The European Commission's science and knowledge service

Joint Research Centre

Thematic workshop on better Monitoring , Evaluation, and designing Regional Research and innovation Strategies for Smart Specialisation (RIS3)

S3 platform Tools & Initiatives to support RIS3 Monitoring & Evaluation

Stairway to excellence

Mathieu Doussineau

JRC B.3 Territorial Development, S3 Platform

https://s3platform.jrc.ec.europa.eu/

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   - *Feedback on M&E based on a JRC survey on the implementation of RIS*
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3. Indicators for M&E: Update of the S3platform IT tool R&I viewer
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4. S3 Impact Assessment using CGE RHOMOLO model (pilot analysis)
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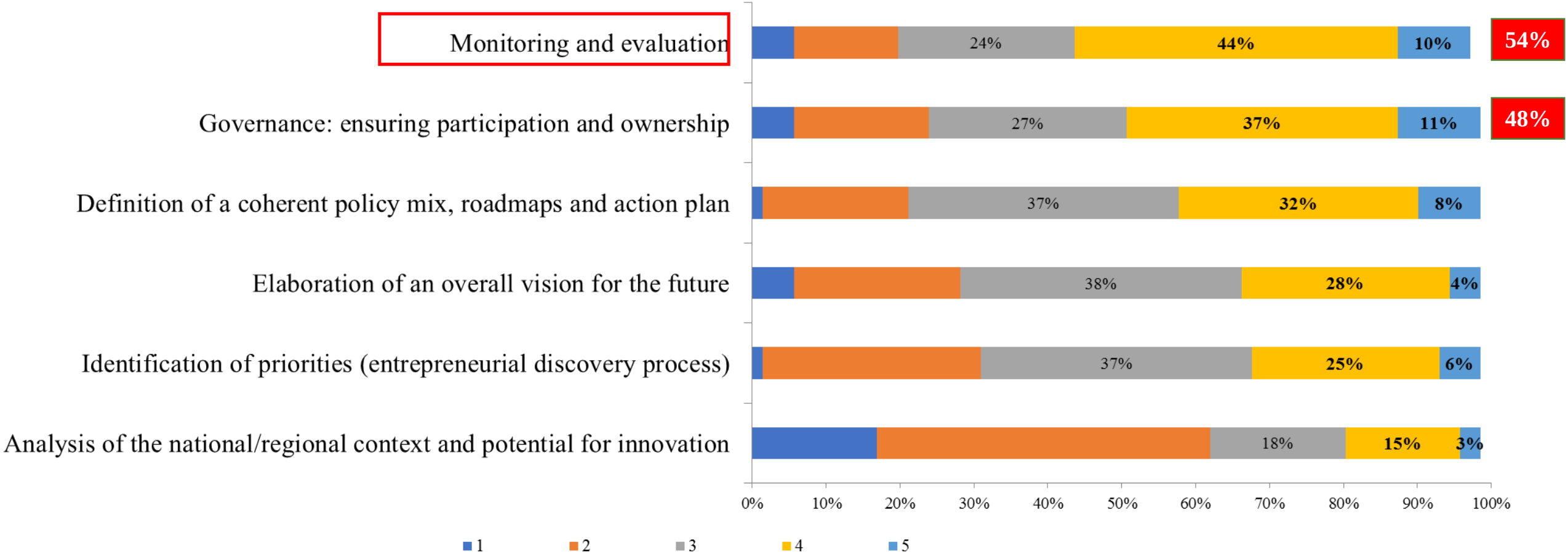
5. Reconstructing the S3 logic of intervention
   - *Forthcoming workshop*

The policy makers' view on strategy design and implementation

Setting up a monitoring & evaluation system is not easy!



Level of difficulty encountered with respect to the six steps of the S3 design process (5. very difficult - 1. very easy)

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The policy makers' view on strategy design and implementation

Improvements promoted by the RIS3 process

Radical/Substantial improvements	**No/Minor improvements**
• Stakeholder engagement • Prioritisation process • Concentration of funding • Level of trust	• **Quality and effectiveness of monitoring activities** • Strategies' outward-looking perspective • Progress toward economic transformation

The policy makers' view on strategy design and implementation
Main challenges/problems with respect to the RIS3 exercise

Analysis of the context and potential for innovation	1. Lack of data and/or data availability when needed
	2. Lack of evaluation studies and monitoring information on past policies
Monitoring & Eval activities	1. Lack of data and/or data availability when needed
	2. Lack of evaluation studies and monitoring information on past policies
	3. Lack of skills and capabilities within the (regional/national) administration
Policy-mix and policy instruments	1. Obstacles associated with the different rules governing diverse funding sources
	2. Synergies among policies and funding managed by different institutions placed on different level (EU, national, regional)
	3. Difficulties in managing/financing interregional collaborative projects
	4. Lack of skills and capabilities within the regional/national administration
	5. Difficulties in getting enterprises involved
Priority selection	1. Difficulties in getting enterprises involved
	2. Lack of skills and capabilities in some groups of stakeholders
	3. Difficulties in getting civil society groups involved

