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LUNDS UNIVERSITET

Ekonomihögskolan

Fredrik Andersson
rektor, professor

Yttrande över sakkunnigprövning av Sylvia Schwaag Sergers meriter

Jag har den 15 juni 2017 fått i uppdrag av Universitetsstyrelsens ordförande att inhämta sakkunnigbedömning och baserad på denna redovisa bedömning av Sylvia Schwaag Sergers meriter för anställning som professor (Dnr STYR 2017/187). Bakgrunden är att Sylvia Schwaag Serger är en av kandidaterna i universitetets rekrytering av ny prorektor. Sylvia Schwaag Serger är för närvarande direktör för internationell strategi på Vinnova och adjungerad professor i forskningspolitik vid Ekonomihögskolan.

Sylvia Schwaag Serger har som framgår ovan varit yrkesverksam utanför akademien och knuten till Lunds universitet via en adjungerad professur vid Ekonomihögskolan. Det är mot denna bakgrund som prövningen av behörighet mot gällande anställningsordning vid Lunds universitet (Dnr STYR 2014/676) samt gällande bedömningskriterier för befordran till professor vid Ekonomihögskolan (Dnr STYR 2016/327) sker. En kravprofil för anställning som professor i forskningspolitik upprättades den 15 juni 2017 (bifogas).

Två sakkunniga accepterade i juni uppdrag att göra en sakkunnigbedömning av Sylvia Schwaag Sergers meriter, professor Susana Borrás, Copenhagen Business School, och professor W. Edward Steinmueller, University of Sussex; deras yttranden bifogas. Bedömningen i det följande är baserad på dessa yttranden och är gjord i samråd med Anders Nilsson, ordförande i Ekonomihögskolans lärarförslagsnämnd, och Alf Rosenbäck, kanslichef vid Ekonomihögskolan samt adjungerad ledamot i lärarförslagsnämnden.

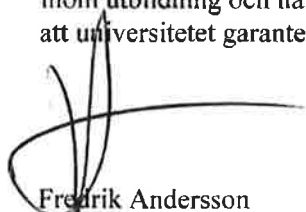
De två sakkunniga är båda positiva till att Sylvia Schwaag Serger anställs som professor i forskningspolitik. Vid en samlad bedömning av meriterna delar Ekonomihögskolan denna uppfattning, med följande kommentarer och kompletteringar:

- Den övergripande bedömningen är att Sylvia Schwaag Serger har en klar forskningsinriktning som hon driver med ett betydande mått av självständighet i synnerhet vad gäller de bidrag som avser kinesiska förhållanden. Vidare bedöms hennes arbeten innehålla påtagliga vetenskapliga bidrag och vara metodmässigt stringenta även om, som påpekas av professor Borrás, en vidgning av den metodmässiga

verktygslådan framöver är önskvärd. Den ämnesmässiga rörelsen sedan avhandlingen bedöms av de sakkunniga som en styrka. De sakkunniga pekar också samstämmigt på en begränsad men kvalificerad insats som lärare, och betonar att Sylvia Schwaag Serger är väl meriterad vad gäller ledarskap och utomordentligt väl meriterad vad gäller samverkan. De båda sakkunniga drar oberoende av varandra slutsatsen att Sylvia Schwaag Sergers meritering, med de styrkor och begränsningar som finns, uppfyller de krav som gäller för anställning som professor i forskningspolitik.

- De sakkunniga har inte gjort någon bedömning av Sylvia Schwaag Sergers högskolepedagogiska utbildning. I samband med hennes adjungering har återopade meriter befunnits tillräckliga men för anställning som professor kommer en ny bedömning mot kravet på fem veckors utbildning att behöva göras. Om den bedömningen leder till slutsatsen att det inte är uppfyllt kommer en utvecklingsplan för att nå ända fram att behöva upprättas.
- I ljuset av att Sylvia Schwaag Serger haft sin huvudsakliga verksamhet utanför akademien är det naturligt att hennes undervisningserfarenhet är begränsad. Även om Sylvia Schwaag Serger har erfarenhet av undervisning och arbete som biträdande handledare för doktorander, står det klart att den pedagogiska meriteringen vad gäller bredd och pedagogiskt utvecklingsarbete är väsentligt svagare än som är normalt i professorsärenden.
- Sylvia Schwaag Sergers vetenskapliga meritering avspeglar kombinationen av en givet förutsättningarna tämligen omfattande vetenskaplig produktion och förtjänstfulla insatser utanför akademien med analys- och utredningsarbete av mycket hög kvalitet. Den vetenskapliga profilen kommenteras särskilt tydligt i professor Steinmuellers bedömning, där han också noterar att Sylvia Schwaag Serger har ett tämligen stort genomslag med de citeringsmått som används inom vetenskapssamhället och att detta är en viktig styrka i sammanhanget. Ekonomihögskolan delar denna bedömning. Även här måste man emellertid nämna att den vetenskapliga meriteringen inte har samma profil som är normalt i professorsärenden.

Det aktuella ärendet har som framgår ovan initierats genom universitetets arbete med rekrytering av ny prorektor. Sylvia Schwaag Serger har gjort värdefulla insatser för Ekonomihögskolan som adjungerad professor och hon kan fortsätta att göra det om hon utses till prorektor för Lunds universitet och anställs som professor i forskningspolitik. Sylvia Schwaag Serger kommer också utan tvekan att kunna göra viktiga och värdefulla insatser i verksamheten efter att mandatperioden för arbetet som prorektor går ut, men Ekonomihögskolan har inte de ekonomiska förutsättningarna att rekrytera en heltidsverksam professor inom området och verksamheten inom området har inte heller uppenbara behov av ytterligare insatser inom utbildning och handledning; det är därför en förutsättning för rekryteringen att universitetet garanterar det ekonomiska underlaget för anställningen på sikt.



