

# ***Monitoring and Evaluation of RIS3 and Innovation Policies –***

## **Smart Specialisation of Regional Innovation Policy (RIS3): Focus on Results**

Hans-Christian Jäger (IDEUM)

*Training Session for policy makers and practitioners*

*Bilbao, 2<sup>nd</sup> April 2014*

## Content

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- Objectives – Results
- Monitoring – Evaluation
- SCINNOPOLI Tool Box
- Agenda & objectives

## Europe 2020 Strategy

- Delivering growth that is:
  - **smart**, through more effective investments in education, **research and innovation**;
  - **sustainable**, thanks to a decisive move towards a low-carbon economy;
  - **inclusive**, with a strong emphasis on job creation and poverty reduction.
  
- Focused on five ambitious goals in the areas of
  - employment,
  - **innovation**,
  - climate/energy
  - education,
  - poverty reduction

*Source: European Commission*

# Europe 2020 Strategy

- Delivering growth that is:
  - **smart**, through more effective investments
  - **sustainable**, thanks to a decoupling of growth from greenhouse gas emissions
  - **inclusive**, with a strong employment focus
- Focused on five ambitious goals:
  - employment,
  - **innovation**,
  - climate/energy
  - education,
  - poverty reduction



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EUROPE 2020

European Commission

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## Europe 2020 targets



To measure progress in meeting the Europe 2020 goals, **5 headline targets** have been agreed for the whole EU.

This limited set of EU-level targets is **translated into national targets**  [307 KB]  in each EU country, reflecting different situations and circumstances.

### The 5 targets for the EU in 2020

1. **Employment**
  - 75% of the 20-64 year-olds to be employed
2. **R&D**
  - 3% of the EU's GDP to be invested in R&D
3. **Climate change and energy sustainability**
  - **greenhouse gas emissions 20%** (or even **30%**, if the conditions are right) **lower than 1990**
  - **20% of energy from renewables**
  - **20% increase in energy efficiency**
4. **Education**
  - **Reducing the rates of early school leaving below 10%**
  - **at least 40% of 30-34-year-olds completing third level education**
5. **Fighting poverty and social exclusion**
  - **at least 20 million fewer people in or at risk of poverty and social exclusion**

Source: European Commission

# Europe 2020 Strategy – with stronger Focus on Results



**A Stronger Focus on Results**

## What does this mean in practice?

- Cohesion Policy aligned with EU2020
- Concentration on a menu of thematic priorities
- Spending programmes with a real impact which can be measured – rather than focus on inputs

5<sup>th</sup> Cohesion Report (November 2010)

- Reinforcing Strategic Programming
- Conditionalities and Incentives
- Fixing outcome (result) indicators ex-ante
- Ex-ante evaluation to improve programme design
- Evaluation plans & more use of impact evaluations

