peer review 2.0

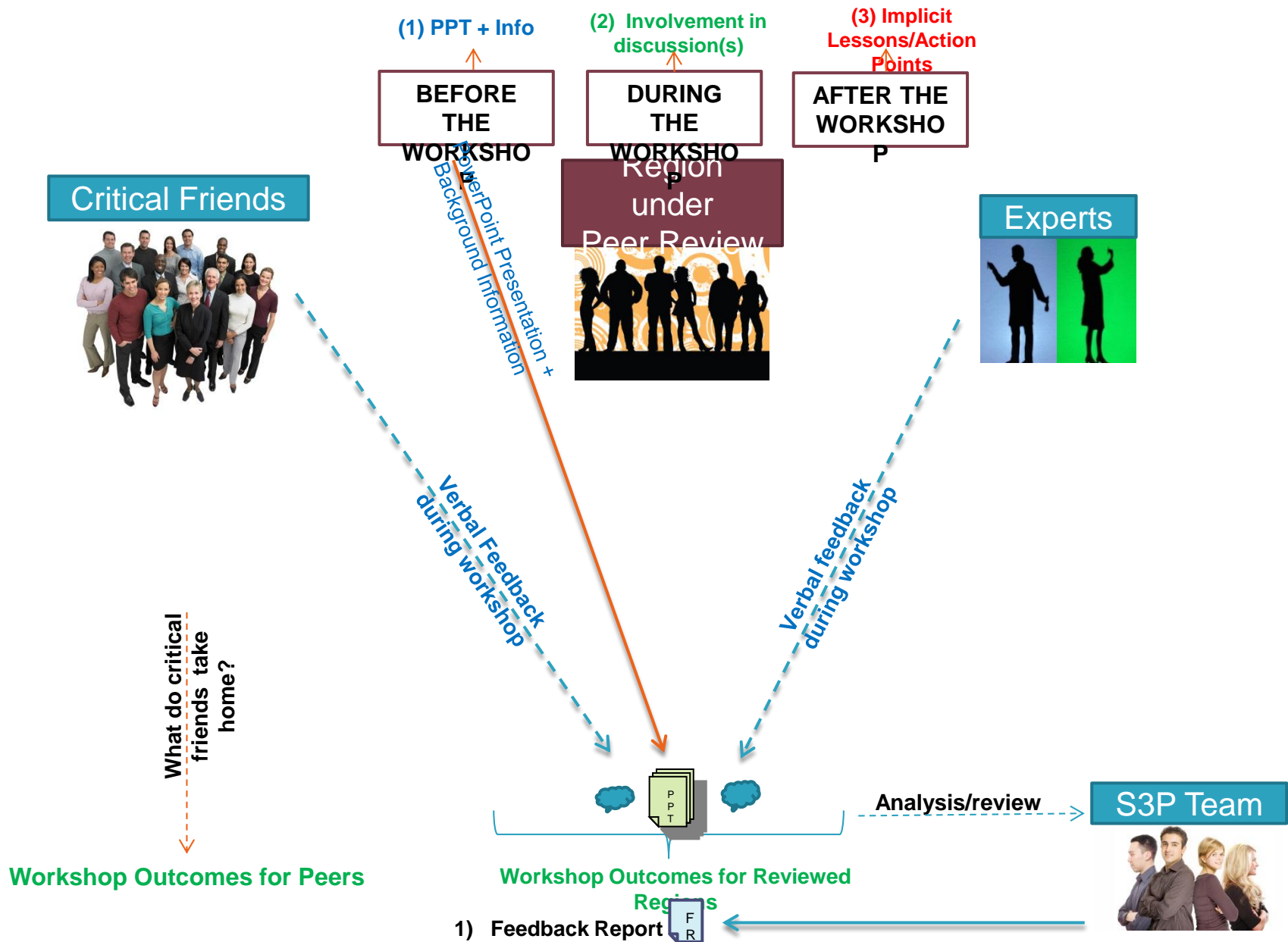in the development of research and innovation

strategies for smart specialisation (RIS3)

by european regions)

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RIS3 Peer Review Workshop
Vaasa, 13-14 May 2013

How can we improve Peer Review 1.0 ?