Fredrik Andersson

Sylvia Schwaag Serger

Östanväg 97B, 211617 Limhamn, Sweden
Tel: +46 40-268262 (h), +46 705-858385 (m)
Email: sylvia.schwaagserger@gmail.com

Work experience

- Since Jan 2008 **Swedish Agency for Innovation Systems (VINNOVA)**, Stockholm, Sweden
Executive Director International Strategy and Networks
- responsible for VINNOVA's international strategy
 - responsible for international division (till 2010), (budget of ca. 10 mio € and 22 people)
- Since March 2013 **School of Economics, University of Lund**, Lund, Sweden
Adjunct Professor Research Policy
- Dec 2012-
Mar 2016 **Institute for Policy and Management, Chinese Academy of Sciences**, Beijing, China
Guest Professor
- Feb 2007-
Dec 2007 **Swedish Institute for Growth Policy Studies (ITPS)**, Stockholm, Sweden
Senior Advisor Asia
- Feb 2005-
Jan 2007 **Embassy of Sweden Science Office (ITPS)**, Beijing, China
Counsellor Science and Technology
- analyzed China's innovation system and science and technology (S&T) capabilities
 - gave presentations to academia, government and corporate decisionmakers
- Feb 2005-
March 2012 **Research Policy Institute, University of Lund**, Lund, Sweden
Senior Research Fellow
- conducted research on China
 - supervised Masters and PhD students
 - taught Masters Course on Chinese Economy
- Oct 2002-
Nov 2004 **International Organisation for Knowledge Economy and Enterprise Development (IKED)**, Malmö, Sweden
Jul-Nov '04 **Acting Director**
- responsible for personnel, budget, and strategic development
 - led Baltic Programme (innovation and SME policies in the Baltic Sea Region)
 - led project on designing innovation policies for Turkey
 - tendered successfully for projects at national and EU level
- Oct 1999-
Sep 2002 **Swedish Institute for Food and Agricultural Economics (SLI)**, Lund, Sweden
Senior researcher
- conducted research on decision-making on agricultural policy in the European Union
 - led a project on the dairy sector in the EU accession countries
- Sep 1997-
Sep 1999 **Ministry of Industry and Trade**, Stockholm, Sweden
Senior administrative officer
Aug '98-Oct '99 **Structural analysis unit**
- performed analyses of and gave presentations on the Swedish economy
 - represented the Swedish government on the OECD Industrial Committee
- Sep '97-July '98* **Division for research and development**
- analyzed and devised strategies for improving technology policy
 - led a group in a project drafting a new national strategy for Swedish industrial policy
 - represented the Swedish government on the Committee for Scientific and Technical Research (CREST), which advises the EU Commission and the Council of Ministers
 - acted as expert on a governmental committee on Swedish policy on EMU
 - stationed in Brussels for four weeks in preparation of Sweden's EU presidency.
- May 1996-
June 1997 **Economist Intelligence Unit (EIU)**, London, UK
Freelance writer

	<ul style="list-style-type: none"> · wrote quarterly and annual economic/political reports on Denmark and Sweden
Oct 1992- May 1995	<p>London School of Economics and Political Science (LSE), London, UK</p> <p>Part-time teacher, "Britain, America and the international economy since 1870"</p> <ul style="list-style-type: none"> · taught classes of 15 undergraduates and graded essays <p>Research assistant for Prof. Paul Johnson and Dr. Patrick O'Brien</p> <ul style="list-style-type: none"> · collected data and performed statistical analysis <p>Teaching assistant, "Interpretation and analysis" (econometrics for historians)</p>
Aug 1990- June 1992	<p>Paul H. Nitze School of Advanced International Studies, The Johns Hopkins University (SAIS), Washington, D.C., USA</p> <p>Teaching assistant, "International trade"</p> <ul style="list-style-type: none"> · taught tutorials to 50 graduate students
Aug 1989- Dec 1989	<p>NCR Germany, Augsburg, Germany</p> <p>Assistant to the product marketing director for personal computers</p> <ul style="list-style-type: none"> · conducted analyses of the personal computer market

Education

1992-1997	<p>London School of Economics and Political Science (LSE), London, UK</p> <p>Doctor of Philosophy (Ph.D.): <i>Monetary cooperation and exchange rate management in Europe in the 1950s: the return to currency convertibility.</i> Supervisor: Prof. Alan Milward</p>
1990-1992	<p>Paul H. Nitze School of Advanced International Studies, The Johns Hopkins University (SAIS), Bologna, Italy and Washington, D.C., USA</p> <p>Master of Arts (M.A.) in International Economics and International Relations; Cumulative final exams with distinction</p>
1987-1990	<p>Kalamazoo College, Kalamazoo, Michigan, USA</p> <p>Bachelor of Arts (B.A.), Magna Cum Laude, in Economics and French Overall GPA: 3.87/4.0; Major GPA: Economics: 4.0/4.0, French: 4.0/4.0</p>
1978-1987	<p>Justus-von-Liebig-Gymnasium, Neusäß, Germany</p> <p>Abitur in English, French, Mathematics and Geography; Student President GPA: 1.4/6.0 (1 is best grade)</p>

Awards and distinctions

LSE	ESRC Fees Only Award, 1993-6, Eileen Power / Michael Postan Award, 1994/5; Isobel Thornley Fellowship, Institute of Historical Research, Oct. 1995–March 1996.
SAIS	Bologna Center Fellowship 1990/1, SAIS Fellowship 1991/2.
Kalamazoo College	William Howard Prize for best graduating economics student; Alliance Française Prize for best graduating French student; Phi Beta Kappa (Academic Honors Society).

