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RIS3 monitoring: Findings from a policy survey

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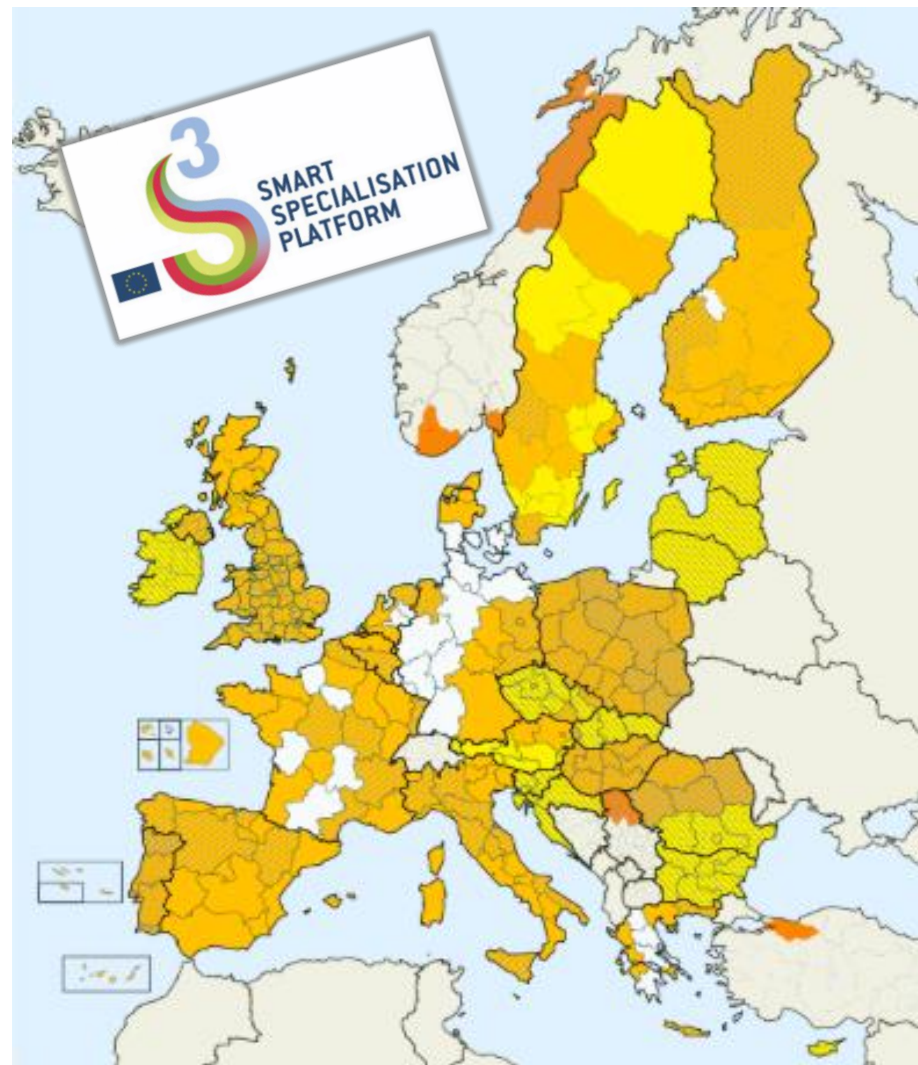European Commission

Outline

(1) WHAT: Monitoring smart specialisation

(2) WHY: Sustainable policy cycles

(3) HOW: Survey results - Priorities, stakeholders & multi-level learning

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(1) Analysis, mapping & tools

S3 Platform Membership

Guidance - Analysis - Support

Comprehensive guidance tools – RIS3 Guide, Digital Agenda Toolbox, FAQs

S3 Publication series - Policy briefs co-authored with lead academics and practitioners; Working papers contributing to conceptual and empirical developments related to smart specialisation

Supporting tools: S3 self-assessment (assessment wheel); regional S3 priorities (Eye@RIS3), regional benchmarking, bilateral trade flows

Some achievements

Wide membership: 165 regions, 17 countries

Strong endorsement by national/regional policy makers: average 4.5/5 satisfaction ranking

