing Innovation Portfolios for the Public Sector," 2018. https://www2.deloitte.com/us/en/insights/industry/public-sector/innovation-portfolios-public-sector-organizations.html

[93] Ibid.

3. Nordic Innovation Barometer

In 2015, the Danish National Centre for Public Sector Innovation, in association with Statistics Denmark, established "the world's first official statistics on PSI," known as the Innovation Barometer.[94] Denmark's remarkable success in investigating PSI motivated its neighboring countries, including Norway, Sweden, Iceland, and Finland, to adopt similar Innovation Barometer surveys in their nations. The compiled statistics from the cross-Nordic Innovation Barometer surveys are widely applied to guide "policymaking, strategizing, HR development, teaching, research, and consultancy services."[95] According to the Nordic Innovation Barometer, 78-95 % of Nordic countries' public sector workplaces have introduced one or more innovations during two years," and "78-83 % of these PSIs are carried out in collaboration with one or more external partners."[96]Among all the PSIs, "5-43 % of them are carried out in collaboration with citizens," "17-41 % of them are carried out in collaboration with private companies," and "7-13 % of them are carried out in collaboration with knowledge institutions."[97] The Nordic Innovation Barometer's statistics demonstrate that PSI is a priority agenda in the Nordic countries, and such innovations can be well motivated by the collaborations with external actors in the innovation ecosystem, such as private companies, knowledge institutions, and even ordinary citizens. The Innovation Barometer and its Copenhagen Manual heavily influence the SIPA team's survey design and manual design. Furthermore, the Innovation Barometer also inspires the SIPA team to look at how different levels of stakeholders may motivate PSI, and it especially reminds us to pay attention to grassroots innovation that may come from ordinary citizens.

4. Canada: Culture of Innovation Survey

In 2019, the Rideau Hall Foundation (RHF), an independent and non-political charitable organization, introduced Canada's Culture of Innovation survey. The survey measures 40 different inputs of innovation culture, and the results are categorized into six principal innovation

[94] Danish National Center for Public Sector Innovation. "Copenhagen Manual," 2021. https://www.innovationbarometer.org/cphmanual/.
[95] Ibid.
[96] Ibid.
[97] Ibid.

indexes, including diversity, curiosity, openness to technology, creativity, risk-taking, and collaboration.[98] The survey concludes that "diversity and collaboration continue to act as core values for creating a culture of innovation," while openness to technology is the lagging factor contributing less to the innovative culture.[99] Furthermore, even though "64% of Canadians value local engagement with innovation", only 50% of the population "find ways to innovate in their lives."[100] Hence, the RHF suggests that "education is key to creating innovators" and establishing innovative cultures.[101] In our survey, the SIPA team, unfortunately, cannot dive deeply into all 91 country's specific innovation cultures; nevertheless, innovation culture is a significant dimension that we considered in the survey design. Hence, Canada's Culture of Innovation Survey would be an essential supplement to our current baseline survey. It provides an example of how an individual country perceives PSI and how the national government tries to improve its innovation culture.

5. Chile: Índice de Innovación Pública

In collaboration with the Inter-American Development Bank, the Chilean Government Laboratory created the Índice de Innovación Pública (Public Innovation Index). Guided by studies by the UN's' 2030 Agenda, the OECD, and others, the index intends to understand the Chilean PSI ecosystem and make it relevant to other institutions within Chile so that they can use the results as a guidance to diagnose, monitor, and carry out actions. The index provides an innovation terminology for the Chilean context, surveys innovation ecosystems within the country, and creates a list of indicators for government officials to reference and utilize. One notable feature of the index is that the entire process of the survey administration, analysis, and publication has been conducted via a digital platform exclusively developed for the purpose of the index, allowing for the identification of participants and tracking processes and progress.[102] Overall, the Chilean survey serves as a vital supplement to our baseline survey, and it showcases how an individual

[98] The Rideau Hall Foundation. "Canada's Culture of Innovation Report," June 2020. https://rhf-frh.ca/innovation-index/.
[99] Ibid.
[100] Ibid.
[101] Ibid.
[102] Laboratorio de Gobierno, Gobierno de Chile. "Documento Metodologia Del Índice de Innovación Pública," 2021. https://innovadorespublicos.cl/documentation/publication/73/.

country is modifying its PSI ecosystem. Additionally, the Chilean survey's digital administration process greatly inspires the SIPA team's design for the baseline survey administration.

6. Colombia: Índice de Innovación Pública

Veeduría Distrital of Bogotá, Colombia, developed the Public Innovation Index as an instrument to allow public institutions to understand and promote PSI. The Colombian Public Innovation Index is developed for the Colombian context, with a specific focus on strengthening citizen control and empowerment and developing preventative tools to reinforce strategic management and transparency against corruption.[103] The index ultimately led to the design of twenty technical tools for citizens and public servants.[104] The Colombia survey inspires the SIPA team that innovation is an instrument to achieve the end of creating public values. The survey motivates us to include "improving citizen's welfare" as an ultimate goal of PSI in our operational definition for the term.

[103] Juan Felipe Yepes González et al., "Bases Conceptuales y Trabajo Preliminar Para El Diseño Del Índice de Innovación Pública" (Veeduría Distrital, 2019), http://veeduriadistrital.gov.co/sites/default/files/files/Publicaciones2019/Bases%20conceptuales%20y%20trabajo%20preliminar%20para%20el%20dise%C3%B1o%20del%20indice%20de%20Innovacion%20Publica%20(IIP)%20VF%20(24%20jul%2019).pdf.
[104] Veeduría Distrital. (2020). "Metodologia Para La Aplicación Del Indice de Innovacion Publica." https://www.veeduriadistrital.gov.co/sites/default/files/files/14_%20Metodologia%20para%20la%20aplicaci%C3%B3n%20del%20Indice%20de%20Innovacion%20Publica%20APP.pdf.

Annex II: Focus Groups' Guidelines

a) **Short input on the structure and thoughts on how we thought to implement the survey (up to 5 minutes)**

b) **Overall survey objective / value proposition (up to 20 minutes)**

- (1) Given the objectives and the structure we presented, how do you see that the survey helps you to exchange and to learn? (Keep questions open and broad)
    - what they see as the major strengths /
    - value added /
- (2) Reconcile differences -> explore how to improve upon it

c) **Process (administering the survey) (up to 15 minutes)**

- **Key words: Feasibility, Logistics, and Support**
- Is it feasible to implement the survey in its current form?
- What would be the best way for you to administer the survey?
- Support: How can we prepare the survey in such a way that it is the easiest for you to administer it independently with your national government counterpart / contact?
- Timing & Constraints
    - Timeline and what to do about non-respondents
    - Process (Covid etc.)
    - Impact on validity?

d) **Content of specific questions (up to 10 minutes**

- **Key words: Dimensions, languages, structures, gaps**
- Do you think the structure is suitable for the learning objective?
    - more flexibility or rigid structure better?
    - Categories / Dissemination and impact on society
- Is the wording understandable and intersubjective / sufficiently adjustable to your specific circumstances?

