



MANUMIX
Interreg Europe



European Union
European Regional
Development Fund

2nd Learning Pillar: Action-oriented evaluation

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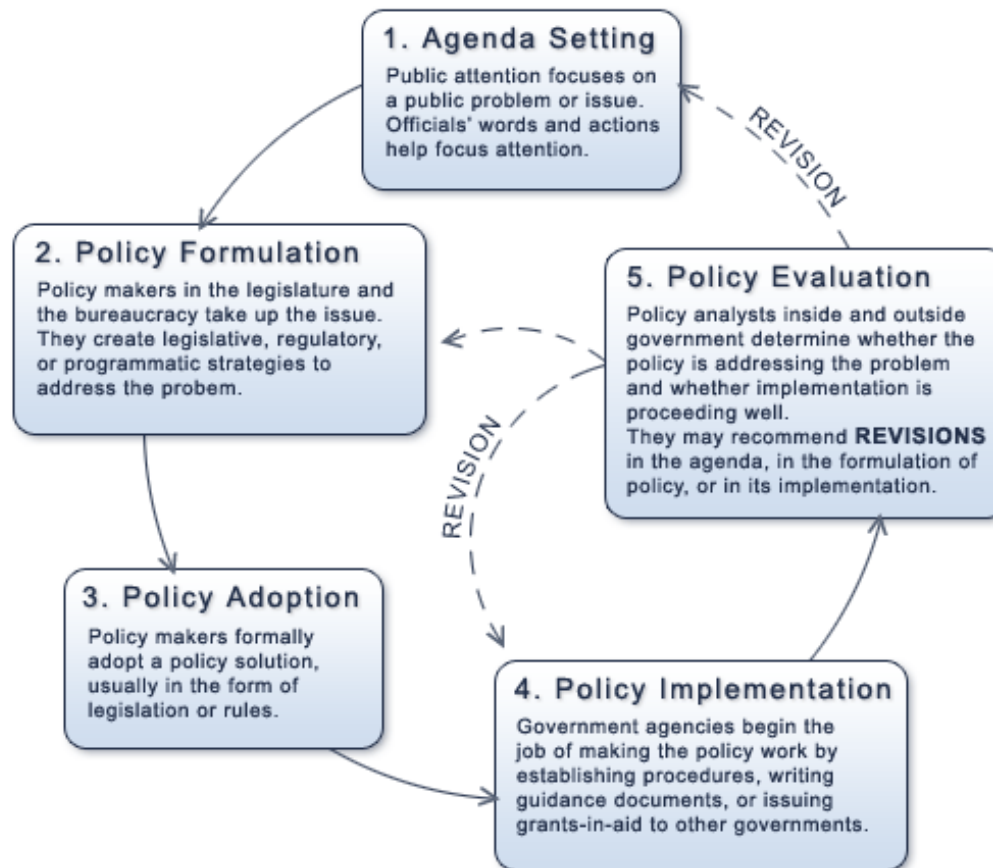


Orkestra
BASQUE INSTITUTE
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November 22nd, 2017 | 2nd Learning Journey, Torino

Evaluation in the policymaking process

Evaluation is more than applying methods. It is also “political and managerial activity, **an input into the complex mosaic from which emerge policy decisions and resources for the planning, design, implementation, and continuance of programs**” (Rossi & Freeman, 1993: 15).



The role of evaluation

Why evaluate?

