MANUMIX

Interreg Europe

European Union
European Regional
Development Fund

3rd Learning Pillar: Monitoring and evaluation

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Monitoring and indicators

Content of the 3rd learning pillar

Monitoring may have different purposes (Kleibrink et al., 2016):

1) Learning about actual transformation processes and informing policy
2) Building and reinforcing trust and cooperation with and among stakeholders and citizens
3) Ensuring accountability of policy makers and policy managers

Indicators defined as ‘a sign that shows you what you what something is like or how a situation is changing’ (Oxford Dictionary) could be built from different sources: official statistics but also stakeholders

For Smart Specialisation Strategies traditional indicators from official statistics are not enough to monitor the progress of the strategy or the contribution of the policy-mix to the strategy so other mechanisms involving stakeholders should be promoted.

Monitoring and indicators

Content of the 3rd learning pillar

1. **The content of the 3rd learning pillar is structured as follows:**
   - Types of indicators to monitor individual instruments and potential indicators for policy-mixes.
   - Process of monitoring:
     - Design of the monitoring system;
     - Gathering and analysing data;
     - Visualization and reporting

2. **Each partner will present one of the topics, which will be discussed during the learning journey in addition to possible applications in the partner regions**

Monitoring and indicators

Types of indicators to monitor individual instruments and potential indicators for policy-mixes.

Introduction to the topic:

- Indicators for innovation are generally classified under the framework of input-outputs of the innovation process (Navarro, 2011) although others could be highlighted (outcome/impact indicators; process indicators)
- Indicators can be quantitative/qualitative; simple/composed

Partners introducing the topic: Innobasque/GV and MOSTA

Highlights from the presentations:

- Good coverage in terms of quantitative indicators
- Potential to improve ex-post indicators and advance towards a monitoring system of the policy-mix

Monitoring and indicators

Among the European regions, result indicators are more frequently associated to the strategy first and then to the programmes and projects