From "Smart Specialisation at work: the policy makers' view on strategy design and implementation", JRC Technical Reports JRC114141

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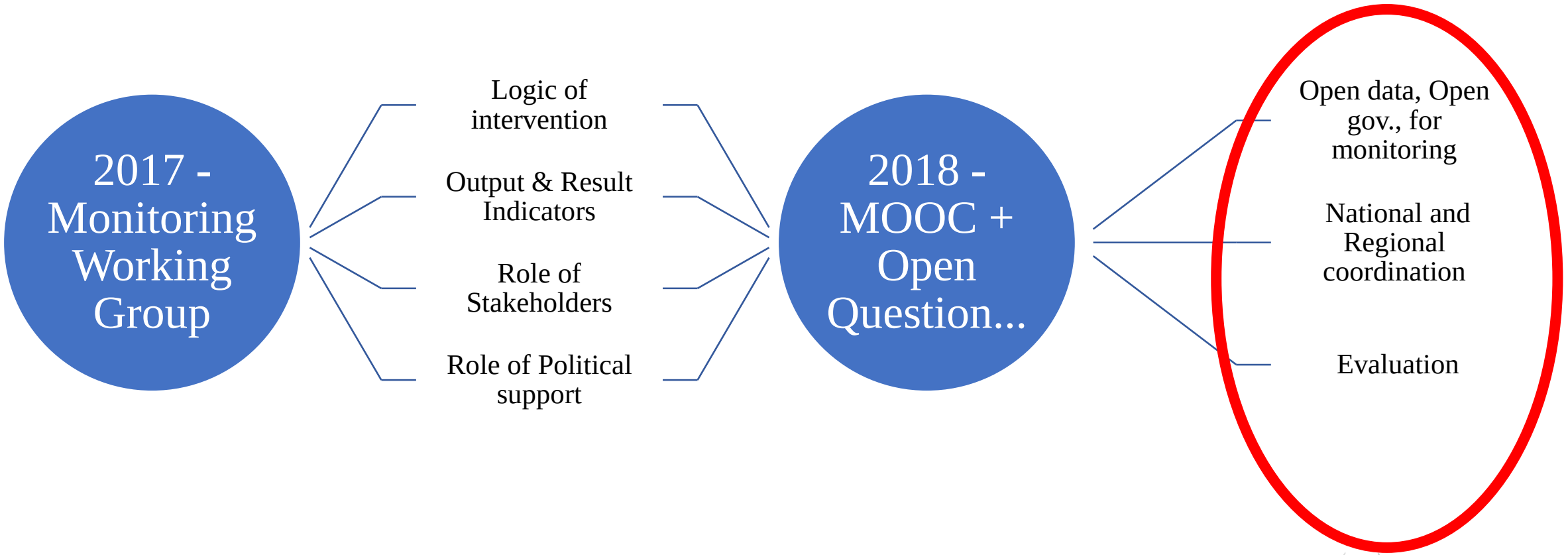
Targeted Support to Smart Specialisation in Lagging Regions : working group on M&E

Working Group 2019



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Lagging Regions working group on M&E

About Evaluation

- Activities implemented by the working group:
  - Link between monitoring and evaluation
  - Elements to take into account in setting up evaluation
  - Exploration of different evaluation issues (i.e. regulatory (and non) framework conditions; National and regional evaluations; S3 impacts on research communities; Internal vs External evaluations)
  - Analysis of S3 Evaluation tenders

Evaluation, in contrast with monitoring, is not explicitly listed in the fulfilment criteria of the current ex-ante conditionality, however it is taken in the new regulation proposal for 2021-2027.
Despite that, there is a clear demand, from regions for indications on S3 evaluations, as a basis to prepare for the next programming period.
Tolias, Yannis (2019) An expert view: framing S3 evaluation, JRC report, 2019,

