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Nordic Council of Ministers

PA INNO Monitoring Guide

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PA INNO Monitoring Guide

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This guide is an accompanying document to the PA INNO Strategy Guide – providing an overview of the impact logic and monitoring framework, elaborating the PA INNO roles and targets, and describing the monitoring process. The guide includes proposed templates for use in establishing a baseline and monitoring progress towards established targets.

The guide is the final product of the expert group¹ which was commissioned by PA INNO coordinators to help develop an impact logic, targets and indicators – and a framework for monitoring progress towards the targets of PA INNO.

¹ The expert group is comprised of Christian Ketels (Harvard Business School and Stockholm School of Economics), Alexander Kleibrink (S3 Platform, European Commission) and Karen Maguire (OECD), and coordinated by Emily Wise (IEC and Lund University). The expert group was formed in early November 2015, and has met three times (26-27 November 2015; 15 March 2016; 6 May 2016).



Overview of the Impact Logic and Monitoring Framework

Why do we need an impact logic and monitoring framework?

The PA INNO Strategy Guide sets the ambitions and agenda for this policy area over the coming years. The impact logic and monitoring framework are tools that can be used to assess progress in implementing this agenda. The monitoring framework is intended to be a management system to enable involved parties to make better choices; it is not intended as a “control” instrument.

The three *overall objectives* of the PA INNO impact logic and monitoring framework are:

1. To signal the ambitions of the Strategy Guide to all stakeholders
 - To ensure that the right roles and priorities are set, and confirm commitment of Member States
 - To provide a clear direction for the PA INNO flagships

2. To provide a framework to track progress of the Strategy Guide – to ensure doing the right things and doing them in the right way

- To highlight where there are barriers/where do not make progress on given priorities
- To track transnational dynamics (in terms of, for example, levels of participation or investment from different MS and actor groups)

3. To enable more efficient and effective communication

- To enable smooth and transparent reporting to the Commission
- To ensure clarity and more effectively promote the work of PA INNO and its flagships

Who is involved in the monitoring process?

This guide is targeted at three *key user groups*:

Flagship leaders and partners	who provide data/information on their flagship’s contribution to the overall ambitions of PA INNO
PA INNO coordinators	who maintain regular contact with flagship leaders (and other relevant activity leads), and who combine/analyse and communicate progress
PA INNO Steering Committee and other parts of involved government agencies	who adjust priorities/targets and where efforts/resources are placed

The *targeted audiences* for communicating results from monitoring exercises are:

- National and regional decision makers (involved in development and implementation of innovation strategies/programmes – including RIS3)
- The European Commission

What is being monitored and how?

The *PA INNO impact logic* (see Appendix I) establishes a common structure for describing the activities undertaken within the scope of PA INNO, and the intended connection between the longer-term strategic aims for the policy area and the ongoing operational activities being undertaken (through flagships and other initiatives).

The monitoring framework is based on this impact logic and will be used to track progress on both the operational and policy strategy levels.

On *the operational level* (represented by leaders of flagships and other prioritised initiatives under the PA INNO umbrella), the focus is on understanding the scope and scale of activities undertaken, and on monitoring how these contribute to the targeted results for PA INNO (outlined in the next section).

On *the policy strategy level* (represented by PA INNO coordinators and the Steering Committee), the focus is on understanding and assessing if the action areas are appropriate², on assessing the progress toward targeted results and determining if additional efforts should be made in particular roles or strategic action areas. The policy strategy (or PA INNO) level will also focus on assessing the role and impact of PA INNO, addressing questions such as:

- How much activity at the local/regional/national/EU level is affected by PA-INNO efforts?
- What is the extent of results that PA-INNO efforts have had?
- What are signs of these results affecting better/intended longer-term impacts?

On flagship level, progress (and contributions to targeted results) will be tracked through regular reporting (using a standard template – see Appendix II). On PA INNO level, progress will be tracked through interviews/reporting and (possibly) a survey conducted as part of mid-term (spring 2018) and final (spring 2020) evaluation processes (see Appendix III). Both of these monitoring processes will relate to a baseline assessment (to be conducted fall 2016). The monitoring process is elaborated in more detail in Section III.