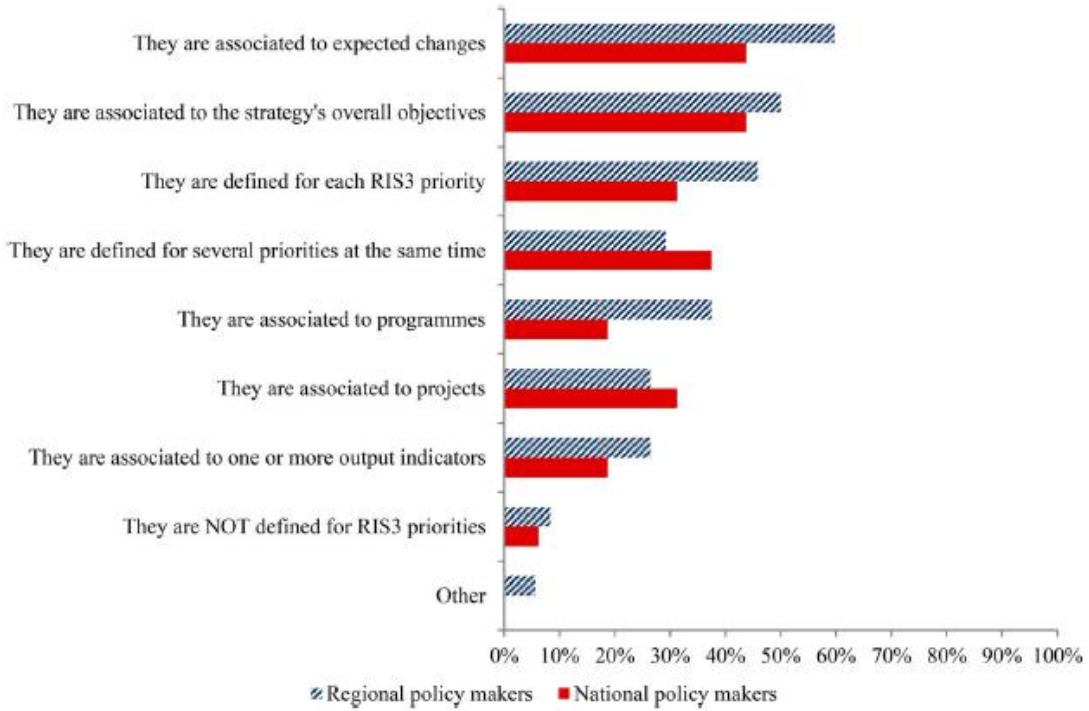

Figure 6. Perception of policy-makers about the role of result indicators in their RIS3 monitoring. Source: Own elaboration. Respondents were asked which of these statements best describe how result indicators relate to the different elements of the RIS3. Multiple choices were allowed.

Monitoring and indicators

Design of monitoring system, gathering and data analysis

Introduction to the topic:

- Design of the monitoring systems depends not only of the rationale of the system but also of the data availability and methods to analyse that data.
- Methods for data gathering can be the following: surveys, case studies peer-reviews, secondary databases, interviews…(Taylor-Powell and Steele, 1996)
- Data analysis depends on the analytical capabilities of evaluators: debate around internal/external evaluator

Partner introducing the topic: Finpiemonte

Highlights from the presentation:

- Strenght in the triangulation of sources and methods
- Potential to work on monitoring system of the policy-mix

Monitoring and indicators

Among the European regions, statistics are the main source of information for monitoring followed by surveys, focus groups, etc…

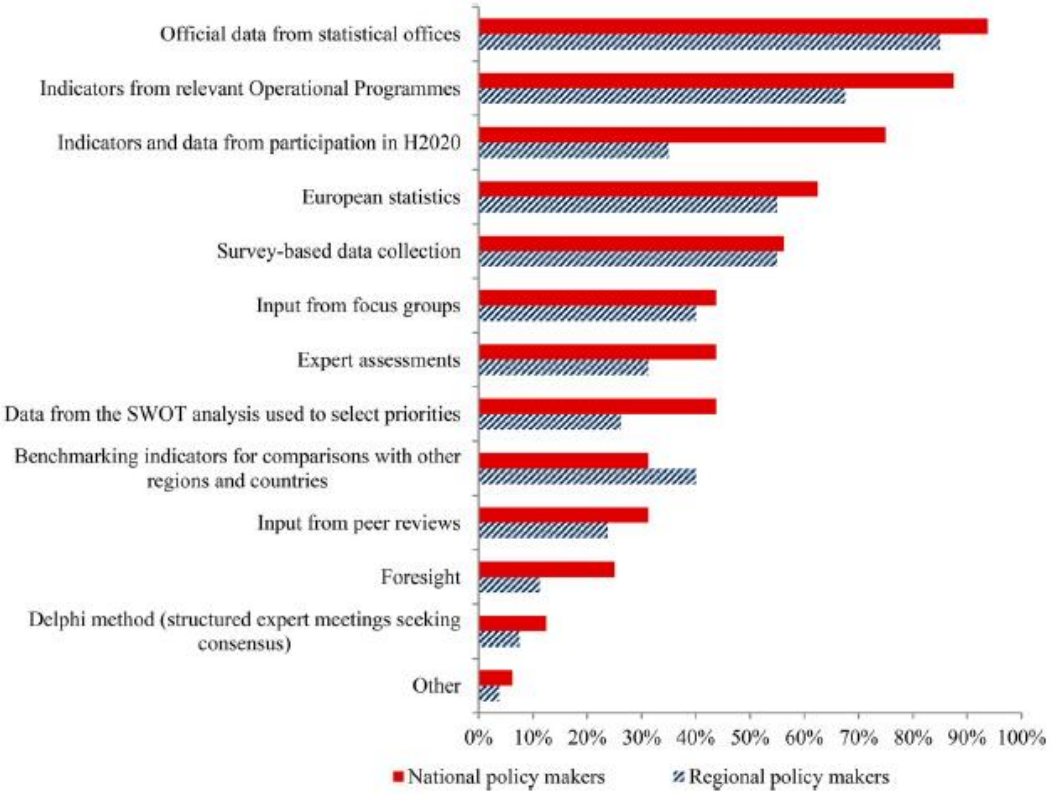

Figure 7. The main sources of information and methodologies employed to monitor the RIS3 according to national and regional policy-makers. Source: Own elaboration. Respondents were asked to choose among sources of data and methodologies used for the monitoring of their respective RIS3.