High "fidelisation rate": >50% of regions attending workshops come back

Political endorsement at EU level: EC (Cretu), EP (Winkler), CoR (Markkula), Council (ex Van Rompuy)

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(1) S3 Platform work on monitoring

Support to regions & Member States

- Monitoring system = crystallisation of the intervention logic
- Monitoring results and policy output for each S3 priority! (≠ OP monitoring)
- Legal requirement based on ESIF Regulation 1303/2013, ANNEX XI

Policy brief & article

"Monitoring Mechanisms for Smart Specialisation" → Collects input from S3 Platform, DG REGIO & expert workshop

& "Monitoring Innovation and Territorial Development in Europe: Emergent Strategic Management" (forthcoming), *European Planning Studies*
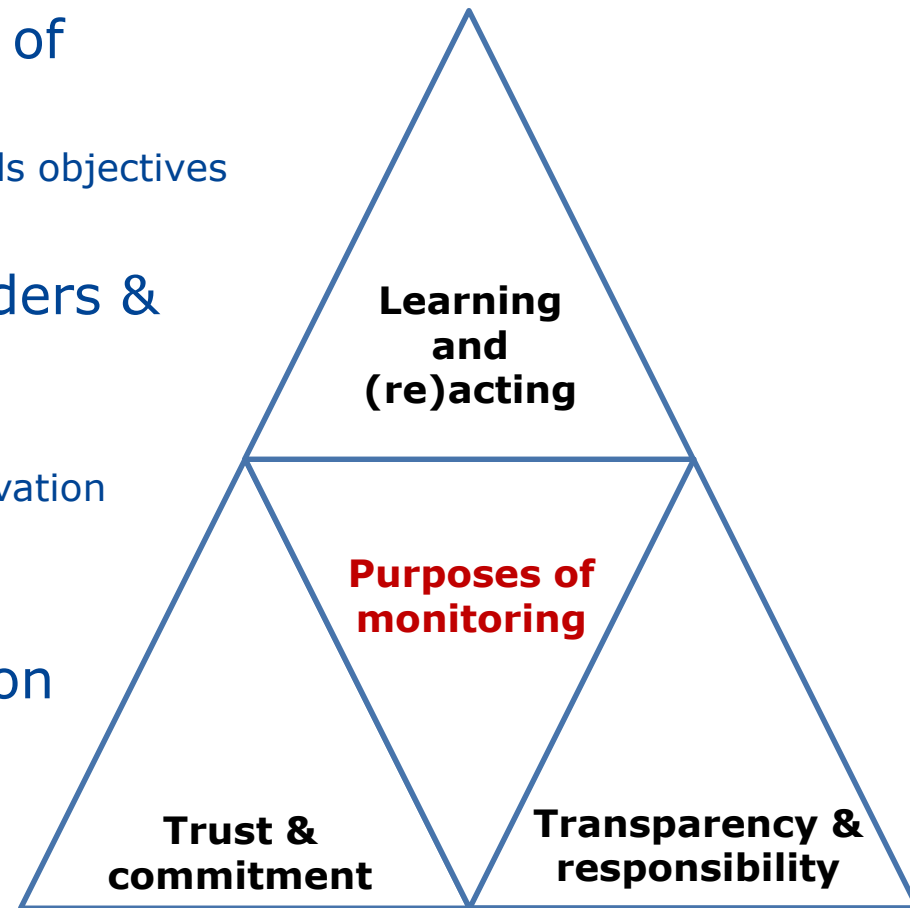
Dedicated website & survey

http://s3platform.jrc.ec.europa.eu/monitoring

- Methods, case studies, good practices & data sources
- Survey gathered information on processes to better target our activities

(2) Why a monitoring system for RIS3?