(1) PPT + Info

(2) Involvement in discussion(s)

(3) Implicit Lessons/Action Points

BEFORE THE WORKSHOP

DURING THE WORKSHOP

AFTER THE WORKSHOP

Region under Peer Review

Critical Friends

Experts

PowerPoint Presentation + Background Information

Verbal Feedback during workshop

Verbal feedback during workshop

What do critical friends take home?

PPT

Analysis/review

S3P Team

Workshop Outcomes for Peers

Workshop Outcomes for Reviewed Regions

1) Feedback Report

FR

Our objectives

Q: how can we facilitate further the transnational mutual learning at the regional level during peer review workshops?

Improving our own understanding

❖ What do regions actually expect from these peer review exercises (expectations);

❖ What do they actually achieve as a result of their participation in these events (their outcomes)?

❖ How can we offer more value (further improvement)?

Survey Methodology

❖ A year long evaluation through a series of surveys:

  ❖ Survey 1: within 1 month after the peer review workshop;
  ❖ Survey 2: 6-9 months after the workshop;

❖ Questionnaires have been emailed to regional representatives of the EU regions that have been peer-reviewed during the first three workshops in 2012.

data analysis (*survey 1 and 2)

part A: motives driving regions
to be peer-reviewed during S3P peer review workshops

Overview: **a change in motives over time**

What are the reasons motivating EU regions to undergo peer-review and how do these motives evolve over time?

Objectives (Survey 1)

Group 1 (the most important):
- To learn more about the S3 concept (capacity building)
- To learn more about RIS3 as an ex-ante conditionality (capacity building)
- To gain new insights (capacity building)
- To meet peers (networking)

Group *2* (relatively important):
- To exchange views (policy dialogue)
- To present own RIS3 (transparency)
- Benchmarking and comparison (compliance)
- New ideas related to the RIS3 implementation (*capacity building*)
- To build my own network (networking)

Group *3* (less important):
- compliance with EU policies (*compliance*)
- an endorsement by the EC (*legitimacy*),
- to improve domestic policymaking (*capacity building*)
- to gain new insights related to RIS3 strategy (*capacity building*)
- sharing own practices (*policy dialogue*),
- to promote new ideas (advocacy)

Group *4* (the least important):
- an endorsement by the national authorities (legitimacy)

Objectives (Survey 2)

Group 1 (the most important):
- benchmarking and comparison (*compliance*)
- To meet peers (*networking*),
- an endorsement by the EC (*legitimacy*),
- new ideas related to the RIS3 implementation (*capacity building*)

Group 2 (relatively important)
- sharing own practices (*policy dialogue*),
- to build my network (*networking*),
- to exchange views (*policy dialogue*),
- to improve domestic policymaking (*capacity building*)

Group 3 (less important):
- to promote new ideas (advocacy)
- to gain new insights related to the analysis of RIS3 (*capacity building*)
- to gain new insights related to RIS3 strategy (*capacity building*)
- compliance with EU policies (*compliance*)

Group 4 (the least important):
- to present own RIS3 (transparency)
- to learn about the S3 ex ante conditionality (capacity building)
- to learn about the S3 concept (capacity building)
- an endorsement by the national authorities (legitimacy)

Overview: **a change in** capacity-building **motives over time**

What are the reasons motivating EU regions to undergo peer-review and how do these motives evolve over time?