² i.e. if the portfolio of flagships and other initiatives under the PA INNO umbrella adequately address the action areas of PA INNO (outlined in the Strategy Guide)

PA INNO Roles and Targets

PA INNO's Strategy Guide establishes four main types (or roles) of transnational collaboration: enable shared learning, strengthen and create networks, align resources and regulation, and join forces in common programmes or investments. In line with the roles (or objectives) of PA INNO, the expert group has proposed five³ key targets listed in the table below. The targets are focused on areas where PA INNO and its flagships have a direct influence, and which contribute to longer-term impacts.⁴

These targets are a starting point for discussion with PA INNO's different key actor groups and may be adjusted depending on results from the baseline assessment (described in the next section).

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PA INNO Role (Objective/ sub-objective)	Result (Indicator)	Baseline	Target/deadline	Data sources
Enable shared learnings	Strengthened stakeholder or institutional capacity as a result of PA INNO activities	Survey to PA INNO stakeholders 2016 (TBD)	1. 75% of survey respondents reporting positive feedback to PA INNO and its flagship's activities by 2020	Survey to national and regional policymakers, intermediaries, companies and research actors in 8 countries) ⁵ TBD
Strengthen and create networks	Increased engagement of actors/actor groups in PA INNO activities	Total volume of engagement of different actor groups in flagship activities as of fall 2016 ⁶ –100 national policymakers –100 regional policymaker –2000 companies, of which at least 80% SMEs –100 research actors –100 cluster organisations or other innovation intermediaries	2. At least 10% growth in engagement (of each actor group) in PA INNO flagship activities by 2020 ⁷	Reports from flagship leaders Spring 2018 and 2020
	Creation of new networks/ platforms or RDI projects	Two existing transnational innovation platforms are PA INNO flagships in the areas of health care products and services (ScanBalt) and sustainable use of marine resources (Submariner)	3. At least 2 new ⁸ transnational collaboration platforms within PA INNO scope	Mid-term and final assessment reports from PA INNO coordinators
Align resources and regulation	Volume of funding from regional or national innovation programmes/ budgets allocated to transnational projects ⁹	Allocations during 2016 (to date) to be reported in baseline assessment fall 2016	4. Total volume of 10 MEUR from regional or national innovation programmes/ budgets allocated to transnational projects during period 2016-2020	Reports from flagship leaders and PA INNO Steering Committee members
Join forces in common programmes or investments	Development and implementation of joint investments or programmes		5. One or more models for joint investments or joint programmes	Mid-term and final assessment reports from PA INNO coordinators

³ The expert group proposed 4 key targets + 2 possible additional targets. The list of key targets was adjusted following the PA INNO Steering Committee meeting 8 June 2016.

⁴ Longer-term impact indicators could include, e.g.: trade and foreign direct investment, co-patenting and co-publications, researcher and student mobility, Horizon2020 collaborations, and/or testbeds and prototypes done in collaboration among actors from BSR countries. These type of indicators could be monitored by other organisations conducting analyses about regional integration (e.g. Nordregio or the Baltic Development Forum).

⁵ See proposed survey in Appendix III.

⁶ Preliminary volumes to be adjusted after discussion with flagship leaders and verified in baseline process.

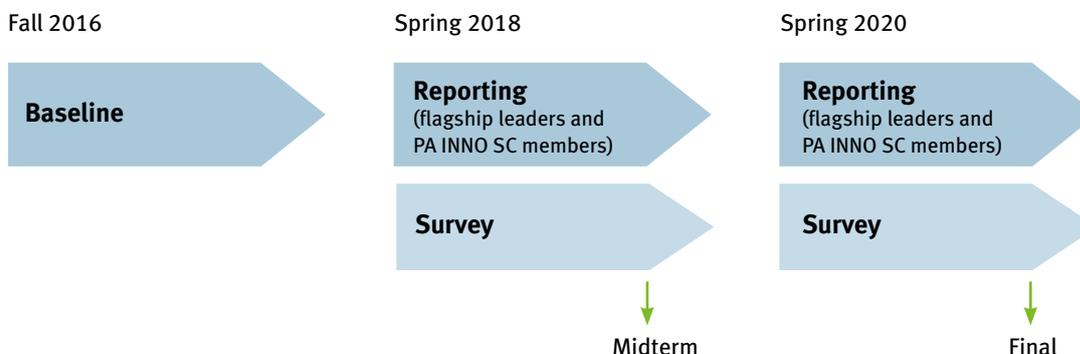
⁷ Target growth levels (for different actor groups) to be finalised as part of the baseline process.

