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## **RESULTS INDICATORS 2014+:**

### **REPORT ON PILOT TESTS IN 23 REGIONS/OPs ACROSS 15 MS OF THE EU**

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## EXECUTIVE SUMMARY

The Commission proposes a stronger focus on results in the 2014-2020 programming period. In practice this means that programmes will articulate more clearly what they intend to change as a result of spending resources on specific policies.

### Definitions and Roles of Different Indicators

- *Result indicators* relate to the specific objective (the intended change in the region).
- *Output indicators* relate to the operations supported – km of road, enterprises supported, etc..
- *Common output indicators* relate to the activities most frequently supported by the Funds and their aim is to have aggregate data at the EU level to demonstrate what the Funds are spent on.

Result indicators cannot be aggregated to the EU level because needs are different in different regions and results achieved will also be different. Result indicators capture the change in the region as a result of the policy *and* other factors. Only evaluation can disentangle the contribution of the policy from the effects of other factors.

### Learning from the Pilots

In order to learn how this might work in practice, 23 managing authorities in 15 Member States tested the new approach in their current programmes. We learned the following:

- The new approach is *feasible* but not without a significant change in the practice of those designing programmes.
- None of the pilot regions currently use result indicators in the manner proposed by the Commission. The objectives of the priorities examined were expressed in very general terms and in most cases *current indicators do not capture the intended effects* of the programmes.
- The results focus must become part of the development of the programme, which need a *stronger and more explicit intervention logic*; this cannot be added afterwards.
- For this reason, the results indicators proposed in the pilots are not examples the Commission recommends for the future programmes; bolting a result orientation onto priorities ex post leads to a proliferation of priorities and indicators.
- The main change required is *concentration*. Many of the priorities examined were in fact an amalgamation of more or less related sub-priorities which could not be expressed in one or two result indicators.
- Concentration is more than thematic concentration as defined in the Common Provisions Regulation. Resources should be concentrated where they can have measurable effects; this requires identification in a very precise way of needs to be tackled or potentials to be exploited and the targeting of resources on these.

- Concentration has to be the outcome of a process of *deliberation and policy choice*. This emphasises the importance of political debate on the choices which should drive programme design and starting this process urgently.
- If there is concentration, this means that there will be *fewer indicators*. Some pilot regions had very many indicators – but none captured the motivations for policy action.
- Whatever result indicator is selected, *baselines and targets are essential*. These can be *quantitative or qualitative*.
- As a final point, it is important to recall that *indicators do not tell us everything*. The evolution of the result indicator should prompt a debate; it is not the last word on the performance of the policy.

## 1. BACKGROUND

In October 2011, the Commission made its proposals for the future Cohesion Policy with a strong message of a greater focus on results. The background to this was the experience of current and previous programming periods, where it was clear that much had been achieved, but an insufficient focus on results in programmes from design through implementation and evaluation meant that the results achieved were not maximised or easily demonstrated. In 2010 and 2011, a task force of experts and academics mobilised by advisors to Commissioner Hahn met several times to discuss how the focus on outcomes (results) in the wider policy debate<sup>1</sup> could be translated into Cohesion Policy. The report of this Task Force was published in February 2011 and was presented to the Member States in the High Level Group reflecting on future Cohesion Policy and to the Member State Evaluation Network led by the Directorate General for Regional Policy<sup>2</sup>.

The recommendations of the Outcomes Task Force are reflected in the proposed regulation in the articles on the content, monitoring and evaluation of Operational Programmes and in the articles on indicators in the fund specific regulations for the European Regional Development Fund and the Cohesion Fund<sup>3</sup>.

In parallel, the Directorate General for Regional Policy developed its guidance for future monitoring and evaluation of Cohesion Policy, providing advice and guidance on how to translate the provisions of the draft regulations into practice and drawing on the conclusions of the Outcomes Task Force. This guidance has been discussed with Member State representatives responsible for evaluation at the Evaluation Network in October 2010, in April and October 2011 and November 2012<sup>4</sup>. At the April 2011 meeting, with the backdrop of the recent presentation of the report of the Outcomes Task Force, the Directorate General for Regional and Urban Policy suggested that, as an exercise in mutual learning, some pilot regions should test the new intervention logic. This report captures the learning from these regions: Aquitaine, Martinique, Rhône-Alpes in France, the Competitiveness and Macedonia-Thrace Operational Programmes in Greece, Central Hungary and the Social Infrastructure and Environment and Energy Operational Programmes in Hungary, Marche and Sardegna in Italy, the Competitiveness Operational Programme in Latvia, Pomorskie in Poland, 3 programmes in Portugal, the Regional Operational Programme in Romania, the Regional Operational Programme and Competitiveness and Economic Growth Operational Programme in Slovakia Galicia in Spain and South Sweden. Some pilots are being finalised and the findings will be added to the analysis when they are available, but this report reflects the experience of 15 of the pilots.

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<sup>1</sup> OECD project on measuring progress, Stiglitz-Sen-Fitoussi commission, etc., etc.

<sup>2</sup> [http://ec.europa.eu/regional\\_policy/impact/evaluation/performance\\_en.cfm](http://ec.europa.eu/regional_policy/impact/evaluation/performance_en.cfm)

<sup>3</sup> Articles 24, 44, 48, 87 of the Common Provisions Regulation and Article 6 of the ERDF Regulation and Article 4 of the Cohesion Fund Regulation.

<sup>4</sup> [http://ec.europa.eu/regional\\_policy/impact/evaluation/tech\\_en.cfm#1](http://ec.europa.eu/regional_policy/impact/evaluation/tech_en.cfm#1)

It should be emphasised that the pilots are not examples of best practice; they record the experiences of regions who were interested in exploring how to implement in practice in their current programmes a focus on results as proposed by the Commission for future programmes. It is important to note that the current programmes do NOT represent an appropriate starting point for designing future operational programmes, because they were not designed to deliver results. So, designing a result orientation ex post onto already agreed programmes leads to a proliferation of priorities and indicators, as will be evident when reading the pilot reports in Part 6 of this report.

## **2. THE PILOTS: THE METHODOLOGY**

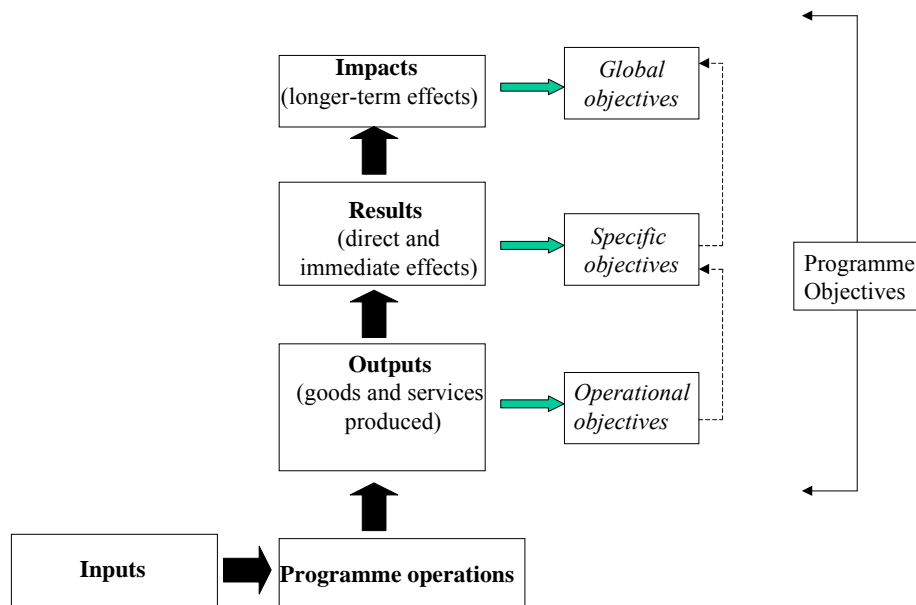
The pilots were about learning. Hence, there were no consequences for current programmes in terms of any requirements to change indicators or modify programmes. The methodology for carrying out the pilots involved the following steps:

1. The region volunteered and Member State and regional authorities contacted the Directorate General for Regional and Urban Policy, identifying the nominated Operational Programme and priority from the programme on which to test the pilot.
2. The Directorate General for Regional and Urban Policy (the evaluation unit, in many cases accompanied by the relevant Geographic Unit) visited the region concerned, explained the concepts and gave first feedback on the indicators for the priorities being examined, based on an examination of the Operational Programme and the 2010/2011 Annual Implementation Reports. The questions were:
  - What change do you wish to achieve with this priority?
  - What indicator can capture this change?
  - Do you know the baseline for 2007 or now?
  - Will your outputs contribute to change in the result indicator? How?
  - Could you evaluate it? How?
3. Following discussions at the pilot meeting, the region reflected on these questions and completed a template, which followed the logic of identifying the change (the priority title), suggesting a result indicator and showing how output indicators could contribute to this change.
4. The first 5 pilots presented their findings to the Outcomes Indicators Task Force in September 2011. They and 4 others presented the Evaluation Network meeting in October 2011. As a next stage, the DG for Regional Policy wrote up the experience of the pilots and verified the analysis with the regions concerned. This report summarises the outcome of the exercise (and has been updated twice as more pilots have been completed).

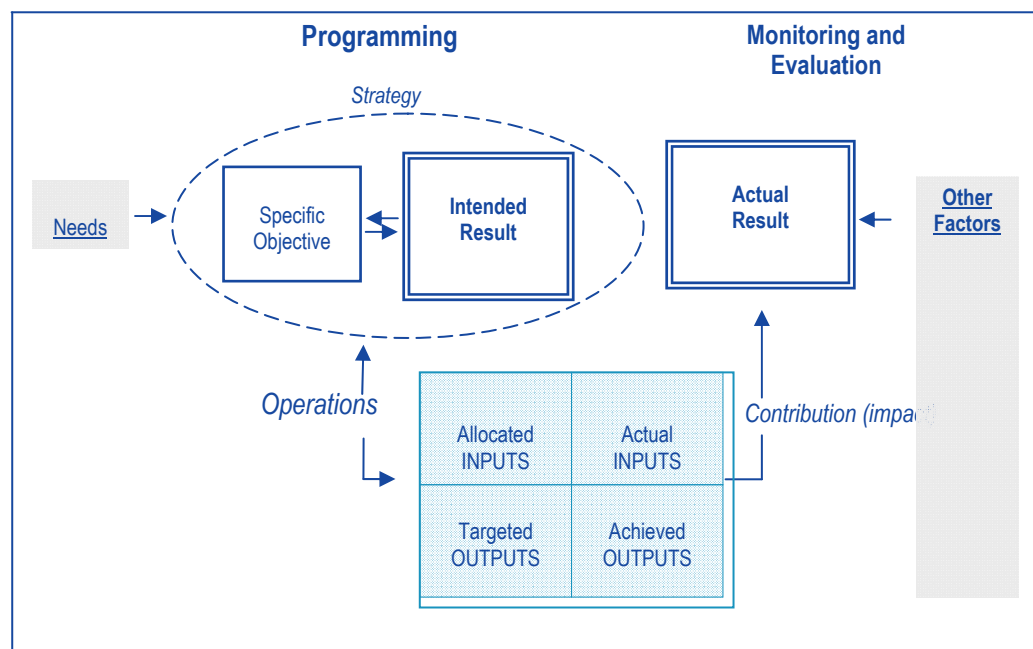
### 3. THE NEW INTERVENTION LOGIC

The Outcomes Task Force and the guidance presented by the Directorate General for Regional Policy implies changes to the logic model, which was presented in 1999 in the then guidance developed for the European Commission<sup>5</sup>.

*Figure 1: The Logical Framework, 1999 - 2013*



*Figure 2: The new Logical Framework*



<sup>5</sup> European Commission (1999): The MEANS Collection – Evaluating socio economic programmes, Luxembourg, Office for Official Publications of the European Communities

The traditional logic model was never clear how the bottom up inputs – outputs – results related to the top down impacts – results – outputs - inputs. Should all inputs relate in a linear fashion to an impact? How do we take account of other contributing factors? What, precisely, is the difference between a result and an impact? Can we in practice distinguish between a short-term, direct effect (result) and a longer-term, indirect effect (impact)? How can we measure an impact defined like this? The model has remained essentially unchanged since it was designed under the MEANS programme in the 1990s.

The new approach is less linear but more in line with the reality of policies and how they interact with other policies and general developments in the context of the programmes. It is also simpler. The intended results are identified more clearly than in the past – through an indicator with a baseline. The result can be a shorter or longer term effect or a direct or more indirect effect depending on the priority, its context and the choices made by the programme authorities. We recognise that there will be other factors contributing to the actual outcomes.

The new approach also clarifies the roles of monitoring and evaluation. Monitoring relates to expenditure, the delivery of outputs and changes in the result indicator when information is available. Evaluation will focus on the contribution of the policy to actual results, i.e., this is the *impact*. Evaluation should be planned in advance and take place once or twice during the programme period.

A final point on terminology: the Outcomes Task Force used the term outcome, because it captures the concept in English. In other EU languages the term "result" is synonymous with outcome. Therefore, we use the term "result", but with the new meaning as described in this paper.

#### **4. RESULT INDICATORS – AN EX-ANTE CONDITIONALITY**

The Commission has proposed ex ante conditionalities related to both statistical systems and result indicators. As regards result indicators, the conditionality requires "an effective system of result indicators necessary to monitor progress towards results and to undertake impact evaluation". Annex IV of the Common Provisions Regulation proposes the following criteria for fulfilment of the conditionality:

A multi-annual plan for timely collection and aggregation of data is in place that includes:

- ⇒ The identification of sources and mechanisms to ensure statistical validation;
- ⇒ Arrangements for publication and public availability;
- ⇒ An effective system of results indicators including:
  - The selection of result indicators for each programme providing information on those aspects of the well-being and progress of people that motivate policy actions financed by the programme;
  - The establishment of targets for these indicators;
  - The respect for each indicator of the following requisites: robustness and statistical validation clarity of normative interpretation, responsiveness to policy, timely collection and public availability of data;
  - Adequate procedures in place to ensure that all operations financed by the programme adopt an effective system of indicators.

These provisions highlight some of the challenges of creating an effective system of indicators. Many of these challenges came up also in the pilots, as discussed below.



## 5. LEARNING FROM THE PILOTS

The first point we learn from the pilots is that the new approach is *feasible* but not without a significant change in the mind set and the practice of those involved in the design and implementation of programmes. Regions participating welcomed the policy discussion which had to accompany the review of the priorities undertaken under the pilots.

Although the approach was found to be feasible, in fact none of the pilot regions currently use result indicators in the manner proposed by the Commission. The objectives of the priorities were found to be expressed in very general terms and in many if not most cases the indicators being used did not capture the intended effects of the programmes. In preparing for the pilots, the Commission found it difficult to understand what the priorities were actually aiming to do as the indicators were confused and not linked together in a logical way. In fact, the core indicators sometimes confused matters further, as they were used even when they did not relate to the main objective of the priority. An important learning point in many of the regions was that the indicators currently being used should express the actions and the intended effects of the priority.

In some cases, changes had taken place in programmes, either as a result of the economic crisis or other factors. However, the indicators were not changed or only partly changed. Therefore, it was even less likely that the indicators would reflect the activities and results of the programmes.

A conclusion of the pilots, therefore, is that one cannot introduce a results focus after programmes have been designed and are being implemented. It needs to become part of the development of the programme with the authorities involved in managing the programme having a clear idea of their intervention logic. If programmes change, this should have consequences for the indicators too.

For this reason, the examples of possible result indicators considered during the pilots do NOT form recommendations from the Commission for future result indicators. Attempting to transform current priorities into future result oriented ones ex post led to a proliferation of priorities and indicators in many cases.

We have doubts if some of the result indicators proposed conform to the ex ante conditionalities. For example, relating result indicators to the benefiting entities only does not correspond to the requirement that they should articulate the aspects of well-being and progress of people that motivate policy action.

The main change required in the design of programmes is *concentration*. Many of the priorities examined were in fact an amalgamation of more or less related sub-priorities which could not be expressed in only one or even two result indicators (the change sought). Some programmes were designed in a deliberately vague fashion so that resources could be spread thematically and geographically. This is counter to the logic of the Commission's proposals for the future. So, concentration of resources and critical mass are a precondition for the results-based approach.

When we talk about concentration, it is not only in the terms of thematic concentration as set out in the Regulation to govern future Structural and Cohesion Funds. To have a discernible impact with the funds, it is necessary to concentrate them where they can have measurable effects. This means identifying in a very precise way and based on evidence the needs to be tackled or the potentials to be exploited.