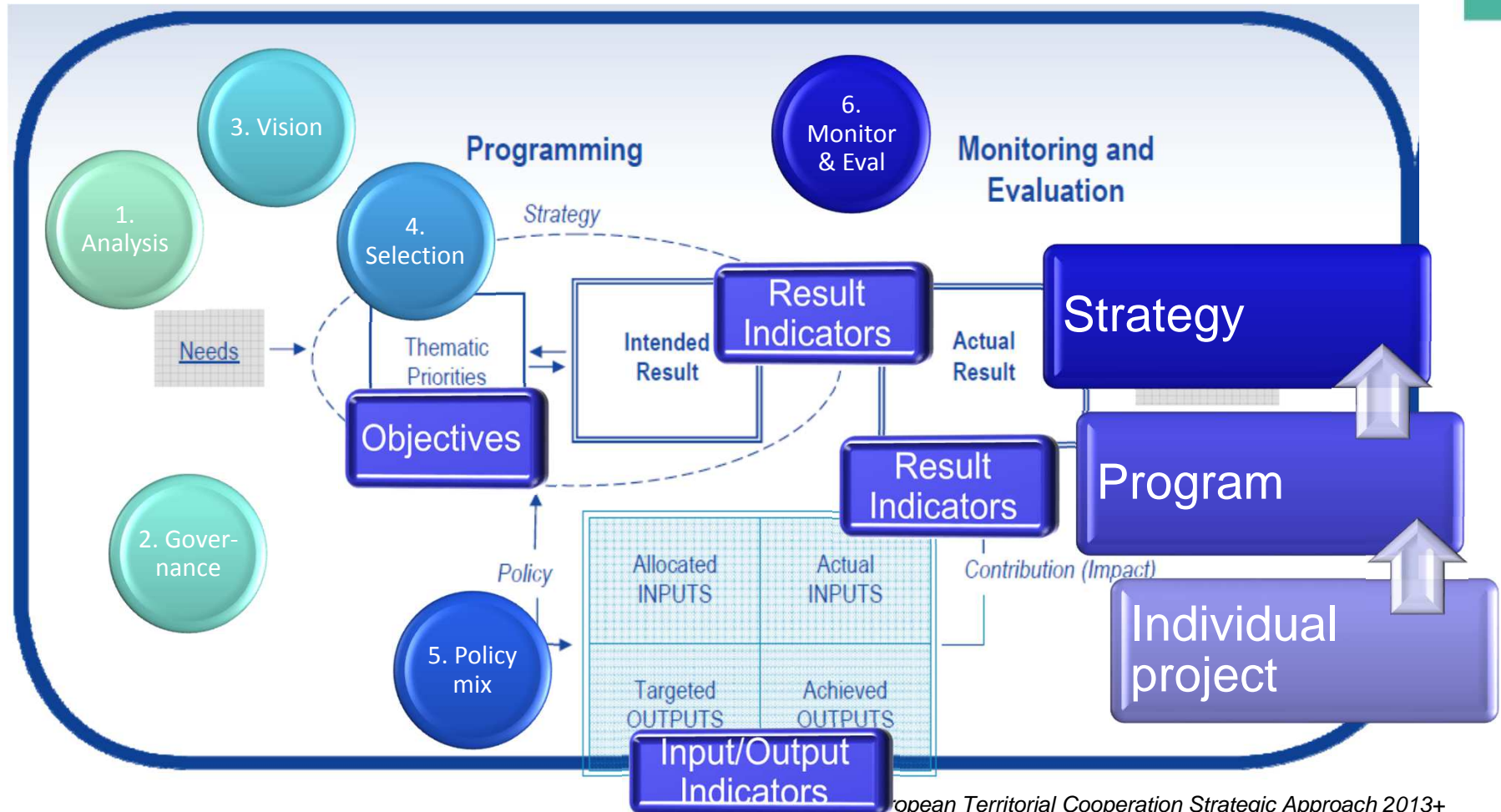
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and national levels

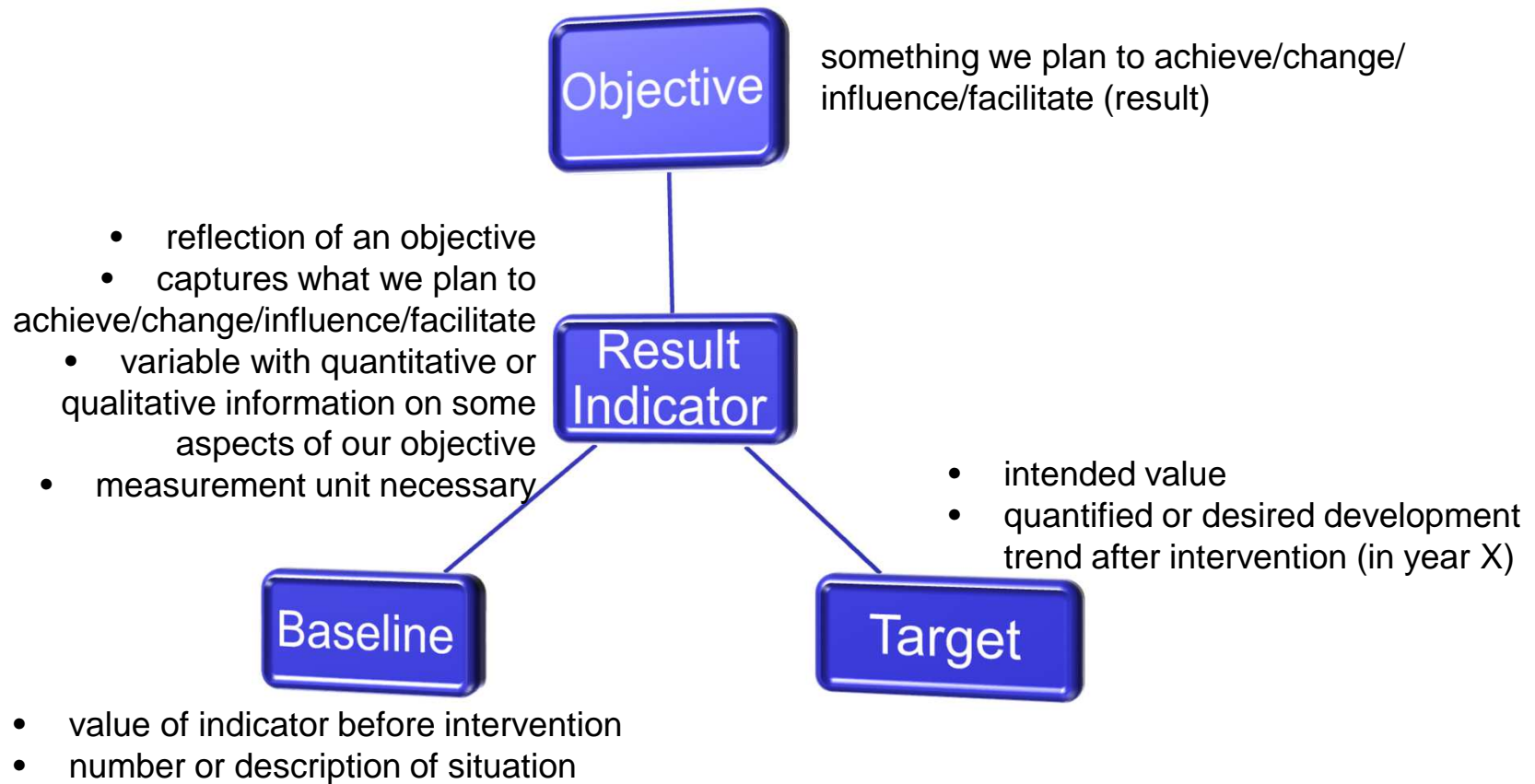
Source: STRAT.EVA-Workshop 2011: Evaluation 2014+  
(Anna Burylo, Evaluation Unit, DG for Regional Policy, European Commission)