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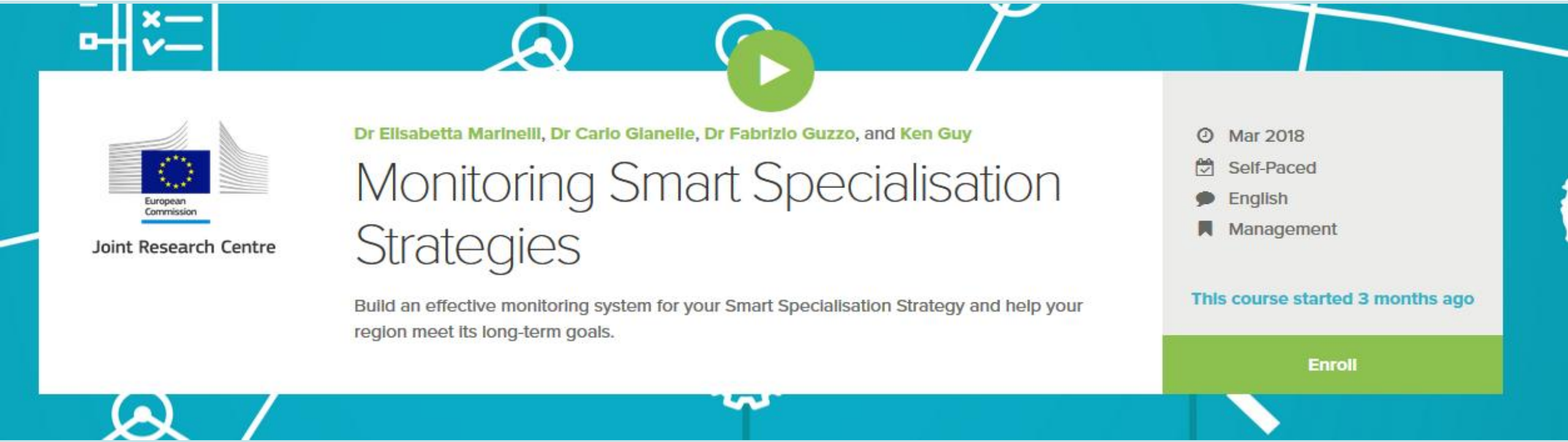
Lagging Regions working group on M&E

Focus on the Massive Online Open Course (MOOC)



https://iversity.org/en/courses/sandbox-course-old-continent

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Lagging Regions working group on M&E

Focus on the Massive Online Open Course (MOOC

- Online since March 2018 (self-paced)
- 5 modules: logic of intervention, indicators, data sources, stakeholder engagement, use of monitoring information, examples and real cases
- Target: policy makers, civil servants (regional and national level) and other stakeholders, practitioners, students and researchers
- More than 1,200 people enrolled so far

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Regional indicators for M&E: Update of the S3platform IT tool R&I viewer

- Objective
  - Support to policy makers in the evaluation and update of their S3 strategies
  - Monitor synergies between EU funding within specialisation areas
  - Measure the alignment of the R&I project allocation with their Smart specialisation strategies
  - Benchmark their own region with others
  - Better Identify their own key players and other Europeans ones

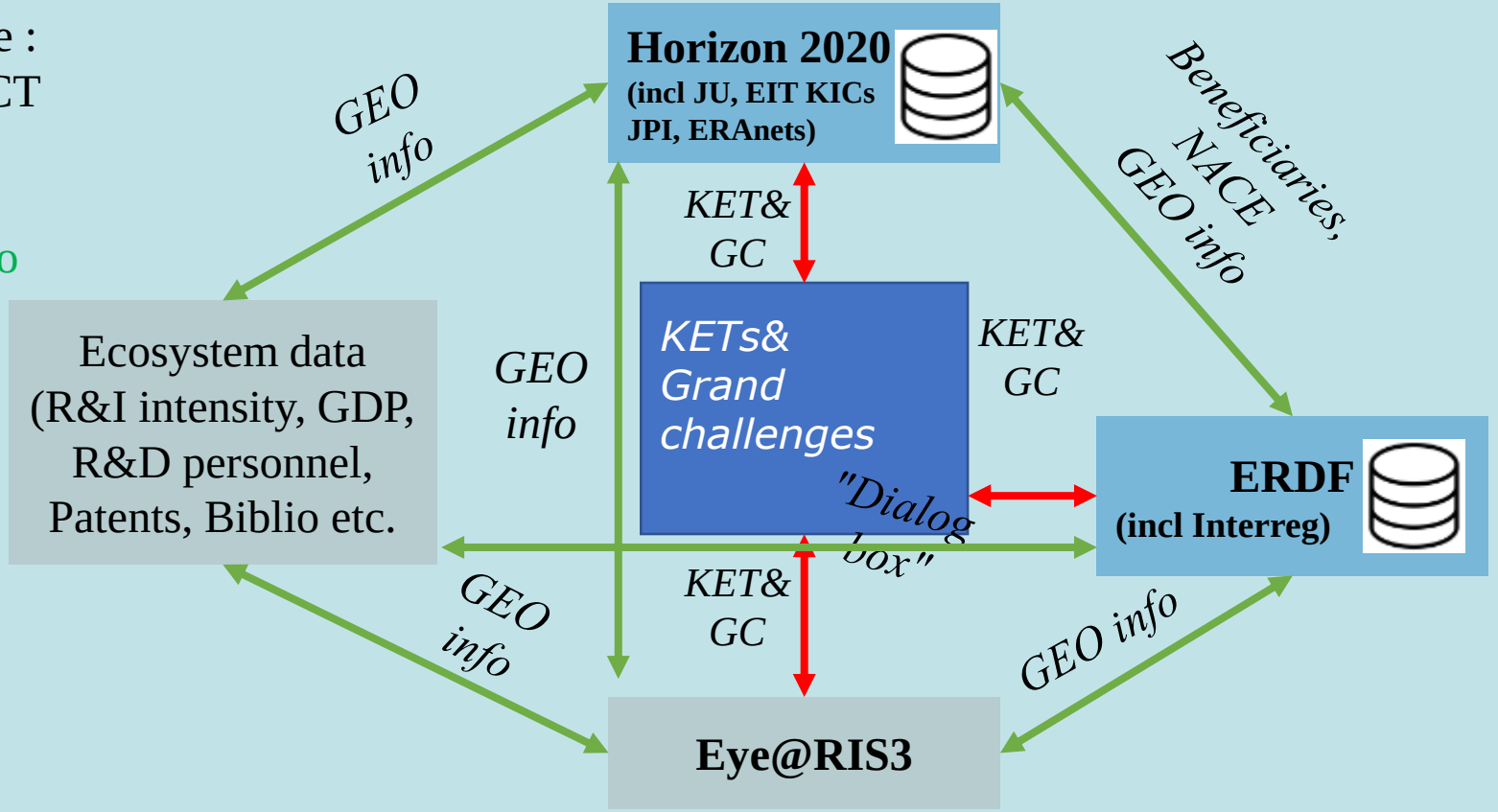
The objective is <u>not to provide</u> an exhaustive monitoring of what has been allocated or captured in a given region