Concentration has to be the outcome of a process of *deliberation*. A more strategic approach requires that decisions are taken on where to target the programme and what policy actions resources will be spent on. This also implies that decisions are taken on what will *not* be financed. Several pilot regions emphasised the need for political decision makers to be involved in the process. Some suggested that it is difficult to get politicians and other stakeholders interested in such a process; others suggested that politicians tend to focus on the amount of resources obtained for a particular group, theme or area, rather than the results to be obtained. Clarity and ownership of both the objectives and the indicators is important and may be a complex and iterative process. This emphasises the importance of facilitating political debate on the choices which should drive programme design and starting this process urgently.

If there is concentration, this means that there will be a need for *fewer indicators*. Some of our pilot regions had very many indicators – but none of them captured the motivations for policy action. Therefore, the new approach – on condition of concentration – could lead to quite a substantial reduction in the number of indicators used, compared to the present.

The criteria for good result indicators include that they should be *close to policy*. This point came up in several pilots. Statistics may be available (though the availability of regional statistics was frequently raised as a problem) but, unless the priority is very large, there may be little chance of it having an impact on the evolution of the statistic. A further challenge with statistics – especially those at regional level – is that they often come with some time delay. The important issue is that a statistic should *not* be selected as a result indicator just because it is available – this would lead to programmes being data driven rather than results-oriented – a trap we do not want to fall into.

Where statistics are not suitable (which will probably be in most cases) managing authorities need to reflect on what other data can capture the change they seek. This could be administrative data or it may be that specific surveys would have to be launched. It would not be proportionate to require a survey every year for reports against result indicators, but the programme should indicate the number of times new data will be generated.

Further possibilities are to compare the performance of supported entities with a regional benchmark<sup>6</sup> or to generate an independent view (perhaps through a survey or expert group) of a problem situation with a similarly generated view to establish if the problem has been surmounted after the intervention<sup>7</sup>.

Whatever result indicator is selected, *baselines and targets are essential*. However, these can be *quantitative or qualitative*. For baselines, a qualitative baseline could be an objective analysis of a problem situation. Most baselines, however, should be quantified using latest available data. The experience of the pilots confirms the appropriateness of

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<sup>6</sup> The use of benchmarks would need to be adapted to the region or intervention concerned. Comparison with a benchmark does not ensure causality as the entities supported could be different to those that generated the benchmark. Careful consideration should be given to the selection criteria for beneficiaries as this might give indications of the real targeted population (e.g., rather than SME productivity in a region, is it productivity of a particular sector, or of a particular group of SMEs with high growth potential).

<sup>7</sup> For example, an obstacle to co-operation perhaps in a European Territorial Co-operation programme.

the Commission's proposal that targets can be qualitative even when the baseline has been quantified, i.e., giving the direction of change or a range of value. This is particularly important when we reflect on the likely contribution of "other factors" to the result and the difficulty of predicting future outcomes in uncertain times. We must recall that indicator targets agreed in 2013 will relate to 2022 – nearly a decade later.

When selecting result indicators it is important to reflect also when change can be expected. Sometimes the long term result may take up to 20 years to materialise and some more *intermediate result* should be selected when it will be possible to assess the progress being made.

During the pilots we reflected on how one might evaluate the contribution of the policy to change in the result indicators. In some cases (particularly large scale enterprise support measures), quantitative *counterfactual impact evaluations* would be possible, where the performance of supported enterprises would be compared with that of similar enterprises who were not supported. If planned in advance, such evaluations can be cost effective; without advance planning they can be expensive to implement if they have to reconstruct data from the past.

Having a clearly articulated theory of change, including a result indicator and strong intervention logic will make it possible to carry out rigorous *theory based impact evaluations*, mobilising literature reviews, case studies, interviews and focus groups. Even where quantitative counterfactual methods can be used, such theory based approaches should also be used. In some cases (e.g., transport), *before and after data* on traffic counts and types of traffic would be sufficient to measure impact – if grounded in a clear intervention logic and analytical description of the implementation of the intervention.

In reflecting on the approach to evaluating the effects of the priority, several of the pilots found that reflecting on what "other factors" might contribute to the result, was a useful way to explore further the appropriateness of the intervention logic. If "other factors" will predominate it is important that both policy makers and evaluators examine the interaction of the policy with these factors in policy design, implementation and evaluation.

Related to this point, the result indicators are related to the individual priorities and do not capture effects deriving from the fact that Cohesion Policy programmes are integrated. These effects are very difficult to capture and probably indicators cannot do this. Modelling can estimate the aggregate effects of integrated programmes on certain indicators. Evaluation using theory based qualitative approaches will be required to explain the interaction between priorities.

As a final point, it is important to recall that *indicators do not tell us everything*. The evolution of the result indicator should prompt a debate; it is not the last word on the performance of the policy. The result indicator may not move in the direction targeted. But if the outputs have been delivered as planned, this could mean that the result indicator is wrongly selected or that the policy is badly designed. Managing authorities need to reflect and explain in their annual reports their understanding of why the values against the selected indicators are as reported. The qualitative aspect of such reports is crucially important for a more results oriented policy. If a Managing Authority cannot explain why an indicator moves in a certain direction, there is clearly a role for evaluation to play to help in understanding.

## 6. THE PILOT REPORTS

### 6.1. France, Aquitaine: Innovation Priority

*The representatives of the Prefecture and Region involved in the exercise found it interesting but challenging. They recognise that the new approach will encourage Managing Authorities to be more precise in articulating what they want to achieve. After the exercise, they decided to work on all the priorities of the programme to reflect the new approach in their annual implementation report for 2011.*

The innovation priority of the programme was taken for the purpose of this pilot evaluation: it has a main objective and 2 sub-objectives and a total budget of EUR 583 million.

Promouvoir l'économie de la société de la connaissance:

- 1.1. Développer la recherche finalisée et valoriser ses résultats
- 1.2. Faire de l'innovation le moteur de la compétitivité des entreprises et des territoires

The second sub-objective in particular was loosely described and the intended change was not clearly spelt out. The programme was built on priorities and no longer on measures (as in the previous period) encouraging the programmer to define inclusive priorities. Furthermore, to respond to the Commission request, they selected core indicators for each axis, prioritising Lisbon themes, but forgetting about the programme's intended change which also covers governance issues.

Result Indicator	Target	Reported Achievement 2010	Output Indicator	Target	Reported Achievement 2010
Nombre de brevets issus de la recherche publique	350	3	Nombre de projets de RDT	40	52
Investissement en R&D des laboratoires et autres organismes de recherche induit par le programme	130 M€	50M€	Nombre de projets de coopération entreprises/organismes de recherche (CE n°5)	140	10
Nb de visites d'entreprises par des conseillers en développement technologique	nc	550	Nombre de projets des structures d'interface de transfert de technologies	126	10
Montant des aides directes à l'investissement des PME (montant FEDER)	39,5M€	8,7M€	Nombre de projets d'aide directe à l'investissement de PME	476	47
Nombre total de demandes de brevets déposées publiées par la voie nationale en Aquitaine selon la résidence des déposants	357	39	Dont nombre de jeunes pousses aidées (au cours des deux premières années après leur création)	20	13
Investissements en matière d'innovation dans les PME induits dans le cadre du programme	284 M€	50M€	Aide directe à l'investissement des PME : Investissement des PME	39,5M€	8M€

For both sub-objectives, the problems were identified as well as external factors. However the main factors to be addressed by the programme were not clearly defined.

Some result indicators were very close to the operations (the outputs), not really reflecting the expected change. Some intended results were too general to be easily measurable.

Some output indicators did not seem to reflect the main operations of the programme. The region did not want to measure every output and selected a few indicators. However the development of some activities was more important than planned (such as financial engineering) while no indicator was initially designed to monitor them.

The priority included 6 impact indicators which were not reported against at this stage of programming.

### Possible Result Indicators and Intervention Logic

What do you want to change? (result)	Indicators	
Priority 1	Result Indicators	Output Indicators
<b>Promouvoir l'économie de la société de la connaissance</b>  Accroissement de l'Investissement public et privé en R&D et l'accroissement des effectifs R&D  Un plus grand nombre de brevets  Une meilleure participation aux programmes cadre  Augmentation du nombre d'entreprises s'engageant dans des démarches d'innovation  La mise en place d'une SRI	Evolution de l'investissement et effectif Public Privé en R&D  Source: INSEE  Baseline: 2004  Target: +10 à +20%	Name: Nombre et montant des projets de R&D (tout type investissement)  Source: Instruction  Baseline : 0  Target: +284 M€
	Evolution du nombre de brevets déposés  Source: INPI  Baseline : N° in 2006  Target: +5à+10% annual	Name: Nombre de brevets déposés  Source: services instructeurs  Baseline:0  Target: 357
	Evolution du nombre d'entreprises bénéficiant de services visant à promouvoir l'innovation ou utilisant les équipements ou s'engageant dans des démarches d'innovation.  Source: contrats finalisés  Baseline: 2006  Target:?	Name: Nombre d'entreprise bénéficiaires des actions collective, Source: agence d'innovation  Baseline: 0  Target: 300/an
	Evolution de la participation au programme cadre  Source: Innovalis  Baseline:300  Target: 700	

Aquitaine lacks reference data. The Managing Authority cannot propose result indicators without having access to the necessary data, which seems possible but requires important preparatory work.

*"Dans ce domaine, un travail plus approfondi et continu sur les indicateurs de l'innovation est nécessaire dans le prolongement de la stratégie régionale d'innovation, un tableau de bord régional de l'innovation pourrait par exemple faire écho aux repères nationaux ou européens dans le domaine et nous donner des précisions sur des cibles potentielles régionales"<sup>8</sup>*

They depend on intermediary bodies to provide them with the data (innovation agency, clusters, investment funds...). They favour qualitative targets for result indicators (baseline + trend %).

The result indicators as such will not inform on the programme contribution to the evolution of the RDI investment. As for the number of patents in the region, participation in the Research Framework programme, and the evolution of the number of enterprises using available equipment and services, the Managing Authority should be able to trace the result linked to the supported projects. However, the programme may not be the only factor explaining the change. Evaluations should complement the information given by the indicators (survey, interviews, counterfactual analyses when possible).

### **Problems raised during the pilot**

Aquitaine found it difficult to think about result indicators before thinking about possible actions, especially for innovation intervention where the results are not clear. The Managing Authority is reluctant to go further than result indicators very close to the activity, meaning "intermediate indicators" such as patents, participation in the EU research Framework Programme, more financial input in R&D activities.

They claim that the leverage effect of the ERDF on the investment on research in the region is one objective of the programme (between 15 to 30% of the overall investment), the ERDF being an important investor in this field (focusing on applied research in key sectors). For this reason they think that a result indicator measuring the evolution of RDI investments in the region is relevant.

They believe that one result indicator per priority axis is not feasible: it would be too general to be meaningful.

### **Commentary and Learning**

Most of the proposed result indicators do reflect a change however a very short term change (evolution in R&D investment, in number of patents or in enterprises benefitting). This could be acceptable provided that the rationale for the programme specifies how these results could lead to socio-economic changes in the region.

In many French programmes, the funded activities are quite generic, for example services provided by an intermediary body such as an innovation agency, a Chamber of Commerce or a cluster manager. The aim is to accompany companies in order to incite them to follow an innovation path ("s'engager dans des démarches d'innovation") which makes it difficult to define precise result indicators. The same applies for the supported funds (capital risk, other funding mechanisms).

*"Nous sommes souvent sur un premier objectif qui est une augmentation de capacité (réalisation), le résultat attendu étant souvent un niveau de participation satisfaisant des PME"*

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<sup>8</sup> Quotes from Laurent Caillaud, responsible for evaluation in the prefecture services.

sur ces actions, en reportant une collecte d'informations plus pointues lors d'évaluations intermédiaires ou finales. Il va certainement falloir intégrer dans les conventions un volet évaluation plus détaillé qui va aussi amener certains porteurs à renforcer cet aspect dans leur dispositif de suivi et d'évaluation (ex suivi à 3 ans sur certains indicateurs, éléments qualitatifs ex secteurs clés, participations privés etc.) ou accompagner ces actions d'enquêtes pour collecter ces informations."

The priority is too general and does not identify what should be changed in the socio-economic situation of the region.

"La construction des axes correspond souvent à un compromis entre stratégie et gestion (préserver une souplesse). Il faudrait affiner les objectifs, mieux cibler.  
**L'évaluation ex ante sera importante**, le diagnostic devra être précisé, les points forces et faiblesses et les choix des priorités plus argumentés et l'analyse prospective des résultats construite sur des liens logiques explicites. Les domaines d'intervention plus restreints des prochains programmes devraient nous faciliter la tâche."

The obligation to select common indicators where relevant should not lead to disconnecting result indicators from the expected change.

"Nous sommes partis sur l'idée d'utiliser presque exclusivement les indicateurs clés de la Commission dans un but de simplification alors que de nombreux objectifs dans le PO sont plus qualitatifs (ex meilleure gouvernance, équipements de haut niveau...)  
Plutôt que de lier un indicateur clé à un axe qui peut être très large, il serait plus pertinent de le lier à un enjeu particulier, dans certains PO celui-ci pouvant correspondre à un axe, un objectif, une action. L'enjeu peut correspondre au changement escompté, l'indicateur sorti du contexte de l'enjeu ne veut plus dire grand-chose."

## 6.2. France, Martinique: Priorités "Développement économique, Innovation, recherche" et " Mise en valeur des potentialités touristiques locales"

La Martinique a choisi de faire porter l'exercice pilote sur 2 axes de son programme: l'axe 1 ("Développement économique, innovation et recherche") et l'axe 3 ("Mise en valeur des potentialités locales").

Dans les 2 cas, les objectifs du programme sont divisés en "enjeux" (qui en réalité sont des moyens d'action) ces enjeux étant eux-mêmes divisés en sous-actions.

### Axe 1: Développement économique, innovation et recherche

Les objectifs principaux de cet axe sont de favoriser l'innovation et la compétitivité des entreprises, créer des pôles d'activité stratégiques, réduire la mortalité des entreprises, les développer et les pérenniser, diminuer la dépendance économique du territoire. Ces objectifs sont multiples et les résultats attendus du programme ne sont pas explicites.

L'axe est divisé en 2 enjeux/actions ("Soutien à la recherche, au développement, à l'innovation et à la technologie"; "Accompagner l'amélioration de l'environnement des entreprises") respectivement divisés en 3 et 5 sous-actions. Cette structure, qui tend à multiplier les sous objectifs, rend difficile l'identification des résultats attendus, d'autant que les enjeux sont libellés en termes très généraux. Dès lors, l'axe comprend 19 indicateurs de résultat, 19 indicateurs de réalisation et 3 indicateurs de contexte, un nombre trop important qui rend difficile d'apprécier l'objectif poursuivi par l'axe.

