

*Peer exchange and Learning workshop on Monitoring for  
Research and Innovation Strategies for Smart Specialisation*

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# Challenges and Options for RIS3 Monitoring Systems

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**« One of the great mistakes  
is to judge policies and  
programmes by their  
intentions rather than  
by their results »**

**Milton Friedman**

# Why a RIS3 Monitoring system?

- To provide robust evidence **for policy learning**
- Moving towards **outcome-based** policy-making
- Creating **shared expectations and a common understanding** of RIS3 through stakeholders' engagement

- What has been achieved with the instruments in place ?
- Are the instruments delivering according to their mission?
- Who are the beneficiaries?
- Which instruments contribute to which goals?
- Are there gaps or overlaps across instruments?
- Do data point towards changes in picture?
- ....

**Good evidence-based descriptions may tell inconvenient truth and challenge conventional wisdom or preconceived ideas** <sup>3</sup>

# A RIS3 Monitoring system is

- **NOT an instrument to follow-up funds absorption**

This is done by Managing Authorities, difference between monitoring OP and RIS3 , limitations of common indicators

- **NOT an evaluation**

Monitoring data feed evaluations by external evaluators, informing about impacts

- **NOT 'another idea from Brussels'**

A tool by the region for the region

- **NOT a regional scoreboard**

Focus placed on policy intervention

# Steps for setting up RIS3 Monitoring system

## 1. Design: governance and content

Involving policy-makers and policy owners (all relevant domains!), working towards acceptability. Link to S3 governance – defining owner