⁸ Indicative targets of a transnational collaboration platform (to be agreed upon with the network/platform) could include: partners from at least 3 of the 8 MS of BSR, of which at least one non-Nordic country; engagement of significant volume of actors from relevant actor groups in flagship activities each year (e.g. at least 10 national and regional policymakers, 5 intermediaries, 5 research actors, 100 companies); attainment of funding and initiation of new activities

⁹ The total volume can include:

- budgets allocated to coordinated or joint calls involving at least 3 BSR MS, e.g. Innovation Express, BONUS innovation calls
- budgets from national innovation programmes (including ESIF priority 1) allocated to projects involving partners from at least 2 other BSR MS
- budgets from regional innovation programmes (including ESIF priority 1) allocated to projects involving partners from at least 2 other BSR MS

Description of the Process



As described in Section I, the monitoring framework is used to track progress on both the operational and policy strategy levels. On the operational level, flagship leaders will be the primary source for data collection. On the policy strategy level, PA INNO Steering Committee members and a sample of other actor groups will be the two sources for data collection.

The monitoring process is comprised of a baseline assessment, mid-term and final assessments over the next five years (see illustration above), managed by the PA INNO coordinators.

Step 1: Establishing a baseline and validating targets (September 2016)

The monitoring process will be based on the targets (and metrics) set in the PA INNO Strategy and Monitoring Guides. Some of these targets have been set based on incomplete information or preliminary estimates from flagship leaders. Thus, a first step is to establish the baseline and validate the targets. This will be done by collecting data from two sources:

- PA INNO Steering Committee members
 - Reporting on current volume of regional or national innovation programmes/budgets allocated to transnational projects
 - (Responding to a survey TBC)

Flagship leaders

- Submitting an updated impact logic for their flagship, including current levels of engagement for various actor groups (see template in Appendix II)
- Setting own targeted results for 2020 (in relation to PA INNO targets)

PA INNO coordinators will be responsible (themselves or through sub-contractors) for collecting and synthesising this data in a baseline report.

Step 2: Mid-term evaluation (spring 2018)

The mid-term evaluation will be comprised of data from three sources:

- Reports from flagship leaders (following template in Appendix II and “own” impact logic established at the baseline assessment)
- Interviews or survey to PA INNO SC members
 - Reporting on volume of regional or national innovation programmes/budgets allocated to transnational projects
 - Other questions (TBC)
- Survey to sample of actors assessing engagement in PA INNO activities (see Appendix III) TBD

Reports from flagship leaders are meant to track:

- Quantity
 - of different activities and types of outputs/results
 - of different stakeholders involved

- Quality
 - types of activities within scope/role of PA INNO?
 - achieving leverage (relation between inputs and outputs over time)?
 - meeting targeted results (each flagship sets own indicators of success) and contributing to longer-term impacts?
- Viability/relevance for broad range of countries
 - Existence of activities
 - Use of other funding (other than BSRP)

An analysis of the data will include:

- An assessment of progress relative to baseline and targets¹⁰
- A summary of key achievements and areas for development

PA INNO coordinators will be responsible (themselves or through sub-contractors) for collecting and synthesising this data in a mid-term report.

Step 4: Final evaluation (spring 2020)

The final evaluation will be comprised of data from three sources:

- Reports from flagship leaders
- Interviews or survey to PA INNO SC members
 - Reporting on volume of regional or national innovation programmes/budgets allocated to transnational projects
 - Other questions (TBC)
- Survey to sample of actors assessing engagement in PA INNO activities (see Appendix III) TBD

An analysis of the data will include:

- An assessment of progress relative to baseline and targets
- A summary of key achievements and areas for development
- Policy implications/recommendations for new PA INNO strategy (2021-2027)

PA INNO coordinators will be responsible (themselves or through sub-contractors) for collecting and synthesising this data in a final report.