1. **Inform on development & effects of transformation processes**
   - Early warning to steer policy measures towards objectives

2. **Support participation of stakeholders & promote trust**
   - Drive entrepreneurial discovery
   - Provide the basis for causal narratives of innovation processes that can be easily communicated

3. **Condense & clarify the intervention logic of the strategy**
   - Help people understand the meaning and the effects of strategic actions

Learning and (re)acting

Purposes of monitoring

Trust & commitment

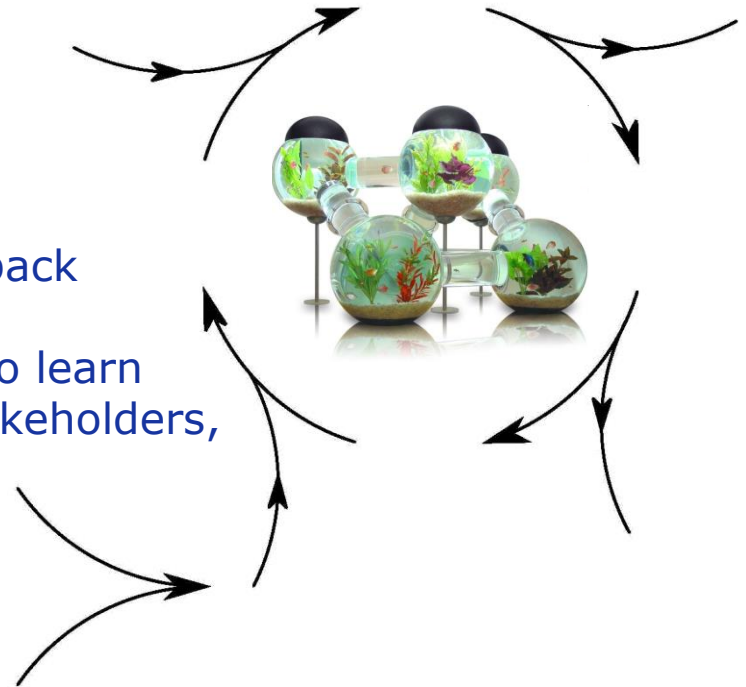Transparency & responsibility

(2) Sustainable policy cycles

Result orientation + sustainability + replicability of policy cycles

a.Permanent stakeholder fora, stable engagement process based on participation → Continuous entrepreneurial discovery

b.Network of institutional and stakeholder relationships that:
- Is persistent in time
- Continuously produce information
- Re-act according to new information
- Evaluate the results and feed information back

c.Integration of monitoring systems aimed to learn about actual processes, building trust among stakeholders, guarantee accountability

(3) S3 logic of intervention

Phase 1 – Recognition of challenges and needs

Economic stagnation; predominance of traditional SMEs with limited presence in international markets; unexploited potential of internationally renowned territorial assets

Phase 2 – Formulation of strategic objectives

Address specific bottlenecks preventing access to international markets: increase diffusion of frontier technologies in traditional SMEs to lower production costs and enhance territorial branding

Phase 3 – Selection of possible solutions to meet the objectives

PRIORITIES   POLICY MIX

E.1 Levers	E.2 Domains/Markets	E.3 Actors	E.4 Instruments
Process innovation to enhance fresh products preservation	Agro-food	SMEs; R&D centres	Vouchers for accessing high-value-added R&D services; competitive grants for SME consortia + R&D centres

Figure 2. An illustration of the logic of intervention in agro-food.
Source: Own elaboration.

(3) Monitoring results

Identify explicitly expected changes for each S3 priority

Define a result variable & a corresponding result indicator for each expected change

- Promote use of survey-based indicators or alternative sources (ethnography, focus groups, etc.) if no official data are available
- A result indicator is defined by three elements: (i) result variable, (ii) baseline value, (iii) target value

Expected changes, result variables & indicators should be consulted with the stakeholders participating to the EDP

(3) Monitoring output

Identify explicitly output indicators for each policy instrument

Link output indicators to specific results

- Difficulty: identify output targeted to a specific expected change
  - → **Instruments in a policy mix can act towards several priorities!**
- In order to properly reconstruct the policy causal chain, it is recommended to follow the indicators for each priority
- For each indicator, target values should be defined

Appropriate targets for output indicators should be consulted with the stakeholders participating to the EDP