Monitoring and indicators

In addition, stakeholders provide relevant input for data collection…

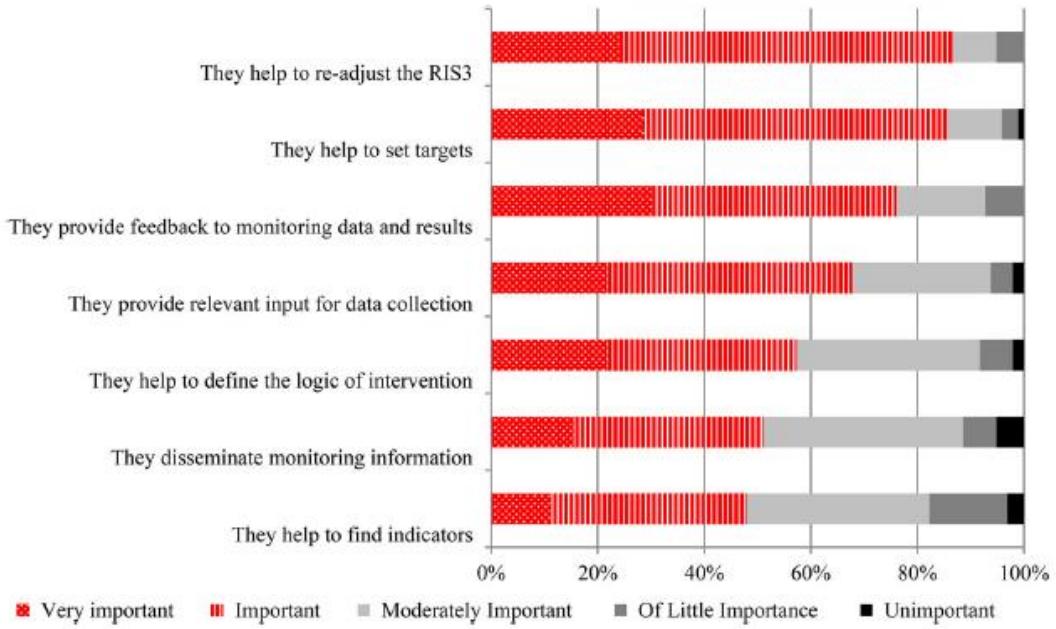

Figure 8. The role of stakeholders in the monitoring of the RIS3 according to national and regional policy-makers. Source: Own elaboration. Respondents were asked to grade the potential role of stakeholders in the RIS3 monitoring (from unimportant to very important).

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Visualisation and reporting

Introduction to the topic:

- Data visualization is a process that (a) is based on qualitative or quantitative data and (b) results in an image that is representative of the raw data, which is (c) readable by viewers and supports exploration, examination, and communication of the data (Azzam et al., 2013, p. 9).
- Different mechanisms could be use for visualising and reporting qualitative or quantitative data but the main focus should be on communicating results to stakeholders

Partners introducing the topic: Wales Government &IACW &NESTA

Highlights from the presentation:

- Different ways to visualize the results of monitoring results depending on the target group
- ICT and new methods are useful tools for this purpose