1. Accountability purposes:
Measuring policy effectiveness
2. Improving planning: Looking at the efficiency of policy resources
3. Improving implementation:
Looking at the implementation mechanisms
4. Learning and knowledge purposes: Analysing the causes of the impacts and measures and looking at the whole policy process

Function of evaluation

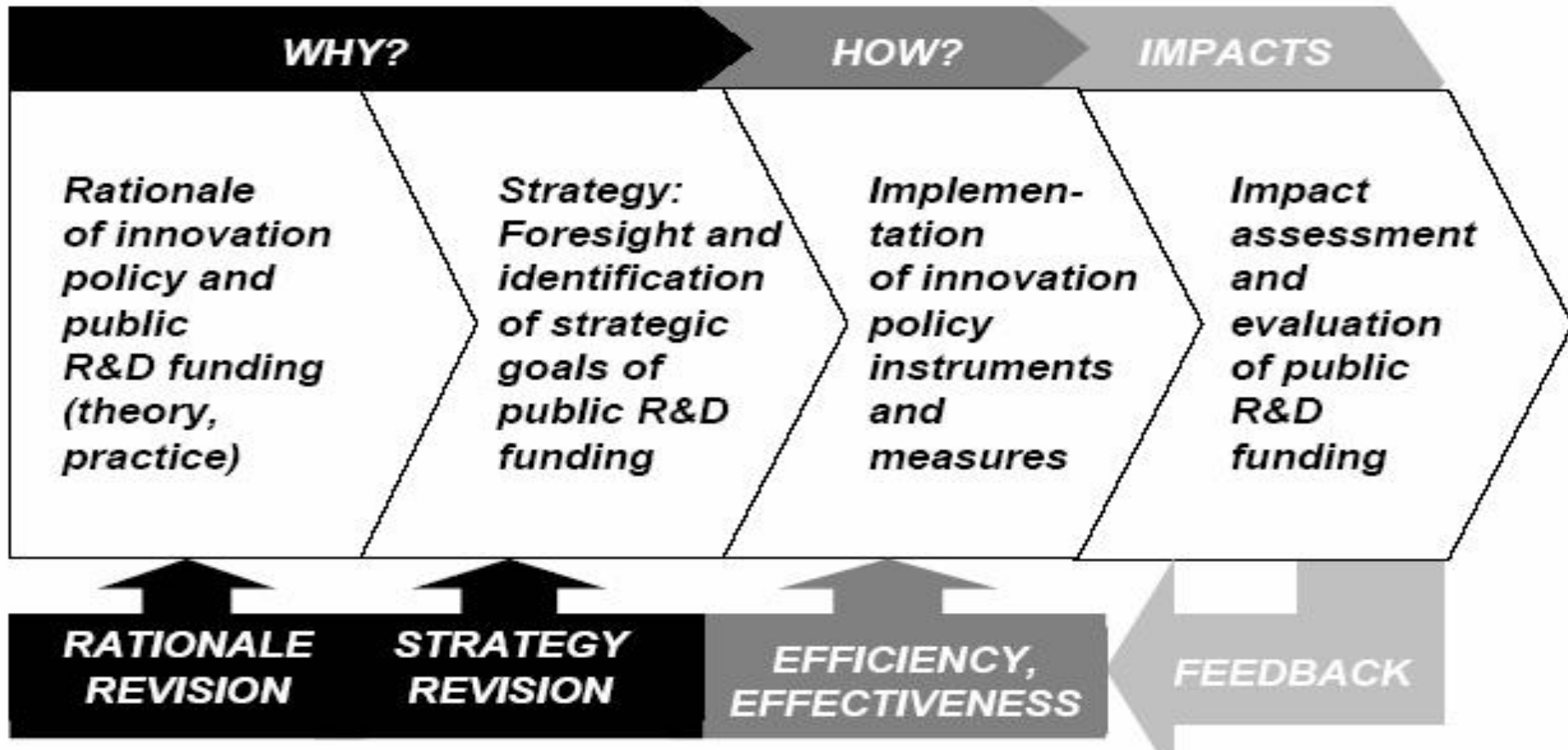
- Legitimisation for the allocation of public money to R&D,
- Enhance an adequate and effective use of funding by measuring quality or impact
- Improve programme management and programmes,
- May release new ideas
- Improve transparency of the rules of the game of science and technology funding decisions
- Enhance the information basis for science and technology policies

Which types of decisions?