Dashboard for integrated visualisation

Priorities	Expected changes	Result indicators
Priority 1 Process innovation in agrofood	Increase adoption among SMEs of advanced technologies for the conservation of fresh products (expected adoption rate of 30% in 5 years)	# SMEs introducing innovative processes for fresh product preservation # Collaborations between SMEs and R&I centers - Baselines - Targets - Timeframe

Policy mix	Output indicators
Policy Mix 1 Vouchers for R&I services of high value added Competitive grants for SME consortia + R&D centres	# SME financed for technological transfer (# and value of vouchers actually spent; # and value of grants paid) - Target values - Timeframes

(3) Survey of policy makers: 'seeing like a region'

n=96/500 -> 22% reponse rate

- 80 from regional policy makers representing 68 regions

- 16 from national policy makers representing 12 countries
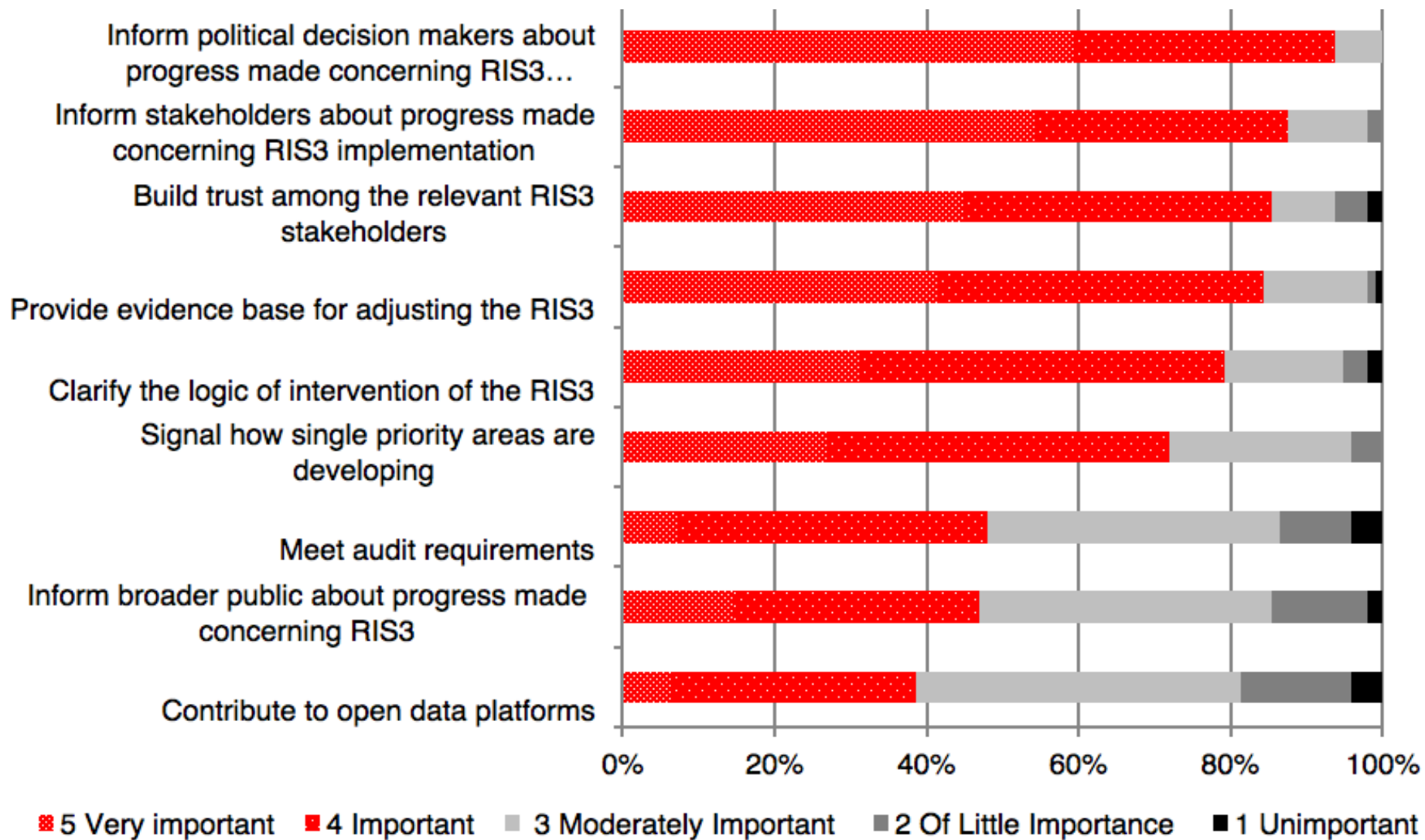
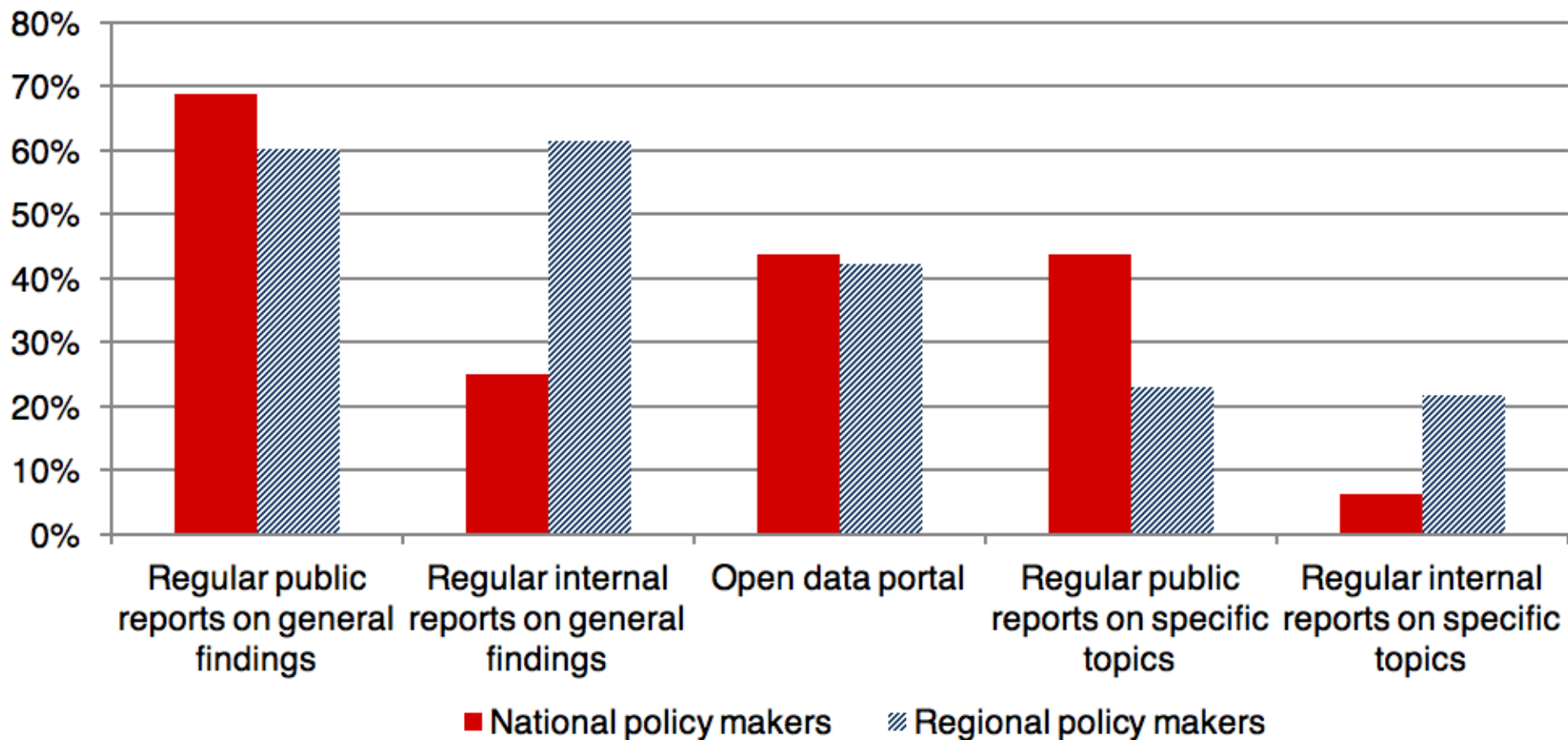Figure 3. Perception of policy makers on the main functions fulfilled by monitoring.