Selected publications

2016	<p>China's innovation system: 10 years on, with S. Gu and B.-Å. Lundvall, <i>Innovation: Management, Policy & Practice</i>, November.</p> <p>Evaluating the role of HEIs' interaction with surrounding society, with E. Wise, M. Berg, M. Landgren, M. Benner and E. Perez Vico, <i>Vinnova Report 2016:09</i>.</p> <p>Fundamental Debates and Policy Choices for Supporting Innovation in Africa, with S. Grobbelaar, <i>Development</i>, January.</p> <p>Realizing innovation opportunities in Sub-Saharan Africa, Background report for STIAS-Wallenberg Roundtable on innovation, with S. Grobbelaar.</p>
2015	<p>National research and innovation councils as an instrument of innovation governance. Characteristics and challenges, with E. Wise and E. Arnold, <i>VINNOVA Analys 2015:07</i>.</p>

- Chinese university governance – Tensions and reforms**, with M. Benner and L. Liu, *Science and Public Policy*.
- 2014 **Sino-Swedish Eco Innovation Collaboration - Towards a new pathway for shared green growth opportunity**, w. N. Lundin, VINNOVA, Stockholm.
- Combining excellence in education, research and impact – inspiration from Stanford and Berkeley and implications for Swedish universities**, w. A. Bienenstock, M. Benner and A. Lidgard, SNS, Stockholm.
- Jakten på det nya kapitalet – Sverige i den globala konkurrensen om kompetens**, w. T. Lifvendahl and K. Lindahl v Sydow, Fores, Stockholm.
- 2012 **International Cooperation in Science, Technology and Innovation: Strategies for a Changing World**, report EU Expert Group to DG Research, Brussels.
- Research priority-setting in China**, w. M. Benner and L. Liu, *Science and Public Policy*, Vol.39, Nr.2.
- 2010 **Internationalization of research and innovation – new policy developments**, w. E. Wise, Working Paper, 2nd Conference on Corporate R&D (CONCORD), IPTS, Seville.
- Global Pressure – Nordic Solutions**, *Nordic Globalization Barometer 2010*, w. C. Ketels and N. Lundin, Nordic Council of Ministers, Copenhagen.
- Women in Science and Technology in China**, w. Y. Zhou, W. Chen, G. Zhao and H. Wang, *Gender-Specific Research and Development*, Research Policy Institute, Lund.
- 2009 **China's System and Vision of Innovation: An Analysis in relation to the strategic adjustment and the Medium- to Long-Term S&T Development Plan (2006-2020)**, w. S. Gu, B.-Å. Lundvall, L. Ju, and F. Malerba, *Industry and Innovation*, August 2009.
- Evaluation of China's participation in the EU Framework Programme**, w. E. Arnold, S. Busillet and N. Brown, Evaluation carried out for the European Commission, DG Research.
- Foreign corporate R&D in China: trends and policy issues**, *New Asian Dynamics in Science, Technology and Innovation. China and India in Perspective*, ed. by A. D'Costa and G. Parayil, Palgrave Macmillan.
- 2008 **Framework Conditions for Innovation**, chapter 9 in *OECD Reviews of Innovation Policy: China*, w. R. Frietsch, J. Wang, J. Edler, S. Corver and X. Liu, OECD, Paris.
- Institutional analysis of legal change: the case of corporate governance in China**, w. S. Opper, *Journal of Law and Policy*, Washington University.
- 2007 **Globalisation of R&D and China. Empirical observations and policy implications**. w. N. Lundin. Working Paper Nr. 710, Research Institute of Industrial Economics, Stockholm.
- China's 15-year plan for scientific and technological development – a critical assessment**, w. M. Bredne, research note, *Asia Policy*, Nr.4, July 2007.
- 2006 **Mapping of Research Financing Organizations in the US, China and Japan**, w. B. Falkenhall, B. Hausman and A. Nilsson, ITPS, Östersund.
- Stark tro på tillväxt genom teknisk förnyelse i Kinas nya långtidsplan**, w. M. Bredne, ITPS, Östersund.
- Foreign R&D in China: From shop floor to knowledge factory? Internationalization of Corporate R&D – Leveraging the Changing Geography of Innovation**, ed. by M. Karlsson, ITPS, Östersund.
- Commercialization of Life Sciences in the USA, Japan and China**, w. A. Nilsson and H. Fridén, ITPS (Institute for Growth Policy Studies), Östersund.
- 2005 **Competition from China – Challenges and Opportunities for Sweden**, w. E. Widman, ITPS

- 2004 **Strengthening Innovation Policies in Turkey**, w. E. Hansson and G. Napier, IKED, Malmö.
Innovation in the Baltic Sea Region – a Case for Cooperation? w. E. Hansson, IKED.
The Cluster Policies Whitebook, w. T. Andersson, E. Hansson and J. Sörvik, IKED.
- 2003 **Competing in the Single Market. Towards Effective Policies for Innovation and Enterprise Development in the Baltic Sea Countries**, w. E. Hansson, IKED.
- 2002 **EU Milk Policy after Enlargement – Competitiveness and Politics in Four Candidate Countries**, w. E. Kaspersson and E. Rabinowicz, SLI, Lund.
- 2001 **Negotiating CAP reform in the European Union: Agenda 2000**, SLI (Swedish Institute for Agricultural Economics), Lund.
- 1999 **Currency convertibility and European integration**, in A. Deighton and A. Milward (eds.), *Acceleration, deepening, and enlarging: the European Economic Community, 1957-1963*, Nomos Verlag, Baden Baden.
- 1998 Book review **Die Bundesbank im westeuropäischen Wiederaufbau**, by Monica Dickhaus, *Journal of European Integration History*, Volume 4, Nr.1
- 1997 **Wiederherstellung der Währungsconvertierbarkeit 1958 als Beginn einer neuen wirtschaftspolitischen Zielrichtung in Westeuropa**, in *Zeitgeschichte*, 3/4 1997.
Monetary co-operation and exchange rate stability in Western Europe: France, Britain and Germany in the return to currency convertibility in 1958, Ph.D. Thesis, London School of Economics and Political Science (LSE), London.