General outcomes and decisions of evaluation

- 01 Policy is judged to be successful -> continuation in its present form
- 02 Policy is judged a failure -> termination
- 03 Policy is judged as necessary / but changes suggested

Which types of changes?



Which types of changes?

01 Content vs. process of policy instruments

02 Strategic vs. operative decisions:

- Strategic decisions (e.g.. rationale of intervention, priorities and objectives, budget, supported project types)
- Operative decisions (e.g.. training for beneficiaries, monitoring indicators, dissemination activities)

Which types of changes?

Discussion examples from Manumix regions

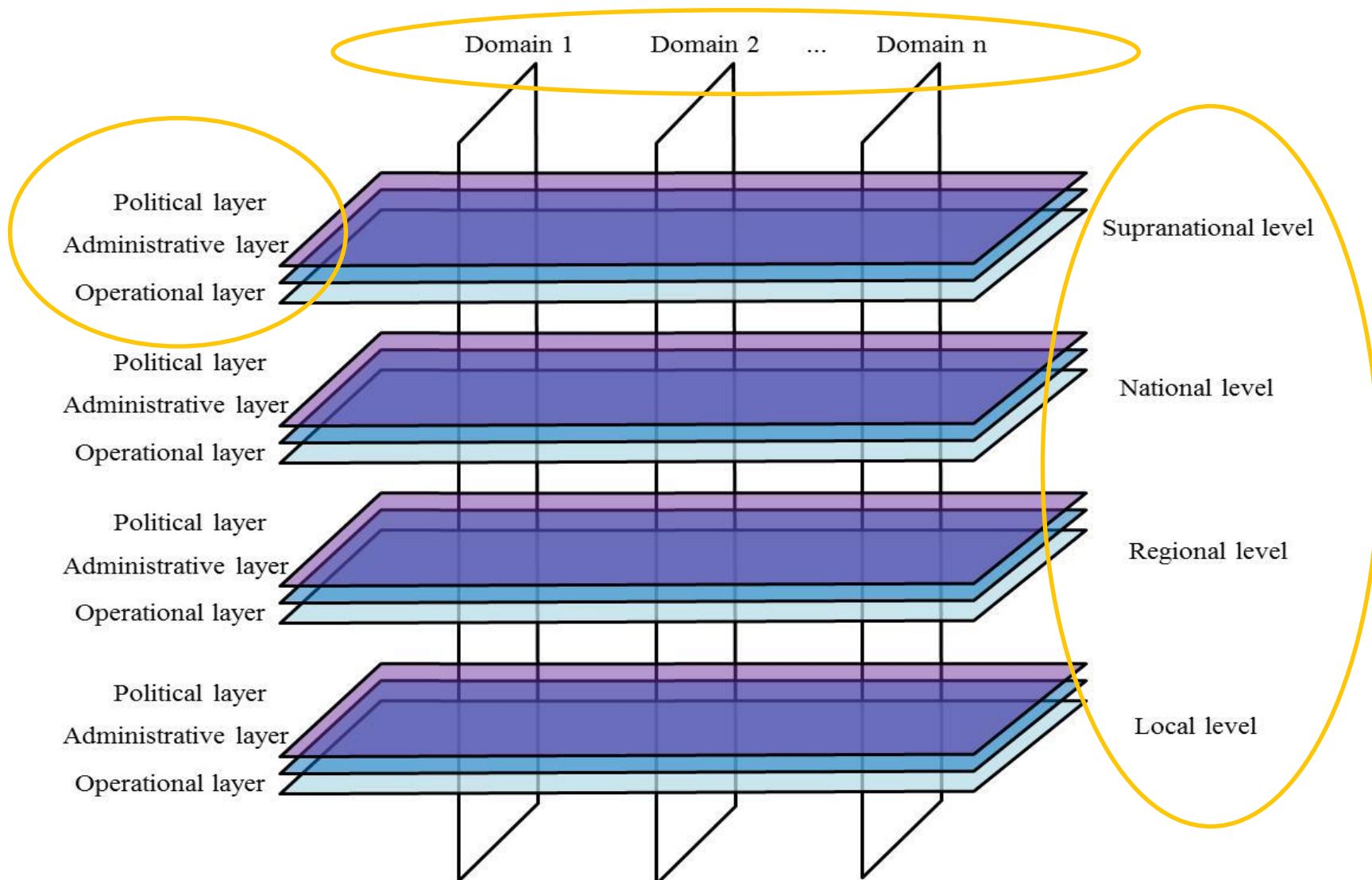
	Strategic decisions/changes (e.g.. rationale of intervention, priorities and objectives, budget, supported project types)	Operative decision/changes (e.g.. training for beneficiaries, monitoring indicators, dissemination activities)
BASQUE COUNTRY	<p>Increase of projects' budget (Hazitek, BI, Gauzatu)</p> <p>Changes in characteristics of supported programmes, e.g.. Technologies, S3 priorities (Hazitek, BI, Gauzatu)</p> <p>Changes in types of beneficiaries: types of companies (Hazitek, Gauzatu)</p>	<p>Changes in management's procedures: digitalization, phasing (Hazitek, Gauzatu)</p>
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PIEDMONT	<p>Reshaping of technological domains according to S3 priorities (Poli d'innovazione)</p> <p>Funding allocation (ROP, Innovazione MPMI, IR2)</p> <p>New actions in the policy mix (ROP)</p>	<p>Activities to achieve a wider involvement of beneficiaries (Manunet)</p> <p>Output indicator of OP</p> <p>Performance framework</p> <p>Simplification of procedures (IR2)</p>
WALES	<p>Incorporation of wider society goals and cross cutting goals</p> <p>Setting out evaluation direction and methodology</p>	-----