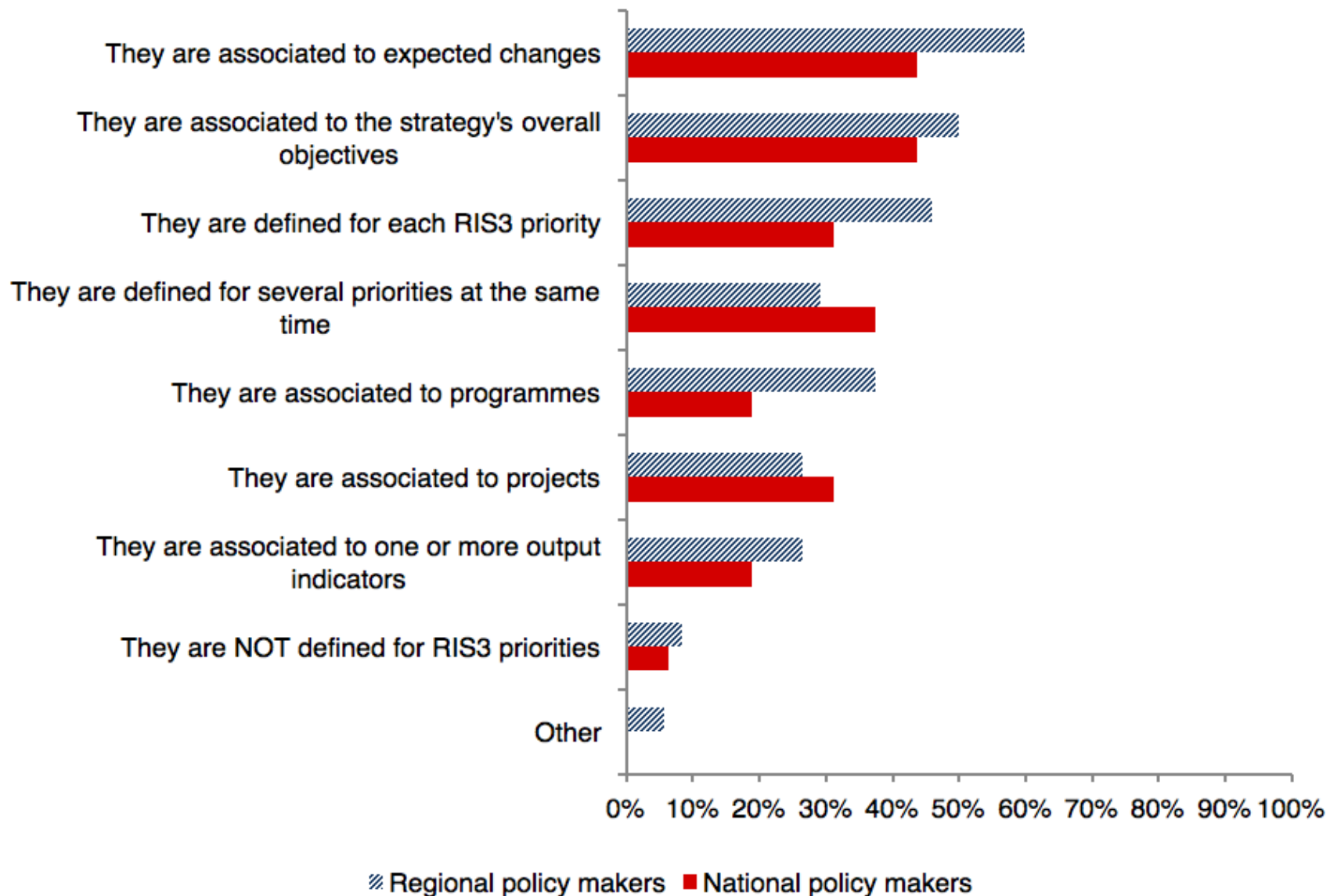Figure 4. The dissemination channels of monitoring results.