Selected lectures and presentations

- 1997 "Exchange rate stability and monetary cooperation in Europe: the return to currency convertibility in 1958", **European University Institute (EUI)**, Florence
- 2001 "Reforming the Common Agricultural Policy (CAP)", **Swedish Agricultural University**, Ultuna
- 2005 "Clusters and cluster policies – ways for promoting innovation?" **Tsinghua University**, Beijing
- 2006 "Foreign corporate R&D in China", **State University of New York**, New York.
"Foreign R&D in China", **OECD Business Industry Advisory Council**, Paris.
- 2007 "Foreign Corporate R&D and China", Atlas of Ideas Conference, **DEMOS**, London
"Globalization of R&D and China", **OECD Conference**, Beijing.
- 2008 "From world's factory to world's brain? Innovation in China", Annual Conference, **The European Association of Innovation Agencies (TAFTIE)**, Dublin
"New Innovation Geography – policy implications for a small open economy", **Science and Innovation Week**, Mexico City and New York Academy of Sciences (NYAS), Mexico City
- 2009 "Building an innovation country", **China Executive Leadership Academy Pudong**, Shanghai.
- 2010 "New poles of attraction in science and innovation – the example of China", **AAAS Annual Meeting**, San Diego
"A united ERA in a Global World?", **European Research Area Board Conference**, Seville.
"Science, technology and innovation in China", **Handelsbanken**, Stockholm.
- 2011 "Den nya världsordningen – Kinas framfart", **Sveriges Radio**, Stockholm.
"China: From Copycat to Innovation?" **BOFIT Seminar**, Bank of Finland, Helsinki.
"Sommarpratarna", **Swedish Radio**.
"China's innovation system", **Pujiang Innovation Forum**, Shanghai.

- 2012 "International dimension of the European Research Area (ERA)", **ERA conference**, Brussels.
- 2015 "Research and teaching in a mutually beneficial interplay", **Swedish Higher Education Authority (UKÄ) Annual Conference**, Stockholm.

Appointments

Chairperson, Swedish Foundation for Higher Education and Research (STINT) (since 2016)

Member, Austrian Council for Science and Technological Development (since 2015)

Member, Swedish Expert Commission for Research ('Forskningsberedning') (2015-2016)

Board Member, Innovation Skåne AB (since 2015)

Expert, Swedish Government Commission on Entrepreneurship (2014-2016)

Member, European Expert Group Evaluation of European Innovation Partnerships, European Commission (2013)

Chair, European Expert Group Internationalization of research and innovation, European Commission (2012)

Member of the Board, Expert Group for Public Economics (ESO) (under the Ministry of Finance) (since 2010)

Member of Expert Advisory Group, China-Norwegian research program, Research Council of Norway (since 2010)

Member of the Board, Center for Southeast Asian Studies, University of Lund (2008-2011)

Member National Program Committee for R&D Statistics, Swedish Statistical Bureau (SCB) (2005-2007)

Member National Incubator Program Committee, (VINNOVA) (2003-2004)

National Expert in OECD Review of China's Innovation System (2005-2007)

China expert to Expert Group on Internationalization of R&D Policies, DG Research, European Commission (2007)

Additional information

Languages	German	Mother Tongue	French	Fluent
	English	Mother Tongue	Swedish	Fluent
	Italian	Good knowledge	Chinese	Intermediate knowledge
Interests	Family and friends, history, bridge, literature, food, art, languages, travel			
Personal details	born February 11, 1968 in Münster, Germany; married, two children (17 and 15 years).			
Citizenship	German / American / Swedish			

Assessment of Sylvia Schwaag Serger as professor in Research Policy at the School of Economics and Management at Lund University

Sylvia Schwaag Serger, born 1968, has a BA in Economics and French from the Kalamazoo College, Michigan, USA; a MA in International Economics and International Relations from the Paul H. Nitze School of Advanced International Studies (SAIS) at the John Hopkins University, Washington, USA. She received her PhD degree in 1997 at the London School of Economics, UK.

She is currently employed as executive director of International strategy and networks at Vinnova, and as an adjunct professor at the School of Economics, University of Lund, Sweden. Previous professional experience includes, among other, positions as acting director at the International Organization for Knowledge Economy and Enterprise Development (IKED), senior research fellow at the Research Policy Institute (Lund University), senior researcher at the Swedish Institute for Food and Agriculture Economics (SLI, Lund), and guest professor at the Institute for Policy and Management at the Chinese Academy of Sciences (Beijing).

Research expertise

Sylvia Schwaag Serger (SSS) has an extensive publication list in the field of higher education, research and innovation policy, innovation systems, economic policy and European integration.

Her publication list includes:

- 1 PhD dissertation
- 1 White book
- 9 peer reviewed articles in scientific journals
- 3 Chapters in edited books or large publications
- 20 Reports and research papers

Her first steps as a researcher were taken in the late 1990s in the area of economic policy cooperation and European integration. SSS has achieved solid scientific credentials and a very clear independence as a researcher, with her own research agenda which has developed differently than the topic of her PhD dissertation.