- Specific items and dimensions that are missing? (Also: something you don't need?)
- What are the questions in relation to social innovation in the public sector you would like to ask your government that we are missing as of now?

e) Back-up questions

- Qualitative dimensions: What are processes / practices you would like to know about from other labs that cannot be measured in a large-N rather quantitative survey like this?
- Any other suggestions/queries from participants?

Annex III: Focus Groups' Notes

Notes

OVERALL OBJECTIVE/VALUE PROPOSITION

General Comments

- Need to be very explicit on the value proposition for local governments to collaborate with the Accelerator Labs
- National government has already been exposed to other PSI institutions, e.g. Nestea
- We need to clarify what is the motivation to collaborate with the Accelerator Labs, **values for the political officials & the labs (explicit)**
- What is the difference between baseline survey and other innovation index that are already out there
- Colombia context: they have committee in charge for PSI, the topic have already been discussed, but its implementation is still questionable
- Accelerator Labs learning cycles should be embedded in the baseline survey
    - No questions re "grow" and "scale" in current draft
- Make the focus groups open to the labs, because different lab positions (e.g. solution mappers) would have different focus
    - For example, how to connect grassroots innovation with policy tools/ solutions

When will the survey be useful?

- If it identifies **entry points** for a social innovator/outside to contribute to PSI
    - What are the tools available for anyone
    - How can they be accessed and used
- Cristian Sanchez will insert additional comments regarding the baseline survey directly on the google doc
- What are the explicit tools for street level innovation?

- Is there a place where Accelerator Labs can enter in assisting local governments with innovation
- Identify **entry points** for innovation that can be undertaken by Accelerator Labs, local communities, private sector, etc.
- Most of the current structure are top-down, and it is difficult to incorporate the current structure with bottom-up approach

PROCESS FOR ADMINISTRATION/LOGISTICS

- Relieved that it will be completed by the lab
- Prototype a small report that will be developed for each country
- Each time UNDP reaches out to the government - expectations are created so they need to provide clear answers of what the end product will be
- Create an interview in the field
    - It's very different to interview national governments, local governments and grass roots communities

CONTENT

What questions would you like added? What is the one question that you think would be the most useful?

- Funding is an interesting issue, but there seems to be a common response of "lack of funding" in all local governments
- How can we cooperate better?
    - Solutions mapping all over the world
- There is a variation of relationship between Accelerator Labs and local governments in different countries
    - For example, local labs in Colombia are not in contact with the local governments directly.
    - This is the case for most Accelerator Labs
- What factors explain this variation of relationship? This is an interesting notion to look at for cross-national survey

OVERALL OBJECTIVE/VALUE PROPOSITION

General Comments

- What variations do the baseline survey try to understand
- What does PSI, "social innovation in the public sector" mean?
- It could mean three different things:
    a. **Gov Tech** - Implementation of technology (ex. participatory programs)
    b. P**ublic policy innovation** (evidence based policy)
    c. Public grassroot innovation
        - "Street-level bureaucracy" who make actual contacts with the society - are ministries learning from their street level officers
            - Ministry of Health in Paraguay
            - Place in public sector where innovation happens given their importance
            - They do not have a lot resources
            - They do not have robust oversight
    d. **Innovation policy** - outside of the state - to encourage innovation
- The baseline survey could focus on the paradigms above.

When will the survey be useful?

- Innovation is a discourse
    - Ask what policies are in place?
        - Incentives?
        - Capacities?
        - Instruments?
        - Are they accessible?
    - Forget about innovation, what are the capacities are necessary to initiate innovation

- Analyze the actual structure/ incentive for people to be innovative
- Dive deep the innovation discourse

- What are the actual conditions for street-level bureaucrat
- Would be very useful to measure how present and developed the methods and capacities for bottom up processes of policy innovation are in the public sector.
- Very useful to measure how present and developed the methods and capacities for bottom up processes of policy innovation are in the public sector and the use of technologies in terms of these capacities

PROCESS FOR ADMINISTRATION/LOGISTICS

- Who do you want to fill out the survey?
- How many entry points - just one? Across departments? More of a methodological question.
- If data needs to be representative of the state & state's innovation capacity - the methodology needs to be clarified
- **Suggestion to administer the survey:** choose X numbers of institutions and develop an instrument (standard across all countries)
  - e,g, ministry of technology/ ministry of planning
  - Develop an instrument to measure perceptions, capacities, policies in regards to innovation
  - Lab members do the interviews with 2-4 institutions
  - Get an index, not to rank but to analyze the patterns and diversity
  - BUT this will be a more difficult task for local labs - one entry point to fill out the survey would provide more flexibility for local labs.
  - Paraguay: planning ministry, presidency, science & tech (council), ministry of social development
- **Local lab will be responsible to fill out the survey, but they could search from multiple institutions if needed**

- There is a huge difference in technological capacities for PSI in Paraguay and Colombia
    - Colombia has well developed participatory institutions at local level
- **It is feasible to interview different levels of government in all 90 lab countries**
    - Larger countries may have where local labs are more distant with local governments may experience more difficulty, but still possible nonetheless
    - require support from the UNDP residents

CONTENT

What questions would you like added? What is the one question that you think would be the most useful?

- By design, this survey is extractive. With the purpose of comparing to other countries
- How real is the political commitment to innovation in different countries? How much of a priority is PSI? (go beyond the fashionable discourse)
- Who are the public sector officials who are responsible for PSI policy?
    - Are they experienced?
    - Do they have the right background?
    - This would show the local government's commitment level
- Something about relationship between academia and social PSI
- Probably not helpful for solutions mapper - which is fine
    - But can help in high-level discussions with UNDP head office / global lab about the environment we work in and what is needed
- Questions regarding the relationship between Accelerator Labs and local governments are highly desirable

General Comments

- Consider the different stakeholder - who answers each section of the survey? Lab, government, society

- e.g. Section 4&5 should not be answered by the government

What survey elements/structure/questions would be valuable and feasible to attain?

- Knowing what other labs are doing, unless it is highly similar with the country office, would not impact day-to-day job
  - Knowing lessons on how other labs achieve certain goals
- having the guidance would be great so that data can be aggregated satisfactorily

How are they engaging with the local government / Is it feasible to implement the survey?