## 2. Data collection

Robustness and reliability - Feasibility and cost effectiveness

## 3. Data harmonisation-alignment

By central body

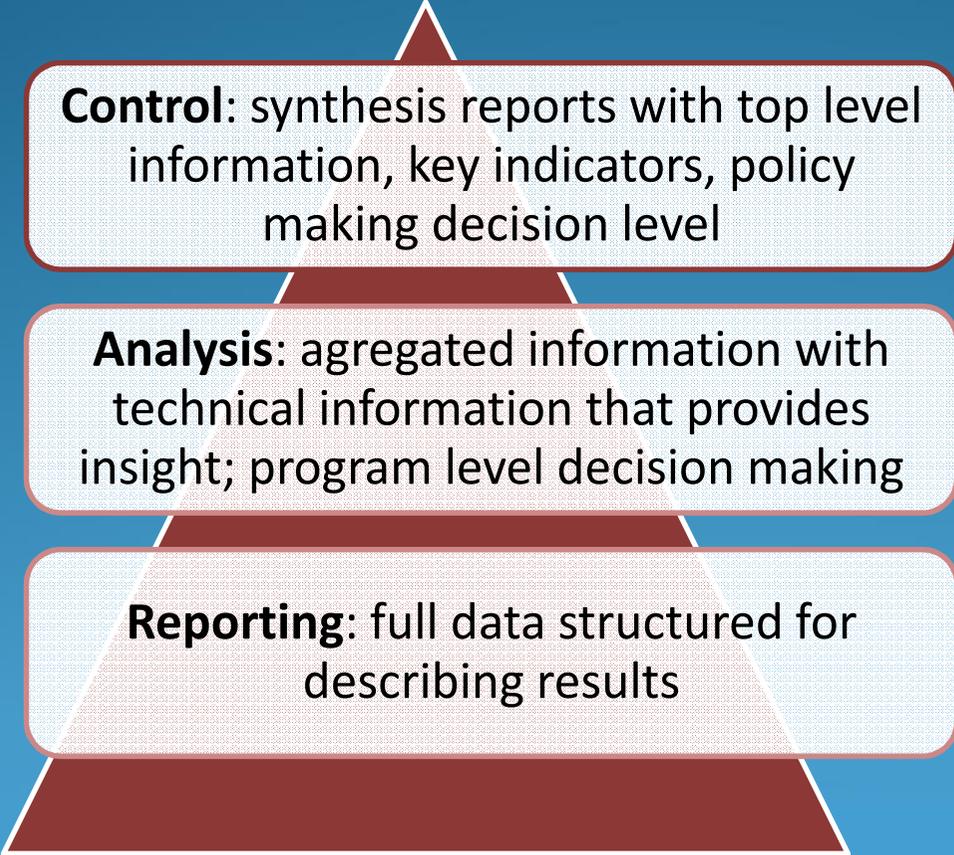
## 4. Data analysis

Sense making and stakeholders' participation

## 5. Diffusion and integration in policy cycle

Works when the system and indicators are policy-relevant

# RIS3 Monitoring system reporting



**Control:** synthesis reports with top level information, key indicators, policy making decision level

**Analysis:** aggregated information with technical information that provides insight; program level decision making

**Reporting:** full data structured for describing results

# Features of RIS3 Monitoring system (1)

## 1. Complementarity with MA work

No redundancy in data collection work – create direct data flows

## 2. Collaboration - Decentralisation - Coordination

Each programme owner defines and collects – central body coordinates