Monitoring and indicators

Public and internal reports are the main dissemination channels put in practice

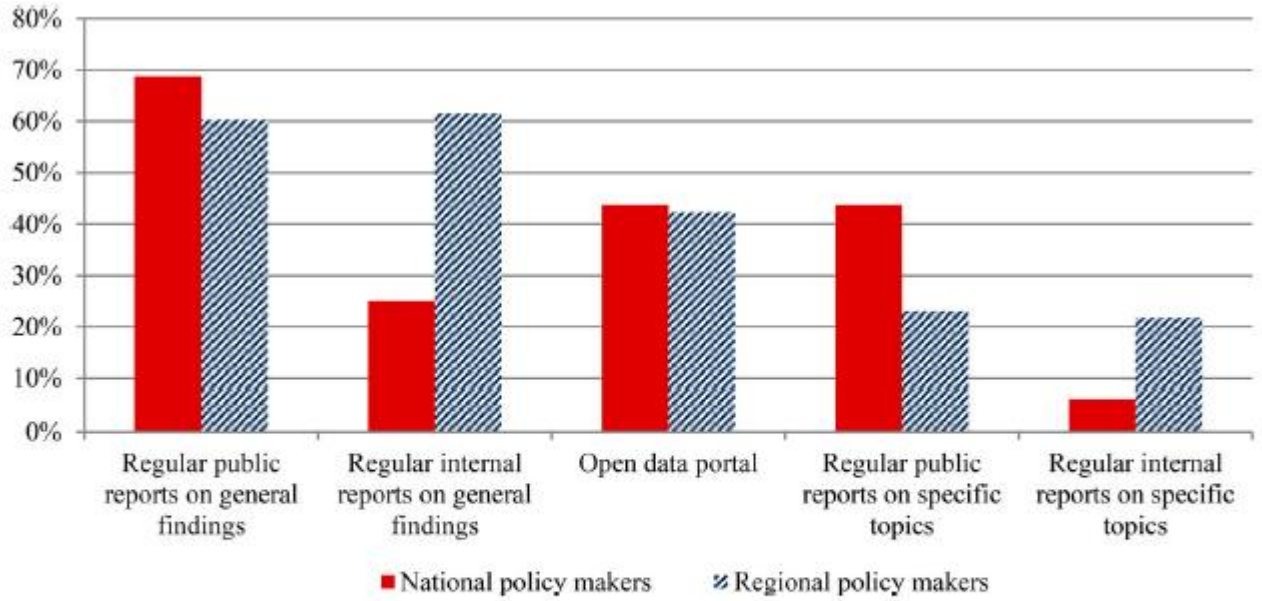
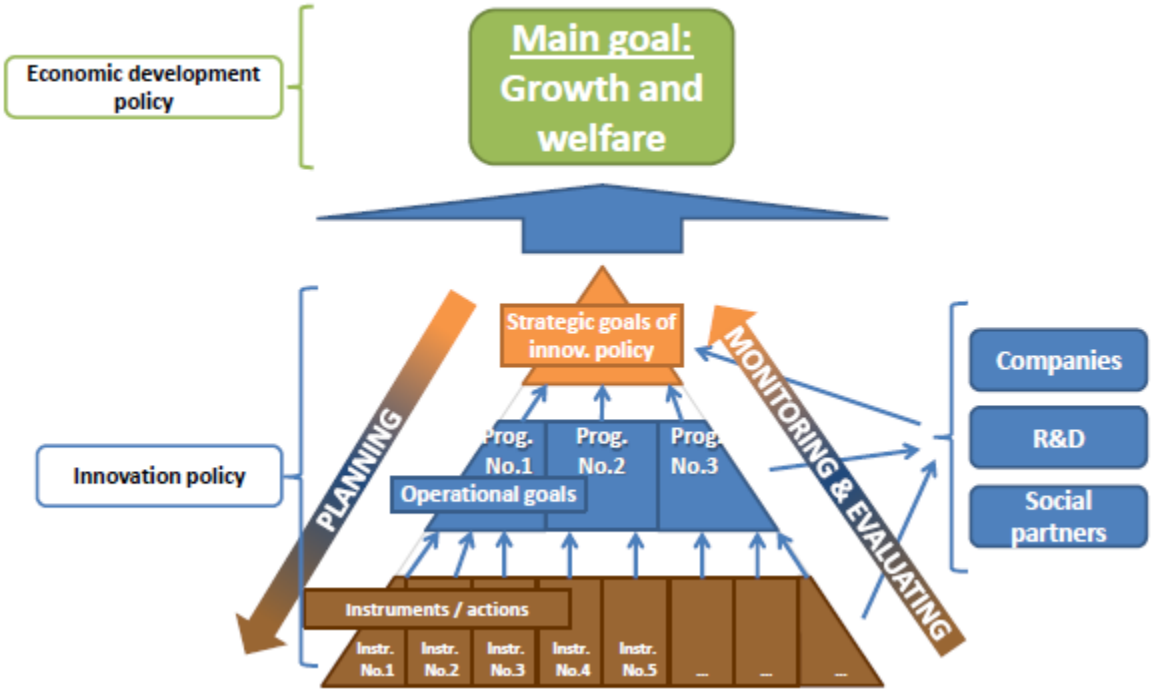