# Strategy defines Results



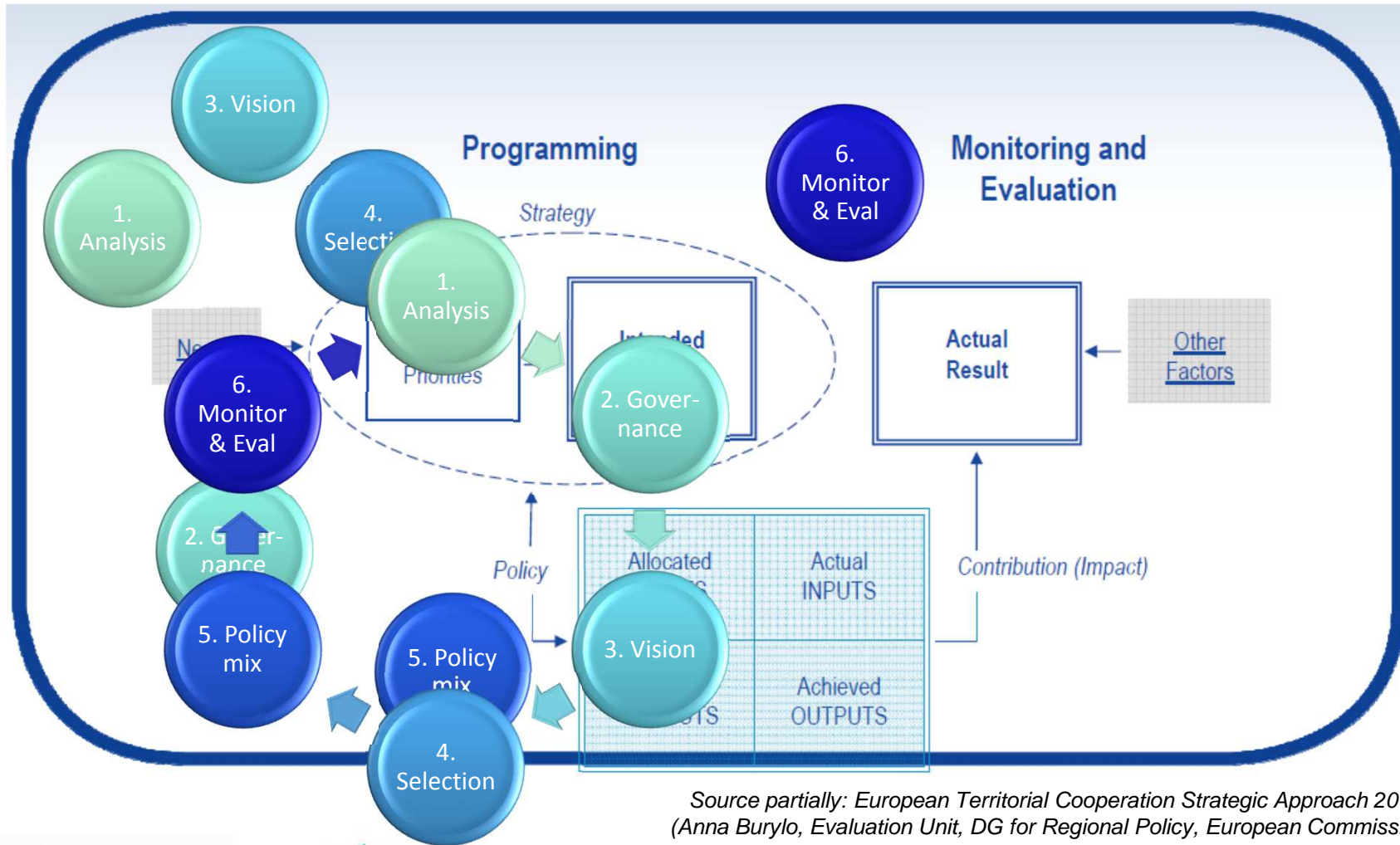
European Territorial Cooperation Strategic Approach 2013+  
 (Anna Burylo, Evaluation Unit, DG for Regional Policy, European Commission)