#### Indicateurs de l'axe 1 (rapport annuel d'exécution 2011)

Indicateur de résultat	Valeur de	Cible	Résultat	Indicateur de réalisation	Cible	Réalisation
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	référence		2011			2011
Nombre de partenariats créés avec des entrepreneurs locaux	0	3	0	Nombre d'actions de recherche soutenues par le FEDER, sur l'ensemble du PO: 2007-2015	10	65
Nombre de jeunes pousses (start-up) ayant bénéficié d'aides directes au cours des deux premières années après leur création (indicateur clé n°8)	10/an	Entre 10 et 15/an	0	Nombre d'entreprises aidées pour la réalisation de projets de RDT et acquisition de nouvelles technologies, par année	20-25	1
Nombre d'accords de collaboration entre instituts de recherche et entreprises aidées	ND	3 à 4	0	Nombre d'opérations liées au transfert de technologie à destination des organisations	10-12	3
Nombre de nouveaux procédés ou produits commercialisés par des entreprises bénéficiant de soutien financier, par année	ND	10	5	Nombre d'opérations participant à la promotion de l'innovation	10	1
Nombre d'entreprises impliquées dans une action collective	ND	50	34976	Nombre d'entreprises accompagnées	100	60
Nombre de projets collaboratifs de R&D au sein des pôles de compétitivité	ND	4	0	Nombre de diagnostics réalisés	50	10
Nombre d'unités accompagnées et ayant passé le seuil des deux premières années d'exploitation	ND	85	0	Nombre d'entreprises bénéficiant d'une aide sous forme de fonds de garantie	2400	1250
Taux moyen de pérennité des entreprises à 3 ans (en %)	ND	70	0	Nombre d'entreprises bénéficiant d'une aide sous forme de microcrédits ou prêts d'honneur	300	100
Evolution de l'écart entre le taux moyen des crédits MLT des entreprises et celui des entreprises aidées, en Martinique	ND	-2	587	Nombre d'entreprises bénéficiant d'une aide sous forme de fonds propres	250	209
Coût moyen du m2 loué aux entreprises aidées en zone d'activités ou en structures d'accueil collectif	20 à 24 €	16 à 20 €	0	Nombre d'entreprises bénéficiant d'une aide sous forme de bonification d'intérêts	150	5



Nombre d'entreprises hébergées dans les structures collectives d'accueil d'entreprises financées sur le PO FEDER	ND	30	0	Surface en m² mis à disposition des entreprises	4500	13034
Création d'emplois salariés induits par l'intervention publique	ND	2750	155	Nombre de sites nouveaux ou de sites existants faisant l'objet de rénovation ou d'extension	5	1
Emplois créés justifiant d'une qualification au moins égale au niveau 2 et induit par l'intervention publique	ND	90	9	Nombre de structures d'accueil aidées (volet 1)	4	0
Nombre d'outils collectifs adoptés par les entreprises	ND	10	0	Plateforme de services communs dédiés aux entreprises (volet 1)	3	0
Nombre d'entreprises labellisées	ND	40	0	Nombre d'entreprises aidées	550	36
Nombre de demandes de brevet déposées par les organismes de recherche	7/an	10/an	4	Projets innovants utilisant les TIC ou mettant en oeuvre de nouveaux process	170	13
Nombre de chercheurs recrutés/affectés dans le secteur public (déclinaison de l'indicateur clé n°6)	3/an	5/an	134	Projets valorisant une matière première ou adaptant un savoir-faire endogène	55	6
Nombre de chercheurs recrutés/affectés dans le secteur privé (déclinaison de l'indicateur clé n°6)	1/an	2/an	17	Nombre d'actions collectives réalisées au bénéfice des PME-PMI	15	21
Création d'un réseau de chercheurs au plan local, national ou international et nombre d'équipes intégrées dans ce réseau	1	3	0	Nombre d'entreprises impliquées dans une action collective	100	0

Beaucoup parmi les **indicateurs de résultat** n'expriment pas un changement, n'ont pas de valeur de référence et ne couvrent que les bénéficiaires des financements: ils ne permettent pas de juger de façon optimale du succès ou non du programme qui affiche des résultats plus ambitieux, couvrant l'ensemble des entreprises martiniquaises. Peu sont clairement reliés aux objectifs.

Deux des **indicateurs de contexte** pourraient être convertis en indicateurs de résultats à condition d'être suffisamment proches des actions financées pour en subir l'influence ("Emploi de chercheurs et d'ingénieurs de recherche", "Volume total des exportations") mais le troisième ("croissance économique") paraît trop éloigné du programme pour jouer ce rôle.

Enfin, l'**indicateur clé** portant sur le nombre de postes de chercheurs créé a été modifié ("décliné") en "nombre de chercheurs recrutés/affectés": de ce fait, il recouvre une autre réalité et ne peut être agrégé au niveau européen. La définition des indicateurs communs pour la prochaine période de programmation fournie par la Commission européenne devra être utilisée.

### Proposition d' indicateurs de résultat et de logique d'intervention

Que voulez vous changer? (résultat)	Indicateurs	
Priorité	Indicateurs de résultat	Indicateurs de réalisation
Augmenter le transfert de l'innovation entre les acteurs	<p>Nombre de collaboration entre centres de recherche et entreprises (enquêtes avant/après)</p> <p>Nombre de "Jeunes Entreprises Innovantes" et "Jeune entreprise universitaire" (bénéficiaire d'exemptions fiscales pour encourager la recherche et l'innovation)</p>	<p>Nombre de partenariats signés entre entreprises et acteurs de la recherche avec le soutien du FEDER</p> <p>Nombre de publications scientifiques (issues des activités de recherche menées dans le cadre des partenariats bénéficiant d'un financement FEDER)</p>

**Commentaires:** les indicateurs de résultat proposés reflètent des étapes intermédiaires de la logique d'intervention en raison de la difficulté d'anticiper les résultats d'une intervention dans le domaine de l'innovation. A noter que les cibles des indicateurs de résultat pourront être qualitatives dans la nouvelle réglementation (tendance, fourchette de valeur,...).

### Axe 3: "Valoriser les potentiels locaux"

L'axe 3 est organisé autour de 2 "enjeux" et 5 "sous-actions":

Enjeu 1: "Mise en valeur des potentialités touristiques locales"

- Aménagement touristique;
- Dynamisation de l'industrie touristique.

Enjeu 2: "Aménagement urbain et pôles de centralité"

- "Vivre Foyal" (une zone urbaine désavantagée);
- "Fonds Régional d'Aménagement Foncier et Urbain" (finance des infrastructures de base pour zones résidentielles);
- "Appels à projets de territoire" (visant des objectifs variés: création de PME, développement de l'économie sociale, promotion de l'esprit d'entreprise...).

Le programme opérationnel analyse les problèmes (obstacles au développement touristique, déséquilibres territoriaux, sociaux, environnementaux, problèmes spécifiques aux zones urbaines). Il passe ensuite directement aux actions à mettre en œuvre sans

exprimer de façon suffisamment claire ce qu'il compte changer ni comment il mesurera ce changement.

Le programme a sélectionné 9 indicateurs de résultat pour cet axe (certains d'entre eux sont très proches d'indicateurs de réalisation) et 16 indicateurs de réalisation.

De l'analyse des **indicateurs de résultat** pour la **première action/enjeu** (mise en valeur des potentiels touristiques locaux), 3 grands changements attendus semblent se dégager: création d'emploi, augmentation du nombre de touristes (en particulier de croisière), et augmentation des dépenses touristiques. Le programme ne choisit pas les facteurs sur lesquels il souhaite se concentrer pour obtenir ces changements, ce qui l'amène à financer des actions nombreuses et variées.

L'indicateur de réalisation "nombre de projets dans le nord de l'île" est déconnecté de ces résultats et suggère un objectif de rééquilibrage du territoire qui n'est pas reflété dans les indicateurs de résultats.

**La deuxième action/enjeu** est dédiée aux zones urbaines. Elle multiplie objectifs et sous-objectifs: développement équilibré et durable, croissance économique et emploi, inclusion sociale, plus de sécurité, moins de voiture, risques naturels, accessibilité des équipements et services, compétitivité, attractivité du territoire, amélioration des services touristiques, rénovation du patrimoine ...

Les 3 **indicateurs de résultat** choisis pour cette action semblent indiquer deux objectifs principaux: le développement économique ("nombre d'entreprises sur le territoire de la ville basse de Fort de France"; "nombre de TPE créées sur les territoires de projet") ainsi que la cohésion sociale ("nombres de personnes impliquées dans les actions associatives du secteur de l'économie sociale"). A noter que ce dernier indicateur mesure davantage un moyen qu'un résultat.

Certains **indicateurs de réalisation** sont liés à ces résultats ("nombre d'opérations visant à la promotion de l'entrepreneuriat"; "nombre d'opérations dans le secteur social") : d'autres ne les reflètent pas suffisamment et semblent davantage liés à des objectifs environnementaux ("nombre d'opérations intégrant des objectifs de développement durable", "nombre d'espaces paysagers et environnementaux restitués à la population").

#### Indicateurs de l'axe 3 (rapport annuel d'exécution 2011)

Indicateur de résultat	Valeur de référence	Cible	Résultat RAE 2011	Indicateur de réalisation	Cible	Réalisation 2011
1- Capacité d'accueil créées ou aménagées (en hectares)	?	50	37	<b>1- Nombre de projets</b> ayant comme finalité d'améliorer l'offre touristique	?	24
1- Création d'emplois durables, maintien des emplois existants dans les zones touristiques	?	5500	0	1- Nombre de sites culturels et patrimoniaux restaurés	22	12
1- Niveau de fréquentation touristique global	626000	678000	0	<b>1- Nombre de projets</b> dans le nord de l'île	3	12
1- Augmentation de la dépense globale des visiteurs (Meuros/an)	242	270	0	<b>1- Nombre de projets</b> d'infrastructures pour le tourisme	3	6
1- Taux d'occupation des	59.7%	+4%	124	1- Nombre d'établissements	20	1

hôtels aidés				hôtelières labellisées		
1 -Augmentation du nombre de nuitées hôtelières	1 100 000	1 268 000	1 268 000	1- Nombre de produits d'appel créés	2	0
				<b>1- Nombre d'opérations</b> nouvelles d'aménagement et d'équipement	10	1
2- Nbre d'entreprises sur le territoire de la ville basse de Fort de France	?	+10%	0	<b>1- Nombre d'opérations</b> de requalification dans les espaces touristiques anciens	6	3
2- Nbre de personnes impliquées dans les actions associatives du secteur de l'économie sociale	15 000	46 000	0	<b>1- Nombre d'opérations</b> visant à la constitution de réserves foncières à vocation touristique	0	6
2- Nombre de TPE créées sur les territoires de projets	?	10-20	20	<b>2- Nombre d'opérations</b> visant à la promotion de l'entrepreneuriat	Entre 3 et 5	16
				2- Aide à l'implantation d'équipements primaires	5	0
				<b>2- Nbre d'opérations</b> intégrant des objectifs de développement durable	5	0
				2- Nbre de personnes dédiées à l'ingénierie du projet (Vivre Foyal + Appel à projets)	10	157
				<b>2- Nombre d'opérations</b> visant la promotion de l'entrepreneuriat	?	3-5
				<b>2- Nombre d'opérations</b> de soutien au développement du secteur de l'économie sociale et solidaire	5-10	16
				2- Nbre d'espaces paysagers et environnementaux restitués à la population	3	0

Commentaires: certains indicateurs de **résultat** n'ont pas de valeur de référence, ce qui ne permet pas de juger du changement (on ne sait pas d'où l'on part). Par ailleurs, certaines valeurs de référence des indicateurs de résultat reflètent les activités du programme FEDER 2000-2006 et non la situation initiale de la région, d'un territoire, d'un secteur avant l'intervention du programme comme ils le devraient. Dix sur les 16 indicateurs de **réalisation** sont du type "nombre de projets/opérations" ce qui donne peu d'information sur l'action envisagée et ne permet pas de juger de la validité du lien entre les actions

soutenues et le changement espéré (en particulier lorsqu'il s'agit d'indicateurs dont le libellé est vague exemples : "nombre de projets visant à améliorer l'offre touristique" ou bien "nombre d'opérations de soutien au développement du secteur de l'économie sociale et solidaire").

### Proposition d'indicateurs de résultat et de logique d'intervention

Que voulez-vous changer? (résultat)	Indicateurs	
Priorité	Indicateurs de résultat	Indicateurs de réalisation
Augmenter le nombre et la diversité d'origine des touristes	Augmentation du taux de fréquentation des lieux touristiques Augmentation du taux de remplissage des hôtels Augmentation du nombre de nuitées Augmentation de la clientèle internationale	Nombre de projets touristiques "haut de gamme" soutenus Nombre de projet touristiques innovants soutenus

L'objectif du programme est à la fois d'augmenter la fréquentation touristique et de varier l'origine des touristes (la plupart venant de la métropole). Pour obtenir ce résultat, il s'agit de diversifier l'offre touristique pour satisfaire des demandes différentes. Ce résultat sera atteint grâce à une offre innovante, attractive et compétitive

Commentaire: les 3 premiers indicateurs de résultat reflètent l'augmentation du nombre de touristes. Un seul aurait été suffisant pour exprimer le résultat espéré. Le 4<sup>ème</sup> exprime un changement dans l'origine des touristes ce qui reflète bien l'objectif de diversification.

Les indicateurs de réalisation indiquent que seuls les projets ciblant une clientèle "haut de gamme" ou bien les projets "innovants" seront financés. Ces notions non définies devront être précisées afin de de pouvoir être traduites sans ambiguïté dans les critères de sélection des projets.

### Enseignements tirés de l'exercice

Les représentants de la Martinique (Région, Etat, Département) comprennent la logique sous-tendant cet exercice: établir des programmes davantage orientés sur les résultats. Cependant, considérant les besoins importants, multiformes et intégrés de la Martinique, ils jugent difficile de ne retenir qu'un petit nombre d'objectifs sur lesquels concentrer les dépenses. Cependant, ils reconnaissent la nécessité d'améliorer et clarifier leur stratégie de développement et la logique d'intervention de leur programme pour la prochaine période et y travaillent déjà.

En particulier, ils reconnaissent que les axes recouvrent un trop grand nombre d'objectifs, et que ces objectifs ne sont pas suffisamment reliés à l'analyse des besoins socio-économiques. Ils comprennent la nécessité de simplifier la formulation de ces objectifs afin de les rendre plus opérationnels, et de sélectionner des indicateurs de résultat plus spécifiques, reflétant les objectifs des priorités. La situation actuelle du programme provient en partie de révisions des objectifs du programme, sans nouvelle définition systématique des indicateurs de résultat.

Une des difficultés à surmonter est la question des données à collecter: Les représentants de la Région/Etat ont enclenché des discussions avec l'INSEE et l'UAG (Université Antilles Guyane) afin d'établir des partenariats pour les aider dans cette tâche.

*Recommandations pour construire une logique d'intervention claire*

- éviter un langage abstrait qui rend difficile la détermination d'objectifs spécifiques
- Utiliser un "cadre logique", c'est à dire une représentation graphique simplifiée des liens de causalité entre actions et résultats (qui clarifie la logique d'intervention)
- éviter de "compartimentaliser" le programme en fiches actions (qui recouvrent des actions parfois se chevauchant): les fiches actions (qui pourront s'avérer utile dans le cadre du DOMO) attirent l'attention sur les actions à réaliser plutôt que les résultats à obtenir et ne permettent pas de concentrer les fonds sur un petit nombre de priorités. Dès lors, les indicateurs de résultat et de réalisation sont multipliés, avec la charge de gestion que cela entraîne pour le suivi du programme.
- Limiter le nombre d'indicateurs de résultat: ils doivent refléter les objectifs principaux, avoir des titres clairs, et être définis avec précision.
- Les indicateurs de résultat doivent porter sur l'ensemble de la population ciblée (dont on veut changer la situation). Ces indicateurs doivent en effet refléter un changement recherché pour la région, un secteur économique, un groupe de personnes, un territoire, et ne pas se limiter aux bénéficiaires des fonds. Dans la plupart des cas, les valeurs de référence et les valeurs cibles ne pourront pas provenir du système de suivi mais de données administratives, d'enquêtes.
- Les indicateurs de réalisation doivent être liés aux résultats attendus (eux-mêmes reflétés par les indicateurs de résultat). Les indicateurs du type "nombre de projets" ou "nombre d'opérations" ne facilitent pas l'appréciation de ce lien et doivent être évités.
- Lorsque des indicateurs communs sont utilisés au titre d'indicateurs de réalisations, leur libellé et leur définition doivent être strictement respectés.

## Conclusion des représentants de l'Etat et de la Région:

Rappel des limites du PO 2007-2013	Propositions pour 2014-2020	Modalités de mise en oeuvre
Des objectifs trop nombreux	Limiter le nombre d'objectifs à 2 par priorité	Désigner un évaluateur régional (évaluation ex ante) et l'associer le plus en amont possible à l'écriture du PO 2014-2020
Des objectifs d'axe en disharmonie avec les objectifs des actions	Elaborer un tableau de concordance entre les Priorités/objectifs/indicateurs	idem
Des objectifs formulés de façon trop complexe	Formuler de façon simple et synthétique les objectifs des priorités	idem
Les objectifs ne tiennent pas assez compte de la situation T0	Poser l'état des lieux comme le préalable indispensable de la réflexion sur les priorités et leurs objectifs	idem
Des indicateurs trop complexes, trop spécifiques pas assez flexibles et difficiles à renseigner	Choisir des indicateurs simples, facilement actualisés	Mise en place de conventions de partenariat avec l'INSEE, l'UAG et le SIG
Des indicateurs de résultats confondus avec les résultats ou l'impact du programme	Diffuser la culture de l'évaluation	Organiser des séminaires sur l'évaluation et ses applications pratiques et mutualiser avec les autres RUP Françaises
Des indicateurs qui ne sont en rapport ni avec les objectifs, ni avec les priorités souvent dû à une modification en cours de PO des priorités et/ou de leur objectif	Actualiser et modifier en conséquence toutes les implications d'une révision de PO	Organiser un Comité de suivi d'évaluation de la programmation par mesure
Manque de mobilisation autour de la démarche évaluative en général	Introduire l'évaluation dans toutes les instances de programmation  Diffuser la culture de l'évaluation	Organiser des séminaires sur l'évaluation et ses applications pratiques et mutualiser avec les autres RUP Françaises

### 6.3. France: Rhône-Alpes: Knowledge & Innovation Economy

The Rhône-Alpes Managing Authority in collaboration with the evaluation unit in the Region chose to work on the axis of its programme on Innovation called "Improving the knowledge and innovation economy to increase the European and international attractiveness ("rayonnement") of Rhône-Alpes"

#### The current logical framework

This axis includes 2 objectives

- A – To support technological innovation in companies
- B – Anticipating changes to accompany SMEs and micro-enterprises.