Figure 4. The dissemination channels of monitoring results according to national and regional policy-makers. Source: Own elaboration. Respondents were asked how RIS3 monitoring data will be disseminated. Multiple choices were allowed.

Monitoring and indicators

Guidelines from the World Bank towards a monitoring system:

Model of intervention logic



Monitoring and indicators

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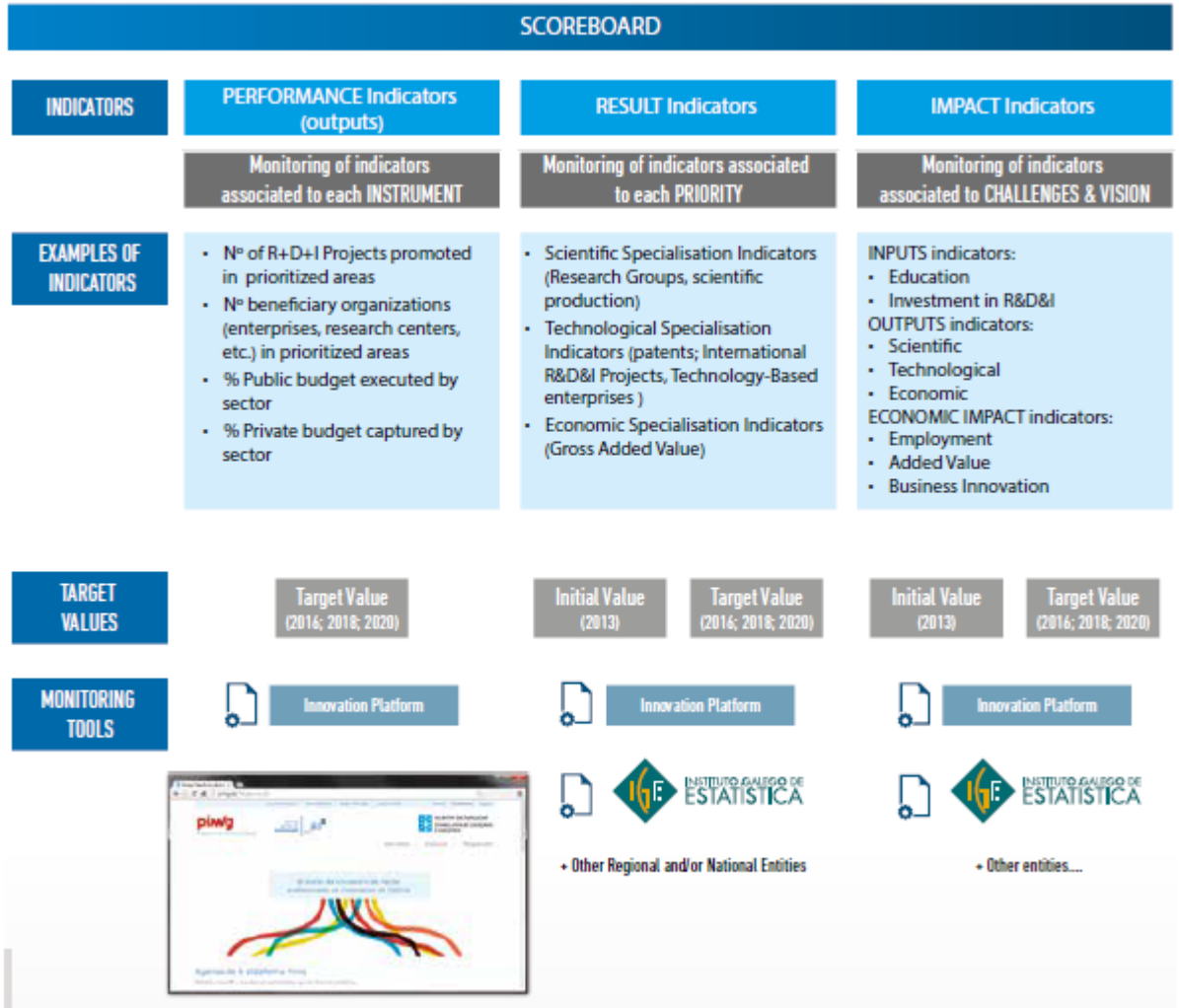
Guidelines from the World Bank towards a monitoring system:

Monitoring system according to each level

Intervention level	Type of indicator	Frequency*	M / E	Function / description
Policy	Context	Every 2 years	M	Defines or modifies an area of intervention
	Impact	Every 3 years (mid-term and ex-post evaluation)[13]	E	Checks whether the achieved change is satisfactory and can be attributed to the intervention
	Input	Annually	M	Checks if there is enough input to achieve the planned change
Program	Context	Every 2 years	M	Checks if the specific situation in the area of intervention has changed and if there is a need to modify the intervention
	Impact	2-5 years	E	Checks whether the achieved change is satisfactory and can be attributed to the intervention
	Outcome	Annually	M	Shows if the intended results of the program have been achieved
	Output	Every 6 months	M	Checks if the implementation of actions (accumulated) is going as planned
	Input	Every 6 months	M	Checks the outlays against the envisaged plan
Instrument	Outcome	Every year	M	Shows if the planned results of an action / instrument have been achieved
	Output	Quarterly	M	Checks if the implementation of each action is going as planned
	Input	Quarterly	M	Checks the progress of spending against the plan

Monitoring and indicators

Examples from other regions: Galicia



Source: RIS3 Galicia

Monitoring and indicators

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Proposal from the S3 Platform

Strategic priorities	Expected changes	Result indicators
Priority 1 Process innovation in agro-food	Increased adoption of frontier technologies for fresh product preservation among local agro-food SMEs (expected adoption rate of 30% in 5 years)	# or % SMEs introducing process innovation for fresh products preservation # collaborations SMEs + R&D centres
Priority 2 Product innovation in biomedical technologies for degenerative diseases	Development of new products (Increase in patents by 20% in 5 years)	# new patents in this priority field # new R&D staff in sectors relevant for this priority field
Priority 3 ICT & digital communication	Increased adoption of digital communication systems by local SMEs (expected adoption rate of 80% in 5 years)	% firms using integrated web-based services % firms with social-network profiles

The instruments implemented in policy mix may act on several priorities: in this case, it is recommended to try breaking down output indicators by priority in order to properly reconstruct the cause-effect chain

Policy mix	Output indicators
Policy mix 1 Vouchers for accessing high-value-added R&D services Competitive grants for SME consortia + R&D centres	# SME financed for technological transfer (# and value of vouchers actually spent; # and value of grants paid)
Policy mix 2 Research grants via competitive calls Training workshops	# researchers financed # targeted training activities supported
Policy mix 3 Co-finance development of demonstration projects Awareness raising of new ICT solutions among local firms	# projects financed # local firms reached with target information material on demonstration projects

- Baseline values (e.g. from survey launched with the support of key stakeholders)
- Target values (determined in consultation with key stakeholders)
- Timeframes

- Target values
- Timeframes

References

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