## 3. Includes input, output and result indicators

- Input indicators (collected for each measure) to understand how resources for R&I are allocated to the various components of the policy mix.
- Output indicators (collected for each measure) to depict the direct effects of R&I investments and to highlight how policy implementation proceeds.
- Result indicators (collected both at the level of each Action line and for each measure) to assess whether the pursued goals evolve in the right direction.

# Features of RIS3 Monitoring system

## 4. Includes baseline and target values

To be developed first for 'mature' instruments – caution!

## 5. Focus on current RIS3 policy mix

Targets instruments, not calls

Coverage beyond TO1 (?)

## 6. Generates “smart” reporting

Central body produces policy-oriented reports based on data collected

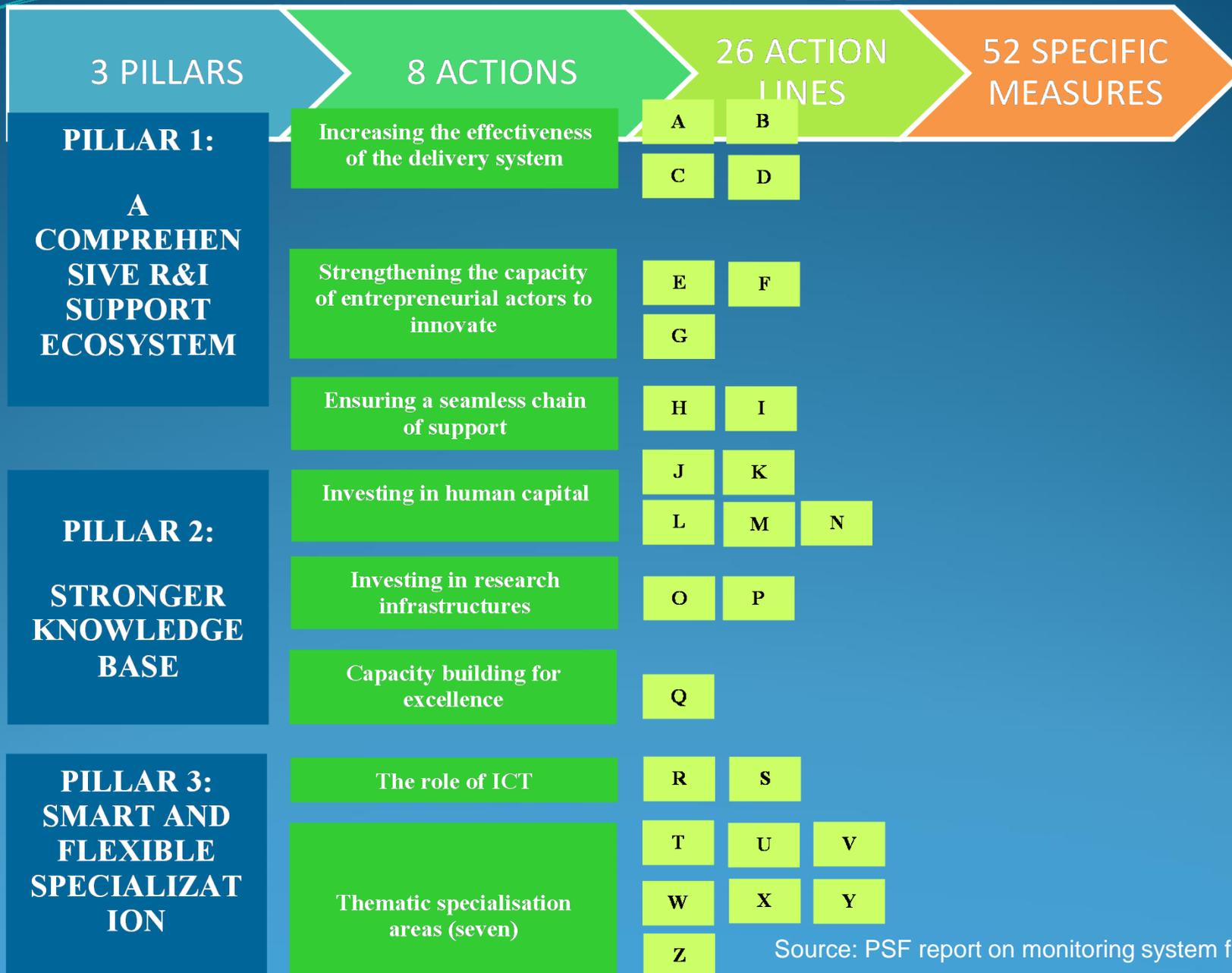
Good descriptions of data collected will tell a lot!