- The survey need to be translated, it is impossible to get answers in English in Argentina

General Comments

- Comparability issues: different actors dependent on the government, who answer the survey is very important, so Accelerator Labs should intermediate the survey & the interview
- This is a questionnaire for the Lab and Lab representative would contact the different stakeholder to fill out the survey

General Comments

- Baseline survey validity given different countries can have major different characteristics.
- State capacity and bureaucracy varies differently, the survey may not result in a successful baseline survey
  - e.g. in Argentina, When the govt changes, bureaucracy also changes, state structure my change
- The agency that heads innovation may not be the one that partners with UNDP
- Baseline survey should capture the different impacts produced at different levels

How are they engaging with the local government/ Is it feasible to implement the survey?

- Some guidance in the manual on which are the potential stakeholders each question should be answered by

- I think it would be a great opportunity to approach the govs, at the same time, we should agree on which will be the criteria of which office we are going to approach, what are your ideas? What do you have in mind? Which is the MVP for this survey?
- Have a common ground on different terminologies

General Comments

- Very difficult to administer the survey in India: India is a huge country, having both state-level policy and national policy.
- The baseline survey would be a huge exercise: a single state is a proxy, but it does not represent the whole country
    - Hence, we need alignment at the senior management level
    - Very heavy commitment: need to go through the country protocols

General Comments

- So many different level of governments, it can be very difficult to administer to survey

What question do you want to ask your country/government

- Innovation in Bosnia is almost non-existent, why is this the case? How can we help?
- How can we leverage the Accelerator Lab's knowledge to propel innovation?
- How do we incorporate innovation in the public sector?
- How to translate that knowledge into public sector
    - why is it not there, and why it's important to have it

General Comments

- Political and government structure are different
- The baseline survey will require heavy time commitment

How are they engaging with the local government/ Is it feasible to implement the survey?

- Get firm coordination with country office, they know what they are facing
- They are doing innovation research in Philippines, and they have a hard time to get government officials to talk about it, because their priority is vaccination and contact tracing
    - Government priorities is not in conjunction with the baseline survey
    - Will have to go through proper channels. Have strict marching orders from the country office.

What question do you want to ask your country/government

- Alignment with the internal ecosystem

General Comments

- In Ecuador we´re having elections next week in a very heated and polarized political climate. In this context we don't really have Access to government officials during this period or transition phase

How are they engaging with the local government/ Is it feasible to implement the survey?

- Ecuador is having an elections next week, and the lab don't really have Access to government officials during this period or transition phase
    - Will be sending this information to Ana because she has been mapping this already so she may be able to fill it out

What survey elements/structure/questions would be valuable and feasible to attain?

- Alternative/solutions networks:
    - Grassroot?
- Use this as an engagement tool
    - To assess challenge space and see what are the holes that are filled by the government

What question do you want to ask your country/government

- Have other countries been through this before?
    - Learn from other experiences

What survey elements/structure/questions would be valuable and feasible to attain?

- Not every countries have PSI sector
- Think about what are the valuable things for the government, and we can start from simple questions:
    - Ask governments simplistic questions about their perception of innovations, and maybe this tells a lot about the current structure on innovation
    - What do you understand about innovation?
        - what do you think about innovation at the first place (technology vs. grassroot innovation), and how the UNDP can help with your national innovation process

What survey elements/structure/questions would be valuable and feasible to attain?

- There should be room to acknowledge other key players in the innovation ecosystem
- Will be interesting to look at surveys from a process evaluation perspective
    - Results should be comparable across countries
    - I would be careful about focusing only on public institutions - other key players should be included
- Could not find any element on the legal framework. There should be questions about that.

What question do you want to ask your country/government

- Legal framework for innovation and how labs are taking advantage of that
    - Local laws that facilitate innovation
    - What are the protection laws?
    - What are the financial incentives by law that help grow the innovation ecosystem in the country?
    - What would ideal policies look like

What survey elements/structure/questions would be valuable and feasible to attain?

- Use the survey to serve as an education tool
- Might be a good idea for public servant to fill out the survey for education purposes
- Have the opportunity to educate public workers about what out there

How are they engaging with the local government/ Is it feasible to implement the survey?

- Need the survey translated to country language. Even within Spanish speaking countries, terms are different in different countries

What survey elements/structure/questions would be valuable and feasible to attain?

- The survey can be more high-level/ basic - current draft assumes a certain level of innovation which some countries don't have
    - Don't assume there's a national structure in PSI
    - Some countries are operating on a really basic level when it comes to PSI
    - Give some explanation on terminology, what do we mean by innovation?

Annex IV: Objective Mapping

This exercise helped to test intersubjectivity and overall structure of the survey. Team members individually mapped each question on the four survey objectives. Then, all team members compiled and discussed results.

Objectives:

1. To produce knowledge on PSI that is able to inspire public workplaces, in Accelerator Lab countries
2. Identify opportunities and common challenges in the PSI ecosystem where the Accelerator Labs can add value
3. Facilitate exchanges and dialogues between stakeholders, national governments and Accelerator Labs
4. To assess the ripple effect of the Accelerator Lab Networks over time (assess types of relationships with national institutions)

The following table maps the questions included in the survey onto the 4 objectives:

Question #		**Objective**			
		1	**2**	**3**	**4**
Q1a	National innovation strategy	**x**	**x**		
Q1b	Drivers of innovation (level)	**x**		**x**	
Q2	Main elements of innovation strategy	**x**		**x**	
Q3	Implementation of innovation strategy	**x**	**x**		**x**
Q4	Priorities of innovation capacities (next two years)	**x**	**x**	**x**	
Q5a	Scaling strategies		**x**	**x**	
Q5b	Scaling strategies		**x**		

Q6	Stakeholders			x	
Q7	Innovation ecosystem	x	x		x
Q8	Obstacles for innovation		x	x	
Q9	Impact of Covid-19		x		
Q10a	Innovation methods	x	x		x
Q10b	Innovation methods	x	x		x
Q11a	Data-driven innovation	x	x		x
Q11b	Data-driven innovation	x	x		x
Q12	Innovation practices	x			x
Q13	Sectors prioritized for innovation		x	x	
Q14	Innovation practices	x			x
Q15	Digitalization	x			
ACLQ1a	Partners and stakeholders			x	
ACLQ1b	Partners and stakeholders			x	
ACLQ2a	Ripple effect if Accelerator Labs			x	x
ACLQ2b	Ripple effect if Accelerator Labs			x	x
ACLQ3	Type of partnership			x	x

Annex V: Provisional Guidelines for Data Analysis Plan

The table below shows a preliminary data analysis plan that maps each survey question to a specific Public Sector Innovation theme. The table also provides recommendations on how to present the result from a specific question in relation with the other questions.