Update of the S3platform R&I viewer

Connecting dataset to provide a consistent picture at territorial level

2 main key fields are :

- Themes (KET, ICT and Space & Gd Challenges)
- Geographical info (NUTS 1 2 3)



13 cat of intervention related to R&I

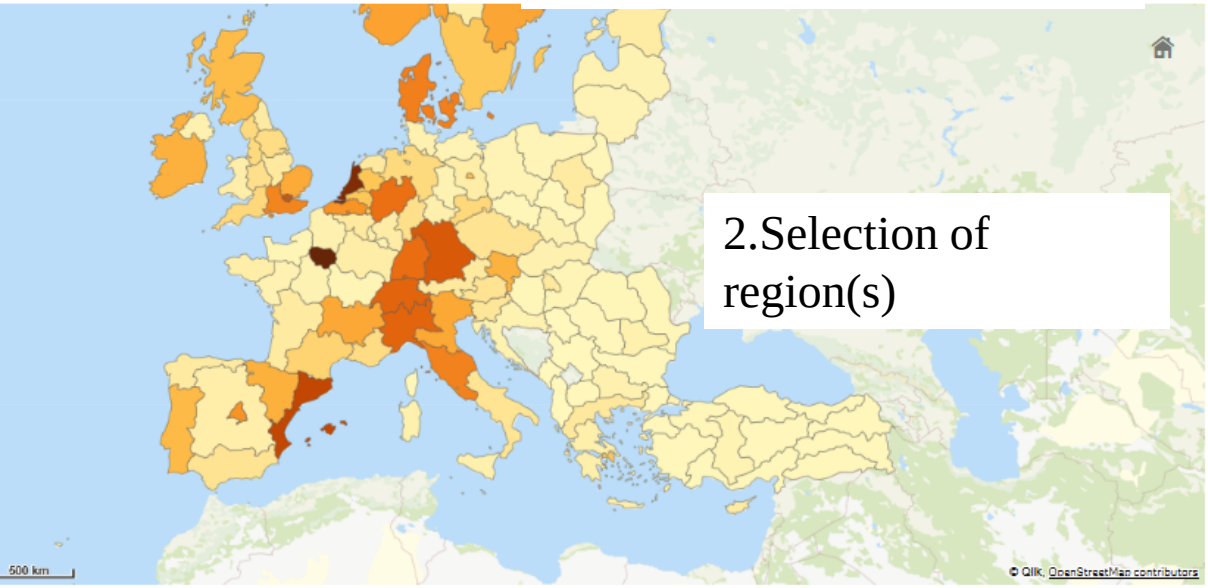
Update of the S3platform R&I viewer: prototype

orizon 2020 Regional Dashboard

COUNTRY | NUTS 1 | NUTS 2 | NUTS 3

1. Selection of territorial level

contribution H2020



2.Selection of region(s)

Regional ranking

NUTS1 CODE	NUTS1 REGION	EU contribution in M€	Average EU contribution	EU contribution/ci
Totals		37,697.8	380,340	20.97
AL0	SHQIPËRIA	0.0	-	-
AT1	OSTÖSTERREICH	660.0	381,089	59.10
AT2	SÜDÖSTERREICH	266.7	372,550	49.97
AT3	WESTÖSTERREICH	188.1	366,672	20.34
BE1	RÉGION DE BRUXELLES-CAPITALE/BRUSSELS HOOFDSTEDELIJK GEWEST	727.6	343,872	204.83
BE2	VLAAMS GEWEST			
BE3	RÉGION WALLONNE			
BG3	СЕВЕРНА И ЮГОИЗТОЧНА БЪЛГАР			
BG4	ЮГОЗАПАДНА И ЮЖНА ЦЕНТРАЛН БЪЛГАРИЯ			
CH0	SCHWEIZ/SUISSE/SVIZZERA			