Since the early 2000s, SSS has focused in the specific areas of China's R&D policy and innovation system, the internationalization of research and innovation, universities excellence and impact, the role of innovation councils and PPPs as instruments of innovation governance, cluster policies, and innovation in Africa. She is particularly recognized for her expertise in the field of internationalization of R&D policies and of China's innovation system and its government policies.

She has had continuous research activities at national and international levels publishing regularly since the late 1990s, and being particularly active since 2006. Her research profile demonstrates a clear direction and specialization in the areas mentioned above, indicating that she has had a consistent and individual research agenda.

She has participated very actively in international research activities, showing that she is a well-established and acknowledged researcher in the field at an international level. She has collaborated extensively with national and international researchers either as co-author, or as single author in edited publications. She has also taken part in international conferences (OECD, AAAS annual conference, TAFTIE annual conference), as well as co-organized international workshops and seminars at Lund University and Vinnova, among others. The extensive international research activities of SSS span not only the Baltic area and Europe, but also Asia and OECD countries. Most recently her research interests have also included Africa, with two recent publications about the innovative potential of this world region.

She has also acted as external reviewer of other researchers' work submitted to international journals and to international conferences. She has acted regularly as external evaluator for international organizations and as anonymous reviewer for international peer reviewed scientific journals.

It is worth noting that SSS has not obtained external research funding due to the conflict of interest related to her employment at Vinnova, a key Swedish funding agency. However her employer has allowed her to spend 20% of her time in academic activities.

She has submitted 10 publications for this assessment. They can be organized the following way:

- 6 about China's research and innovation system and policy
- 2 about policy instruments and comparative analysis of Higher Education Institutions (HEI); and
- 2 early publications in the field of European integration studies.

Starting with the first group: The most recent article, from 2017, with Xielin Liu and others "Beyond catch-up—can a new innovation policy help China overcome the middle income trap?" contributes to the understanding of how countries attempt to overcome the middle-income trap. Focusing on the China case study, the article applies the National Innovation System approach and identifies the different China's strategies during the past 15 years. Based on interviews, the article argues that the efforts of the Chinese government to move towards a new 2.0 innovation system still encounter some challenges.

The article from 2012 in the same journal, "Head in the clouds and feet on the ground: Research priority-setting in China", with Mats Benner and Liu Li; and the article from 2007 "China's 15-year plan for scientific and technological development – a critical assessment", with M. Bredne, are also devoted to the policy strategy in China. Both articles describe and analyze the logic behind the Chinese government strategy from the perspective of innovation system perspective, addressing the challenges ahead of the strategy.

The other three publications about China are focusing more at firm-related issues, either from the perspective of R&D foreign investments, or from the perspective of legal framework related to corporate governance in China. In the book chapter "Foreign corporate R&D in China: trends and policy issues" Schwaag Serger she examines what factors define the attractiveness of foreign corporate R&D to China, and what are the consequences for China and for the global distribution of R&D activities worldwide. The article conducts a qualitative research study, and concludes that the rapid growth of foreign R&D investments in China are related to low production costs, and market expansion, together with the Chinese government successful policies promoting its knowledge-base. Along the same lines, her working paper "Globalisation of R&D and China. Empirical observations and policy implications" with N. Lundin describes the trends in China regarding its efforts to internationalize R&D activities, and the challenges and policy implications derived from that. Last but not least, in her article on "Institutional analysis of legal change: the case of corporate governance in China", with Sonja Opper, the focus is on the changes in the legal framework. The article argues that in spite of the changes in Chinese law, the practice of Chinese corporate governance is significantly weak, and that there is a mismatch between the intentions in the law and the every-day practices.

Beyond her expertise in China, SSS has also conducted research in areas about innovation policy instruments and on HEI in a Swedish and in a comparative perspective (European and USA). The conference paper "Towards next generation PPP programs: insights from an agency perspective" co-authored with Christoph Palmberg, focuses on public-private partnerships as instruments of innovation policy. The paper asks what trends in the global landscape are most challenging for PPPs at the national level, and what possible types of new forms of PPPs are emerging as a response to market failures and grand challenges. Focusing on the experience of Sweden and Finland, the paper is anchored in theories of innovation systems, and transitions and niche management literature. The paper analyzes 4 case studies of new models of PPPs: the SIO and UDI programs in Sweden, and the SUUNTA and the BioNets program in Finland. The paper contains a thick description of these programs which are analyzed according to the previous framework developed in the paper. The concluding section argues that these programs face two possible challenges: they require new competencies and actors to be successfully managed, and the management of scalable solutions to societal challenges will need to be developed elsewhere as they go beyond the remit of innovation agencies themselves.

The report "Combining excellence in education, research and impact – inspiration from Stanford and Berkeley and implications for Swedish universities", with Artie Bienenstock, Mats Benner and Anne Lidgard, is a 70 pages report providing a comparison of Swedish universities with Stanford and the University of California Berkeley. The report identifies a series of factors that render these two USA universities excellent, and discuss these factors in relation to the HEI in Sweden. In particular, the report looks at the way in which these two universities and Swedish universities perform in terms of: selecting and attracting students, selecting and attracting faculty, educating the students, links between teaching and research, and the societal interactions of these universities. The report is clearly a policy-oriented report aiming at contributing to policy-discussions about the HEI sector in Sweden.

Last but not least, SSS has submitted two early publications regarding the field of European integration studies: the report on "Negotiating CAP reform in the European Union: Agenda 2000", and the PhD

dissertation "Monetary co-operation and exchange rate stability in Western Europe: France, Britain and Germany in the return to currency convertibility in 1958". The report about CAP reform is a single-authored long report of 195 pages, with a very detailed account of the EU's Common Agriculture Policy reform around the so-called "Agenda 2000". It is an in-depth case study about the needs for reform of CAP, of the different national preferences around that (particularly of Germany, France, UK and Sweden), and of the negotiations and their results. Written in 2001, shortly after the conclusion of the negotiations, the report gives a detailed account of the process and final result of the negotiation of the reform, arguing that the final agreement is the result of the national preferences of most powerful member states.