Section	Subsection	#	Question	Theme	Types of Question	Data Analysis Recommendations / Presentation Format
I. Institutional Capacity	**I.A. Strategic Foundations**	Q1a	Which one of the following options best describes your country's national innovation policy?	National innovation strategy	Multiple Choice	Use columns chart to demonstrate the strategies
		Q1b	Which levels are the major drivers (champions) behind public sector innovation in your country?	Drivers of innovation (level)	Multiple Choice	Quadrants with Q14 – Item 1
		Q2	What are the three main elements of your country's national innovation policy? Please select and rank the top three priorities in the order of importance.	Main elements of innovation strategy	Drag & Drop	Show the top 3 choices
		Q3	For the top three main elements of your country's current national innovation policy you identified in the previous question, please rate their progress of implementation.	Implementation of innovation strategy	Likert Scale	Show the percentage of each choice, draw correlation with Q2
		Q4	In the next two years, to what extent are the following innovation capacities key priorities for your government? If the answer is "high" or "moderate" priority	Priorities of innovation capacities (next two years)	Matrix Table	Show the top 3 choices
		Q5a	Scaling is the process of expanding access to and use of	Scaling strategies	Multiple Choice	Show the percentage of each choice

			services, policies, and solutions with the aim of increasing its impact. Have you been scaling up any of your innovations in the past two years?			
		Q5b	If so, how did you scale up your innovations?	Scaling strategies	Multiple Choice	Show the percentage of each choice, draw correlation with Q5a
	I.B. Innovation Ecosystem	Q6	Which organization would you most likely talk to or partner with when collaborating for public sector social innovation? Please indicate at least three organizations' names and select the organizations' type(s).	Stakeholders	Open-ended	Contrast with AQ1
		Q7	In your opinion, which of these statements best represents your current public sector innovation ecosystem?	Innovation ecosystem	Multiple Choice	Check for convergence with Q1a
	I.C. Innovation Culture	Q8	In the next two years, which do you think will be the primary obstacles for your national government's innovation progress? Please select and rank the top three obstacles in the order of importance.	Obstacles for innovation	Drag & Drop	Relate priorities from Q4 to the obstacles in this question
		Q9	How is the post-COVID "new normal" likely to change your country's public sector innovation in the next five years?	Impact of Covid-19	Multiple Choice	

II. Good Practices	**II.A. Innovation Methods**	Q10a	The following question will address innovation methods. Innovation methods are processes, tools, and techniques used to foster innovation by facilitating the identification of challenges, the creation of ideas, their development and testing, implementation, and scaling. Please indicate the capacity to and the use of the following innovation methods buy your national government in the past two years	Innovation methods	Matrix Table	
		Q10b	Considering the innovation methods your national government has used before and are considered the most important ones, could you please provide an example (or, if relevant, an external links to the relevant project)?	Innovation methods	Open-ended	Look at overall knowledge / use for each level of Q1 and for each level of Q7
		Q11a	Considering the data sources your national/ state government has used before and are considered the most important ones, could you please provide an example (or, if relevant, an external links to the relevant project)?	Data-driven innovation	Matrix Table	
		Q11b	Considering the data sources your national/ state government has used before and are considered the most important ones, could you please provide an example (or, if relevant, an external links to the relevant project)?	Data-driven innovation	Open-ended	

		Q12	For the following innovation practices, please indicate how often they were used in the past two years. Also, please briefly explain for which purpose did you use the practice and what were the results?	Innovation practices	Matrix Table	
		Q13	In the next two years, in which policy dimensions do you see the biggest opportunity for social innovation in your country's public sector?	Sectors prioritized for innovation	Drag & Drop	
	II.B. Procedures	Q14	To what extent do you agree with the following statements about innovation practice in your country?	Innovation practices	Matrix Table	
III. Access to Public Services		Q15	To what degree are the following public services digitalized in your country?	Digitalization	Likert Scale	
IV. Additional Section for Accelerator Labs		ACLQ1a	Thinking about the work of the Accelerator Labs, what are the three public sector institutions that you currently interact with the most? Please provide the name (you can provide the official name in your local language), and select the option that best describes the level of the institution.	Partners and stakeholders	Matrix Table	
		ACLQ1b	For the institution you described in the previous question, please select the option that best describes the role of your main contact point.	Partners and stakeholders	Multiple Choice	
		ACLQ2a	To what extent do you agree with the following statements regarding the collaboration with the Public Sector in your country so far?	Ripple effect if Accelerator Labs	Matrix Table	

	ACLQ2b	To follow up on the question above, please briefly explain what methods and data sources you have utilized when collaborating with the public sector in your country?	Ripple effect if Accelerator Labs	Open-ended	
	ACLQ3	The matrix below offers descriptions of different types of relationships between partners. Select those ones that describe best the current relationship between Accelerator Lab and public sector counterparts.	Type of partnership	Matrix Table	

Annex VI: Sources for survey questions

Question #	Theme	Source
Q1a	National innovation strategy	Own creation
Q1b	Drivers of innovation (level)	Own creation
Q2	Main elements of innovation strategy	Information Technology & Innovation Foundation, 2019
Q3	Implementation of innovation strategy	Information Technology & Innovation Foundation, 2019
Q4	Priorities of innovation capacities (next two years)	Information Technology & Innovation Foundation, 2019
Q5a	Scaling strategies	SIPA Capstone project, 2020
Q5b	Scaling strategies	SIPA Capstone project, 2020
Q6	Stakeholders	UNDP Insights & Opportunities, 2018
Q7	Innovation ecosystem	States of Change, 2018
Q8	Obstacles for innovation	UNDP Innovation Capacity Mapping, 2019
Q9	Impact of Covid-19	Own creation
Q10a	Innovation methods	Nesta Innovation methods, 2018
Q10b	Innovation methods	Nesta Innovation methods, 2018
Q11a	Data-driven innovation	Nesta Innovation methods, 2018
Q11b	Data-driven innovation	Nesta Innovation methods, 2018
Q12	Innovation practices	Nesta Innovation Methods, 2018
Q13	Sectors prioritized for innovation	Information Technology & Innovation Foundation, 2019
Q14	Innovation practices	UNDO Accelerator Lab Network Project Document, 2019
Q15	Digitalization	Nesta, 2008; Deloitte, 2015; OECD, n.d.
ACLQ1a	Partners and stakeholders	UNDP Insights & Opportunities, 2018
ACLQ1b	Partners and stakeholders	UNDP Insights & Opportunities,