## 7. Stability over time combined with flexibility to adjust to changing circumstances

# Frame for a S3 Monitoring system

S <sub>3</sub> Objective	Detailed objective	Policy instrument	Owner	Input indicator	Output indicator	Result indicator	Context indicator
Strategic Objective 1	Sub-objective 1.1	Instrument A	Ministry X	Definition, source, frequency	Definition, source, frequency	Definition, source, frequency	At level of strategic objective
		Instrument B					
	Sub-objective 1.2	Instrument C	Ministry Y				
Strategic Objective 2	Sub-objective 2.1	Instrument D	Ministry Z				At level of strategic objective and sub-objective
		Instrument A	Ministry X				
		Instrument E	Ministry Z				
	Sub-objective 2.2	Instrument F					
		Instrument G					
Sub-objective 2.3		Ministry X					
Strategic Objective 3	Sub-objective 3.1	Instrument E	Agency X				At level of sub-objective
	Sub-objective 3.2	Instrument B	Ministry V				At level of sub-objective
		Instrument H					At level of sub-objective

**Figure 1. Key elements of the Maltese National Research and Innovation Strategy and The Maltese Research and Innovation Strategy and Action Plan**

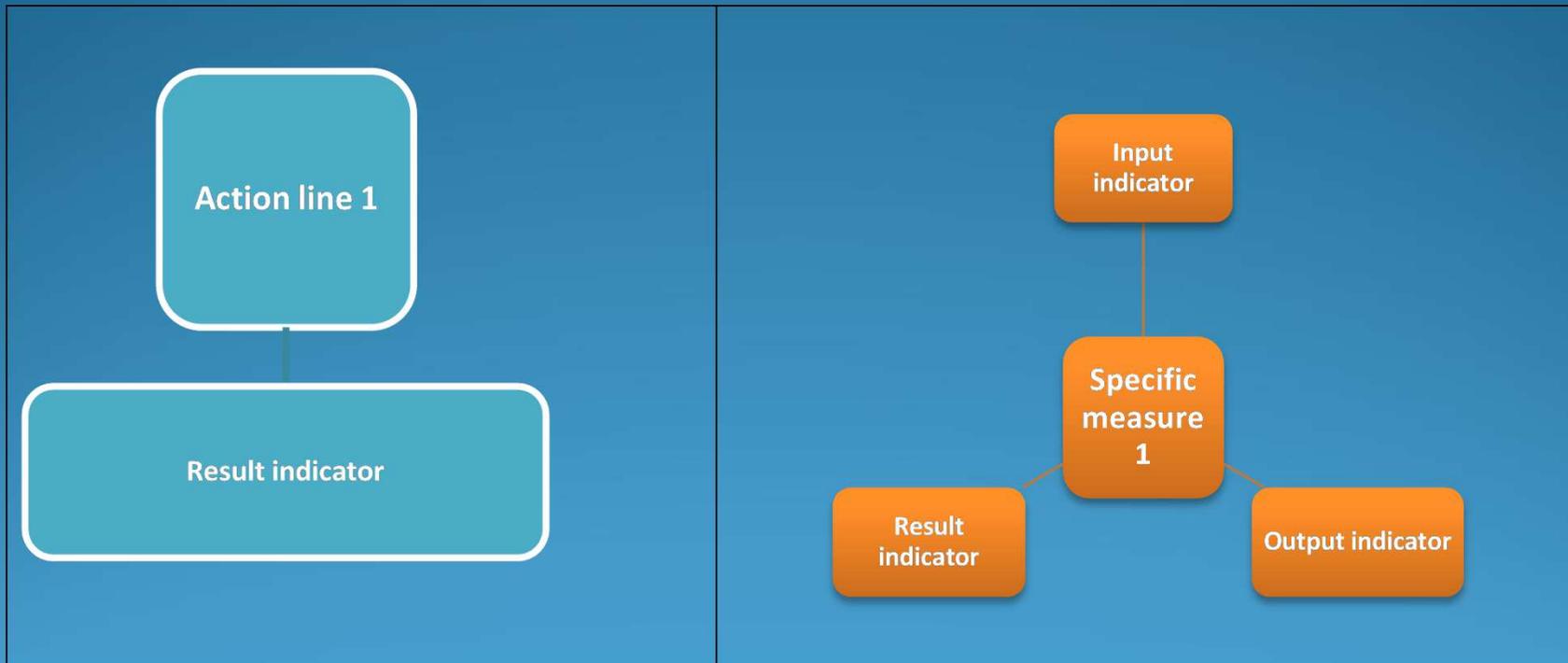


Source: PSF report on monitoring system for Malta

# Indicators for the monitoring of the Maltese Research and Innovation Strategy and Action Plan

26 ACTION LINES

52 SPECIFIC MEASURES



# Properties of Indicators

## 1. SMART

Specific (simple, sensible, significant)

Measurable (meaningful, motivating)

Achievable (agreed, attainable), at reasonable costs

Relevant (reasonable, realistic and resourced, results-based)

Time bound (time-based, timely, time-sensitive). Y+1, Y+3, Y+5

## 2. Clear and shared definition

Involving stakeholders, programme owners, beneficiaries

## 3. Not only OP-like, more fine-grained, business oriented, focus on S3 areas (need for surveys)

Available data rarely match needs, Need for data on business evolutions, follow up of funded projects. Integrate reporting in funding schemes to companies

## 4. Policy oriented, policy-relevant

Clear link with programmes/policy action

## 5. Number

Not too many, not too few. Manageable, translated into figures, charts...

Key indicators and secondary indicators

# Monitoring RIS3 may reveal problems

## 1. Inconsistencies in S3 Strategic Objectives structure

E.g. Strategic Objectives reflect « owner » rather than « goals »  
Logic of intervention unclear

## 2. Synergies between instruments not clear

## 3. Multiple uncoordinated initiatives

## 4. Sustainability of structures and efforts

## 5. Missing pieces

## 6. ...



How is the OVERALL policy mix serving the goal of building a more Innovative Region?

# Success conditions for monitoring systems

1. Managing **expectations** from the start
2. Getting **commitment** and **ownerships** at start + openness to change
3. Clear **intervention logic** and shape of policy mix
4. Adequate **human resources** in body in charge (data collection, analytical skills, evaluation, communication,...): building capacity
5. Adequate **financial** resources
6. Continuous **political** ownership (do not delegate all to outside experts!)
7. Good cooperation with **MAs**
8. Creation of ONE system for **multiple sources** of financing (different ministries, agencies...)
9. Outcome of monitoring: wide **diffusion**, story telling on results
10. Outcome of monitoring: clearly **linked to policy mix** ... and funding streams