The second publication about European integration is SSS's PhD dissertation about currency convertibility. This is an extensive dissertation of 384 pages, funded by different external funding sources. It analyses comparatively three leading countries national economic policy on convertibility (France, Germany and the UK) in the post-war period. The dissertation finds that there are important differences among the three countries, and in so doing, it challenges previously scholarly understanding that there was an implicit consensus among main European countries during that period. The dissertation uses historical methods, with direct historical material, and conducts a careful comparative analysis. It was supervised by one of the leading historians of European integration: Prof. Alan Milward.

Sylvia Schwaag Serger is successful in the analysis of different areas in the field of research and innovation policy, without losing analytical clarity and consistency in her field of expertise. Earlier publications indicate her ability in other field of social sciences, beyond research and innovation studies. The main bulk of her academic work is characterized by an integrative and multifaceted analytical approach, mostly based on qualitative comparative research methods. Theoretically, her work is mainly based on the theory of national innovation systems, sometimes combined with other related theoretical approaches. She is definitively one of the leading scholars in the area of China's research and innovation systems and policies, as well as in Swedish research and innovation system. Her research publications are relevant in academic and in policy-making contexts.

Her h-index at Google Scholar is 11 with 1200+ citations. This is a solid impact, and it is the level currently considered suitable for a full professor in similar assessments at other universities in the Nordic countries.

Overall, Sylvia Schwaag Serger has completed a high degree of original research publications at an international level in different areas of research and innovation policy studies, and earlier on her career also in the field of European studies. Throughout the years she has published extensively and constantly in academic and in policy-related contexts, though most predominately in the later context. In spite of this asymmetry of publication venues, taken together the publications constitute a strong bulk of scholarly research showing a strong command of theories, methods and analytical capacities at international level. Her publications have a solid impact, meaning that they are very visible in academic and policy-makers' contexts. A reservation in her research profile is that she has not raised external research funding, but this is understandable given her long-term job position in a funding agency, with the subsequent conflict of interests that this entails. It is worth noting that she has conducted extensive

research in collaboration with other researchers nationally and internationally, including the mentoring and successful supervision of young researchers inside and outside academia. This shows her solid presence in relevant national and international networks of researchers and policy-makers, as she has earned recognition as a leading scholar on research and innovation systems, particularly about China's and Sweden's. Her research is essentially based on qualitative comparative methods, for which she has a good command. However, a more decided step into a wider and more sophisticated set of research methods would be desirable in the future.

Teaching and supervision expertise

SSS has a solid expertise in teaching at different levels of university education in a variety of teaching forms. Very early in her career she engaged in teaching activities as teaching assistant, during her own study time (Kalamazoo College, SAIS – John Hopkins, and LSE). This engagement has continued through time in other forms.

She has taught four courses at Master level at Lund University about China's economy during the time span 2009-2013. She has developed these courses, which are mainly in the field of her research competences. Regarding supervision activities, SSS has supervised students at the Master level at Lund University, in the year 2011. Very relevant as well is that SSS has supervised two PhD students successfully in 2014 (Emely Wise) and in 2017 (Ana Paula do Nascimento), both at Lund University. Her engagement in teaching activities is also demonstrated by her focus on teaching-oriented publications to be used in specific courses. This is the case of the White book on cluster policies.

Beyond the world of universities, SSS has been active in mentoring and further develop the competences of young professionals in her field of expertise. Furthermore, she has been invited to multiple guest lectures, conference presentations and speeches at international conferences, national and international government meetings (like the Swedish national innovation council, most recently), as well as in foreign universities. There is absolutely no doubt that she is an experienced teacher, lecturer and communicator. In her application, SSS makes some relevant reflections about her experience as teacher and lecturer. She puts particular attention to the feedback provided by the students, supervisees and attending audience, as a way of constantly improving her communication skills.

All in all, SSS strong expertise in teaching and supervision means that she has the potential to contribute in a very significant manner to a high quality and high relevance teaching at Lund University.

Collaboration with wider society

Sylvia Schwaag Serger has an extensive experience regarding collaboration with the wider society. This is particularly through her participation in several high-level committees and boards with diverse tasks. Some of these are analytical tasks, like evaluation, monitoring or reporting some activities; others are related to leadership and executive tasks like the board membership at the University of Uppsala, or her appointment by the Swedish government to monitor and handle Ericsson's layoffs. Many of these

activities have an international character, like her membership in the Austrian Council for Science and Technological Development, or the chairing of an EU Commission expert group on internationalization of research and innovation. Beyond that, SSS has also been active communicating in the media, with occasional interventions in the radio and similar popular communication channels.

All in all, these activities are highly relevant contributions, denoting a true engagement with the wider society in the field of expertise and in the exercise of her leadership competences outside academia.

Leadership

SSS has been exercising positions of executive leadership since an early stage in her career. In 2004 she became the acting director of the IKED in Malmö during some months, and most significantly, since 2008 until today she is the executive director of international strategy and networks at Vinnova, the Swedish Agency for Innovation Systems. It is in this current job where she has developed almost 10 years of first-hand leadership experience with relevant budget and personal-related responsibilities.

Other important leadership experience is related to her participation and membership in a number of organizations. This leadership is mostly non-executive and strategic in character. Most relevant in this regard is her chairmanship position in the Swedish Foundation for Higher Education and research, and her recent appointment as member of the board of directors of Uppsala University.

