

Integrating RIS3 Elements: Profiling, Prioritising, Monitoring, and Evaluating

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- Proposed Regulations – thematic objectives, conditionalities, results indicators, partnership contract, monitoring, multi-level governance, performance reserve, joint action plans, integrated territorial plans, increasing urban emphasis etc
- CSF Common Strategic Framework
- ECCP European Code of Conduct on Partnership
- Smart Specialisation
- Europe 2020: smart, sustainable and inclusive growth

Proposed General Regulations for Cohesion Policy

Thematic Ex Ante Conditionalities

Thematic Objectives	Ex Ante Conditionality	Ex Ante Criteria for Fulfilment
<p>1. Strengthening research, Technological development and innovation (R&D target) (referred to in Article 9(1))</p>	<p>1.1. Research and innovation: The existence of a national or regional research and innovation strategy for <i>smart specialisation</i> in line with the National Reform Program, to leverage private research and innovation expenditure, which complies with the features of well-performing national or regional research and innovation systems.</p>	<ul style="list-style-type: none"> – A national or regional research and innovation strategy for <i>smart specialisation</i> is in place that: <ul style="list-style-type: none"> – is based on a SWOT analysis to concentrate resources on a limited set of research and innovation priorities; – outlines measures to stimulate private RTD investment; – contains a monitoring and review system. – A Member State has adopted a framework outlining available budgetary resources for research and innovation; – A Member State has adopted a multi-annual plan for budgeting and prioritization of investments linked to EU priorities (European Strategy Forum on Research

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- A smart specialisation approach to regional policy should be about promoting the *generation, exploitation, and dissemination of local ideas* and knowledge
- Maximising both *intra- and inter-regional knowledge spillovers* in the relevant scale domains (embeddedness + relatedness)

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- Newness, renewal, transformation, novelty and niches
- All actors involved – competences and capabilities – building new linkages, exchanges, participation, cooperation and spillovers
- Develop a local vision on the basis of what works locally
- Governance experimentalism + innovation
- Iterative approach – feedback, monitoring, evaluation and learning
- ‘Self discovery’ (Hausman and Rodrik 2004)

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- Prioritisation and concentration
- Good matching, good fit, and potential
- Analysis of missing links and bottlenecks
- Explicitly takes account of the region's strengths, history, skills profile
- Focuses on issues of coordination and governance
- Data baselines
- Risks and responsibilities
- Close alignment with the Barca (2009) report

General Ex Ante Conditionalities

Area	Ex Ante Conditionality	Ex Ante Criteria for Filfilment
<p>Statistical systems and result indicators</p>	<p>The existence of a statistical system necessary to undertake evaluations to assess the effectiveness and impact of the programmes.</p> <p>The existence of an effective system of result indicators necessary to monitor progress towards results and to undertake impact evaluation.</p>	<p>A multi-annual plan for timely collection and aggregation of data is in place that includes:</p> <ul style="list-style-type: none"> – the identification of sources and mechanisms to ensure statistical validation; – arrangements for publication and public availability. – an effective system of results indicators including: <ul style="list-style-type: none"> – the selection of <i>result indicators</i> for each programme providing information on those aspects of the well-being and progress of people that motivate policy actions financed by the programme; – the establishment of <i>targets</i> for these indicators; – the respect for each indicator of the following requisites: robustness and statistical validation, clarity of normative interpretation, responsiveness to policy, timely collection and public availability of data; – adequate procedures in place to ensure that all operations financed by the programme adopt an <i>effective system of indicators</i>.

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- Change in the result indicator = contribution of intervention + contribution of other factors.
- Impact is the change that can be credibly attributed to an intervention; also called effect or contribution. Only *evaluation* can assess impact.
- DGRegio guidance for reference (see in particular page 6).
- http://ec.europa.eu/regional_policy/sources/docoffic/2014/working/wd_2014_en.pdf

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- “Outcome Indicators and Targets – Towards a Performance Oriented EU Cohesion Policy,” and complementary Notes: “Meeting climate change and energy objectives” and “Improving the conditions for innovation, research and development”, (Fabrizio Barca and Philip McCann), 2011, *DGRegio Website*. Available at:
- http://ec.europa.eu/regional_policy/sources/docgen/ener/evaluation/performance_en.htm

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- Use of results/outcome indicators is designed to change behaviour
- This is not because the results/outcomes are known in advance but in order to drive the policy process correctly (Rodrik 2004)
- Aim to make intentions explicit, foster prioritisation and concentration
- Help steer and adjust policy as necessary
- Foster policy-learning and policy-innovation