These objectives are too abstract, mixing goals and means, which explains that the expected changes are not sufficiently operational and the intended results not easily measurable and consequently not properly translated into result indicators.

Axis 1 includes a total of 13 indicators: 9 output indicators and 4 result indicators. The activities of the programme are described in 6 "operational sheets" ("Fiches Action") covering 12 sub-objectives. The first 3 "Actions" cover most of the funding:

- Supporting research and collaborative technological innovation
- Technology transfer and incubators
- Accompanying SMEs on the path toward innovation
- Developing entrepreneurship
- Providing SMEs and micro enterprises with tools for a sustainable development
- Financing and developing SMEs

The selected result indicators do not measure a change in the regional situation (number of patents from entities supported, number of supported companies)

Indicateurs Axe prioritaire	Réalisations		Résultats	
AXE 1  INNOVATION  ECONOMIE DE LA  CONNAISSANCE  ET L'ENSEIGNEMENT SUPERIEUR  DE	<i>Nom_1: Nombre de PME impliquées dans les projets soutenus</i>  <i>Source_1: Bénéficiaire de la subvention</i>		<i>Nom_3: Nombre de brevets déposés par le bénéficiaire dans le cadre du projet soutenu</i>  <i>Source_3: Bénéficiaire de la subvention</i>	
	<i>Nom_2: Nombre de laboratoires et de centres techniques impliqués dans les projets soutenus</i>  <i>Source_2: Bénéficiaire de la subvention</i>		<i>Nom_5: Nombre de produits de valorisation dans le cadre du projet soutenu. Les livrables peuvent être de différentes natures : guide méthodologique, action de formation, grille d'analyse...</i>  <i>Source_5: base de donnée valorisation diffusées sur le site <a href="http://www.psd-r-rq.fr">www.psd-r-rq.fr</a> (uniquement plateforme PSDR)</i>	
	<i>Nom_4: Nombre d'actions de valorisation menées par la plate-forme (PSDR) dans le cadre du projet soutenu</i>  <i>Source_4: Bénéficiaire de la subvention, uniquement plateforme PSDR</i>		<i>Nom_8: Nombre d'entreprises innovantes accompagnées soit en post-incubation, soit dans leur projet d'innovation</i>  <i>Source_8: Bénéficiaire de la subvention</i>	
	<i>Nom_6: Nombre de projets de coopération Recherche-Industrie impliquant au moins un laboratoire et une entreprise. Il peut s'agir de plates-formes technologiques, projets collaboratifs, projets d'entreprises.</i>  <i>Source_6: Bénéficiaire de la subvention</i>		<i>Nom_9: Nombre d'entreprises innovantes accompagnées dans leur processus d'innovation (faisabilité, développement)</i>  <i>Source_9: Bénéficiaire de la subvention, OSEO</i>	



	<p><i>Nom_7: Nombre de projets de coopération Recherche-Industrie impliquant au moins un laboratoire et une entreprise. Il peut s'agir de plates-formes technologiques, projets collaboratifs, projets d'entreprises.</i></p> <p><i>Source_7: Bénéficiaire de la subvention</i></p>	
	<p><i>Nom_10: Actions de sensibilisation à l'innovation et à l'entrepreneuriat mises en place auprès :</i></p> <ul style="list-style-type: none"> <li>- des publics secondaires et étudiants</li> <li>- des chercheurs</li> <li>- des TPE et PME</li> </ul> <p><i>Source_10: Bénéficiaire de la subvention</i></p>	
	<p><i>Nom_11: Nombre d'entreprises accompagnées</i></p> <p><i>Source_11: Bénéficiaire de la subvention</i></p>	
	<p><i>Nom_12: Nombre de projets de création d'entreprises accompagnés</i></p> <p><i>Source_12: Bénéficiaire de la subvention</i></p> <p><i>Nom_13: Nombre d'entreprises de moins de deux ans ou de porteurs de projets accompagnés.</i></p> <p><i>Source_13: Bénéficiaire de la subvention</i></p>	

The Managing Authority and Region's Evaluation unit understand the new logical framework and the concept of impact (contribution). However, they use different concepts ("immediate", mid-term and long term result) and consider an immediate result to be the deliverables of the intermediary body that they subsidy (e.g. number of companies benefitting from the action implemented by the intermediary body). This result appears at the earliest 2 years after the attribution of the subsidy.

In France, most of the activities supported by programmes are implemented by intermediary bodies such as clusters, risk capital funds or development agencies. For example, the Rhône-Alpes programme subsidises French clusters ("Pôles de compétitivité") to improve SMEs access to laboratories: the Managing Authority determines the kind of activity and beneficiaries to be supported and the amount of subsidies, but claims it cannot control the achievements which depend on the effectiveness of intermediary body management and the willingness of SMEs to apply for support. The only "output" on which they can commit is the political decision and administrative management allowing for the subsidies to be distributed by the intermediary body.

This does not fit with the new logical framework where the results should reflect policy goals and be wider than the direct effects of the programme's interventions on beneficiaries.

The Managing Authority is also reluctant to commit to quantified targets for results. According to them, this risks entailing perverse effects. Badly designed result indicators might focus the interventions on objectives which actually are not the policy objectives.

Quantified targets may drive the programme toward irrelevant actions selected because of the measurability of their effects, making programme managers forget about policy objectives. Qualitative target such as trends demonstrating that the policy is on track seem more relevant (for example, rather than "number of new companies created thanks to a subsidy", the target could be "increase in the number of newly created companies as compared to the baseline"). The draft ERDF regulation allows for qualitative targets.

They think it useful for programmers to draft for each priority axis a logical framework describing how the supported actions (the outputs) will lead to the intended results. From their experience, this representation of the theory of change should help policy makers to debate effectively on precise/measurable achievements.

## The new logical framework

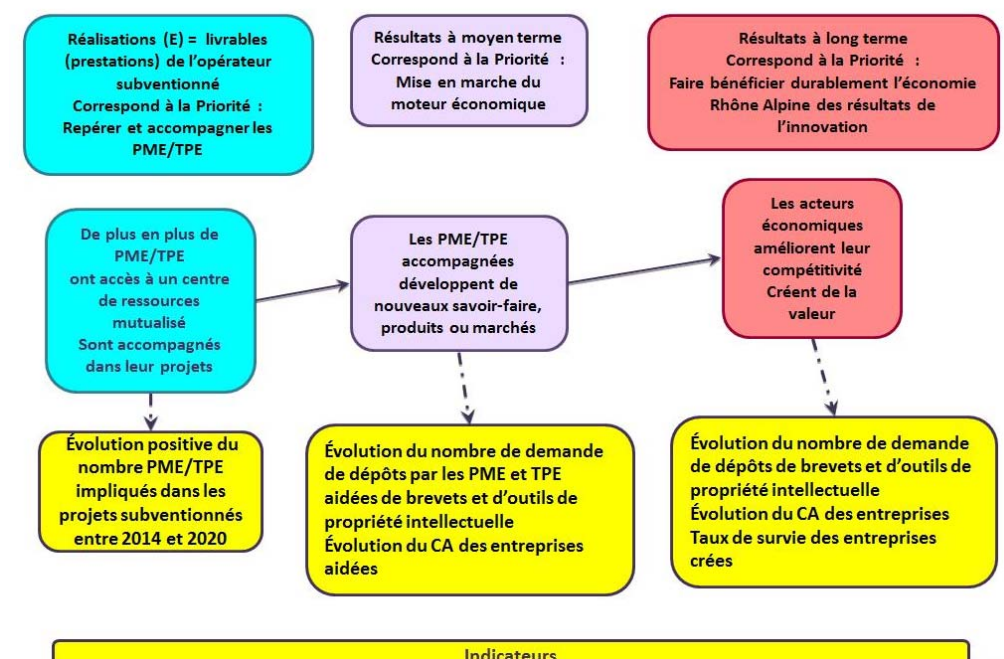
The Managing Authority reflected on its priority axis and came back with 3 sub-priorities instead of 13:

- Starting the engine of the economy thanks to innovation driven by networking between research structures and actors
- Detecting and accompanying SMEs and micro-enterprises toward innovation
- Making the regional economy benefit in the long-term from innovation results.

These titles are still too abstract and difficult to operationalize: they do not specify an expected change. However on this basis the Managing Authority could design causal links between these priorities. This helped them to design indicators reflecting the expected result at the different steps of the logical framework.

Only 4 indicators were selected (instead of 13):

- Increase in number of SMEs involved in subsidised projects
- Increase in number of patents and other IPR tools from supported AND Increase in number of patents and other IPR tools from all regional SMEs
- Increase in turnover of supported companies AND from all companies
- Better survival rate of start ups



#### 6.4. Greece: Regional Operational Programme Macedonia-Thrace, Transport

ERDF Allocation: € 340 290 000 (12.7%); Total Public Contribution € 447 000 000

In the current period, three regions are included in the ROP. In the axes, however, each priority is analysed separately for each of these regions. The result is effectively 3 priorities for each region, completed by 2 technical assistance axes (11 axes in total). There are 6 indicators (mainly output indicators, no evident correlation between output and result indicators), as indicated in the table below. There were no reported achievements up to end 2011.

RESULT INDICATOR	TARGET	OUTPUT INDICATOR	TARGET
<b>Percentage (%) of new / improved regional and local road network.</b>  <i>Definition: The indicator measures the newly constructed or improved regional and local road network as a percentage of the total road network of the Region of Central Macedonia</i>  <i>Source: Egnatia Odos SA Observatory</i>	+0.3%	<b>TEN-roads Constructed</b>  <i>Definition: Total length of TEN-T roads</i>  <i>Source: MA of ROP Central Macedonia 2000-2006</i>	10Km
		<b>Roads Constructed (non TEN-T)</b>  <i>Definition: Total length of roads (outside TEN-T)</i>  <i>Source: MA of ROP Central Macedonia 2000-2006</i>	30Km
<b>Travel time decrease</b>  <i>Definition: Average decrease in travel time per vehicle</i>  <i>Source: NSRF</i>	60min	<b>Roads Improved/constructed</b>  <i>Definition: Total length of roads improved or constructed (highways excluded)</i>  <i>Source: MA of ROP Central Macedonia 2000-2006</i>	24Km
		<b>TEN-T Railway Network constructed / Completed</b>  <i>Definition: Total length of TEN-T Railway network constructed or completed</i>  <i>Source: MA of ROP Central Macedonia 2000-2006</i>	Target: 20Km

- There was an extended discussion on the description of this priority, as there was a mix of indicators that did not reflect the general objective, to "Create a balanced and polycentric network of urban centres which will be connected in an operational way

to the trans-european transport networks (TEN)". The objective is vague and cannot be used to design an appropriate strategy towards "what we want to change";

- The practice to date had been to use indicators that could be manageable and measureable but would relate to a set of "multiple activities", thus could not distinctly be linked to the result of one specific activity;
- The two result indicators of the priority are vague and could not be used to verify whether a desired change had been achieved;
- Data for all indicators is sourced from the monitoring system.

### Possible Result Indicators and Intervention Logic

What do you want to change? (result)	Indicators	
	Result Indicators	Output Indicators
<b>Priority 1</b> Secure the Region's interconnections to the trans-european transport networks (TEN-T)	<p><b><u>Name:</u> Percentage (%) of TEN-T Road network constructed *</b></p> <p><b><u>Definition:</u></b> Measures the degree of coverage of TEN-T Road interconnections in the Region, achieved by the intervention</p> <p><b><u>Source:</u></b> (a) Ministry of Development, Competitiveness, Infrastructure, Transport and Networks, (b) Managing Authority</p> <p><b><u>Baseline:</u></b> To be provided by the Ministry of Development, Competitiveness, Infrastructure, Transport and Networks</p> <p><b><u>Target:</u></b> as above</p>	<p><b><u>Name:</u> TEN-T roads constructed</b></p> <p><b><u>Definition:</u></b> Total length of TEN-T roads</p> <p><b><u>Source:</u></b> (a) Project documentation, (b) Managing authority</p> <p><b><u>Baseline:</u></b> 0</p> <p><b><u>Target:</u></b> 1,4 km</p>
	<p><b><u>Name:</u> Travel time decrease on TEN-T Railway network *</b></p> <p><b><u>Definition:</u></b> Average decrease in travel time on the TEN-T Railway network along «Polykastro-Eidomeni» line.</p> <p><b><u>Source:</u></b> : (a) Ministry of Development, Competitiveness, Infrastructure, Transport and Networks, (b) Managing Authority</p> <p><b><u>Baseline:</u></b> To be provided by the Ministry of Development, Competitiveness, Infrastructure, Transport and Networks</p> <p><b><u>Target:</u></b> as above</p>	<p><b><u>Name:</u> TEN-T Railway Network constructed / Completed</b></p> <p><b><u>Definition:</u></b> Total length of TEN-T Railway network constructed or completed</p> <p><b><u>Source:</u></b> (a) Project documentation, (b) Managing Authority</p> <p><b><u>Baseline:</u></b> 0 km</p> <p><b><u>Target:</u></b> 21km</p>

<p><b>Priority 2</b></p> <p>Create the conditions for an efficient transport network within the region, through the amelioration of the road infrastructures</p>	<p><u>Name:</u> <b>Percentage (%) of new regional and local road network</b></p> <p><u>Definition:</u> The indicator measures the newly constructed or improved regional and local road network as a percentage of the total road network of the Region of Central Macedonia</p> <p><u>Source:</u> (a) Ministry of Development, Competitiveness, Infrastructure, Transport and Networks, (b) Managing Authority</p> <p><u>Baseline:</u> 3,6%</p> <p><u>Target:</u> +0,3%</p>	<p><u>Name:</u> <b>Highways constructed (no TEN-T)</b></p> <p><u>Definition:</u> Total length (km) of highways (no TEN-T) constructed</p> <p><u>Source:</u> (a) Project documentation, (b) Managing Authority</p> <p><u>Baseline:</u> 0</p> <p><u>Target:</u> 30 km</p> <p><u>Name:</u> <b>Roads constructed</b></p> <p><u>Definition:</u> Total length (km) of the intra-Regional road network constructed</p> <p><u>Source:</u> (a) Project documentation, (b) Managing Authority</p> <p><u>Baseline:</u> 0</p> <p><u>Target:</u> 24 km</p>
	<p><u>Name:</u> <b>Travel time decrease on intraregional road network</b></p> <p><u>Definition:</u> Average decrease in travel time on the intra- regional / local road network</p> <p><u>Source:</u> Egnatia Odos SA Observatory (?)</p> <p><u>Baseline:</u> -</p> <p><u>Target:</u> 60 min</p> <p><i>Note: The ability to measure the indicator at Regional level remains questionable</i></p>	
<p><b>Priority 3</b></p> <p>Create the conditions for a safe transport network within the region, through the use of intelligent traffic control systems that promote road safety.</p>	<p><u>Name:</u> <b>National Network Safety Systems Coverage*</b></p> <p><u>Definition:</u> Percentage of highway network covered by intelligent traffic control systems</p> <p><u>Source:</u> (a) Ministry of Development, Competitiveness, Infrastructure, Transport and Networks, (b) Managing Authority</p> <p><u>Baseline:</u> 0%-</p> <p><u>Target:</u> -</p>	<p><u>Name:</u> <b>Highways covered by traffic telematics</b></p> <p><u>Definition:</u> Total length of highway network covered by intelligent traffic control systems</p> <p><u>Source:</u> (a) Project, (b) Managing Authority</p> <p><u>Baseline:</u> 0</p> <p><u>Target:</u> 600 km</p>

\* Newly added indicator, as part of the exercise. At the moment there is no relevant data available at Programme level.