Sylvia Schwaag Serger's strong executive leadership experience (with direct budgetary and personnel responsibility) and non-executive leadership (with strategic responsibilities at the level of board of directors) is unquestionable and highly relevant.

Conclusion

In conclusion, Sylvia Schwaag Serger has a very strong, international and high quality research activities and outputs that enjoy high recognition and have a solid impact; relevant and solid teaching and supervision experience; consistent and continuous engagement and collaboration in the wider society; and excellent leadership abilities in different capacities. These qualities mean that SSS has achieved a high level of capacities and abilities, which will contribute significantly to the very high quality of research and teaching conducted at the faculty.

On the basis of the above, I assess Sylvia Schwaag Serger to fulfill the requirements as Professor in Research Policy.



Copenhagen 9th July 2017

Professor Susana Borrás, Copenhagen Business School.

Review of Sylvia Schwaag Serger for Professorial Appointment

This assessment is based upon the requirement profile of the position of Professor of Research Policy; the Lund University School of Economics and Management Assessment Criteria; and Lund University's Appointment Rules. I note at the outset that the requirements profile sets a somewhat higher standard than the assessment criteria or appointment rules. These differences are relevant for this review.

In addition, based upon the material I have received I have a limited capacity to address the teaching qualifications of the candidate. I note that the names and titles of two PhD students supervised by the candidate are provided in the Research Section of the qualifications statement. From the Qualification Portfolio document, I would conclude that the candidate is an effective lecturer with some experience in course design but more limited experience in programmatic development or evaluation.

The School's Assessment Criteria contains elaborations of the University's criterion 1) A good ability to cooperate with wider society and communicate his or her activities and 2) A good general ability to lead and develop activities. These are two areas where the candidate far exceeds the requirements. The capacity to translate research for a wide variety of audiences, to tackle policy issues of wider social importance, and to write in a straightforward way about complex policy issues are clearly supported by the material I have examined – more than fulfilling the first criteria. The leadership and administrative responsibilities that the candidate has undertaken as a public servant more than fulfils the second of these criteria.

The remainder of this review is based upon the research output of the candidate and specifically those parts of the research output provided in support of her application (which are noted in the annex to this review). It is here that the differences between the requirement profile and the other two documents contains two issues to note at the outset.

First, the requirement profile states 'the ability to publish research in highly ranked journals and achieve high impact.' Impact in journals and outputs is a term of art that ordinarily refers to one of the measures used to make comparative rankings such as the SCI (Science Citation Index) impact factor. By this measure, the highest ranked journal in which the candidate has published is Science and Public Policy which has an SCI rating of 1.5, which is not particularly high. On the other hand, the candidate has allowed Google Scholar to display her h-index (a measure of individual scholar impact based on citations to the scholar's work) which is 13. This is a respectable level which is consistent with academic excellence, particularly for a scholar with demanding administrative responsibilities.

Second, the requirement profile states that the candidate should have completed a doctoral degree in an 'an area closely related to research policy.' This is not the case. The candidate's thesis for a PhD at LSE (London School of Economics) is an insightful and well-researched study of currency convertibility under Bretton Woods examining the reasons that a return to currency convertibility (present prior to Bretton Woods) was delayed by almost 15 years from Bretton Woods agreement. It is a study in international political economy. If I may offer an opinion on this, however, I would note that the field of Research Policy studies benefits enormously from scholars who choose later in their career (as the candidate has) to focus on science and technology policy issues and to use methods and perspectives drawn from other social sciences (e.g. economics) or the humanities (e.g. history).

The candidate has offered ten examples of her work ranging from her LSE thesis to a recent peer reviewed article in Science and Public policy.

The work offered represents three areas of focus: 1) one paper directly on research policy (2), 2) six publications on China, most of which concern China's R&D and technology policies (1,4,5,6,7,8) and 3) three topical publications on policy issues in Swedish education (3), European Common Agricultural Policy (9) and the history of convertibility under Bretton Woods (her thesis) (10).

The contribution on research policy (2) examines the role of public private partnerships with reference to technology and innovation policy. This paper is a state of the art review of innovation policy instruments aimed at grand challenges and social needs and the prospects for new forms of organisation for funding knowledge creation and dissemination to address these challenges and needs. The contribution demonstrates a clear understanding of the literature of the area and the practical problems of policy implementation. It highlights two of the areas which scholars are currently grappling with in attempting to provide better guidance and evidence for policy making – directionality and reflexivity.

The contributions offered on China are revealing in that they show a scholar at work developing a new area of expertise. The earliest of these papers (8) captures essential features of the Chinese science and technology system reproducing the then current state of understanding – e.g. the scale of growth in science and engineering expenditure, the continuing dominance of research institutes (despite major reforms) and the impressive increase in patents (both domestic and foreign) granted to Chinese applicants. This paper goes a bit further than then current knowledge by examining the structure of responsibilities in implementing the 15-year Plan for Science and Technology. The working paper (7) produced in the same year as (8) was published goes quite a bit further analytically, attempting to map the range of R&D activities at a sectoral level with attention to the differences in research intensity of foreign direct investment firms from domestic Chinese firms and wrestling with the difficult questions of how much foreign firms are contributing to Chinese capacities and how much of these foreign firm R&D activities are 'adaptive' (addressed at needs related to Chinese market access) as opposed to 'global' (contributing to the competitiveness of companies on a global level).

Contribution (6) is an interlude examining Chinese corporate governance. It makes the straightforward point that legislation is not equivalent to implementation. Whilst China has legislated many of the provisions familiar from Western corporate governance, the implementation and enforcement of these laws is incomplete and the State and Party maintain very strong controls over what firms are able to do in borrowing, selecting management, and making structural adjustments such as bankruptcy. This paper is well argued and evidenced and although it is published in a minor law journal is a high-quality contribution to institutional economics (an area where law and economics meet).