¹⁰ The expectation at mid-term is that 40% of target levels are reached.

Appendix I: PA INNO Impact Logic

Inputs	Activities	Outputs	Results	Impacts
<p>The resources going in, e.g.:</p> <p>People/organisations</p> <p>Funding</p> <p>Other (e.g. infrastructure, facilities, services)</p>	<p>The activities undertaken within PA INNO's four main roles:</p> <p>Enable shared learning (e.g. capacity building workshops or study visits)</p> <p>Strengthen and create networks (e.g. matchmaking events, network meetings)</p> <p>Align resources and regulation (e.g. coordinated calls, voucher systems, common policies or guidelines)</p> <p>Join forces in common programmes or investments</p>	<p>The direct/immediate outputs produced by the activities, e.g.:</p> <p>Product (e.g. a strategy document)</p> <p>Service delivery (e.g. a training or matchmaking session for research and business actors implemented, a coordinated call implemented)</p> <p>Activity delivery (e.g. a conference)</p>	<p>The indirect changes or benefits that result from the activities in terms of:</p> <p>Strengthened stakeholder or institutional capacity</p> <p>Increased engagement of actors/actor groups</p> <p>Creation of new networks/platforms or RDI projects</p> <p>More efficient utilisation of existing networks/platforms</p> <p>Concentration and alignment (of funding, policy and regulation)</p>	<p>The medium- to long-term consequences to which PA INNO activities contribute:</p> <p>Existing innovation barriers are reduced</p> <p>Mobility and collaborative use of skilled human capital is increased</p> <p>Transnational cooperation for the development and commercial exploitation of joint research and innovation projects is increased</p> <p>Better alignment or the creation of new joint innovation support instruments or infrastructure is achieved</p>

**The operational level
(in flagships/other projects)**

Targets set/performance monitored by flagship leaders

The policy strategy level

Targets set/performance monitored by PA INNO coordinators

Appendix II: Reporting template for flagship leaders

Based on the PA INNO impact logic, please report the following information for your flagship as of (fall 2016):

Inputs (and context)¹¹

1. What organisations have been active participants on a regular basis¹² in your flagship's activities over the past year?

Actor Group	Total # of organisations (and named examples, if possible)
National policymakers	
Regional policymakers	
Innovation intermediaries (cluster organisations, business development organisations, incubators, etc.)	
Research organizations (universities, research institutes or similar)	
Large companies (>250 employees)	
SMEs (companies with 250 employees or less)	

2. What funding (from EU¹³, Nordic, national or regional/local programmes) has your flagship had for its activities over the past year (please "annualise" project funding)?

Source of funding (insert name of programme and organisation)	Amount

¹¹ The reporting template for following years will then be an update of the previous year – showing changes in inputs (organisations involved, funding and other resources used).

¹² "active participants on a regular basis" = actively (vs. for example receiving a newsletter) engaging in at least one activity (e.g. meeting, workshop, collaborative project) per year for at least two years

¹³ e.g. Interreg BSR or other Interreg, Horizon 2020, COSME

3. What other resources (e.g. infrastructure, facilities, services or in-kind contributions) has your flagship had for its activities over the past year? (please list and describe)

4. What (if any) regulatory constraints does your flagship experience?

Activities

5. What were your key (5-10) activities¹⁴ over the past year?

Type of Activity	List and briefly describe each key activity
Enable mutual learning (e.g. capacity building workshops or study visits)	
Strengthen and create networks (e.g. matchmaking events, network meetings)	
Align resources and regulation (e.g. coordinated calls, voucher systems, common policies or guidelines)	
Join forces in common programmes or investments (e.g. programme with common pot, joint investment in shared R&I infrastructure or testbeds)	

¹⁴ Key activities are defined by the flagship leaders, and are the 5-10 activities (addressing one or more of the four roles of PA INNO) that contribute most significantly to the flagship outputs and results (see next section).