Objectives (Survey 1)

Group 1 (The most important reasons)
- To gain new insights related to RIS3 strategy
- To learn more about the S3 concept
- To learn more about RIS3 as an ex-ante conditionality

Group 2 (Relatively important reasons):
- new ideas related to the RIS3 implementation

Group 3 (The less important reasons):
- to gain new insights related to the analysis of RIS3
- to improve domestic policymaking

Group 4 (The least important reasons):
- …

Objectives (Survey 2)

Group 1 (the most important):
- new ideas related to the RIS3 **implementation**

Group 2 (important)
- to improve **domestic policymaking**

Group 3 (less important):
- to gain new insights related to the analysis of RIS3
- to gain new insights related to RIS3 strategy

Group 4 (the least important):
- to learn about the S3 concept
- To learn more about RIS3 as an ex-ante conditionality

No change

(General Concept)=>(Learning about RIS3 Analysis)=>(Improving Domestic Policymaking)=>(RIS3 Implementation)

Overview: **a change in** compliance **motives over time**

What are the reasons motivating EU regions to undergo peer-review and how do these motives evolve over time?

Objectives (Survey 1)

Group 1 (the most important):

Group *2* (Relatively important):
- Benchmarking and comparison (compliance)

Group *3* (less important):
- compliance with EU policies (*compliance*)

Group *4* (the least important):
- …

Objectives (Survey 2)

Group 1 (the most important):
- **benchmarking and comparison** (*compliance*)

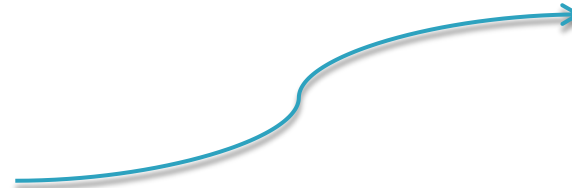**Group 2 (Relatively important)**
- …

Group 3 (less important):
- compliance with EU policies (*compliance*)

Group 4 (the least important):
- …

No change

Overview: **a change in** policy dialogue **motives over time**

What are the reasons motivating EU regions to undergo peer-review and how do these motives evolve over time?

Objectives (Survey 1)

Group 1 (the most important):
- …

Group *2* (relatively important):
- To exchange views (policy dialogue)

Group *3* (less important):
- **sharing own practices (*policy dialogue*)**

Group *4* (the least important):
- …

No change

Objectives (Survey 2)

Group 1 (the most important):
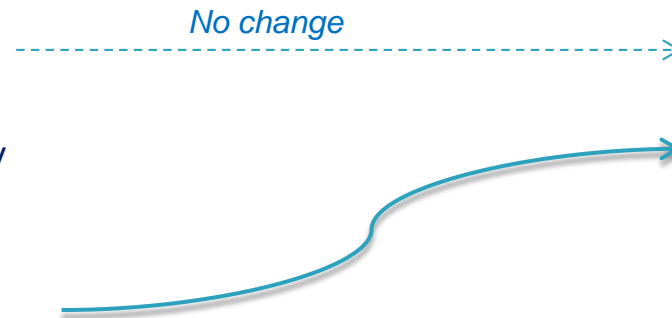- …

Group 2 (relatively important)
- to exchange views (*policy dialogue*)
- **sharing own practices (*policy dialogue*)**

Group 3 (less important):
- …

Group 4 (the least important):
- …

Overview: **a change in** advocacy & transparency **motives over time**

What are the reasons motivating EU regions to undergo peer-review and how do these motives evolve over time?

Objectives (Survey 1)

Group 1 (the most important):
- …

Group *2* (relatively important):
- **To present own RIS3 (transparency)**

Group *3* (less important):
- to promote new ideas (advocacy)

Group *4* (the least important):
- …

Objectives (Survey 2)