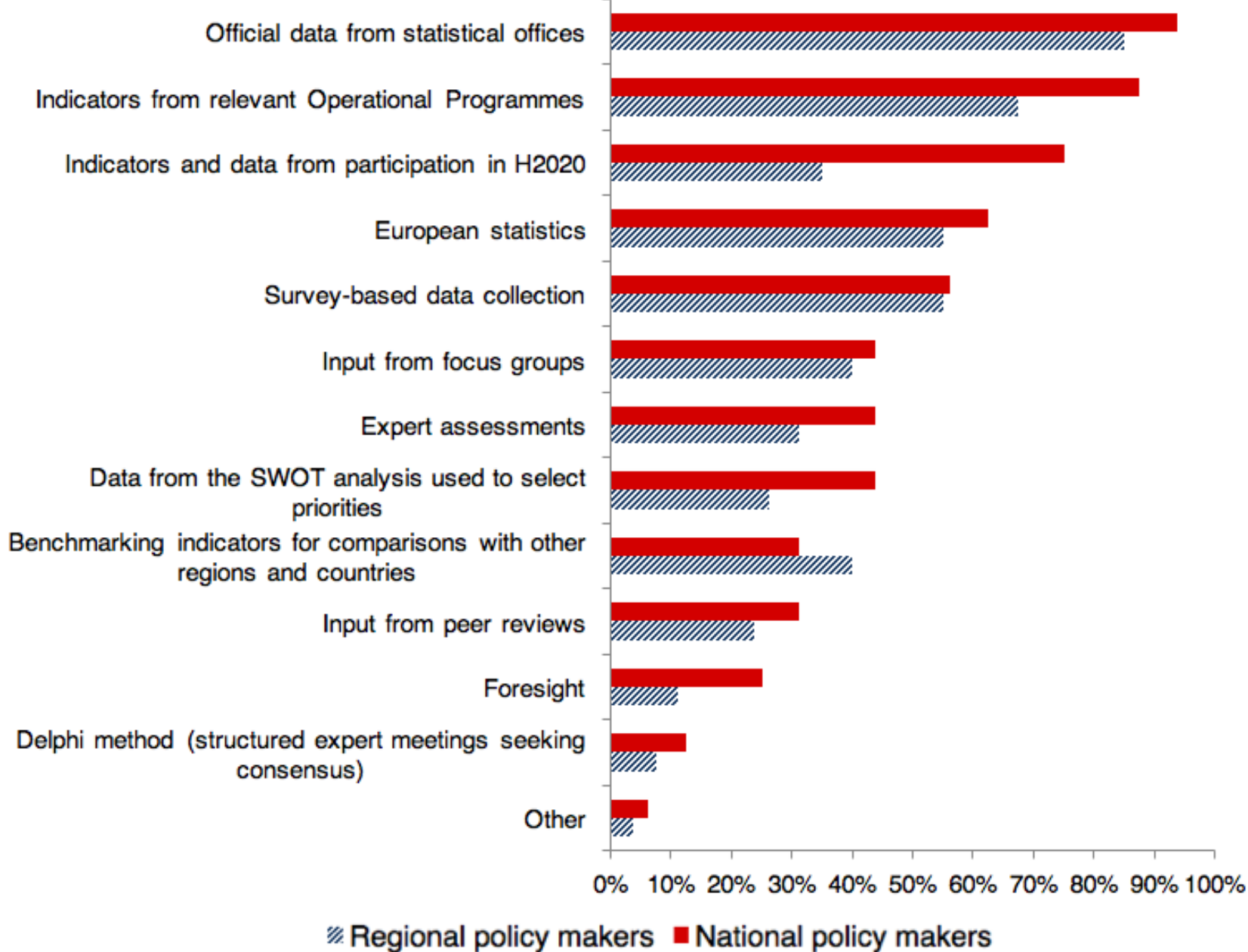Figure 6. Perception of policy makers about the role of <u>result indicators</u>.