Outputs and Results

6. What were the key outputs and results of the activities listed above?

7. What contribution has your flagship made to PA INNO targeted results?

PA INNO Targets	Briefly describe your flagship's results in relation to each target
At least 10% growth in engagement (of each actor group) in flagship activities by 2020 ¹⁵ (relative to baseline)	
At least 2 new ¹⁶ transnational collaboration platforms within PA INNO scope	
Total volume of 10 MEUR from regional or national innovation programmes/ budgets allocated to transnational projects during period 2016-2020 ¹⁷	
One or more models for joint investments or joint programmes	

8. What are your flagship's main targets (and indicators for success) for the next two years? (Until 2020?¹⁸)

¹⁵ Target growth levels (for different actor groups) to be finalised as part of the baseline process.

¹⁶ Indicative targets of a transnational collaboration platform (to be agreed upon with the network/platform) could include: partners from at least 3 of the 8 MS of BSR, of which at least one non-Nordic country; engagement of significant volume of actors from relevant actor groups in flagship activities each year (e.g. at least 10 national and regional policymakers, 5 intermediaries, 5 research actors, 100 companies); attainment of funding and initiation of new activities

¹⁷ The total volume can include:

- budgets allocated to coordinated or joint calls involving at least 3 BSR MS, e.g. Innovation Express, BONUS innovation calls
- budgets from national innovation programmes (including ESIF priority 1) allocated to projects involving partners from at least 2 other BSR MS
- budgets from regional innovation programmes (including ESIF priority 1) allocated to projects involving partners from at least 2 other BSR MS

¹⁸ The baseline assessment will include a dialogue with flagship leaders, resulting in an updated/anchored impact logic for their respective flagships – outlining targeted results for 2020, and explaining how they contribute to PA INNO targets.

Appendix III: Draft survey assessing engagement in PA INNO activities

A proposed survey which may be conducted for mid-term (spring 2018) and final (spring 2020) monitoring progress towards PA INNO targets for strengthened stakeholder or institutional capacity.

Target respondents (in each country) – TBC:

- National coordinators for EUSBSR
- 2 from national ministries (different ministries or different departments within the same ministry)
- 2 from national agencies (different agencies or different departments within the same agency)
- Regional policymakers responsible for smart specialisation strategies (from all regions in each country)
- 4 from intermediaries (cluster organisations, incubators, BDOs, etc. in at least 2 different regions)
- 4 from research actors (in at least 2 different regions)
- 8 from companies (of which at least 6 SMEs)

Questions	Select the statement that best describes your view				
1. To what degree has your organisation been engaged in activities within PA INNO or its flagships?	We have no knowledge of these activities	We have received information but have not participated in any activities	We have received information and have participated in at least one activity over the last 2 years	We receive regular information and have participated in several activities over the last 2 years	We actively seek information and are regularly engaged in relevant activities
2. In what kind of activities has your organisation been engaged (check all that apply)?	<ul style="list-style-type: none"> • capacity building or policy learning activities • network-building activities • implementation of coordinated calls or other policy instrument • implementation of common projects • undertaking a joint research or innovation investment 				
3. To what degree has your engagement in PA INNO activities provided you with learnings that enhanced your ability to design and implement effective policies or new practices in your organization?	Has had no impact on our programs and policies or practices	Has had a small impact on detailed aspects of programs and policies or practices	Has been relevant in adjusting aspects of programs and policies or practices	Has been significant in changing programs and policies or practices	Has been critical in initiating new programs and policies or practices
4. To what degree does your organisation plan to be engaged in activities of PA INNO or its flagships in the future?	We do not find these activities relevant	We would like to be kept informed and will participate if relevant	We will continue to monitor information and engage in activities that we deem relevant	We will continue our regular involvement in capacity building/ policy learning activities	We plan to increase our involvement – becoming more actively engaged in longer-term processes or projects
5. What would you recommend be changed/ improved or addressed to increase the impact of PA INNO activities?					





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