Group 1 (the most important):
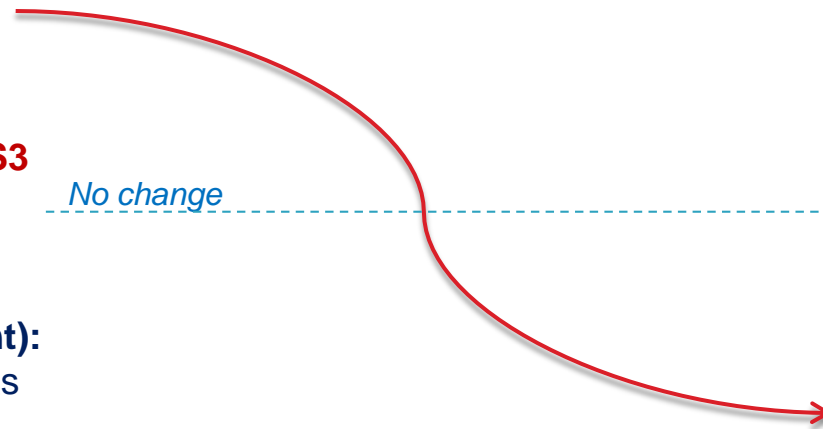- …

Group 2 (relatively important)
- …

Group 3 (less important):
- to promote new ideas (advocacy)

Group 4 (the least important):
- **to present own RIS3 (transparency)**

No change

Overview: **a change in networking motives over time**

What are the reasons motivating EU regions to undergo peer-review and how do these motives evolve over time?

Objectives (Survey 1)

Group 1 (the most important):
- To meet peers (networking)

No change

Group 2 (relatively important):
- To build my own network (networking)

No change

Group 3 (less important):
- …

Group 4 (the least important):
- …

Objectives (Survey 2)

Group 1 (the most important):
- To meet peers (*networking*)

Group 2 (relatively important)
- to build my network (*networking*)