# What is a Result Indicator?



Main Source: European Territorial Cooperation Strategic Approach 2013+ (Anna Burylo, Evaluation Unit, DG for Regional Policy, European Commission)

# Strategy defines Results



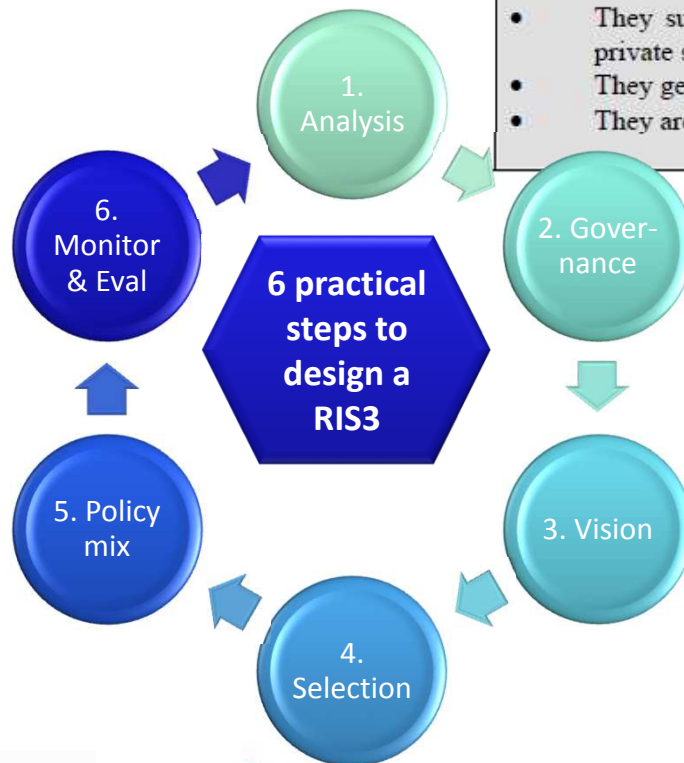
Source partially: European Territorial Cooperation Strategic Approach 2013+ (Anna Burylo, Evaluation Unit, DG for Regional Policy, European Commission)



# Monitoring and Evaluation are integral parts of RIS3

National/regional research and innovation strategies for smart specialisation (RIS3) are integrated, place-based economic transformation agendas that do five important things

- They focus policy support and investments on key national/regional priorities, challenges and needs for knowledge-based development, including ICT-related measures;
- They build on each country's/region's strengths, competitive advantages and potential for excellence;
- They support technological as well as practice-based innovation and aim to stimulate private sector investment;
- They get stakeholders fully involved and encourage innovation and experimentation;
- They are evidence-based and include sound monitoring and evaluation systems.