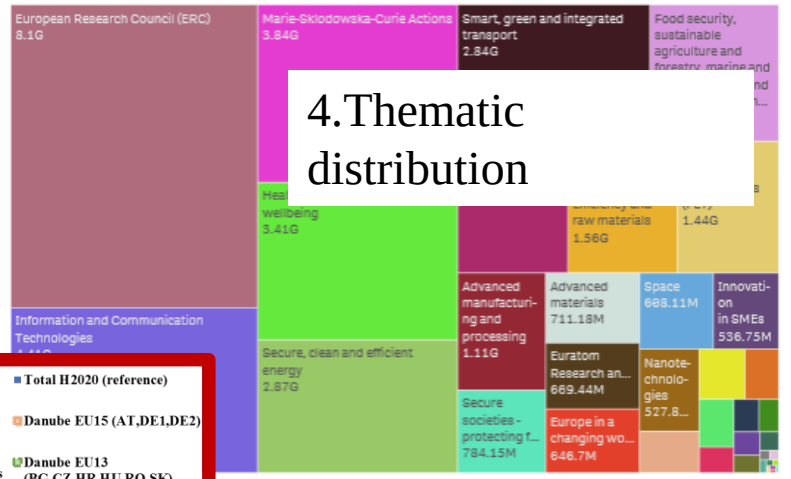
3.Territorial ranking(total,avg, per capita)

Participants ranking

Participant name	C...	T...	# participations
Total			4
CENTRE NATIONAL DE LA RECHERCHE SCIENTIFIQUE CNRS	FR	REC	1261
FRAUNHOFER GESELLSCHAFT ZUR FOERDERUNG DER ANGEWANDTEN FORSCHUNG E.V.	DE	REC	816
CONSIGLIO NAZIONALE DELLE RICERCHE	IT	REC	525
MISSARIAT A L ENERGIE MIQUE ET AUX ENERGIES RNATIVES	FR	REC	503
NCIA ESTATAL CONSEJO ERIOR DE INVESTIGACIONES TIFICAS	ES	REC	499
CHANCE OLARS AMBRID			
THE CHANCE SCHOLARS OF OXFORD			
MAX-PLANC ZUR FORDER WISSENSCHAFTEN EV			
UNIVERSITY COLLEGE LONDON	UK	HES	439
KOBENHAVNS UNIVERSITET	DK	HES	394
KATHOLIEKE UNIVERSITEIT LEUVEN	BE	HES	372
IMPERIAL COLLEGE OF SCIENCE TECHNOLOGY AND MEDICINE	UK	HES	337
EIDGENOESSISCHE TECHNISCHE HOCHSC	CH	HES	321
DEUTSC - UND RA			
TECHNIS DELFT			

10.Beneficiaries ranking (in number of participation)

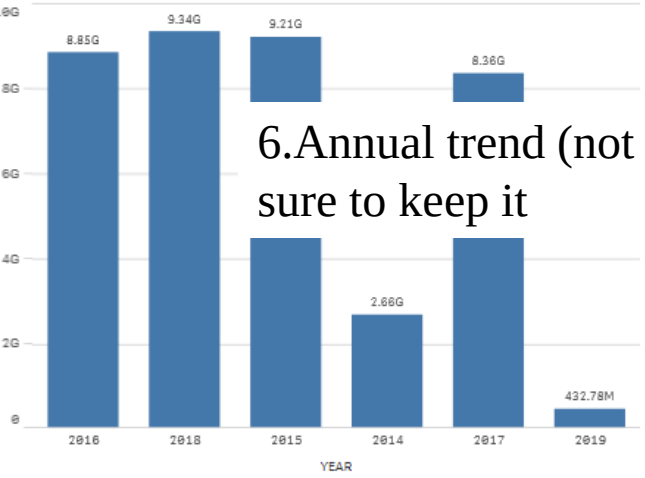
Distribution among H2020 sections



4.Thematic distribution

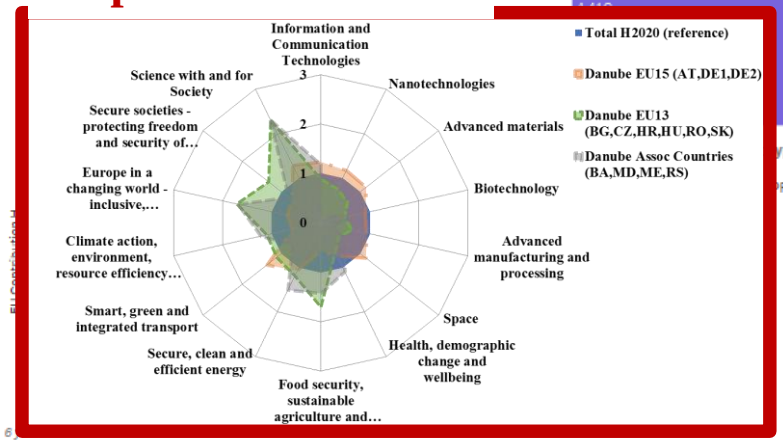
11. Network modelisation (SNA)