Group 3 (less important):
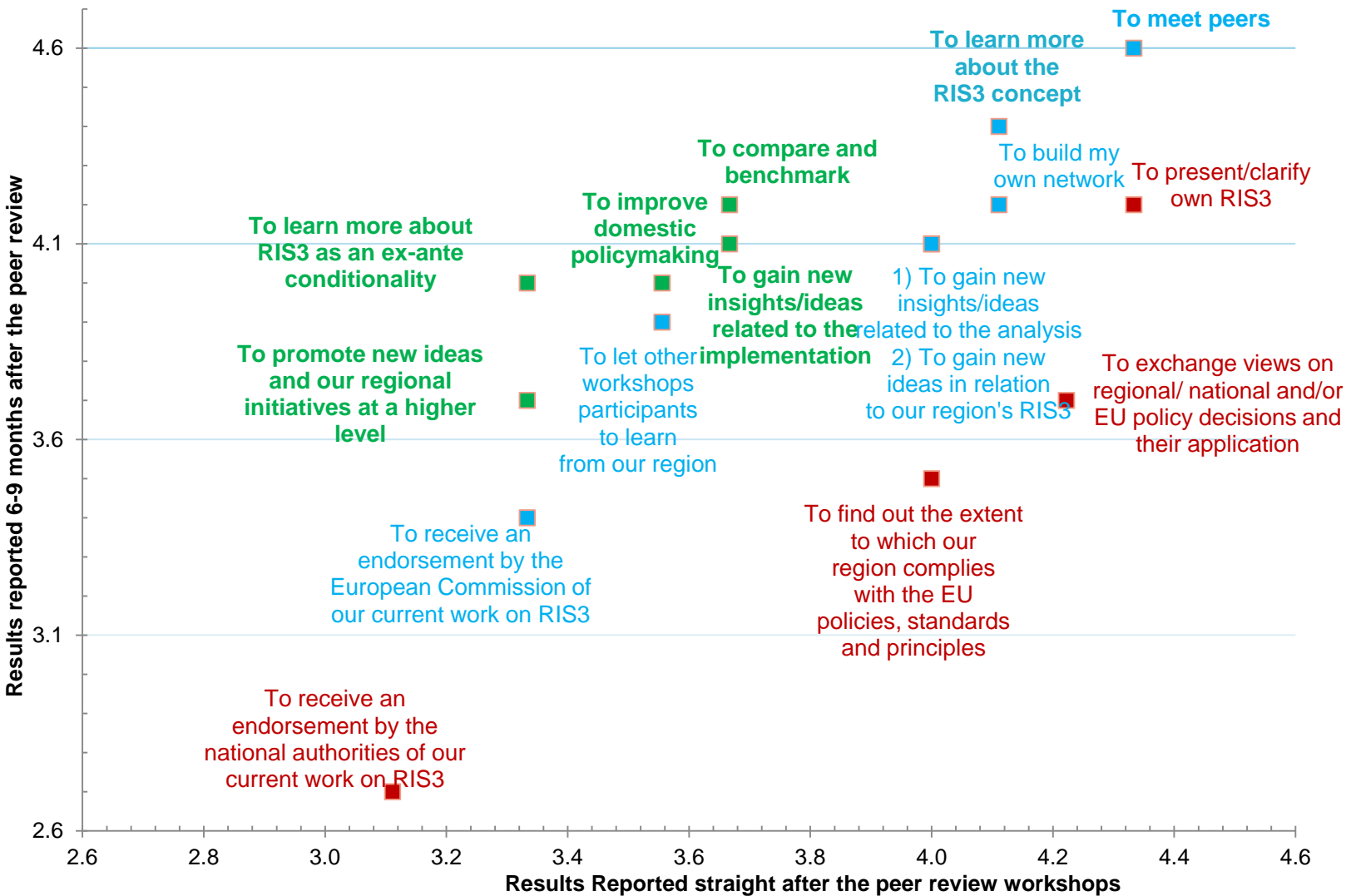- …

Group 4 (the least important):
- …

data analysis (*survey 1 and 2)

part B: outcomes attributed to participation in S3P peer review workshops

Findings (part B): A Change in Reported Outcomes

Legend: **Red** (a decrease), **Light Blue** (a slight improvement), and **Green** (a significant improvement)

data analysis (*survey 1 and 2)

part C: follow up

FOLLOW UP (1)

To what extent do peer-review exercises assist regions in the development of their RIS3?

GENERAL TYPES OF FOLLOW UP:

- Most respondents reported having had *an internal follow-up meeting* to discuss the recommendations and ideas from the RIS3 workshop.

- They have further reported *implementing suggestions* from the peer-review workshop.

OTHER POSSIBLE (FOLLOW UP) STEPS:

- Respondents are likely to have *developed/adjusted an Action Plan*, setting out the concrete steps to follow up to the recommendations from the workshop.

- Respondents are also likely to have *developed/adjusted an Implementation Plan*, which defines a longer-term strategy and explains how the recommendations will be included in our region's future regional policies.

FOLLOW UP (2)

To what extent do peer-review exercises assist regions in the development of their RIS3?

GENERALLY,

- Respondents strongly reported being now *able to provide timely and demand responsive services for partnerships* in their region (in the context of RIS3).

- Following their peer review workshop, the have also reported having *enhanced information channels* in their region (in the context of RIS3).

OTHER RESULTS:

- To a lesser extent, respondents reported that
  - Participation in the workshop resulted in *an increased competency of managing authorities* in reviewed regions.

  - Following peer review, they have *revised a mix of appropriate tools* in our region (in the context of RIS3).

FOLLOW UP (3)
Peer Review and Applying Lessons

Respondents have further indicated the extent to which they have already applied lessons learnt during the workshop in a number of areas.

Respondents have *mostly implemented* lessons related to the areas of:

- Stakeholder involvement
- Strategy driven implementation mechanisms

To a lesser extent, the respondents have applied lessons in the areas of:

- Better linkages between policy areas
- Participative methods

However, these regions are to continue working on:

- Coordination mechanisms

Peer Review and Progress through RIS3 development process

Most respondents reported that their *regions have (to a great extent) progressed* through the first four steps of the RIS3 process:

- Step 1: Analysis of the regional context and potential for innovation

- Step 2: Governance: ensuring participation and ownership
- Step 4: Identification of priorities
- Step 3: Elaboration of an overall vision for the future of the region

However, these regions are continuing working with the last two steps:

- Step 6: Integration of monitoring and evaluation mechanisms
- Step 5: Definition of a coherent policy mix, roadmaps and action plan

data analysis (*survey 1 and 2)

part D: S3P peer review workshops and networking

Do regional policymakers who attend these peer-review workshops perceive any added value in driving future cooperation with the 'critical friends' they meet during these exercises in order to establish their own professional networks and communities of practice?