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- Inputs → Outputs → Results/Outcomes
- The result/outcome can be a short- and/or a long-term one
- In some cases a particular phenomenon will be an output whereas in other cases it will be a result/outcome
- It is a question of intention – this drives the thematic and policy prioritisation and the specific policy design
- Impact refers to the contribution of policy actions to achieving the intended result/outcome

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- *Outputs* are measurable policy actions whose intended task is to produce results/outcomes
- *Results/outcomes* are the specific dimension of the wellbeing and progress of people (in their capacity of consumers, workers, entrepreneurs, savers, family or community members, etc.) that motivates policy action, - i.e. that is expected to be modified by the interventions designed and implemented by a policy
- *Results/outcomes* are NOT a change for the supported entities only: they are a change for a territory (region), a sector, a target group of people

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- Once a desired result/outcome has been chosen, it must be represented by appropriate measures.
- This can be done by selecting one or more appropriate results/outcome indicators, i.e. *variables that provide information on some specific aspects of the result/outcome that lend themselves to be measured*
- Also short-term, medium and long-term results indicators may be different → progression

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- Distinguish results/outcomes from outputs
- Measurement of progress towards results/outcome targets
- Identify how and when different data are to be collected, collated and reported
- Data can be at the project level and at the programme level – all projects should be able to generate results/outcome data
- *Evaluation* needed to assess contribution of project/programme results/outcomes to change at regional/sectoral level

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- *The goal is neither to construct an encompassing indicator of well-being, sustainability or progress, nor to set a “dashboard of indicators” for the EU as a whole in order to assess progress in a comparative way, nor to set a “menu of indicators” from which Member States can choose. It is rather to build a system whereby each Member State and Region chooses, according to agreed general principles, those indicators that are most suitable to track the progress of its own cohesion policy programmes towards the outcomes/performances they aim to achieve, and commits to annually report about changes in these indicators.*

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- *Results/outcome indicators selected by Member States should be:*
 - **reasonable:** capturing the essence of an outcome according to a reasonable argument about which features of the outcome they can and cannot represent;
 - **normative:** having a clear and accepted normative interpretation (i.e. there must be agreement that a movement in a particular direction or within a certain range is a favourable or an unfavourable result);
 - **robust:** reliable, statistically and analytically validated, and, as far as practicable, complying with internationally recognised standards and methodologies;
 - **responsive to policy:** linked in as direct way as possible to the policy interventions for whose assessment they are used, while not being subject to manipulation;
 - **feasible:** built, as far as practicable, on available underlying data, their measurement not imposing too large a burden on Member States, on enterprises, nor on the citizens;
- **debatable:** timely available to a wide public, with room being built for public debate and for their own revision when needed and motivated

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- Policy makers must decide the priority (Stiglitz-Sen-Fitoussi 2009) → *smart specialisation*
- A policy might also be aimed at more than one outcome, i.e. at different dimensions of well-being and progress.
- For example, an urban-regeneration plan might at the same time be aimed at improving innovation, reducing/not aggravating access to work, improving air quality

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- The targets for results/outcome indicators can be either quantitative or qualitative
- Data for Indicators can be generated through surveys based or case-studies
- Targets for indicators can be quantitative: metrics or aggregated behavioural indicators
- Qualitative targets – performance story reporting and other techniques
- Most powerful ‘bags’ of indicators use a combination of a small number of qualitative and quantitative targets

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- Monitoring, feedback and evaluation are critical for learning
- Evaluation – with its range of quantitative and qualitative techniques – is what helps us to identify the impact of a policy – not the indicators
- Evaluation involves considering all of the available evidence regarding the policy process, systems and intended objectives – and also unintended implications See: *Panorama*, Spring 2012, “*Targeting Results: Fine Tuning Cohesion Policy*”

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- Need to ensure that Member States report about progress of results indicators
- Evaluations to assess policy impact (for each priority at least once during programming period)
- Need to publicise the results and share experiences - monitoring and learning
- Promote policy-learning via shared experiences
- Need to foster an awareness of unintended policy consequences – both positive and negative
- Helps identify previously unknown linkages between phenomena or policies

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- Principles of smart specialisation are applicable to all dimensions of Europe2020 and to all regions
- An *integrated* place-based approach is multi-dimensional, tailored to place-specific features and outcomes
- Innovation strategy – knowledge and knowledge-application dimensions
- Environmental and energy dimensions
- Social and territorial inclusion dimensions

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- Smart specialisation – entrepreneurship and innovation - emphasises strategic and specialised diversification based on competences and capabilities
 - a excellent tool for place-based policy
 - promotes clear *self*-awareness of the key bottlenecks and missing links
 - powerful lens through which to ensure thematic prioritisation and concentration
 - monitoring, evaluating, steering
 - engagement and institutional learning