Papers (4) and (5) return to the theme of R&D planning and science and technology policy in China with another forward step in sophistication. Contribution (5), the only sole authored publication offered, shows a clear voice and direct writing style. It takes up some of the issues considered in (7) but deepens the discussion and narrows the focus to the foreign firms operating within China and their effects. Of particular note in this paper are the discussions of the market for managers in China and the difficulties of domestic Chinese firms that are not state-owned enterprises in recruiting managerial talent. Contribution (4) returns to the issue of long term planning of science and technology policy in China providing a very useful set of analytical tools for examining the composition of funding and again highlighting the dominance of state-owned enterprises and the

likely problems that this is engendering for a broader development of technological capabilities in the Chinese economy. This is an outstanding paper which manages in a concise way to capture numerous insights and present them in a forceful and direct manner. It is particularly strong in conveying the process of policy formation in this area.

The most recent contribution (1) reprises and updates many of themes introduced in earlier papers. Its primary contribution is to recognise that China's approach has become more 'enabling' rather than directive. This paper is somewhat more of an essay than a research paper. Although some evidence is provided, many of the claims of the paper are made based upon processing of interviews and interpretations of published policies. Nonetheless, it is an accomplished paper with insightful points made, e.g. regarding the unintended effects of policies on publications and the continued favouritism toward state-owned enterprises.

The third category of papers offered I have classified as topical policy studies. The most recent of these (3) is an examination of Swedish higher education focussing on what might be learned from Stanford and Berkeley (University of California, Berkeley (UCB)). As I was at Stanford for 20 years I am very familiar with the issues raised and one of the co-authors of this paper (whose tenure at Stanford overlaps my own) is even more knowledgeable about how Stanford operates. In my view, it is difficult to make comparisons between European universities funded by the State and large private institutions such as Stanford or even well-endowed public institutions such as UCB. A principal difference is the scale of resources available for scientific infrastructure (the comparison offered in this paper between percentages of GDP spent on universities is rather disingenuous – 0.9% of Swedish GDP spend on university R&D is indeed higher than 0.39% of US GDP similarly spent, but US GDP is 36 times greater than Swedish GDP). The actual recommendations of this paper are, however, not particularly problematic. The paper indicates a willingness to consider higher education reform and to consider international comparisons. The other two papers offered (9) and (10) are the candidate's earliest works and despite their difference in subject matter reflect a common perspective. In the candidate's thesis (10), it is the specificities of national interest that delay the return to currency convertibility and the timing of this return is attributed to the confluence of events that aligned incentives across the UK, Germany and France to make a change in policy. With respect to the CAP, it is the dissonance of national interests that prevented more thorough reforms from being undertaken. Each of these contributions reflect careful scholarship and convincing argument.

Viewed as a whole, the submitted work provides a strong case for academic excellence of the candidate. It is true that these papers have not been published in the highest ranked journals and some have not been published at all. Nonetheless, the papers show that the candidate is capable of pursuing a coherent and well-evidenced path to making important conclusions, that the level of scholarship in the use of evidence is excellent, and that the candidate is capable of establishing priority among issues to be considered in ways that contribute to impact or influence of the writing. Thus, despite not having published in the most prominent journals, the candidate has garnered a substantial number of citations for her work. Given that much of this work was undertaken and completed in the context of being a full time public servant, this is an impressive accomplishment. Even though the position to which the candidate will be appointed at Lund will be demanding, it seems likely that she will be able to continue to develop and improve her scholarly contributions. Based on this evidence, I conclude that the candidate's appointment as Professor is merited.

1. **Beyond catch-up—can a new innovation policy help China overcome the middle income trap?** With Xielin Liu, Ulrike Tagscherer and Amber Yu Chang (2017), *Science and Public Policy*, 1-14, February 2017.
2. **Towards next generation PPP programs: insights from an agency perspective**, with Christoph Palmberg, Conference on "Industrial growth policy for new growth areas and entrepreneurial ecosystems", organized by Ministry of Economic Affairs and Employment, SITRA and Tekes, Helsinki, 2017. (24 pages)
3. **Combining excellence in education, research and impact – inspiration from Stanford and Berkeley and implications for Swedish universities**, with Artie Bienenstock, Mats Benner and Anne Lidgard, SNS, Stockholm, 2014. (71 pages)
4. **Head in the clouds and feet on the ground: Research priority-setting in China**, with Mats Benner and Liu Li, *Science and Public Policy*, vol.39, 1-13, 2012.
5. **Foreign corporate R&D in China: trends and policy issues**, *New Asian Dynamics in Science, Technology and Innovation. China and India in Perspective*, edited by Anthony D'Costa and Govindan Parayil, Palgrave Macmillan, 2009. (29 pages)
6. **Institutional analysis of legal change: the case of corporate governance in China**, with Sonja Opper, *Journal of Law and Policy*, Washington University, 2008, 245-269.
7. **Globalisation of R&D and China. Empirical observations and policy implications**. With N. Lundin. Working Paper Nr. 710, Research Institute of Industrial Economics, Stockholm, 2007. (37 pages)
8. **China's 15-year plan for scientific and technological development – a critical assessment**, with M. Breidne, research note, *Asia Policy*, Nr.4, July 2007. Pp. 135-164
9. **Negotiating CAP reform in the European Union: Agenda 2000**, Swedish Institute for Agricultural Economics (SLI). (195 pages)
10. **Monetary co-operation and exchange rate stability in Western Europe: France, Britain and Germany in the return to currency convertibility in 1958**, Ph.D. Thesis, London School of Economics and Political Science, London. (384 pages)