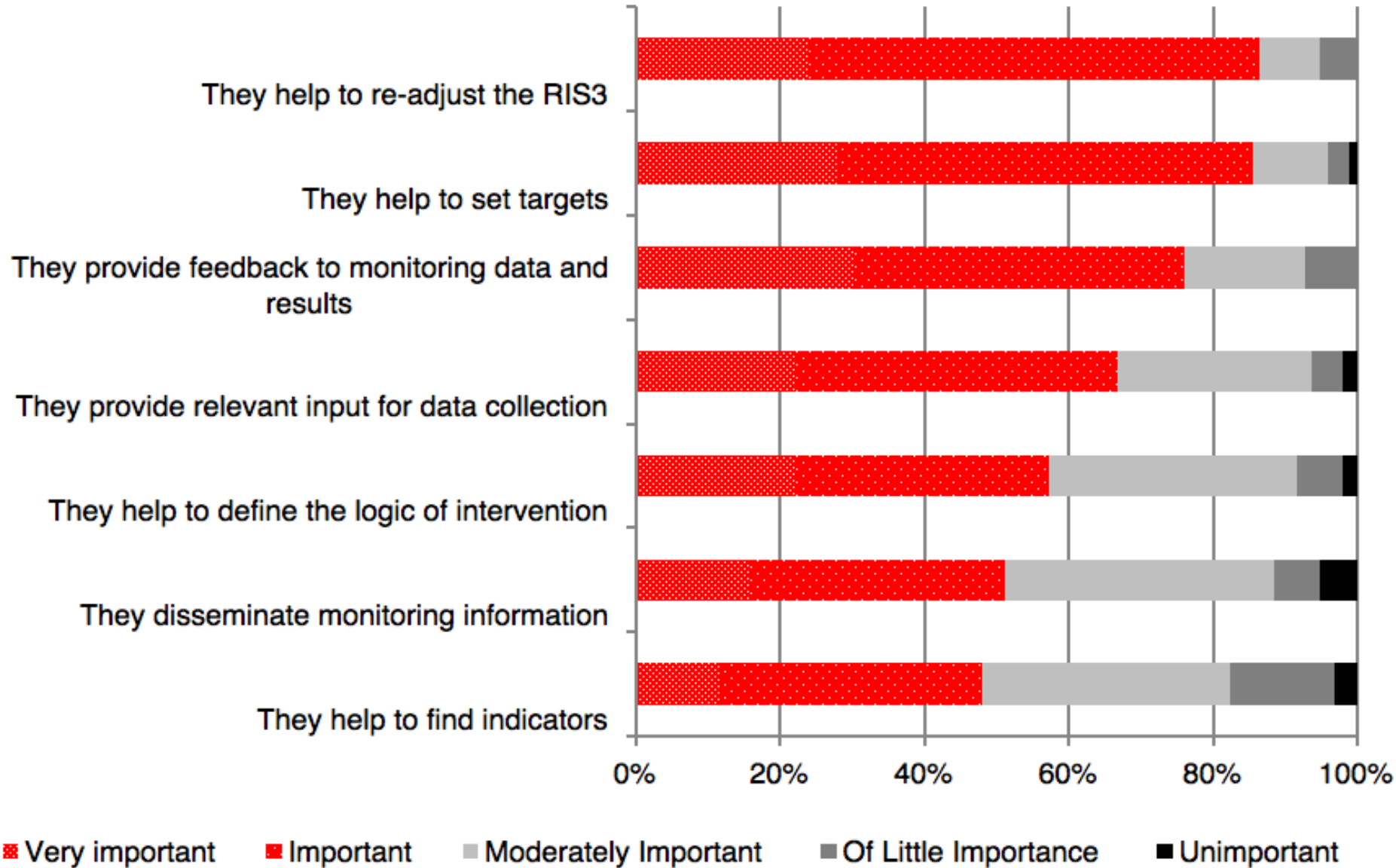Figure 7. The main sources of information and methodologies.

Figure 8. The role of stakeholders in the monitoring of the RIS3.

Main messages

- *Monitoring has both internal & external function*
- *Go beyond OP/audit logic*
- *Be priority-specific*
- *Engage stakeholders meaningfully*
- *Division of labour national-regional*

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Stay in touch

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