		2018
ACLQ2a	Ripple effect of Accelerator Labs	Own creation
ACLQ2b	Ripple effect of Accelerator Labs	Own creation
ACLQ3	Type of partnership	Harvard Business School, 2001

Annex VII: Survey Questionnaire

UNDP Accelerator Labs: Mapping Innovation in the Public Sector 2021

Introduction

Hello! Thank you very much for participating in **"UNDP Accelerator Labs: Mapping Innovation in the Public Sector 2021"**.
In 2019, UNDP set out to build the world's largest and fastest learning network on sustainable development challenges. Today, 91 **UNDP Accelerator Lab** teams spanning 114 countries are operating within the United Nations with the aim of testing innovative solutions to address social and environmental challenges and creating actionable intelligence. The Accelerator Labs also focus on scaling these solutions at the country level – both within UNDP as well as by penetrating and influencing national governments and other external partners.
In just a short span of time, the Accelerator Labs have seen remarkable success. In some countries, public sector labs that replicate the Accelerator Labs model have been set up by national governments. National governments have started using experimentation methods to design broad-scale reforms and real-time data, and collective intelligence methods have been adopted to undertake situation analyses. While a lot of work is being done in the field of public sector innovation, especially in developing countries, little data and information is available. **UNDP Accelerator Labs**, in collaboration with **Columbia University's School of International and Public Affairs (SIPA),** has therefore undertaken this mapping exercise to prepare a baseline that measures the innovation capacity, strategy, and priorities of countries. This baseline will then be used to measure and compare progress in the field of public sector innovation over time.

By participating in this survey you are helping us develop a unique participatory exercise that will help inform the global public sector innovation space. The UNDP is not intending to rank countries but to provide actionable information for respondents. All survey responses are confidential in that individual responses are non-identifiable, i.e. cannot be traced to you as a survey taker. Data will only be reported on a country-level and respondents will be provided the opportunity to review the presentation format before it is shared. We invite you to complete the survey by **June 2nd, 2021.**

If you have additional questions about the survey or Qualtrics, please contact:Eduardo Gustale: eduardo.gustale@undp.org

ID1 **Please indicate which country you are working in?**

- ○ Algeria
- ○ Angola
- ○ Argentina
- ○ Azerbaijan
- ○ Bangladesh
- ○ Belarus
- ○ Benin
- ○ Bhutan
- ○ Bolivia
- ○ Bosnia & Herzegovina
- ○ Burkina Faso
- ○ Cambodia
- ○ Cameroon
- ○ Cape Verde
- ○ Carribean (based in Barbados)
- ○ Chad
- ○ Colombia
- ○ Congo
- ○ Côte d'Ivoire
- ○ Democratic Republic of Congo
- ○ Dominican Republic
- ○ Ecuador
- ○ Egypt

- ○ El Salvador
- ○ Eswatini
- ○ Ethiopia
- ○ Georgia
- ○ Ghana
- ○ Guatemala
- ○ Guinea
- ○ Guinea-Bissau
- ○ Haiti
- ○ India
- ○ Indonesia
- ○ Iraq
- ○ Jordan
- ○ Kazakhstan
- ○ Kenya
- ○ Kyrgyz Republic
- ○ Lao PDR
- ○ Lebanon
- ○ Lesotho
- ○ Libya
- ○ Malawi
- ○ Malaysia
- ○ Maldives
- ○ Mali

- ○ Mauritania
- ○ Mauritius (& Seychelles)
- ○ Mexico
- ○ Mongolia
- ○ Morocco
- ○ Mozambique
- ○ Myanmar
- ○ Namibia
- ○ Nepal
- ○ Niger
- ○ Nigeria
- ○ North Macedonia
- ○ Pacific (based in Fiji)
- ○ Pakistan
- ○ Palestine
- ○ Panama
- ○ Paraguay
- ○ Peru
- ○ Philippines
- ○ Rwanda
- ○ Samoa (& Cook Islands, Niue, Tokelau)
- ○ Saudi Arabia
- ○ Sénégal
- ○ Serbia

- ○ Sierra Leone
- ○ Somalia
- ○ South Africa
- ○ South Sudan
- ○ Sudan
- ○ Syria
- ○ Tanzania
- ○ Thailand
- ○ The Gambia
- ○ Timor-Leste
- ○ Togo
- ○ Trinidad & Tobago (& Guyana & Suriname)
- ○ Tunisia
- ○ Turkey
- ○ Uganda
- ○ Ukraine
- ○ Uruguay
- ○ Uzbekistan
- ○ Vietnam
- ○ Zambia
- ○ Zimbabwe

ID2 **Please indicate your role:**

- ○ I am a Public Sector Official
- ○ I am a UNDP Accelerator Lab Member

ID3 **Please provide the name of the institution you are working at. Which category best describes institution?**

	Office of the President/Prime Minister	Ministry	Secretariat	National Committee	State/ Regional Institution	Others
Name of your Institution	○	○	○	○	○	○

ID4 **Please indicate the option that best describes your current position at this institution.**

- ○ Minister, Director, or Head of the Institution
- ○ Senior Advisor, Deputy Minister (reporting directly to the Head of the Institution)
- ○ Technical Advisor, Head of Department
- ○ Other _____

ID5 **Please indicate your position at the Accelerator Lab:**

- ○ Head of Solutions Mapping
- ○ Head of Experimentation
- ○ Head of Exploration

Page Break

End of Block: Identification

Section I: Institutional Capacity of National Government

This section aims to investigate your national innovation system's **A) strategics foundation; B) partnerships;** and **C) innovation culture.**

I.A. **Strategic Foundations**

Q1a **Which one of the following options best describes your country's national innovation policy?**

- ○ We **have articulated** a national policy for public sector innovation
- ○ We are **planning to develop** a national policy outlining public sector innovation in the near future
- ○ We **do not have** a national policy on public sector innovation
- ○ Others _____

Q1b
In your opinion, which levels are the major drivers behind public sector innovation in your country?

Please select all that apply.