mulated usage



6.Annual trend (not sure to keep it

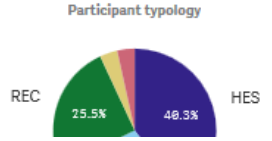
5.Specialisation



ypology

RC REC OTH PUB

Participant typology



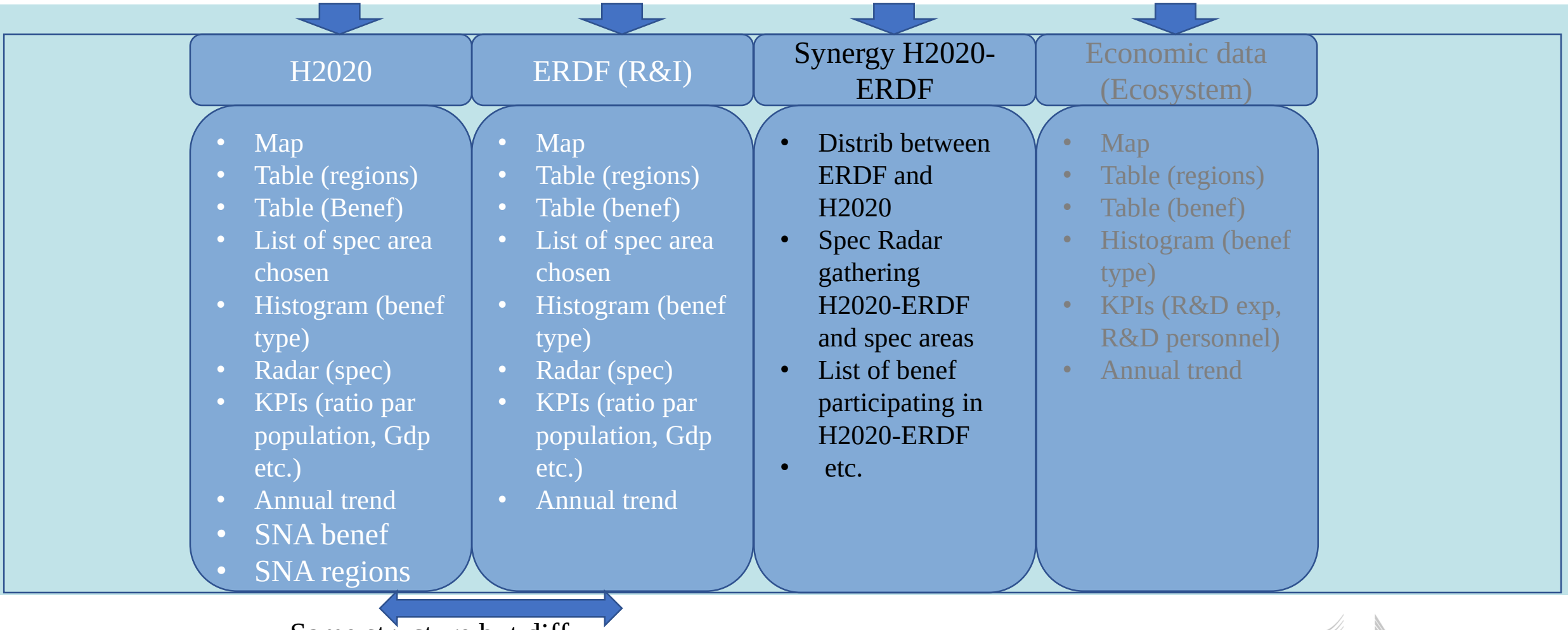
7.Typology of beneficiaries

Share of H2020 funding

99.621

8.KPIs (to expand)

