3rd Learning Pillar: Monitoring and evaluation

ORKESTRA
Basque Institute of Competitiveness
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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.*
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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
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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.
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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
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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.
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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 used 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
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Public and internal reports are the main dissemination channels put in practice.
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Guidelines from the World Bank towards a monitoring system:

Model of intervention logic
Monitoring and indicators

Guidelines from the World Bank towards a monitoring system:

Monitoring system according to each level

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

Source: RIS3 Galicia
Monitoring and indicators

Proposal from the S3 Platform

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

Policy mix
- Policy mix 1
  - Vouchers for accessing high-value-added R&D services
  - Competitive grants for SME consortia + R&D centres
- Policy mix 2
  - Research grants via competitive calls
  - Training workshops
- Policy mix 3
  - Co-finance development of demonstration projects
  - Awareness raising of new ICT solutions among local firms

Output indicators
- # SME financed for technological transfer
- (# and value of vouchers actually spent; # and value of grants paid)
- # researchers financed
- # targeted training activities supported
- # 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
References


World Bank (2014). Guideline note for a monitoring and evaluation system for innovation strategies (RIS3) in Poland