- ☐ Public sector innovation is driven at the national level
- ☐ Public sector innovation is driven at the state level
- ☐ Public sector innovation is driven at the municipal level
- ☐ Others _____

Q2 **What are the three main elements of your country's current national innovation policy? Please select and rank the top three priorities in order of importance (1=most important; 2=second most important etc.)**

Please drag and rank your top 3 priorities
_____ Creation of government agencies responsible for innovation
_____ Promoting private sector innovation through fiscal incentives
_____ Improvement of regulatory environment
_____ Leveraging open data
_____ Promoting innovation through the digitalization of public services
_____ Promoting leadership in information technology application areas
_____ Increasing public sector capacity for research & development
_____ Protection of intellectual property rights
_____ Technology transfer
_____ Reforming public procurement systems
_____ Promoting grass-root innovation
_____ Create learning networks
_____ Increasing use of experimentation and foresight
_____ Exploring data types and usage
_____ Exchange and cooperation between key stakeholders of the innovation ecosystem
_____ Others, please specify:

Q3 **For the top three main elements** of your country's current national innovation policy **you identified in the previous question, please rate their progress of implementation.**

Please rate the national government's progress on a scale of 1 to 3, where:

‘1’ – ‘Little progress' ‘2’ – 'Moderate progress’ ‘3’ – ‘Strong progress’

	Please rate the progress of implementation			Examples
	1 – Little progress	2 – Moderate progress	3 – Strong progress	Please explain briefly or provide examples
Creation of government agencies responsible for innovation	○	○	○	
Promoting private sector innovation through fiscal incentives	○	○	○	
Improvement of regulatory environment	○	○	○	
Leveraging open data	○	○	○	

Promoting innovation through the digitalization of public services	○	○	○	
Promoting leadership in information technology application areas	○	○	○	
Increasing public sector capacity for research & development	○	○	○	
Protection of intellectual property rights	○	○	○	
Technology transfer	○	○	○	
Reforming public procurement systems	○	○	○	
Promoting grass-root innovation	○	○	○	

Create learning networks	○	○	○	
Increasing use of experimentation and foresight	○	○	○	
Exploring data types and usage	○	○	○	
Exchange and cooperation between key stakeholders of the innovation ecosystem	○	○	○	
Others, please specify:	○	○	○	

Q4 **In the next two years, to what extent are the following innovation capacities key priorities for your government? If the answer is "high" or "moderate" priority.**

	Please rate the following priorities		
	Low priority	Moderate priority	High priority
Digital transformation	○	○	○
Personal data and data privacy	○	○	○
Artificial Intelligence / Machine-learning	○	○	○
Financial Innovation (e.g. blockchain)	○	○	○
Skills-building and talent development for the future of work	○	○	○
Fostering entrepreneurship	○	○	○
Grassroots innovation	○	○	○
Intellectual property	○	○	○
Improving program design through social innovation methods	○	○	○
Streamlining innovation to inform public policy	○	○	○
Others, please specify	○	○	○

Q5a **Scaling is the process of expanding access to and use of services, policies, and solutions with the aim of increasing its impact. Have you been scaling up any of your innovations in the past two years?**

- ○ Never
- ○ We are in the process
- ○ Yes

Q5b **If so, how did you scale up your innovations?**

Please select all that apply.

- ☐ By increasing the number of people or communities served through existing
- ☐ By adapting laws, rules, and policies
- ☐ By addressing cultural roots and norms
- ☐ Others, please specify _____

Q6 **Which organization would you most likely talk to or partner with when collaborating for public sector social innovation? Please indicate at least three organization names and select the organization type(s).**

	Please choose the category that best describe the organization's type:										If you choose "others", please explain.
	Multilateral & international organizations	Bilateral organizations	Non-governmental organizations	Private sector consulting Firms	Medium and large businesses	Small and medium enterprises	Academic institutions	Learning networks or think tanks	Others	Local incubators	Others
Name of organization 1	○	○	○	○	○	○	○	○	○	○	
Name of organization 2	○	○	○	○	○	○	○	○	○	○	

Name of organization 3	○	○	○	○	○	○	○	○	○	○
Name of organization 4	○	○	○	○	○	○	○	○	○	○
Name of organization 5	○	○	○	○	○	○	○	○	○	○

Q7 **In your opinion, which of these statements best represents your current public sector innovation ecosystem?**

○ Exposure to innovation is **limited,** only small innovation-related projects are led by **individuals** rather than by institutions.

○ Innovation has been **widely introduced**, but is still largely **uncoordinated** and **not very strategic.**

○ The government is **experienced** in coordinating innovation, and is **planning to incorporate** innovation as a part of **regular operations**.

○ There is an **established** innovation system and **supporting infrastructure.**

I.C. **Innovation Culture**

Q8 **In the next two years, which do you think will be the primary obstacles for your national government's innovation progress? Please select and rank the top three obstacles in their order of importance (1=most important; 2=second most important etc.)**

Please drag and rank your THREE primary obstacles:
_____ Risk averse to innovative approaches
_____ Innovation is not a strategic priority
_____ Insufficient internal collaboration on innovation
_____ Little internal knowledge sharing
_____ Lack of internal expertise & incentives
_____ Lack of external partnerships
_____ Insufficient time available for innovation
_____ Lack of decision-making process framework
_____ Improvable guidance & strategy
_____ Lack of funds and resources
_____ Election of new authorities
_____ Management constraints
_____ Natural disaster, political conflicts, etc.
_____ Resistance or lack of commitment from private sector
_____ Others, please specify:

Q9

How is the post-COVID "new normal" likely to change your country's public sector innovation in the next five years?

○ The post-COVID 'new normal' is likely to **undermine** our country's public sector innovation progress

○ The post-COVID 'new normal' is likely to **accelerate** our country's public sector innovation progress

○ I don't foresee how the post-Covid 'new normal' is likely to change our country's public sector innovation progress

Section II: Good Practices

A second integral component of successful public sector innovation are good practices. This section aims to study good practices in regard to the **A) Innovation Methods and Practices** and **B) Procedures** that have been used for public sector innovation in your country.

Q10a **The following question will address innovation methods. Innovation methods are processes, tools, and techniques used to foster innovation by facilitating the identification of challenges, the creation of ideas, their development and testing, implementation, and scaling. Please indicate the capacity to implement and actually use the following innovation methods by your national/ state government in the past two years.**

If your national/ state government has used a method for public sector innovation, please select "We have the capacity and we have used it." If your national/ state government has the capacity but has not

used it (yet), please select "We have the capacity but we have not used it yet." Otherwise, please select "We do not have the capacity and have not used it."