Blue – changes related to the process

Black – changes related to the content

The need for coordination

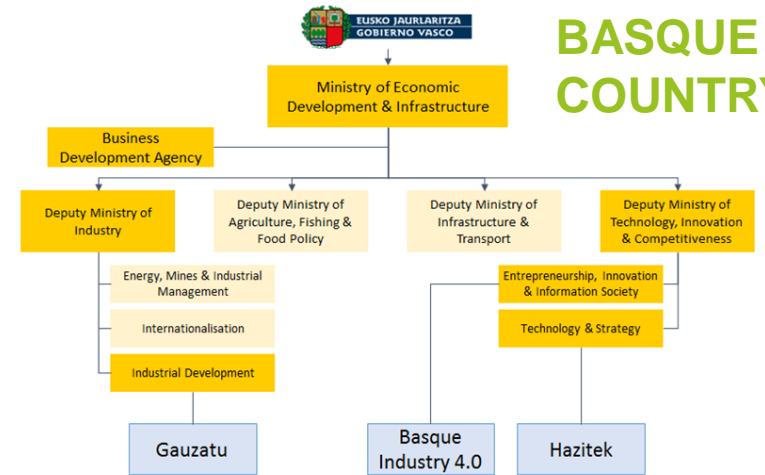
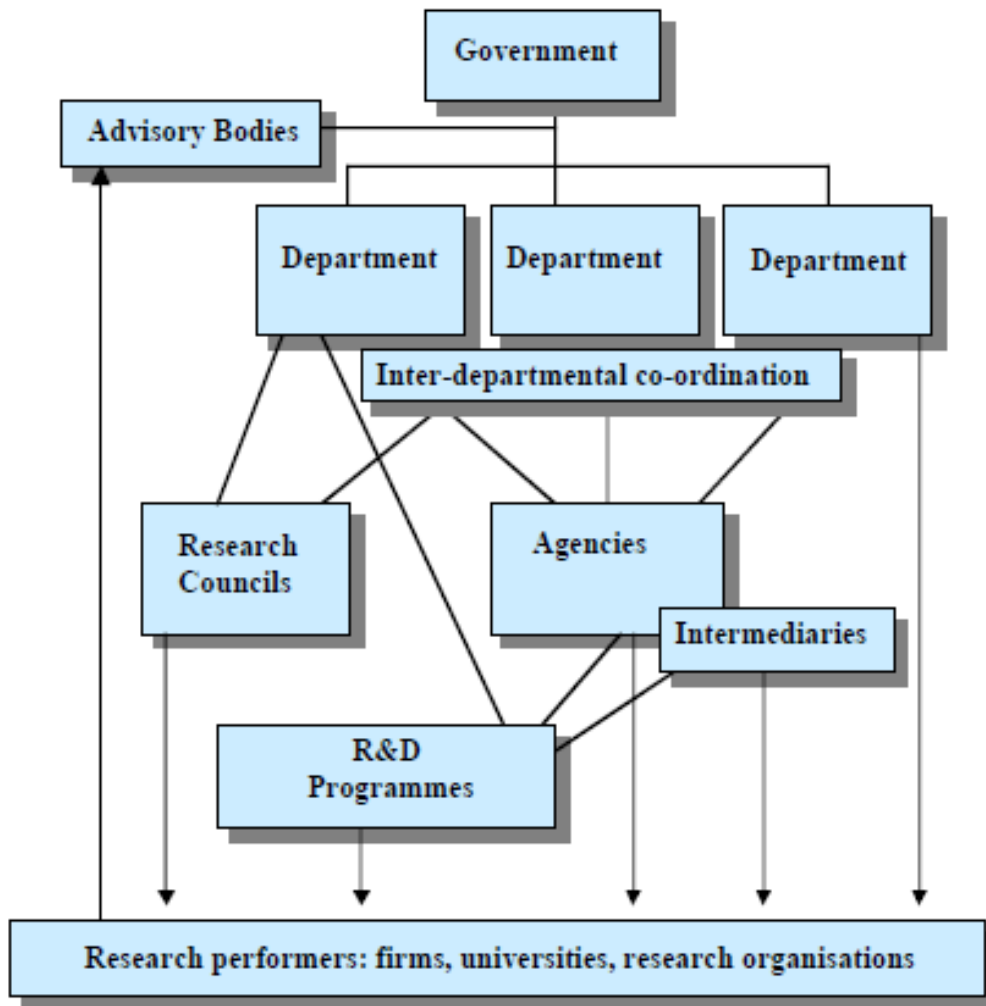
Complexity of actors in STI regional policymaking



The need for coordination

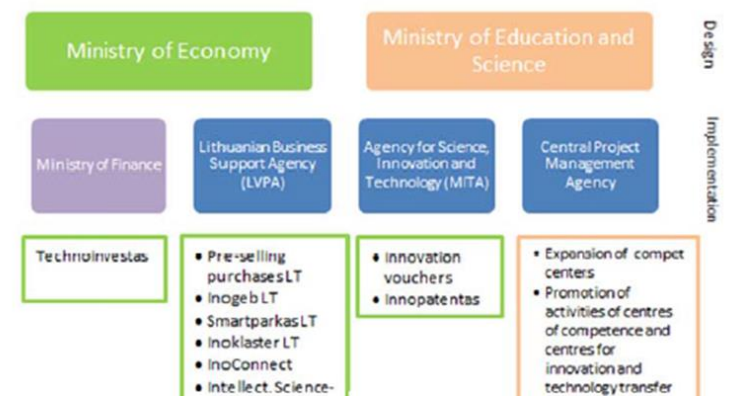
A typical innovation governance structure

Organisations in policy design & implementation



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Coordination modes

- Vertical coordination / horizontal coordination
- Hard coordination / Soft coordination
- Positive coordination / Negative coordination