## Guide to Research and Innovation Strategies for Smart Specialisation (RIS3)



March 2012

## Monitoring – Evaluation

### Monitoring

- Gathering of data (quantitative values/qualitative information) for the defined input, output and result indicators
- Verifying
  - funds (input) are correctly used on planned policy instruments
  - spent on delivering planned outputs
  - actual result indicators evolve in the desired direction
- Normally carried out by actors responsible for implementation, also with external support
- Provides empirical basis for evaluation

### Evaluation

- Assessing impact = contribution of the interventions to the result indicators
- Understand why and how the impact is achieved
- Identification of success factors & barriers
- Participatory approach with involvement of main program stakeholders and independent experts

*Partial Sources:*

- *Guide to Research and Innovation Strategies for Smart Specialisation (RIS 3) March 2012, European Territorial Cooperation Strategic Approach 2013+ (Anna Burylo, Evaluation Unit, DG for Regional Policy, European Commission)*

Hans-Christian Jäger: RIS3 -  
Focus on Results

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## Define your monitoring / evaluation system – 5 W questions

Who?

- National authority
- Regional authority
- Organisation responsible for policy implementation
- Other third party

Which level?

- Policy strategy
- Program
- Project

What?

- Input
- Output
- Impact
- Results

When?

- Ex-ante
- In-process / interim
- Ex-post

Where is the information source?

- Companies
- (Intermediary) organisations / experts
- National / Regional Authorities
- Macroeconomic statistics / data bases



## Example for Tool Box

www.scinnopoli.eu

**SCINNOPOLI**  
SCANNING INNOVATION POLICY IMPACT

Home Project Partners **Results** Links News Intranet

**Matrix**

? Note: Choose your answers by clicking them. The associated documents are listed below.  
→ Select all  
→ Deselect all

What is monitored?	Input	Output/Activities	Outcomes/Impact
What is the level of monitoring?	Project	Measure/Program	Strategy of regional innovation policy
When do we monitor?	Ex-ante	In process/Mid-term	Ex-Post
Who is the target group / subject of monitoring?	Companies	(Intermediary) Organisations	Regional authorities/ policy makers

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Overall BSC, Balanced Score Card for ... (pdf, 1 MB)

Program BSC, Balanced Score Card for ... (pdf, 1 MB)

Large Scale Questionnaire (pdf, 1 MB)

External Ex-post Evaluation of the ... (pdf, 793 kB)

In Process Monitoring of State Aid ... (pdf, 880 kB)

Ex-Post Evaluation of State Aid Schemes (pdf, 671 kB)

Innovation Audit (pdf, 556 kB)

Web based activity reporting of ... (pdf, 320 kB)

Effect Measurement of Innovation ... (pdf, 331 kB)

Additionality studies (input, output ... (pdf, 272 kB)

Impact Scan (pdf, 1 MB)

CRM-System (pdf, 240 kB)

Strategic Controlling (pdf, 304 kB)

SIS Shared Indicator Set (pdf, 666 kB)

Face to face interviews (pdf, 604 kB)

The Barometer (pdf, 422 kB)

Innovation INDEX (pdf, 471 kB)

RIS SCOREBOARD (pdf, 913 kB)

IASMINE (Impact Assessment and ... (pdf, 763 kB)

Balanced Score Card of the Third ... (pdf, 1 MB)

## Agenda Block 3

- **Focus on results** (Hans-Christian Jäger, IDEUM)
- **Monitoring and Evaluation System for R&D programmes in the Basque Country** (*Cristina Oyón, SPRI*) – **20 min**
- **Balance Scorecard Lower Austria: Monitoring the impact of Smart innovation Policy** (*Irma Priedl/Martina Ebner, Government of Lower Austria WST3*) – **30 min**
- **Coffee Break** – **20 min**
- **Interactive BSC Workshop on the show case INFRARED Program from Castilla y León**
  - *Introduction* (Luis Ángel González/Javier Alvarez Benedí, Junta de Castilla y León) – **15 min**
  - *Interactive development of a draft target map for INFRARED Program* – **75 min**  
(*moderation: Irma Priedl, Government of Lower Austria, and Hans-Christian Jäger, IDEUM*)
- **Summing up** (Castilla y León, Lower Austria) – **20 min**

## Block 3 – monitoring system

### Objectives

- High satisfaction of participants with block 3
  - Result indicator: satisfaction with block 3
    - Target value: 100% of participants satisfied
    - Baseline value: 0%
- High learning effect
  - Result indicator: learning share
    - Target value: 75% of participants learned something new in block 3 session
    - Baseline value: 0%

### Policy = Instrument mix

- Presentations (Basque, Lower Austria)
- BSC workshop on INFRARED Program from Castilla y León

### Monitoring

- Ex-post by asking the participants
- No monitoring of single instruments

# Thank you for your attention!

## Let's get started 😊

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