Update of the S3platform R&I viewer
Simplified view of the four Dashboards



Same structure but diff dataset

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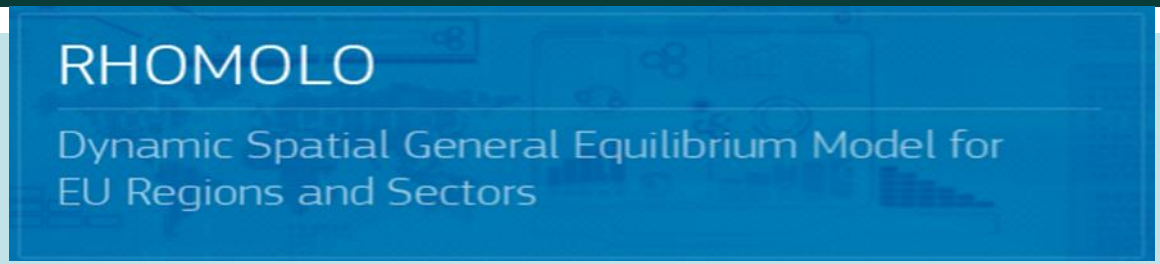
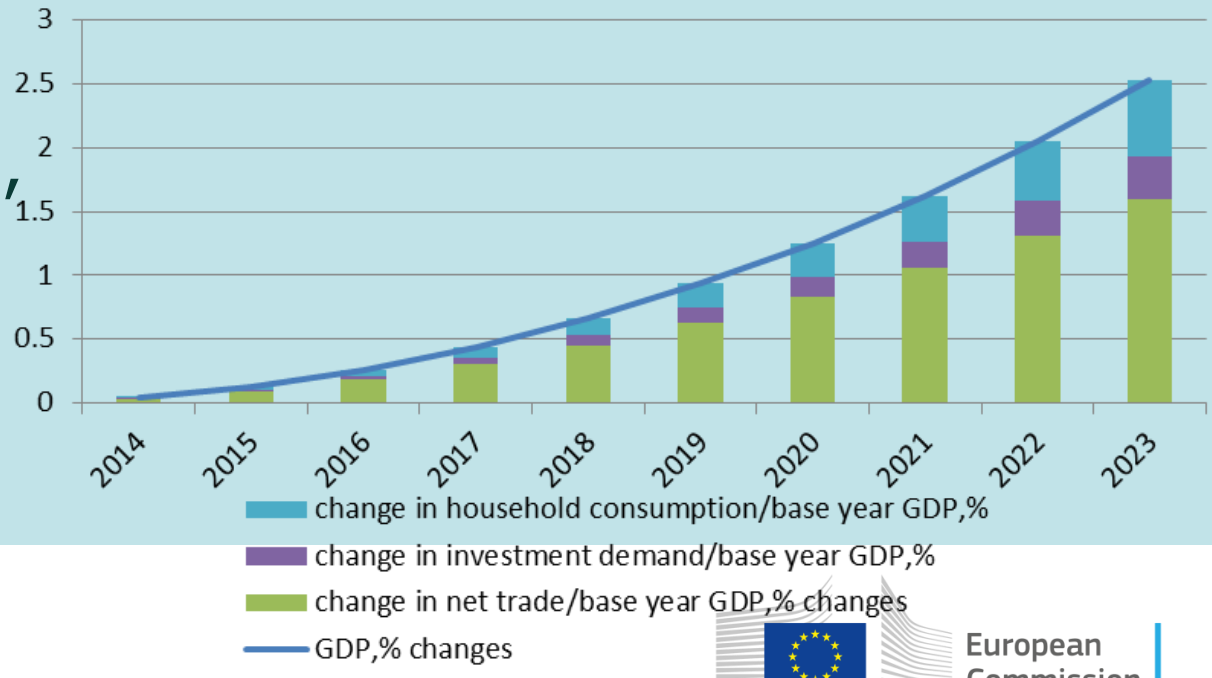
S3 Impact Assessment using CGE RHOMOLO model (pilot analysis)



- Objective:
  - Quantify the macroeconomic effects of achieving the Thematic Objective 1 targets in R&D personels: "Strengthening research, technological development and innovation"
  - Focus on Southern Europe: North-South innovation divide as assessed in the EU Science, Research and Innovation Performance (SRIP) report

S3 Impact Assessment using CGE RHOMOLO model (pilot analysis)

- First results
  - First step: Estimate the effect of changes in R&D personnel on regional technical inefficiency (regional technological frontier);
  - 2nd step: Simulate in RHOMOLO the general equilibrium effects of achieving the OP targets
  - The chart shows the GDP effects in the regions of the sample (7 ES, 8 IT, 5 PT, and 3 GR)
  - Other variables can be studied



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S3 Impact Assessment using CGE RHOMOLO model (pilot analysis)

- The analysis assumes the targets will be achieved – no checks on inputs (investments related to TO1)
- The numerical targets of the OPs differ across regions – assumptions needed to analyse the data in a unique framework
- Spillover effects on neighbouring regions can be quantified
- This is a pilot exercise – more can be done on other TO1 targets and the rest of the TOs

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Reconstructing the S3 logic of intervention Forthcoming workshop?