Formal

Informal

Coordination instruments / mechanisms

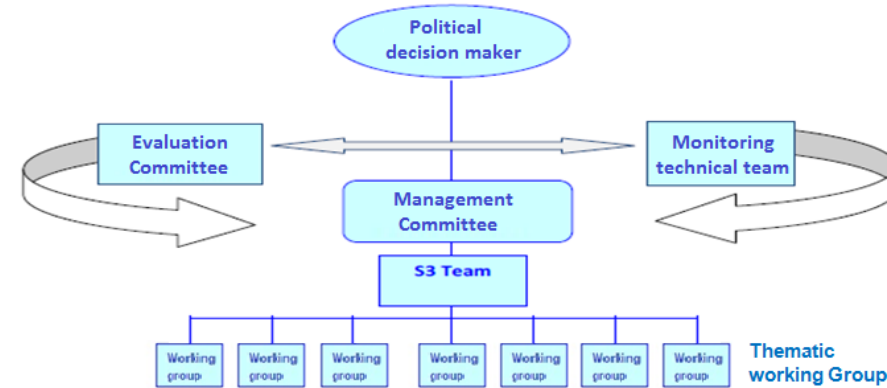
- Strategies, plans and programmes
- Organisational structures (e.g. inter-departmental committees)
- Laws, regulations or standards
- Agreements and contracts
- Finance and budget
- Actions linked to staff (e.g. mobility and training)
- Evaluation and indicators
- Reports, exploratory studies, consultancy, etc.
- Calls, informal contacts, personal relationships, etc.
- Inter- and intra-party relationships

Coordination: from evaluation to decision

Let us discuss the Manumix examples

Hazitek	Basque Industry 4.0	Gauzatu
<ol style="list-style-type: none"> 1. The Business Development Agency makes the evaluation and writes a report with the analysis and the conclusions. 2. This report is discussed within a working group constituted by the Technology & Strategy unit of the Basque Government (programme owner), the Business Development Agency (programme manager) and Innobasque, the Innovation Agency. 3. This working group sends its proposals of changes, if there is any, to the minister of Economic Development & Infrastructure who makes the changes. 	<ol style="list-style-type: none"> 1. The technicians of Entrepreneurship, Innovation & Information Society unit of the Basque Government (programme owner) and the Business Development Agency (programme manager) make proposals of changes to the managers. 2. These proposals are checked by the RTOs. 3. The director of the Entrepreneurship, Innovation & Information Society unit of the Basque Government makes changes in the programme's regulation and sends it to the general manager of the Business Development Agency in order to implement it. 	<ol style="list-style-type: none"> 1. A committee of experts evaluates the quality and the innovative character of the projects every year. 2. The conclusions of these evaluations are checked, if needed, by the Industrial Development unit of the Basque Government (programme owner) with the support of the Strategy, Technology & Innovation unit of the Business Development Agency (programme manager) and makes proposals of changes. 3. The proposals are sent to the deputy minister of Industry who, along with the minister of Economic Development & Infrastructure, make the changes.

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PIEMONTE

WALES

Evaluation to influence future decision making
Continued testing and probing
Possible role for Innovation Advisory Council for Wales

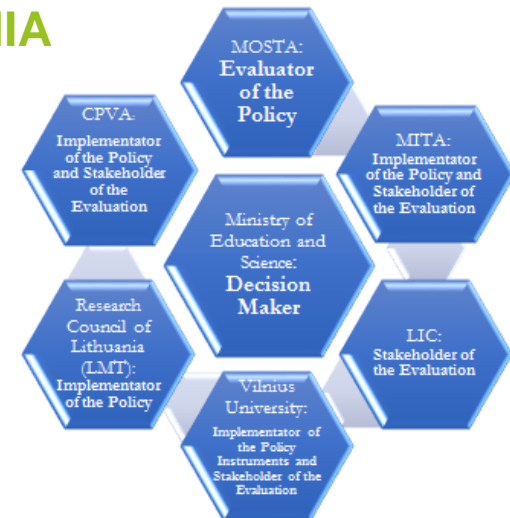
Example – targeted Innovation Vouchers for Structural Steel CE marking to take advantage of the 'Fit for Nuclear' supply chain opportunity.