### Conclusions and comments of the pilot region:

#### Strengths of the new result-based approach:

- The priority has been split into 3 to better focus on the specific changes envisaged (road / rail) and to better assess contribution of each activity;
- The results-oriented approach is applicable to the programming of Cohesion Policy interventions and it can show whether the OP has attained its objectives / satisfied the demand.

#### Difficulties of the new result-based approach:

- As part of this pilot exercise, the MA practically redesigned the priority, including new result indicators. These are not yet measurable and work would

have to start to ensure that the necessary data is collected, so that they depict properly the contribution to each of the relevant fields;

- The two new result indicators, namely the % of networks, relate to the degree of coverage of identified needs at regional level.

In the current programming period the primary source is the Monitoring System, a mechanism that will be retained in the next Programming Period. As regards the definition of the baseline values, the collaboration of competent policy-making bodies (Ministries, etc) will be required in order to ensure that relevant data is provided in time.

Two major issues were highlighted during this exercise: 1) the difficulty of measuring results at regional level (in reality a sub-region in the current ROP); 2) The issue of relating the priorities of policy makers to actual, measureable indicators within the new, result-oriented framework will be challenging.

### **Commentary and Learning**

- The pilot authorities were open to discuss and clarify the changes envisaged in the axis. This enabled them to pick result indicators which could capture the outcome of the activities. The heavy reliance on the monitoring system should be fine as long as the relevant authorities make sure that data is reported in a timely and correct fashion to provide the needed information. The new indicators proposed can contribute to an effective display of change achieved, provided that appropriate data is fed through the monitoring system, and that baseline data is measured in time.
- The wording of the Priority in the original OP was imprecise and open to interpretation. This was deliberate, as the authorities informed us, to allow for "picking" among multiple activities during the programming period.
- There were only two result indicators in the ROP, relating to several output indicators. One of the important points of the new logical framework is the correspondence of output and result indicators, so that we can see the contribution of each of the activities.
- Shifting from the current OP to the theory of change approach will require a deep modification of thinking. The MA is in favour of the new approach and ready to implement it in the next programming period and they have invested in designing a practically new axis for this pilot exercise. Nevertheless, work needs to be carried out already in order to address challenges such as: having proper monitoring data and making certain that political discussions will not hinder the implementation of the strategy of the programme.

### **6.5. Greece – OP Competitiveness: Energy and Sustainability Priority**

**Priority:** Integration of the country's energy system and strengthening of sustainability

ERDF Allocation: € 330 990 000 (25.6%); Total Public Contribution: € 479 400 000

In the Priority, there are currently 20 indicators (mostly results, several not corresponding to an output indicator). Some are included in the table below. There were no reported achievements to end 2011.

RESULT INDICATOR	TARGET	OUTPUT INDICATOR	TARGET
<b>Annual committed transmission capacity of medium and low pressure Natural Gas mains</b> Definition: million cubic meters (m <sup>3</sup> ) Source: MIN. OF DEVELOPMENT / Energy sector DEPA	75 (m3 committed by contract)	<b>Length of Natural Gas medium and low pressure mains</b> Definition: km Source: MIN. OF DEVELOPMENT / Energy sector DEPA	580
<b>Annual committed transmission capacity of high pressure Natural Gas mains</b> Definition: million cubic meters (m <sup>3</sup> ) Source: MIN. OF DEVELOPMENT / Energy sector	4050 (m3 committed by contract)	<b>Length of Natural Gas high pressure mains</b> Definition: km Source: MIN. OF DEVELOPMENT / Energy sector DEPA	605
<b>Population covered by Natural Gas</b> Definition: Number Source: MIN. OF DEVELOPMENT / Energy sector DEPA	300.000 (includes new Eastern Macedonia Thrace Natural Gas Company and large urban centres to be supplied)	<b>Installed power from RES and high-efficiency CHP</b> Definition: MW Source: MIN. OF DEVELOPMENT / Energy sector	513 (the total installed power of the 8 regions)
<b>Percentage of population covered by Natural Gas</b> Definition: Percentage Source: MIN. OF DEVELOPMENT / Energy sector DEPA	2.8% (based on population covered by natural gas indicator)	<b>Number of RES projects</b> Definition: Number Source: MIN. OF DEVELOPMENT / Energy sector	515
<b>Annual primary energy saving from RES and High-efficiency CHP investments</b> Definition: TOE Source: MIN. OF DEVELOPMENT / Energy sector	297.638 (primary energy saved due to improved efficiency of energy conversion and replacement of conventional sources of energy with RES. Conversion of RES and high-efficiency CHP into primary energy)		
<b>Additional energy production capacity from RES (MWh) as a result of OP Competitiveness and Entrepreneurship actions</b> Definition: MWh Source: MIN. OF DEVELOPMENT / Energy sector	1.218.516		
<b>Annual decrease of greenhouse gas emission (kt CO<sub>2</sub>) resulting from RES and Energy saving actions</b> Definition: ktCO <sub>2</sub> Source: MIN. OF DEVELOPMENT / Energy sector ПЕПЛА	2100		

### Comments on the current indicator system:

- There was an extended discussion on the description of this priority: the "integration of energy system" actually refers to integration of infrastructures for Natural Gas as well as integration & modernization of the Electric Network additional to energy production by Renewable Energy Sources (RES) that will ensure a switch to more sustainable energy sources, while "sustainability" refers to the security of energy supply. This clarification was essential to decide what indicators to use in a results-oriented approach.
- Baselines were not set for the indicators (but are available), nor were achievements reported. Sources have been explicitly identified for each indicator. Data for all indicators will be sourced from the monitoring system.
- Several of the result indicators are vague, referring to committed values (not actual), or to population (potentially but not necessarily) covered

### Possible Result Indicators and Intervention Logic

What do you want to change? (result)	Indicators	
	Result Indicators	Output Indicators
<b>Priority 1</b>  <i>Secure supply of the market with Natural Gas and gradual reduction of the country's dependence on Oil</i>	<i>Name: <b>Annual consumption of Natural Gas</b></i> <i>Definition: Increase of Natural Gas consumption in the country in mil m<sup>3</sup>/y</i> <i>Source: Ministry of Environment, Energy &amp; Climate Change / DESFA S.A.</i> <i>Baseline: 3990 (2008)</i> <i>Target: 1036 (net value)</i>	<i>Name: <b>Length of Natural Gas high pressure mains</b></i> <i>Definition: Length of constructed Natural Gas high pressure pipelines in kilometers (km)</i> <i>Source: Ministry of Environment, Energy &amp; Climate Change / DESFA S.A.</i> <i>Baseline: 0</i> <i>Target: 159</i>
	<i>Name: <b>Annual decrease of greenhouse gas emissions (CO<sub>2</sub>) (resulting from Natural Gas actions)</b></i> <i>Definition: Decrease of greenhouse gas emissions, kton CO<sub>2</sub> per year</i> <i>Source: Ministry of Environment, Energy &amp; Climate Change</i> <i>Baseline: 2.000 (2008) (for all actions of "Competitiveness and Entrepreneurship" 2007-2013)</i> <i>Target: 1.507 (net value)</i>	<i>Name: <b>Storage capacity of Liquefied Natural Gas</b></i> <i>Definition: Increase of storage capacity of LNG in cubic meters (m<sup>3</sup>)</i> <i>Source: Ministry of Environment, Energy &amp; Climate Change / DESFA S.A.</i> <i>Baseline: 0</i> <i>Target: 95.000</i>



<b>Priority 2</b>  <b>Increase of Renewable Energy Sources (RES) penetration in electricity generation</b>	<b>Name: Share of electricity generation by RES in total Energy Balance of the country</b> <b>Definition:</b> Increase of electricity generation share by RES in Energy Balance of the country <b>Source:</b> Ministry of Environment, Energy & Climate Change <b>Baseline:</b> 9 % (2008) <b>Target:</b> 10 % (indicatively, resulting only from O.P. actions, without taking into account other actions, like Incentives Investment Law)	<b>Name: Installed power by RES and High-Efficiency CHP</b> <b>Definition:</b> Change of installed power by RES and High-efficiency CHP (MW) <b>Source:</b> Ministry of Environment, Energy & Climate Change <b>Baseline:</b> 0 <b>Target:</b> 156 (net value, in the 8 regions of O.P. "Competitiveness and Entrepreneurship" 2007-2013)
	<b>Name: Annual decrease of greenhouse gas emissions (CO<sub>2</sub>) (resulting from RES actions)</b> <b>Definition:</b> Decrease of greenhouse gas emissions, kton CO <sub>2</sub> per year (kt CO <sub>2</sub> /y) <b>Source:</b> Ministry of Environment, Energy & Climate Change <b>Baseline:</b> 2.000 (2008) (for all O.P. actions) <b>Target:</b> 315 (net value)	
<b>Priority 3</b> <b>Energy Efficiency in housing</b>	<b>Name: Annual primary energy saving in housing</b> <b>Definition:</b> Primary energy saving in housing, total oil equivalent per year (TOE/y) <b>Source:</b> Ministry of Environment, Energy & Climate Change / ETEAN S.A. <b>Baseline:</b> Available later (from energy inspections before and after the interventions) <b>Target:</b> 40.700 (net value)	<b>Name: Energy upgraded houses through the programme "EXOIKONOMISI KAT' OIKON"</b> <b>Definition:</b> Number of energy upgraded private household buildings through the programme (number) <b>Source:</b> Ministry of Environment, Energy & Climate Change / ETEAN S.A. <b>Baseline:</b> 0 <b>Target:</b> 18.000 (net value, in the 8 regions of O.P. "Competitiveness and Entrepreneurship" 2007-2013)
	<b>Name: Annual decrease of greenhouse gas emissions (CO<sub>2</sub>) (resulting from energy saving in housing sector)</b> <b>Definition:</b> Decrease of greenhouse gas emissions, kton CO <sub>2</sub> per year <b>Source:</b> Ministry of Environment, Energy & Climate Change <b>Baseline:</b> 2.000 (2008) (for all actions of OP) <b>Target:</b> 165 (net value)	<b>Name: Air-condition devices replaced &amp; recycled through the programme "Allazo KLIMAtistiko"</b> <b>Definition:</b> Number of old & energy consuming A/C devices replaced and recycled (number) <b>Source:</b> Ministry of Environment, Energy & Climate Change <b>Baseline:</b> 0 <b>Target:</b> 36.400 (net value, in the 8 regions)

## Conclusions and comments of the pilot region:

### Strengths of the new result-based approach:

- The former priority has been split into 3, to better focus on the specific changes sought and to better assess contribution of each activity;
- The results-oriented approach is applicable to the programming of Cohesion Policy interventions and it allows for optimisation of resources as it can be used for competition among actions/interventions. It can show whether the OP has attained its objectives / satisfied the demand.

### Difficulties of the new result-based approach:

- A first overall concern relates to the OP itself, Competitiveness, as it deals with a wide variety of subjects, including R&D, Entrepreneurship, Financial engineering and Energy. The authorities made the point that the new logic will have to invest in detailing the activities of the OP in such a way, so that the contribution to each of these fields is transparent and manageable.
- There is concern that these results will not be representative of the interventions intended, as the programmes are still dealing with a great economic crisis and may be subject to further modifications.

In the current programming period the primary source is the monitoring system. The timeliness and regularity of reported data will depend upon the MAs releasing the relevant data. In addition, there are baselines that refer to the whole OP or will be available only after energy inspections are conducted. In these cases, it is difficult to verify the reliability of the target value indicated.

### **Commentary and Learning**

- The pilot authorities were open to discuss and clarify the changes envisaged in the axis. This enabled them to pick result indicators which can capture the relevant activities. They are focused and should make it easier to evaluate success or failure. The original indicators were vague and would not contribute to the activities in the OP or their results. The heavy reliance on the monitoring system should be fine as long as the relevant authorities make sure that data is reported in a timely and correct fashion to provide the needed information.
- The only (new) priority that does not fully reflect the change envisaged, is the "Energy efficiency in the housing sector". Only through the result indicators we get the notion that we intend to increase the efficiency through saving on (fossil fuel) energy.
- The wording of the Priority in the original OP was imprecise and open to interpretation. This was deliberate, as the authorities informed us, to allow for minor shifts during the programming period.
- One of the result indicators in the pilot OP, decrease of Greenhouse gas emissions, was initially not linked to any activities, as it was considered a result of all of them. One of the important points of the new logical framework is the correspondence of output and result indicators, so that we can see the contribution of each of the activities.
- The Managing Authority is in favour of the new approach and ready to implement it in the next programming period. Nevertheless a lot of work needs to be carried out already in order to address challenges such as: having proper monitoring data and identifying the intended result that will reflect the strategy of the programme after a political discussion.

## 6.6. Hungary - Centre: Development of Transport System Priority

- Objectives of the priority:
  - Improvement of the Region's competitiveness by integrating the Region into the international road network (assessment: the objective was not clear).
  - Better traffic management in municipalities and micro-regions by developing transverse transport connections (assessment: the objective was clear but not operational)
  - Support for the use of alternative means of public transport (assessment: the objective was clear but inappropriately formulated, as the objective is not having "support")
- The OP and the AIR contain only two indicators at priority level, although there are numerous project-level indicators. The indicators were found to be generally appropriate but wrongly formulated

Result Indicator	Target	Reported Achievement 2010	Output Indicator	Target	Reported Achievement 2010	ERDF Allocation 2007-13 €M
Transit traffic on the main roads of the capital's center (%)	-	-				227 (total: 267)
Change in number of passengers using public transport in the cities of the region	0%	-28.15%				

### Possible Result Indicator and Intervention Logic

What do you want to change? (result)	Indicators	
Priority 1	Result Indicators	Output Indicators
Decrease transit traffic in the capital's center	<b>Name:</b> transit traffic on the main roads of the capital's center (car/day) <b>Definition:</b> available <b>Source:</b> Hungarian Road Management Company <b>Baseline:</b> available	<b>Name:</b> length of new roads <b>Definition:</b> available <b>Source:</b> beneficiaries <b>Target:</b> X km
Minimize the decrease of the share of public transport in the modal split	<b>Name:</b> share of public transport in modal split (%) <b>Definition:</b> available <b>Source:</b> Institute for Transport Sciences <b>Baseline:</b> available	<b>Name:</b> length of reconstructed roads <b>Definition:</b> available <b>Source:</b> beneficiaries <b>Target:</b> X km
Decrease travel time (within the capital, commuting, intra regional)	<b>Name:</b> average travel time (min) for predetermined reference routes <b>Definition:</b> GPS based travel time <b>Source:</b> survey (Managing Authority) <b>Baseline:</b> results of the first survey	<b>Name:</b> length of new bus lanes <b>Definition:</b> available <b>Source:</b> beneficiaries <b>Target:</b> X km
Reduce the environmental load of transport	<b>Name:</b> PM 10 pollution (fine particle) <b>Definition:</b> available <b>Source:</b> Regional Environmental Authority	<b>Name:</b> number of newly installed traffic control and passenger information systems <b>Definition:</b> available

	<b>Baseline:</b> available	<b>Source:</b> beneficiaries <b>Target:</b> X
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#### Intervention Logic:

- Constructing new roads leads to a decrease of transit traffic on the main roads of the capital's centre as the transit traffic moves to the new roads (bypass). The effect depends on several internal factors: length and capacity of the new road, additional time. External factors, such as fuel prices or congestion charges, also have large effects on results.
- Constructing of new bike lanes will decrease PM10 pollution because people will use their bike instead of their car. To verify, the number of cyclists and PM10 pollution should be regularly measured at new bike lanes and surveys should be used to find out whether cyclists using new lanes switched from car to bike.
- Improving public transport services will make them more attractive and it can stop the decline of its share in transport modes. Effect also depends on other factors, most notably pricing of public transport, fuel prices and introduction of a congestion charge.

#### Commentary and Learning

- The priority needs further concentration as it currently contains very diverse, although connected, activities. Clarity and ownership of objectives is crucial.
- It is easy to confuse the objective with the result indicator: determining the objective and an appropriate result indicator is an iterative process. The result indicator helps to clarify the objective and forces it to be formulated more operationally.
- Formulating the intervention logic and requirements for future evaluations are closely linked. Identifying other influencing factors is important.