Respondents strongly agreed that

- This workshop allowed *meeting peers* from other EU regions and countries working on the same issues.
- Transnational learning is generally encouraged or *supported by their national authorities*.
- Their region is currently a member of an *established transnational network* with other regions.
- During the workshop, they were *able to add new contacts* to their professional network of colleagues for possible cooperation in the future.

To a slightly lesser degree, participants agreed that

- They currently cooperate with some of the *other regions from the peer review* workshop.
- They *carry out their own benchmarking* and comparison exercises with regions from other countries.
- Their region *actively initiated a new network* with other regions (or plans to in the next 6 months).
- They *actively engage in mutual learning exercises* with regions from other countries.

Interestingly, pro-active engagement of peers is not yet as widespread!

- After the workshop, some participants do not necessarily *re-connect with other participants*.

Some recommendations

Recommendations (R1, R2):
Responding to a change in objectives

(R1) New priorities for learning

(1) Regional policymakers seem to be in a constant search of good ideas related to the implementation of RIS3

(2) They look for ways to link new ideas to domestic policymaking.

(3) Exchanging own practices (in combination with learning about good practices) is still central.

(4) Learning about assessment/evaluation approach to be employed by the EC is of a particular interest

(R2) Formalising 'follow-up'

(1) Following up after a peer review session can be challenging. Some guidance could be useful.

(2) Integration of evaluation and monitoring is an additional theme to be discussed.

Recommendations (R3, R4):
The workshop format

(R3). Specific focus on Guide Steps 5 and 6

Peer-review sessions could benefit further from more structure around the following aspects:
(1) How to link different policy areas (in a policy mix)
(2) How to re-define roadmaps and action plans (following new lessons).
(3) How to plan, structure and implement coordination mechanisms.

(R4). Emphasizing the value of (pro-active) networking.

Peers could acquire even greater benefits from S3P peer-review exercises:
(1) Regional policymakers see the value of peers, but do not always actively build networks that could be used later for tackling new policy issues.
(2) Following up on contacts made at peer review workshops is not always done.

Recommendations (R5, R6):
Structuring Peer Review around M&E tools

(R5). Benchmarking (and RIS3 evaluation) to be of importance

There is an ever stronger interest in **benchmarking/comparison** with other regions. Additionally, regions seem to be lacking an understanding of the evaluation process which could be applied to their strategies. Peer-review sessions could benefit from a slightly different structure:
(1) Introducing additional roles – 'critical buddies'. These critical buddies could be asked to carry out a review of presented strategies using templates (reflecting the structure proposed by the RIS3 Guide).

(R6). A more comprehensive role of experts attending peer review sessions

Thematic experts could be asked to develop relevant assessment tools that could be applied within the context of RIS3.
(1) Experts could provide informal expert assessments of a thematic issue in focus).

Peer Review

(1) PPT + Info

(2) Involvement in discussion(s)

(3) Implicit Lessons/Action Points

(3) Explicit Lessons and Action Points

BEFORE THE WORKSHOP

DURING THE WORKSHOP

AFTER THE WORKSHOP

Critical Friends

Region under Peer Review

Experts

PowerPoint Presentation + Background Information

Lessons learnt and Action Points

Critical Buddies

Verbal Feedback during workshop

(extensive) self-assessment questionnaire

Verbal feedback during workshop

(Thematic) evaluation questionnaire

Evaluation questionnaire

What do critical friends take home?

PPT

Analysis/review

S3P Team

Workshop Outcomes for Peers

Workshop Outcomes for Reviewed Regions

1) **Feedback Report** F R

Critical Buddies/Friends:
1) **First-hand Evaluation experience**
2) **Specific Lessons to Take Home**

2) **First-hand Evaluation experience**
3) **Specific Lessons and Actions to Take Home**

thank you for your attention

questions or suggestions?
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