Evidence gathered to help Innovation senior managers build a business case to input into future business planning (post European Funding)

Compete for UK industrial strategy funding/Wales contribution to UK GVA

Post BREXIT strategy.

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Factors that influence on evaluation use

Usability and Use

Usability

Elements related to the evaluation process:
how evaluation is organized, quality, relevance,
credibility...

Use

Elements related to the capacity of organizations to
uptake the results: structures, practices, political
climate...

Factors that influence on evaluation use



Timeliness and planning



Evaluation makes significant impacts only at certain periods of time (e.g. during the design)

- Understand the policymaking cycle and determine the best moment for delivering of evaluation results
- Plan evaluations to respond to decision making needs
- Flexibility in the timing of evaluation
- Framework contracts to avoid length of procurement procedures

Appropriate evaluation design and process for the need of evaluation. E.g.:

- Decisions on resource allocation – analysis of efficiency
- Accountability purposes – steering group, communication strategy...
- Learning purposes – interactive modes of evaluation

What about in your regions?

Involvement



a) Those responsible for uptake of results

Direct involvement:

- On defining terms of reference
- Taking part in the steering group
- Discussing draft and final results

b) Wider stakeholders

Involvement through consultation, expert hearings, etc.

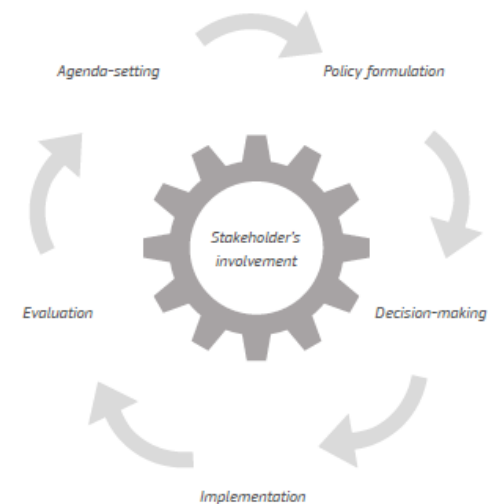
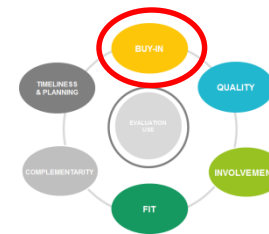


Figure I.1 The Cycle of EDP
Source: Kyriakou and Perlañez-Forte (2016), based on Lasswell (1956).

What about in your regions?

Buy- in



- Relevance of support of senior management (although usually implicit -> instrumental use) for evaluation results to be “filtered up”
- Need to ensure “buy-in” and ownership
 - Through institutionalizing evaluation: assigning specific roles for senior managers in defining production and dissemination of evaluation
 - Promoting evaluation culture (ongoing process)
- Involvement for strategic use of evaluation particularly important in:
 - Planning stage (discussing evaluation terms)
 - Discussion of draft evaluation results

What about in your regions?

Evaluation quality, fit and complementarity



- Relevance of the quality of evaluation exercise.
 - Quality of the content and the process of evaluation
 - Credibility of recommendations (connection between recommendations and results)
 - Relevance of combining subject-matter and evaluation expertise
 - Scope – narrow focus evaluations usually more useful
- Fit to purposes and organization:
 - Fit of evaluation approaches and methods to evaluation purposes
 - Relevance of knowing the organization well and tailoring recommendations
 - E.g.. Evaluation for improving implementation – practical and realistic recommendations
- Complementarity:
 - Complementarity with other “intelligence tools”, such as science and technology foresight, technology assessment (Kulhman, 2003)

What about in your regions?

1.- Regarding the use of evaluation results to improve the policy-mix in your regions...

- What works?
- What doesn't work or could be improved? Do you know of changes that should and have not been made? Why has this happened?

2.- Is there anything from other regions' way of doing that you think could be interesting for your region?

3.- What have we learned from this learning pillar?

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Thank you!

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Questions/Comments welcome



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