#### 6.7. Italy, Marche: Innovation and Knowledge Economy

This priority aims to strengthen the regional innovation system by emphasising the role of the private sector, encouraging technological transfer and enhancing cooperation among firms and research institutes. The industrial research and technology effort are promoted by groups of firms as well as public and private research bodies. SMEs benefit from easier access to credit and financing and an improved system for financial guarantees. The total allocation is €127 million, of which €46 million is ERDF

Result	Target	Reported Achievement 2010	Output Indicator	Target	Reported Achievement 2010
R&D employees per 1000 inhabitants (Baseline 1.9)	2.3	0	N. of technological transfer projects (Baseline 0)	700	460
Firms R&D expenditure (Baseline 43%)	60	0	N. of product innovation projects (Baseline 0)	45	54
			N. of R&D projects (Baseline 0)	200	124

			N. of R&D projects involving networks of firms (Baseline 0)	15	56
Firms created in research spin-off (Baseline 0)	8	0			
Firms included in R&D activities (Baseline 200)	200	350			
Investment induced (€) (Baseline 0)	25 000 000	12 250 000			
Firms receiving risk capital funds (Baseline 0)	10	1	Number of projects adopting new financial tools (Baseline 0)	3	1
			N. of Projects related to the regional collateral system	3	0

#### Comments of the pilot region on the current indicator system:

- There is a trade-off between the accuracy of quantification of the target and the detail level programming. Some parameters (energy costs, technology costs, etc...) are highly "volatile".
- The average costs are not reliable instruments for setting targets in the field of incentives to companies given the high variability of aid modalities.
- Stakeholders are not sensitive to or interested in result indicators.

#### **Possible result indicator and intervention logic**

What do you want to change? (result)	Indicators	
Priority 1	Result Indicators	Output Indicators
<b>1) Enhance technological transfer to SME</b> Theory of Change: Level of innovation within the SME beyond R&D	<u>% regional firms introducing product and process innovations</u> Baseline (2006-2008) is 29.2 Target (2020): 40% Source: Istat	<u>N. of financed firms for technological transfer</u> Baseline 0 ; Target: 250 Source: Programme Monitoring  <u>Total expenditure for technological transfer (ROP ERDF+ private contributions)</u> Baseline 0 Target: M€ 100 Source: Programme Monitoring
<b>2) Promote R&amp;D</b> Theory of Change: The System capacity: University + SME + Public Actor	<u>No. academic regional spin off</u> Baseline (2008) 30 Target (2020) 60 Source : Università Politecnica delle Marche (osservatorio)  <u>Firms R&amp;D expenditure (% GDP)</u> Baseline (2003) is 0,28 Target (2009) is 0.35 Source: Istat  <u>Regional employment rate of graduated</u> Being a new indicator it is not possible to identify any baseline and targets.	<u>No. of Spin-offs supported</u> Baseline (2007) 0 ; Target 15 Source: Programme Monitoring  <u>No. of technical graduates involved in regional projects</u> Baseline: 0; Target (2020) 1000 Source: Programme Monitoring <u>No. of financed firms in R&amp;D projects</u> Baseline (2007): 0 ; Target: 120 Source: Programme Monitoring  <u>Total expenditure for R&amp;D (ROP ERDF + private contributions)</u> Baseline: 0; Target: M€ 80

<p><b>3) Promote accessibility to credit</b> Theory of Change: SME negotiating capacity with Bank system</p>	<p><u>Regional credit intensity</u> The indicator is measured by the ratio of the total bank investments over GDP. Baseline (2005) is 54.8 and Target (2020) is 70 Source: Istat and Bank of Italy</p> <p><u>Financing capacity</u> It refers to the difference of the regional financing rate with the Italian Centre-North average. Baseline (2005) is -0.1, Target is 0.4 (2020) Source: Istat and Bank of Italy</p>	<p><u>Total grant funds investments</u> Baseline (2007): 0 ; Target M€ 100 Source: Programme Monitoring</p> <p><u>Total grants funds</u> Baseline (2007): 0 ; Target (2020) M€ 20 Source: Programme Monitoring</p> <p><u>No. of granted firm</u> Baseline (2007): 0 ; Target (2020) 1000 Source: Programme Monitoring</p>
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### Conclusions of the pilot region:

- The present indicator system has already evolved in triggering results and context (evolution not revolution). The most important innovation was to re-shape the priority's articulation to achieve a sharper connection between indicator and policy change. This led to more concentration and more simplification of indicators.
- Data availability is a challenge!

### How could the contribution be evaluated?

An impact evaluation could identify the contribution of Structural Funds by comparing supported firms against non supported firms.

### Commentary and Learning

The Priority is associated with not one intended change but three specific intended changes. While the first two (Enhance technological transfer to SME; Promote R&D) are linked, the third (Promote accessibility to credit: SME negotiating capacity with Bank system) is of a different nature.

Some of the suggested result indicators (% regional firms introducing product and process innovations; Firms R&D expenditure (% GDP); Regional employment rate of graduated) are **reasonable** (they seem to be able to capture the change for beneficiaries and non beneficiaries); **normative** (having a clear and accepted normative interpretation); **robust** (reliable, statistically and analytically validated); **responsive to policy**; and **feasible**.

The current programme is already very close to a results based approach. So the shift to the new theory of change approach will be feasible and smooth. Nevertheless some difficulties could arise. For instance the Managing Authority has succeeded in the current programme to get indicator data from statistical sources either through publicly released data or through data delivered on the basis of a contract / agreement. But some result indicators could in the future require a specific research (e.g. survey).

## 6.8. Italy, Sardegna: Inclusion, Social Services, Education and Lawfulness Priority

**Priority Title & Objective:** Inclusion, Social Services, Education and Lawfulness. This priority promotes services and infrastructure aimed at reducing the risk of social exclusion and improving integration and non-discrimination among the local population. It will contribute to providing services to counter school drop-out and improve overall lawfulness and security. The total allocation is €161 million with an ERDF allocation of € 64 million.

### Comments of the pilot region on the current indicator system:

- Most of current result indicators do not fit into the new intervention logic. But some of the current context indicators could become result indicators.
- The current objective of the priority needs to be modified and focused on fewer intervention areas. As a result some interventions areas should be dropped.
- Sources, baselines and targets of result indicators are challenging issues.

Result Indicator	Target	Reported Achievement 2010	Output Indicator	Target	Reported Achievement 2010
Perceived risk of crime (Families who feel very or fairly uncomfortable with the risk of crime in their area of total households) (%). (Baseline 15.5%)	12	13.6	Pilot projects (Baseline 0)	5	10
Percentage of seniors receiving home care Integrated (ADI) in the total elderly population (65 years and over) (Baseline 1.1%)	3.5	0	Interventions (Baseline 0)	70	69
Percentage of municipalities that have enabled services for children (nursery schools or other innovative services and supplementary) of the total municipalities in the Region (Baseline 14.9%)	35	0	Involved students (Baseline 0)	39000	0
Percentage of facilities dedicated to educational and social value of the total schools surveyed in Region (Baseline 45)	60	0	Involved local public institutions (Baseline 0)	150	38

### Possible Result Indicator and Intervention Logic

New articulation of the priority: Accessibility to the health and social care system and Increasing attractiveness of education system and the skills of students

What do you	Indicators
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want to change? (result)		
Priority 2	Result Indicators	Output Indicators
<b>Enhancing the accessibility of facilities and services to the population within the health system</b>	<u>Name-1.1:</u> Waiting lists <u>Definition:</u> Reduction of time (days) for waiting for services with a high-tech equipment. <u>Source:</u> Regional plan of government waiting lists <u>Baseline:</u> 138	<u>Name-1.1:</u> High-tech equipment <u>Definition:</u> Number of High-tech equipment purchased. <u>Source:</u> Regional Department of Hygiene and health and social care <u>Target:</u> <i>To be defined</i>
	<u>Name-1.2:</u> Percentage of elderly receiving integrated home care in the total elderly population (65 years and over) <u>Source-1:</u> DPS-ISTAT <u>Baseline:</u> 2.3%	<u>Name-1.2:</u> Interventions made <u>Definition:</u> Number of houses of health built (Case della Salute). <u>Source:</u> Regional Department of Hygiene and health and social care <u>Target:</u> 11
	<u>Name-1.3:</u> Distance health infrastructure <u>Definition:</u> Average travel time to hospital services <u>Source:</u> Survey <u>Baseline:</u> <i>To be defined</i>	
	<u>Name-1.4:</u> Coverage rate - Disabled <u>Definition:</u> Percentage of disabled recipients of interventions in the total population with severe disabilities (Art. 3 co.3 L. 104/99). <u>Source:</u> Regional Department of Hygiene and health and social care <u>Baseline:</u> 0	
<b>Increasing the attractiveness of education system</b>	<u>Name-2.1:</u> Drop out rate <u>Definition:</u> Percentage of students who leave school in two years of “high school” (age 14 – 16). <u>Source:</u> Ministry of Education, University and Research. <u>Baseline:</u> <i>To be defined</i>	<u>Name-2.1:</u> Interventions of technological modernization <u>Definition:</u> Number of interventions of technological modernization. <u>Source:</u> Regional Department of Education, cultural, information, entertainment and <u>Target-2.1:</u> <i>To be defined</i>
		<u>Name-2.2:</u> Rate of dissemination of interventions on school buildings <u>Definition:</u> Share of school buildings equipped with space and materials for extracurricular activities. <u>Source:</u> Regional Department of Education, cultural, information, entertainment and <u>Target:</u> 13
<b>Improving student’s skills</b>	<u>Name-2.2:</u> Mathematical skills of students <u>Definition:</u> Percentage of 15 years old with up to the first level of competence in mathematics. <u>Source:</u> DPS-ISTAT. <u>Baseline:</u> 21	<u>Name-2.3:</u> Involved students <u>Definition:</u> Number of students actually using the new equipment. <u>Source:</u> Regional Dept of Education, culture, information, entertainment and sports <u>Target:</u> <i>To be defined</i>



## **Conclusions of the pilot region:**

### Strengths

- Clear definition of the link (causality) between objectives, activities and outcomes will allow planning aimed at measurable outcomes.

### Weaknesses

- Difficulty in identifying other contributory factors and costly to evaluate them
- Definition of targets.
- Difficulty in measuring the change using only one indicator.

### Opportunities

- Enhanced monitoring activities and to co-ordinate between regional statistics offices, management authorities and other areas of the administration.

### Risks

- Overemphasis on indicators rather than overall objective

## **How could the contribution be evaluated?**

Mainly through theory-based evaluation that could explain why the targets have been achieved or not. A counterfactual impact evaluation could be appropriate for the sub-priority “Improving students' skills” by comparing students using the new equipment against a group of students using old equipment.

## **Commentary and Learning**

There are three different dimensions of the change in the priority. While the two last “Increasing the attractiveness of education system” and “Improving student’s skills” are related, the third: “Enhancing the accessibility of facilities and services to the population within the health system” is a stand alone dimension. Therefore the new priority is not fully coherent.

While some result indicators such as: “Mathematical skills of students” for sub-priority “Improving student’s skills” or “Distance health infrastructure” for sub-priority “Enhancing the accessibility of facilities and services to the population within the health system” seem to be responsive to policy (new equipment for learning mathematics or new health houses built) the other result indicators (“Waiting lists”; “Percentage of students who leave school in two years of high school”) seem less responsive to policy.

In spite of the review of the programme in 2011 the priority and its result indicators do not yet reflect the new intervention logic. The Managing Authority is in favour of the new approach and ready to implement it in the next programming period. Nevertheless some difficulties could emerge in indicator sources, identifying baselines and setting targets.

## **6.9. Latvia: Promotion of Entrepreneurship**

*Since the pilot was carried out – in June 2012 – further reflection on the formulation and use of result indicators proceeded within the DG for Regional Policy and with Member States. In particular, result indicators should relate to the change needed in a region or sector. They should therefore go beyond solely the supported entities to reflect wider change to which the priority should contribute.*

*Therefore the result indicators proposed by the region would not conform to the requirements for future result indicators.*

The *Promotion of Entrepreneurship* priority of the Operational Programme "Entrepreneurship and Innovation" was considered for the purpose of the pilot. The total budget for the priority was EUR 127 367 393, of which EUR 76 980 000 from the ERDF. This represents 11% of the OP total financial allocation.

This priority aims to promote access to finance for business development by creating a system of financial instruments, which include guarantees, credits, venture capital and other financial instruments. The stated objective is:

*To promote the formation of new enterprises and to enhance the competitiveness of existing enterprises*

Two measures are implemented under the priority. The "Business support activities" measure facilitates access to international trade markets and attracts foreign investments as well as encouraging start-ups and promoting innovation for long-term development. The "Business infrastructure and improvements to equipment" measure enhances business competitiveness at the national and international level, as well as aiming to ensure business development in regions. The current indicators are presented below.

Result Indicator	Target	Reported Achievement 2010	Output Indicator	Target	Reported Achievement 2010	ERDF Allocation 2007-13 €M
The number of economically active enterprises supported in business incubators	82	244	Incubator space created	18000 m2	12,706,08	26 883 485
Improved turnover in supported enterprises 2 years after receipt of the investment	20%	95% (by the end of 2011)	The number of supported projects facilitating access to international trade markets	330	278	30 028 419
			The number of enterprises located in specially assisted areas which have been granted aid	360	67	20 068 096

The overall objective of the priority was defined too loosely. In particular, the priority stated a single overarching objective, rather than the two distinct objectives (i.e. promote the formation of new enterprises AND to enhance the competitiveness of existing enterprises). During the pilot it emerged that interventions – especially those targeting

existing enterprises in specially assisted areas – were meant to reduce economic disparities between regions, although this objective was not explicit.

The unclear definition of the priority objective(s) is reflected in the choice of indicators. Result indicators were not aligned with the change to be achieved and output indicators were not coherently accompanied by a series of clearly defined policy actions. As a demonstration, the output indicator "incubator space created" is the only one currently set for the priority "promotion of new enterprises". The output indicator "number of enterprises located in specially assisted areas which have been granted aid", counts the number of interventions in "specially assisted areas", although nowhere in the priority description is assistance in specific areas identified as one of the measures. Result indicators are also not clearly defined. The "number of economically active enterprises supported in business incubators" does not give a full account of the intention to promote the formation of new enterprises and is confusing on the concept of "active", as opposed to "non-active" enterprises. The second result indicator, "Improved turnover in supported enterprises" years after receipt of the investment does not entirely reflect the change that the priority is meant to achieve in terms of enhancing the competitiveness of existing enterprises.

For all the 5 indicators set, the baseline value was set at 0 in 2004. This make even more problematic to appreciate possible change and the performance of the activities put in place.

The overall priority suffers from a clear lack of concentration, where lots of different unrelated activities are dumped into the priority. In turn, these activities are not reflected in any specific indicator.

### Possible Result Indicator and Intervention Logic

What do you want to change? (result)	Indicators		Policy Action	ERDF Allocation
Priority 1	Result Indicators	Output Indicators		
to promote the formation of new enterprises	<b>Name:</b> active enterprises <b>Definition:</b> Total number of enterprises surviving , for at least 1 year after the incubator period <b>Source:</b> Commercial register <b>Baseline:</b> available <b>Target:</b> Increase in total number of active enterprises by X% comparing to prior year	<b>Name:</b> enterprises newly established in incubators <b>Definition:</b> Survival rate of graduated enterprises 1 year after leaving incubator <b>Source:</b> Commercial register <b>Baseline:</b> available <b>Target:</b> to be defined X%	Setting up and operating business incubators (2.3.2.1. Business incubators)	29 mEUR
		<b>Name:</b> Total percentage of potential entrepreneurs consulted <b>Definition:</b> Number of potential	Consulting and encouraging persons that are interested in establishing enterprises, assisting in carrying out a business plan	2,9 mEUR

		entrepreneurs consulted that have established enterprise 1 year after consultation received <b>Source:</b> Business plans of potential entrepreneurs, Commercial register <b>Baseline:</b> available <b>Target:</b> to be defined, X%	(2.3.1.2. Measure to encourage innovations and business start – up)	
to enhance the competitiveness of existing enterprises	<p><b>Name:</b> export performance <b>Definition:</b> Total amount of export form Latvia (supported sectors) <b>Source:</b> Central Statistical Bureau of Latvia <b>Baseline:</b> Available <b>Target:</b> Increase in export amount in Latvia in supported sectors by X% comparing to prior year</p> <p><b>Name:</b> foreign direct investments <b>Definition:</b> Total amount of foreign direct investments <b>Baseline:</b> Available <b>Target:</b> Increase in total amount of foreign direct investments by X% comparing to prior year</p> <p><b>Name:</b> Turnover of supported companies <b>Definition:</b> Increase of turnover in supported companies <b>Source:</b> State revenue service <b>Target:</b> Increase of turnover in supported companies by X% 1 year after support received</p>	<p><b>Name:</b> participating enterprises in international fairs <b>Definition:</b> Number of participating enterprises in international fairs <b>Source:</b> Number of agreements signed <b>Baseline:</b> available <b>Target:</b> to be defined</p> <p><b>Name:</b> potential investors consulted <b>Definition:</b> Percentage of investors consulted that have invested in Latvian companies <b>Source:</b> State Revenue Service, Commercial register <b>Baseline:</b> available <b>Target:</b> to be defined, X%</p> <p><b>Name:</b> Companies within the cluster <b>Definition:</b> Number of companies involved in cluster activity <b>Source:</b> Agreements signed (management information system) <b>Baseline:</b> available <b>Target:</b> 300</p>	<p>Support to participate in international fairs (2.3.1.1.1. Access to international trade markets – external marketing)</p> <p>Representation abroad for LV companies to do business (2.3.1.1.2. Access to international trade markets – strengthening of competitiveness of industry sector)</p> <p>Support of companies to implement activities within cluster programme (2.3.2.3. Cluster programme)</p>	<p>38,8 mEUR</p> <p>7 mEUR</p> <p>4,8 mEUR</p>
Decreasing regional disparities	<b>Name:</b> Territory development index	<b>Name:</b> enterprises supported in	Investment aid to enterprises in	45 mEUR

	<b>Definition:</b> Decrease in differences between of development indexes of regions in Latvia <b>Source:</b> Central Statistical Bureau <b>Baseline:</b> Available <b>Target:</b>	specially assisted areas <b>Definition:</b> Number of enterprises in specially assisted areas that have received support for improving competitiveness <b>Source:</b> Number of projects completed <b>Baseline:</b> available <b>Target:</b> 280	specially assisted areas (2.3.2.2. Co – financing to the investments in micro, small and medium – sized enterprises operating in the specially assisted areas)	
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### **Data sources for the result indicator(s), baselines and timeliness and regularity of availability**

For 2007 – 2013, data on output indicators is obtained from the project implementation reports. In several cases progress of output indicators can be determined by the number of agreements signed on project implementation.