	We do not have the capacity and have not used it.	We have the capacity but we have not used it yet.	We have the capacity and we have used it.
Sense-making	○	○	○
Systems Thinking	○	○	○
Experimentation approaches (e.g. randomized control trials, rapid-cycle experiments, living labs, prototyping & pilots)	○	○	○
Futures Analysis & Foresight	○	○	○
Challenges & Prizes	○	○	○
Agile Methodologies	○	○	○
Frugal and/or Grassroots Innovation	○	○	○
Design Thinking & Human-centered Design	○	○	○
Behavioral Insights	○	○	○
Regulatory Sandboxes	○	○	○
Innovative Finance (e.g., impact Investment, crowdfunding, crowdsourcing)	○	○	○

Artificial Intelligence & Machine Learning)	○	○	○
Open Innovation	○	○	○
Blockchain applications (e.g. cryptocurrencies, smart contracts)	○	○	○
Mobile solutions (Apps)	○	○	○
Collective Intelligence	○	○	○
Citizen Science	○	○	○
Positive Deviance	○	○	○
Incubators/Accelerator/labs /Innovation teams	○	○	○
Solutions Mapping	○	○	○
Portfolio Approach	○	○	○
Systemic Design	○	○	○
Social Media & Network Analysis	○	○	○
Anticipatory Regulation	○	○	○

Design Sprints	○	○	○
Gamification	○	○	○
Hackathons	○	○	○
Horizon Scanning	○	○	○
Micro Narratives	○	○	○
Minimal Viable Products (MVP)	○	○	○
Participatory Design	○	○	○
Positive Deviance	○	○	○
Proof of Concept	○	○	○
Reverse Engineering	○	○	○
Visual Thinking and Mapping	○	○	○
Smart Cities	○	○	○
Other, please specify:	○	○	○

Q10b **Considering the innovation methods your national/ state government has used before and are considered the most important ones, could you please provide an example (or, if relevant, an external links to the relevant project)?**

	For the methods you have used before ***and*** are considered the most important ones, please provide a short example.
	E.g. "We developed an app [mobile solutions] to gather information on citizens' needs in a project in 2020 to increase health-care access."
Sense-making	
Systems Thinking	
Experimentation approaches (e.g. randomized control trials, rapid-cycle experiments, living labs, prototyping & pilots)	
Futures Analysis & Foresight	
Challenges & Prizes	

Agile Methodologies	
Frugal and/or Grassroots Innovation	
Design Thinking & Human-centered Design	
Behavioral Insights	
Regulatory Sandboxes	
Innovative Finance (e.g., impact Investment, crowdfunding, crowdsourcing)	
Artificial Intelligence & Machine Learning)	
Open Innovation	
Blockchain applications (e.g. cryptocurrencies, smart contracts)	
Mobile solutions (Apps)	

Collective Intelligence	
Citizen Science	
Positive Deviance	
Incubators/Accelerator/labs /Innovation teams	
Solutions Mapping	
Portfolio Approach	
Systemic Design	
Social Media & Network Analysis	
Anticipatory Regulation	
Design Sprints	

Gamification	
Hackathons	
Horizon Scanning	
Micro Narratives	
Minimal Viable Products (MVP)	
Participatory Design	
Positive Deviance	
Proof of Concept	
Reverse Engineering	
Visual Thinking and Mapping	

Smart Cities	
Other, please specify:	

Q11a The following question will explore data-driven innovation. Data-driven innovation looks to increase and diversify types of data sources used to inform better public policy decisions and empower citizens. Please indicate the capacity to implement and actually use the following data sources by your national/ state government in the past two years.
If your national/ state government has used a data source for public sector innovation, please select "We have the capacity and we have used it." If your national/ state government has the capacity but has

not used it (yet), please select "We have the capacity but we have not used it yet." Otherwise, please select "We do not have the capacity and have not used it."

	We do not have the capacity and have not used it.	We have the capacity but we have not used it yet.	We have the capacity and we have used it.
Spatiotemporal Data	○	○	○
Social network/ social media data	○	○	○
Sensor/ Sensor Network Data	○	○	○
Open Data	○	○	○
Mobile Phone Data	○	○	○
Geospatial Data	○	○	○
Financial Transaction Data	○	○	○
Drone & Satellite Data	○	○	○
Citizen Data	○	○	○
Big & Raw Data	○	○	○
Automated Language Processing/ Transcription Data	○	○	○
User Stories	○	○	○

Ethnographic Data	○	○	○
Socioeconomic Data	○	○	○
Behavioral Nudge Messaging	○	○	○
Focus Group	○	○	○
Structured Interviews	○	○	○
Tracking Data	○	○	○
Surveys	○	○	○
Observation	○	○	○
Scientific Research	○	○	○
Systems Maps	○	○	○
Real-time data	○	○	○
Others, please specify	○	○	○

Q11b Considering the data sources your national/ state government has used before and are considered the most important ones, could you please provide an example (or, if relevant, an external links to the relevant project)?

	For the data sources you have used before ***and*** are considered the most important ones, please provide a short example.
	E.g. "We utilized drone and satellite data to improve energy and resource efficiency.."
Spatiotemporal Data	
Social network/ social media data	
Sensor/ Sensor Network Data	
Open Data	
Mobile Phone Data	
Geospatial Data	

Financial Transaction Data	
Drone & Satellite Data	
Citizen Data	
Big & Raw Data	
Automated Language Processing/ Transcription Data	
User Stories	
Ethnographic Data	
Socioeconomic Data	
Behavioral Nudge Messaging	
Focus Group	

Structured Interviews	
Tracking Data	
Surveys	
Observation	
Scientific Research	
Systems Maps	
Real-time data	
Others, please specify	

Q12 For the following innovation practices, please indicate how often they were used in the past two years. Also, please briefly explain f**or which purpose did you use the practice and what were the results?**

Response values are as follows: '1' – 'No / little practice' '2' – 'Some practice' '3' – 'Frequent

practice' If you have links to a project in which you used them, please share them in the right hand-side box.

	Frequency			Purpose
	'1' – 'No / little practice'	'2' – 'Some practice'	'3' – 'Frequent practice'	
Opportunities & challenges: innovation mapping and future scaping	○	○	○	
Generating or crowdsourcing ideas and/or solutions from citizens	○	○	○	
Delivering & implementing: public & social labs, people-powered results	○	○	○	

Growing & Scaling: crowdfunding, impact investment, innovation scaling	○	○	○	
Changing systems: anticipatory regulation	○	○	○	
Using systems theory / systems mapping to guide interventions	○	○	○	
Experimenting new solutions and creating new evidence (testing, adjusting, prototyping)	○	○	○	
Other (please explain)	○	○	○	

Q13 **In the next two years, in which policy dimensions do you see the biggest opportunity for social innovation in your country's public sector? Please drag and rank the top three priorities in the order of importance (1= the most important element,..., 3= the third most important element.)**