- Objective : Investigating the correlation between the S³ findings, the ERDF budget appropriation and the result indicators to better design the next generation of S3
  - Assumptions

1. RIS³ is about enhancing regional competitive advantages through the support of innovation.
   - It is assumed that RIS³ is the result of: (1) Evidence-based data , (2) Place-based specific assets, (3) Result-oriented choices, (4) Synergies with other funding sources or policies
2. ESIF implementation modalities foresee the quantification of result indicators and budget allocations
   - It is assumed that an Operational programme results in : (1) The translation of the RIS³ findings into operational input/output goals, (2) A coherent match of the budget with the expected results

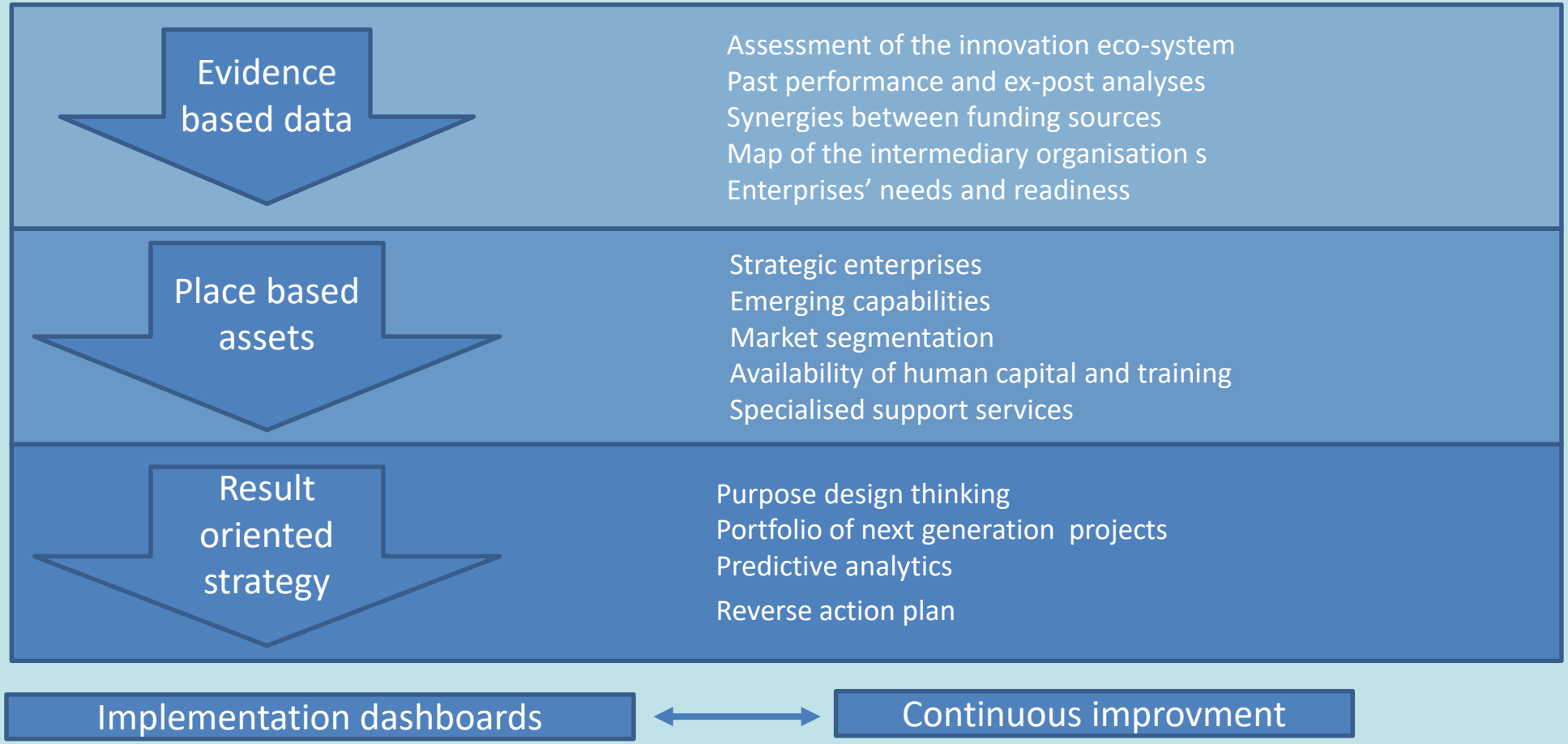
- **This supposes that a logical management system has been put in place to design the OP**.

Reconstructing the S3 logic of intervention Forthcoming workshop?

- The objective is to find out if a decision making methodology can be offered to regional stakeholders to build a performing OP based on the S³ findings. The methodology should ensure that all the ESIF implementation modalities are taken into consideration.
- It supposes that:
  - the policy objectives are met,
  - the ex-ante conditionalities are taken into account in the OP,
  - the result indicators are correlated to the budget appropriations,
  - synergies between funding sources and the EIB are searched,
  - financial engineering instruments are deployed,
  - ex-post data are used to design the next OP.

Reconstructing the S3 logic of intervention Forthcoming workshop?

S3 design decision making process



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Thank You !

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