Data to determine progress of result indicators is obtained using various sources:

- Commercial register
- Reports of Business incubators
- National Statistics
- Agreements with final beneficiaries (e.g. number of entities supported, amount of private co - financing)

The implementation of the new approach in Latvia would imply the use of additional sources – database of State Revenue Service since more specific data on performance of the companies is needed (e.g. information on turnover).

### **Intervention Logic:**

- Incubators: creating new enterprises that are active, and survive
  - Survival rate (1 year after leaving) of graduated enterprises / control group;
  - Number of enterprises established after consultation and assistance in designing business plan has been received.
- Competitiveness of enterprises in specific areas: supporting enterprises in specially assisted areas to improve their competitiveness
  - Turnover/profit/gross margin of enterprises supported.
- International fairs: participation leads to increased sales abroad
  - Data on turnover of participating companies comparing to not participating companies.

- Representation abroad: Representation of Latvian companies or sectors abroad leads to increase of foreign direct investments in these companies or sectors
  - Data on investments made in Latvian companies, by foreign investors that have received consultation on investment opportunities in Latvia (based on consultations provided in representation offices abroad data on shareholders of particular company or sector might be obtained from Commercial register);
  - Establishing clusters and participation leads to increased competitiveness (turnover);
    - Data on turnover of participating companies (whether it has increased since establishing a cluster – Commercial register)

### **How could the contribution be evaluated?**

A counterfactual evaluation (provided the possibility to establish a sufficiently wide control group) could identify the contribution of Structural Funds by comparing the performance and competitiveness of supported firms against non-supported firms.

### **What problems did the region raise during the pilot?**

During the discussion on possible indicators to set on the selected priority, problems were raised as to the difficulties in collecting statistical data. Availability of data needs to be well considered when implementing the new approach during the next planning period of 2014 – 2020. The majority of information has to be publicly available in order to simplify data obtaining process and not to increase administrative burden.

Concern was also raised about the possibility to perform reliable assessment of results during the implementation of the same programming period. Problems also emerged regarding the proper justification on allocation of funding for each of the measures against the indicators.

### **Commentary and Learning**

Both result and output indicators were reformulated to be associated with the newly stated objectives (results) and being able to capture the progress towards achieving the results (output). Specifically, also in the light of the current allocation of funds to the priority (of the OP Innovation and Entrepreneurship) the initial objective has been reformulated so as to consider 3 objectives for the priority:

- O1: to promote the formation of new enterprises;
- O2: to enhance the competitiveness of existing enterprises;
- O3: decreasing regional disparities;

In turn, indicators have been re-thought in order to reflect the progressive contribution of the action to undertake towards attaining the objectives set. Thus, three different result indicators were decided upon, one for each of the objectives articulating the overall priority:

- RI1: total number of active enterprises

- RI2: export performance, foreign direct investments, turnover of supported companies
- RI3: Territory development index

It should be noted, however, that RI2 would not conform to the Commission's recommendations for future result indicators.

Six different output indicators were maintained as appropriate to measure change and progress towards the expected results. Those are:

- Enterprises newly established in business incubators
- Total number of potential entrepreneurs consulted
- Number of participating enterprises in international fairs
- Number of potential investors consulted
- Number of companies involved in cluster activities
- Number of enterprises in specially assisted areas that have received support for improving competitiveness.

The third result indicator chosen to take stock of the "third objective" that articulate the overall priority should reflect variation in the value of a "compound index" (territorial index). However, the output indicator currently proposed to monitor the progress towards the desired change is somehow still too "distant" to allow for a full account of the situation. In this connection further reflexion is needed to improve the cogency of the relation between objective/desired-change/result indicator and output indicator(s).

### **Commentary on overall learning gained through the process and any implications to be reflected in guidance**

Since within the priority several activities are implemented and they significantly differ from each other, it was necessary to divide existing priority into 3 priorities according to the aims of existing activities. In several cases output indicators did not show the real output that the activity is contributing to achieve, and the result or aim of the priority (e.g. incubator space created).

The exercise of applying the new approach is a good start for changing the mind-set when reasoning and deciding on output and result indicators. It represents a good possibility to re-evaluate the current systemic approach in order to set relevant and appropriate indicators for the next programming period. More work is needed, however, to define result indicators which capture the change sought by the region in relation to this priority.

## **6.10. Poland, Pomorskie: SME Development and Innovation & Regional Transport System Priorities**

### **SME Development and Innovation**

This Priority Axis aims to increase the competitiveness and innovativeness of enterprises by:

- supporting creation and development of SMEs,

- developing innovative enterprises,
- improving the access of SMEs to capital,
- strengthening the entrepreneurship development system,
- creating efficient mechanisms to generate, transfer and commercialise innovation,
- supporting international activities of enterprises and improving investment attractiveness of the region.

The priority includes grants to micro-enterprises and SMEs to increase market potential (including exports) as well as to create jobs and innovation in companies. Special attention is paid to joint research and development initiatives of SMEs and science bodies. The priority also provides indirect financial support to SMEs through loan or guarantee funds and other financial instruments.

The priority also finances projects to provide information and specialist advisory services to SMEs based on a 'one-stop-shop' approach. Project beneficiaries are mainly business support organisations. Other activities are infrastructure projects to provide support for the development of innovative enterprises, e.g., technological parks and incubators as well as networks helping to transfer innovation from research and development to businesses. Finally, the programme supports projects promoting the economic attractiveness of the Region and helping Polish companies establish international business relations. The ERDF allocation is €180 million.

Result Indicator	Target 2015	Reported Achievement 2010	Output Indicator	Target 2015	Reported Achievement 2010
Number of SMEs using loan and guarantee funds (baseline: 374)	2000	No information	Number of projects: - providing direct investment support to SMEs (baseline: 0) * including projects with environmental objectives (baseline: 0)	1200 200	167 12
Added investment value generated in M€ (baseline: 0)	70	15,28			
Number of loans and guarantees given (baseline: 0)	2000	No information	- of business support organisations (baseline: 0)	40	No information
Number of jobs created (baseline: 0)	2100	452	- supporting co-operation between businesses and R&D sector (baseline: 0)	50	2
- women (baseline: 0)	1050	180			
- men (baseline: 0)	1050	273			
Number of enterprises receiving services from business support organisations (baseline: 0)	2500	No information	- promoting attractiveness of Region and supporting international activities of enterprises (baseline: 0)	30	1
			Number of enterprises supported		
			- micro (baseline: 0)	1000	103
			- small (baseline: 0)	150	65



			- medium (baseline: 0)	50	42
			Number of created and/or reinforced loan and guarantee funds (baseline: 0)	4	No information
			Number of SMEs receiving financial support for innovative projects (baseline: 0)	100	6

#### Priority Axis 4: Regional Transport System

This Priority Axis aims to improve the coherence and efficiency of the regional transport system as well as its connectivity with the national and trans-European systems by:

- improving, modernising and extending road and railway transport links between the most important centres of economic activity (including tourism) and population concentration in the region,
- increasing the competitiveness and accessibility of regional transport nodes.

The projects are expected to contribute to the socio-economic development of the region and its spatial cohesion. They should also lead to improved transport safety. The ERDF allocation is € 222 million.

Result Indicator	Target	Reported Achievement t 2010	Output Indicator	Target (2015)	Reported Achievement 2010
Time saving (in monetary terms: €/year) on newly built and/or reconstructed roads (baseline: 0)	17.547.103	239.603	Number of projects: - roads (baseline: 0)	30	6
			- rail (baseline: 0)	10	No information available
Time saving in minutes on reconstructed railways (baseline: 0)	120	No information	- transport nodes (baseline: 0)	5	2
			Km of roads built and/or reconstructed (baseline: 0)	160	21
			Km of railways built and/or reconstructed (baseline: 0)	170	No information available

- The objectives of both priorities are broadly defined and it is difficult to establish one single result indicator to capture various dimensions of change.
- Some confusion in the objective definitions has been identified (e.g., micro-enterprises are also covered by Priority Axis 1 not only SMEs).

- The current system of result indicators does not reflect the change the Programme is intended to bring about and the indicators are not close to policy action.
- The indicator system is complex, often overloaded and, therefore, difficult to communicate with various stakeholders.

### Possible Result Indicator and Intervention Logic

What do you want to change? (result)	Indicators	
	Result Indicator	Output Indicator
Priority Axis 1: SME Development and Innovation: More SMEs generating long-term jobs	Growth of employment in SME sector (%) Data source: National Statistical Office Baseline: available Target: to be defined – % range	Number of SMEs receiving financial support  Data source: Managing Authority Baseline: 0 Target: to be defined
Priority Axis 4: Regional Transport System: Increased capacity of regional passenger railway system	Growing number of users in regional railway transport (%) Data sources: to be clarified (not measured by regional statistics) Baseline: not available yet Target: to be defined - % range	Total length of reconstructed or upgraded railway lines (km) Data source: beneficiaries Baseline: 0 Target: 170 km

Result indicators do not provide an answer impact since other factors can influence changes in values over time. Therefore, impact evaluation would be necessary to estimate the contribution of the policy actions to the reported result (for example, by comparing supported firms against non supported firms under Priority 1). Qualitative assessment would be more appropriate to establish a contribution of the Programme to an increased use of the regional transport system under Priority 4.

Based on the intervention logic – as defined in the current programme - it was not possible to apply the current result-based approach to indicators. The participants of this pilot exercise decided to redefine the programme logic and tried to identify implicit needs and challenges under two selected priorities as well as reflect on what the corresponding objectives (expressed as desired results) and indicators could be.

### Commentary and Learning

The result indicator: 'growth of employment in SME sector' reflects a real change the programme - implicitly - aims to generate under Priority 1 and corresponds to the development needs of the region. This change, however, is not explicitly reflected in the current formulation of objectives. A very low level of employment persists in the regional labour market, both compared with the EU and national average. It creates a real challenge for the regional economy that needs to be addressed. SMEs play a key role in the regional economy and are main sources of employment creation. However, their development potential is quite limited, due mainly to barriers in the access to capital.

The result indicator: 'growing number of users in regional railway transport' expresses a desired change the programme should really bring about. The region faces a low integration of the public transport systems, especially for railways (low level of regional railway network, long travel times and poor accessibility of some parts of the Region to economic and tourist centres). Increasing the mobility is a prerequisite for improved

conditions within the labour market and education sector and a well-functioning railway system can provide a major contribution in this context.

The current programme and its indicator system do not reflect the new results-based approach. This approach requires strategic choices to be made during the programming process and a greater concentration on a limited number of objectives.

A review of the existing data sources (including statistics) has been carried out with a conclusion that regional statistics are not always ready to support the new result-based approach. However, the existence or otherwise of certain data should not be a determining factor for selecting policy objectives and defining policy actions.

### **6.11. Romania: Regional Operational Programme**

The stated objectives of the Regional Operational Programme (ROP) 2007-2013 are to build on regional needs and potentials to promote regional development and to prevent further widening of disparities between the eight Romanian regions. The socio-economic analysis covers the situation of each region; however, the SWOT analysis is common to all regions. The programme does not take into account the specificities of the different regions in its Priority Axes. Apart from the first Priority Axis dealing with growth poles, all the other priorities are organised around sectors such as transport, SMEs, etc..

The Managing Authority proposed to work on its Priority Axis: "Improvement of social infrastructures" for the pilot. The objective of this priority is "to create the premises for better access to essential services". The rationale is that better health, qualification levels and participation in the labour market should lead to stronger regional economic development and an increased attractiveness of regions.

"Better access" is seen both as an increase of the quality and a wider access to the services (by a remote population or socially deprived groups). Other factors are mentioned (poverty, cost, availability of transports...) among which the programme focuses on infrastructure and their territorial distribution. However, the programme did not analyse how other policies or programmes would address the other factors: it refers only to national plans, making it difficult to judge the overall intervention logic and its complementarities with public interventions.

#### **ROP logical framework**

The priority under review includes 8 result indicators, not really reflecting its objective (improved quality and access to social services). Except for the two concerning emergency mobile services (average response time of mobile units), these indicators cover the number of persons benefitting from the rehabilitated or equipped infrastructure. We do not know if these persons are newcomers (due to a better distribution/accessibility of services) or if the quality of services really increased (improved infrastructure is only a prerequisite). Furthermore, no baseline was provided for any of these indicators which thus cannot measure the change sought by the programme.

These indicators do not capture the territorial dimension either. While the ROP annual report includes a regional breakdown of the indicator values, this does not give an idea of the achievements compared to the needs (regions' needs and baseline situations are not similar). Two transversal indicators are designed at programme level: "job creation" and an "index of disparity" of development amongst the Romanian regions. Again, these indicators do not reflect achievements against each region initial situation (and such

transversal indicators will not be allowed by the EU Regulation for the next generation of operational programmes).

### Priority Axis 3 – Improvement of social infrastructure

Priority Axis 3 - Improvement of social infrastructure	Output indicators	Result indicators
Rehabilitation, modernization and equipping of the health services' infrastructure.	Number of rehabilitated / modernized equipped health care units by finalized projects Source: ROP Monitoring System -SMIS	Persons benefiting from the rehabilitated /equipped health care infrastructure (no/day) Source: survey Target: 30000 No Baseline
Rehabilitation, modernization, development and equipping of social services' infrastructure	Number of rehabilitated / modernized / extended equipped social services infrastructure by finalized projects Source: ROP Monitoring System -SMIS	Persons benefiting from the rehabilitated /extended/ equipped social services infrastructure (no) Source: survey Target: 10000 No Baseline
Improving the equipment of operational units for public safety interventions in emergency situations	Number of mobile units equipped for emergency interventions purchased by finalized projects Source: ROP Monitoring System -SMIS	Average response time of mobile units in rural localities (communes) - infrastructure for emergency situations (min) Source: Survey Target: up to 12' in rural area No Baseline  Average response time of mobile units in urban localities (towns) - infrastructure for emergency situations (min) Source : Survey Target: up to 8' in urban area No Baseline
Rehabilitation, modernisation, development and equipping of pre-university, university education and continuous vocational training infrastructure	Number of rehabilitated/ modernised equipped educational units - pre- university education infrastructure by finalised projects Source: ROP Monitoring System -SMIS  Number of rehabilitated/ modernised equipped campuses pre- university educational infrastructure by finalised project Source: ROP Monitoring System -SMIS  Number of rehabilitated/ modernised equipped centers for continuous vocational training (CVT) by finalised project Source: ROP Monitoring System -SMIS  Number of rehabilitated/ modernised equipped university campuses- university education infrastructure by finalised project Source: ROP Monitoring System -SMIS	Pupils benefiting from the rehabilitated /modernized /extended/equipped pre-university education infrastructure (no) Source: Ministry of Education, Research and Youth/Surveys Target: 40000 No Baseline  Disadvantaged children benefiting from the rehabilitated/modernized/extended/equipped educational units - pre-university (no) education infrastructure Source: Ministry of Education, Research and Youth/Surveys Target: 5000 No Baseline  Persons benefiting from the rehabilitated/modernized / extended /equipped infrastructure for continuous vocational training (CVT) (no) Source: Ministry of Education, Research and Youth/Surveys Target: 3000 No Baseline  Students benefiting from the rehabilitated/ modernized /extended university campuses (no) Source: Ministry of Education, Research and Youth/Surveys

		Target: 2000 No Baseline
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The Managing Authority recognised that this axis covered different sectors with different objectives the results of which cannot be aggregated even if their units are similar (number of persons for most). They also acknowledged that too many themes were covered, in particular within a small programme like the ROP.