Three priorities for next two years
_____ Access to quality healthcare services
_____ Access to quality education
_____ Financial inclusion
_____ Connectivity and internet access
_____ Mobility / improved public transport
_____ Access to legal remedies
_____ Personal security and law enforcement
_____ Judicial system and rule of law
_____ Access to social protection
_____ Waste management/environmental protection
_____ Green & circular economy
_____ Blue economy and use of ocean resources
_____ Climate resilience
_____ Access to labor market / employment opportunities
_____ Access to regional trade markets
_____ Formalization of labor
_____ Quality of livelihood
_____ Access to affordable and clean energy
_____ Access to water and sanitation
_____ Food security
_____ Access to quality housing & shelter
_____ Cities and urban environments
_____ Gender equality
_____ Peaceful relationships between different parts of society
_____ Fostering entrepreneurship & startups
_____ Reduction of poverty

II.B. **Procedures**

Q14 **To what extent do you agree with the following statements about innovation practice in your country?**

	Strongly Disagree	Disagree	Neither Disagree or Agree	Agree	Strongly Agree
We encourage local actors to develop bottom-up solutions for local issues	○	○	○	○	○
Grassroots innovation is a very new approach, and the government has not incorporated this approach yet	○	○	○	○	○
We use experimentation to test different policy alternatives and incorporate learnings	○	○	○	○	○
We take steps to save resources on potentially unsuccessful policies, e.g. small-scale trials	○	○	○	○	○
Novel solutions can be explored in a safe-to-fail context	○	○	○	○	○

Section III Section III: Access to Public Services

This section aims to assess the country's digitalization.

Q15 To what degree are the following public services **digitalized** in your country?

Please respond on a scale of 1 to 5.
'1' – 'Not at all digitalized": No public service delivery in this category utilizes digital technologies.
'2' – 'Low levels of digitalization': The public sector is in the early stage of utilizing digital technologies to deliver a limited amount of public services.
'3' – 'Moderate levels of digitalization': The public sector has utilized digital technologies to deliver a moderate amount of public services.
'4' – 'Advanced levels of digitalization': The public sector utilized digital technologies to deliver a large amount of public services.

‘5’ – ‘Almost complete digitalization': The public sector has almost complete digitalization of public services.

	‘1’ – ‘No at all digitalized'	‘2’ – ‘Low levels of digitalization'	‘3’ – ‘Moderate levels of digitalization'	4’ – ‘Advanced levels of digitalization'	'5' – 'Almost complete digitalization'
Filing and paying taxes	○	○	○	○	○
Civil registration (passport, license plate, marriage certification, citizenship)	○	○	○	○	○
Census and household surveys	○	○	○	○	○
Consumer protection and grievance redressal	○	○	○	○	○
Political participation (voting, petitions, etc.)	○	○	○	○	○
Procurement in the public sector	○	○	○	○	○
Access to publicly available information (open data)	○	○	○	○	○
Health care services (pay bill, appointments, access information, tele-visits, etc.)	○	○	○	○	○
Emergency & catastrophe communication	○	○	○	○	○

Land & property registration	○	○	○	○	○
Energy systems (pay a bill, smart meters, change provider, etc.)	○	○	○	○	○
Legal remedies and processes	○	○	○	○	○
Permits and licenses for businesses	○	○	○	○	○
Sustainability management (circular economy, carbon emission management etc.)	○	○	○	○	○
Public transportation (e.g. purchasing tickets online, transportation apps etc.)	○	○	○	○	○
Access to social security (unemployment benefits, food stamps etc.)	○	○	○	○	○
Higher public education (information systems, course registration, application process, online learning tools etc.)	○	○	○	○	○

Primary & secondary public education (Communication with parents, application process etc.)	○	○	○	○	○

Closing Question **Thank you very much for participating in "UNDP Accelerator Labs: Mapping Innovation in the Public Sector 2021". Do you have any additional comments and feedback regarding the survey?**

_____

Follow-up **The UNDP innovation mapping team will share the results once data collection and analysis are completed. Please provide your preferred email address for this purpose. This contact information is stored separate from other survey responses to maintain confidentiality.**

Acclabs

Current relationship between Accelerator Labs and national governments

This section seeks to analyze the relationship between the local / national government and the Accelerator Labs. This section is only intended for Accelerator Labs members to respond.

ACLQ1a **Thinking about the work of the Accelerator Labs, what are the three public sector institutions that you currently interact with the most? Please provide the name (you can provide the official name**

in your local language), and select the option that best describes the level of the institution.

	National level	Federal / state level	Local / city / municipality
Name of institution	○	○	○
Name of institution	○	○	○
Name of institution	○	○	○

ACLQ1b **For the institution you described in the previous question, please select the option that best describes the role of your main contact point.**

	Head of the institution	Senior advisor	Program officer
Name of institution	○	○	○
Name of institution	○	○	○
Name of institution	○	○	○

ACLQ2a **To what extent do you agree with the following statements regarding the collaboration with the public sector in your country so far?**

	Disagree	Neither Disagree or Agree	Agree
We have successfully carried out experiments with the public sector.	○	○	○
We have completed a successful cycle (sense, explore, test, grow) in partnership with the government.	○	○	○
Our learnings have positively affected public policies in the country.	○	○	○
We have managed to mainstream (at least) one innovation method in the public sector.	○	○	○
We have managed to mainstream the use of (at least) one new data source in the public sector.	○	○	○

ACLQ2b **To follow up on the question above, please briefly explain what methods and data sources you have utilized when collaborating with the public sector in your country?**

	Methods and Data Sources

	Please briefly explain:
We have successfully carried out experiments with the public sector.	
We have completed a successful cycle (sense, explore, test, grow) in partnership with the government.	
Our learnings have positively affected public policies in the country.	
We have managed to mainstream (at least) one innovation method in the public sector.	
We have managed to mainstream the use of (at least) one new data source in the public sector.	

ACLQ3 The matrix below offers descriptions of different types of relationships between partners. Select those ones that describe best the current relationship between your Accelerator Lab and your public sector counterparts.

Mindset	◯ Partners have a philanthropic mindset (beneficiary vs. donor)	◯ Both sides are eager to partner and increase understanding and trust	◯ There is a substantial overlap, and both parties identify with each other's goals and values.
Strategic alignment	◯ Very limited fit; Partners are only aligned in a particular issue area	◯ Some overlap in overall mission and values across various issue areas	◯ Strong integration of long-term mission and values
Collaboration value	◯ Exchange of resources	◯ Core competency transfer and exchange of resources	◯ Joint value creation
Collaboration definition and performance	◯ Very limited collaboration in defining activities and project outcomes	◯ Explicit performance expectations set at the leadership level of both organizations (for projects of limited scope)	◯ A broad scope of projects is identified and developed at all levels of the organization with high mutual expectations and accountability
Frequency & type of Contact	◯ Relationships are not well-established and exchanges are infrequent	◯ Exchanges are mostly facilitated by third parties (eg. UNDP country office)	◯ We have well-established relationships and frequent exchanges