When designing the ROP, the different concerned ministries could not reach an agreement on how to coordinate their activities. This explains that the complementarity between the ROP activities (infrastructure and equipment) and the projects' operations was not sufficiently taken into account, with the risk that equipment is in place without an expertise or the right regulatory framework to use them properly. This risk was strengthened by result indicators focussing on the immediate results of the intervention (improved equipment) rather than on the actual goal of the Priority Axis 3 (better social services to citizens) which thus remain "out of the focus" of the programme implementers.

### **The Proposed New Logical Framework**

The new Priority Axis includes three sub-priorities instead of four (covering health and emergency services/ social services/education) and titles for each reflect what the programme wants to change. For each sub-priority, 3 result indicators are designed: for the next period, we should aim at only 1 per sub-priority in order to limit the number of result indicators to 2-3 maximum per priority).

The titles of the result indicators now indicate a change (an increase or a reduction). However two (increase in share of schools reported with improved and modernized infrastructure, increase in number of computer per student) reflect better the output of the activities than the intended result (improved quality and access to services).

Setting baselines is a problem due to the lack of data and the difficulty to access data owned by other ministries. Setting targets seems also challenging, in particular taking into account the possible influence of other factors (e.g. target such as an increase in student skills). The new regulation allows for qualitative targets (trends in this case) which could help setting targets for results influenced by multiple factors. However, programmes need to select the factors they can significantly influence to achieve their goal and to focus result indicators on the most important expected effect (result indicators are not supposed to cover all the intended effects of a programme).

### **Priority Axis 3 – Improvement of social infrastructure**

What do you want to change? (result)	Result indicator (How do you measure the planned change?)	Output indicator (Which actions will bring the planned change about)
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<p>Making medical care infrastructure / equipment and emergency services reaching the EU average level and increasing accessibility of medical care assistance</p>	<p>Increased share of medical units reported with adequate facilities Definition: the share of medical units with adequate<sup>9</sup> facilities in total number of health care units is growing. Source: Ministry of Health Baseline: to be defined</p> <p>Reduction of average distance to health infrastructure Definition: reduction of the average distance (km) to health infrastructure before and after the intervention (percentage) Source: Ministry of Health/surveys Baseline: to be defined</p> <p>Average response time of mobile units in urban and rural localities (communes) Definition: reduction of the average response time of mobile units before and after the intervention (percentage) Source: Ministry of Health/surveys Baseline: to be defined</p>	<p>Number of rehabilitated/modernized/equipped health care units Source: ROP Monitoring system Target: 53</p> <p>Name 1.2: Number of persons benefiting from the rehabilitated /modernized/equipped health care infrastructure Source: ROP Monitoring system/survey Target: 30.000</p> <p>Name 1.3: Number of mobile units equipped for emergency interventions Source: ROP Monitoring system Target: 510</p>
<p>Improving the quality and access to social services infrastructure</p>	<p>Increased level of satisfaction of assisted persons Definition: target group perception of whether project interventions influenced the quality of their life in a positive, neutral or negative way Source: surveys on a sample of assisted persons Baseline: to be defined</p> <p>Reduction of average response time to social infrastructure Definition: reduction of the average response time to social infrastructure before and after the intervention (percentage) Source: surveys Baseline: to be defined</p> <p>Increased share of disabled benefitting from the assistance Definition: increase of percentage of disabled recipients of assistance in total population assisted Source: surveys Baseline: to be defined</p>	<p>Number of rehabilitated / modernized /extended equipped social services infrastructure Source: ROP Monitoring system Target: 270</p> <p>Number of persons benefiting from the rehabilitated /extended/ equipped social services Source: ROP Monitoring system/survey Target: 10.000</p>

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<sup>9</sup> physical infrastructure & equipments at European standards

<p>Improving the quality and access to educational infrastructure</p>	<p>Increased share of schools reported with improved and modernized infrastructure (by school level)  Definition: the share of schools with improved and modernized physical facilities 10 in total number of schools is growing.  Source: The Ministry of Education, Research, Youth and Sport  Baseline: to be defined</p> <p>Increase the number of computer per student  Definition: increased number of computers for the same number of students, after the intervention  Source: The Ministry of Education, Research, Youth and Sport  Baseline: to be defined</p> <p>Reduction of average distance to educational infrastructure  Definition: reduction of the average distance(km) to educational infrastructure before and after the intervention (percentage)  Source: surveys  Baseline: to be defined</p>	<p>Number of rehabilitated / modernized /equipped educational units infrastructure  Source: ROP Monitoring system  Target: 210</p> <p>Number of new computers and other information and communication technology (ICT) for use of pupils/students/persons in supported institutions  Source: The Ministry of Education, Research, Youth and Sport  Target: to be decided</p>
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## Commentary and Learning

- The most difficult issue during the exercise was to capture the intended change and to express it clearly in the title of the priorities.
- Selecting the factors that the priority should influence and the definition of result indicators from the view of the new approach proved very useful in terms of trying to identify the most relevant results reflecting the intended change. Keeping with a reduced number of indicators is also a challenge.
- The effort to set baselines and targets of result indicators should not be neglected. Statistics are important, but other information sources should be considered too.
- Emphasizing the territorial dimension will be considered in the next programming period, as the allocations will be differentiated by region for each priority, according to the regional needs. Result indicators will be established at the level of each priority and region. The availability of data to establish baselines and targets for result indicators at regional level may be an issue.
- Ensuring a logical link between objectives, priorities and results will provide a clear foundation to judge the impact of programme interventions, based on the change of results, which are more concrete and measurable in the new intervention logic.

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<sup>10</sup> Educational infrastructure: buildings, grounds, furniture and apparatus along with equipment essential for imparting education

## 6.12. Slovakia: Regional Operational Programme

The first priority chosen for the pilot is Infrastructure of social services, social-legal protection and social guardianship. Its objective is to increase the scope and quality of social services. The original ERDF budget was EUR 230 million but was decreased to EUR 211 million (13.6% of OP) in the revised OP in August 2011. At the time of the revision, 80% of priority was committed to approved projects. The remaining ERDF was EUR 37 million. As it was revised, the OP changed quite significantly and the new version includes a sub-priority for deinstitutionalization.

The priority contains 5 main output indicators (2 old and 3 new) and 1 result indicator. The AIR contains the same indicators. The indicators are over-driven by the core indicators and in fact do not reflect the objectives of the priority. In discussions during the pilot, it became evident that there were in reality 4-5 distinct sub-priorities in this priority all with different objectives which could not be reflected in one result indicator. Because the indicator choice for the revised programme was driven by the list of core indicators rather than the objectives of the sub-priorities, the indicators do not reflect the intended change sought by the programme (e.g. energy efficiency as impact indicator for deinstitutionalization instead of increase in the number of children or other target groups in community based care).

Result Indicator	Target	Reported Achievement 2010	Output Indicator	Target	Reported Achievement 2010
Number of new and higher quality services provided in the supported facilities of the social infrastructure	400	0 finished 804 contracted	Number of technically valorised facilities of the social infrastructure	80	83 contracted
			Number of new built-up facilities of social infrastructure	45	42 contracted
			Number of technically valorised facilities or new built-up community centres in order to enhance the MRC social inclusion	50	To be implemented in 2012 - 2015
			Number of supported pilot deinstitutionalisation projects	20	To be implemented in 2012 - 2015
			Thermally insulated area	300 000 (square metres)	0 finished 290 482 contracted

The second priority chosen for the pilot exercise is Regeneration of Settlements. Its objective is to increase competitiveness of settlements and increasing the quality and safety of public spaces. With the OP revision in 2011, the budget and the indicators of this priority were modified. The original ERDF budget of EUR 478,4 million was



increased to 510,6 million (33% of OP). The revised priority includes supporting housing infrastructure as separate activity.

The priority contains 5 output indicators (3 old and 2 new) and 3 result indicators. The same indicators are in AIR. In discussions during the pilot, it became evident that there was not a clear and shared understanding of the meaning of "a competitive settlement". Does it refer to competitiveness among individual settlements? What precisely would a more competitive settlement look like? Would it be one with more inhabitants, with more economic activity? As in the first case, the indicators are over-driven by the core indicators and, again, the priority could be broken down into 4-5 distinct sub-priorities with different objectives. The indicators, therefore, do not capture the objective of the priority.

Result Indicator	Target	Reported Achievement 2010	Output Indicator	Target	Reported Achievement 2010
Percentage of settlements with increased competitiveness of the total number of settlements identified as cohesion and growth poles in assisted territory	50	52,75	Number of projects aimed at the support of housing infrastructure	50	To be implemented in 2012 - 2015
Number of new and improved services provided in supported facilities of non-commercial rescue services	200	22 finished 540 contracted	Number of projects for settlements regeneration directly aimed at improving the situation of marginalized Roma communities	50	0
Percentage of population living in more competitive environment through interventions into regeneration of settlements	40	0,38 finished 52,58 contracted	Number of supported development documents	14	To be implemented in 2012 - 2015
			Thermally insulated area (for civil infrastructure)	200 000	67 144
			Thermally insulated area (for supported residential houses)	150 000	To be implemented in 2012 - 2015

### Possible Result Indicators and Intervention Logic

- The priority *Infrastructure of social services, social-legal protection and social guardianship* is divided into two priorities and the priority *Regeneration of settlements* into four priorities, reflecting the different objectives incorporated into each priority. This division allows in both cases a better identification and definition of the indicators related to them. The attention was put on the real objectives of the priorities rather than horizontal issues like energy efficiency and equal opportunities.

- The priority referring to Roma is more relevant but the result indicator is very similar to the expression of the objective and it is difficult to understand precisely what would be measured. A clearer link to a Roma inclusion strategy should be established for result indicators referring to Roma-relevant priorities, if possible.
- The difficulty of articulating the intended effect of "Improving regional strategies" and measuring this was discussed. If such actions are not continued in the future there will be no need to define a result indicator.

What do you want to change? (result)	Indicators	
	Result indicator (How do you measure the planned change?)	Output indicators (Which actions will bring the planned change about?)
<p><u>Priority 4a</u> Revitalization of central zones of settlements</p> <p>To increase attractiveness and quality of life in settlements</p>	<p><i>Name:</i> Increase of the index of economic activity in supported settlements</p> <p><i>Definition:</i> Increase economic activity as a result of more intensive contacts in the central zones of supported settlements<sup>11</sup></p> <p><i>Source:</i> study / survey on a sample of supported settlements and a control group of not supported settlements</p> <p><i>Baseline:</i> unknown (a study should have been done in 2007)</p> <p><i>Name:</i> Percentage of target group's affirmative perception of the link between project interventions and the quality of their life</p> <p><i>Definition:</i> Target group perception of whether project interventions influenced the quality of their life in a positive, neutral or negative way.</p> <p><i>Source:</i> public surveys on a sample of inhabitants in supported settlements and a control group of not supported settlements</p> <p><i>Baseline:</i> 0 (2007)</p>	<p><i>Name:</i> Number of new and improved services</p> <p><i>Definition:</i> Number of new and improved services and infrastructure components located in central zones of a settlement developed from the project investment (public greenery and parks, riverside banks and small bridges, public toilets, public playground, parking site, public venue, public WIFI zone, etc. excluding local roads and cycle tracks)</p> <p><i>Source:</i> projects</p> <p><i>Target:</i> 2200</p> <p><i>Name:</i> km of reconstructed roads and cycle tracks</p> <p><i>Definition:</i> km of reconstructed local roads and cycle tracks adjacent to central zones of a settlement developed from the project investment</p> <p><i>Source:</i> projects</p> <p><i>Target:</i> 400</p>

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<sup>11</sup> "Economic activity" represents measurable and emotional indicators that assess quality and efficiency of business conditions and outcomes. It consists of two pillars. The first is the economic environment, which mainly covers the indicators describing the conditions for business and infrastructure. The second pillar are economic outputs that represent measurable performance indicators of the business sector (methodology of the Slovak Entrepreneurs' Alliance – PAS)

<p><u>Priority 4b</u> Revitalization of settlements with marginalized Roma population</p> <p>To increase quality of life and social inclusion of Roma</p>	<p><i>Name:</i> Increase of the index of social inclusion of Roma  <i>Definition:</i> Increase of the level of social inclusion of Roma population in supported settlements in the fields of school attendance, employment and community activities participation.  <i>Source:</i> study / survey on a sample of Roma in supported settlements and a control group of Roma living in not supported settlements  <i>Baseline:</i> unknown (a study should have been done in 2007)</p> <p><i>Name:</i> Percentage of target group's affirmative perception of the link between project interventions and the quality of their life  <i>Definition:</i> Target group perception of whether project interventions influenced the quality of their life in a positive, neutral or negative way.  <i>Source:</i> public surveys on a sample of inhabitants in supported settlements and a control group of not supported settlements  <i>Baseline:</i> 0 (2007)</p>	<p><i>Name:</i> Number of new and improved services  <i>Definition:</i> Number of new and improved services and infrastructure components located in a Roma settlement developed from the project investment (riverside banks and small bridges, public toilets, public playground, public WIFI zone, etc. excluding local roads)  <i>Source:</i> projects  <i>Target:</i> 300</p> <p><i>Name:</i> km of reconstructed roads  <i>Definition:</i> km of reconstructed local roads in a Roma settlement developed from the project investment  <i>Source:</i> projects  <i>Target:</i> 50</p>
<p><u>Priority 4c</u> Improving quality and availability of housing stock</p> <p>To increase energy efficiency of housing stock and social inclusion of Roma</p>	<p><i>Name:</i> Increase of the index of social inclusion of Roma  <i>Definition:</i> Increase of the level of social inclusion of young Roma families in supported settlements in the fields of school attendance, employment and community activities participation.  <i>Source:</i> study / survey on a sample of Roma families in supported settlements and a control group of Roma families in not supported settlements  <i>Baseline:</i> unknown (a study should have been done in 2007)</p> <p><i>Name:</i> Increased energy efficiency  <i>Definition:</i> Increased energy efficiency of regenerated multifamily houses  <i>Source:</i> projects  <i>Baseline:</i> 0 (2007)</p>	<p><i>Name:</i> Number of newly built housing units in multifamily houses  <i>Definition:</i> Number of newly built multifamily housing units targeting at social inclusion of young Roma families  <i>Source:</i> projects  <i>Target:</i> 180</p> <p><i>Name:</i> Number of reconstructed housing units in multifamily houses  <i>Definition:</i> Number of reconstructed housing units in multifamily houses in urban areas  <i>Source:</i> projects  <i>Target:</i> 1000</p>

<p><u>Priority 4d</u> Improving regional strategies</p> <p>To develop regional plans to be used in regional development and strategic planning</p>	<p><i>no result indicator</i></p>	<p><i>Name:</i> Number of strategies and documents  <i>Definition:</i> Number of strategies and documents developed, elaborated or updated from the project investment  <i>Source:</i> projects  <i>Target:</i> 21</p>
<p><u>Priority 4e</u> Regeneration of rescue services stations</p> <p>To improve quality of rescue services operability<sup>12</sup></p>	<p><i>Name:</i> Increased population safety index (%)  <i>Definition:</i> Decreased number of deaths and amount of property damage  <i>Source:</i> Ministry of Interior?  <i>Baseline:</i> Ministry of Interior? (2007)</p> <p><i>Name:</i> Rescue services ranking  <i>Definition:</i> Ranking of Slovakia in an international database of rescue services  <i>Source:</i> Ministry of Interior?, an international database?  <i>Baseline:</i> Ministry of Interior? an international database? (2007)</p>	<p><i>Name:</i> Number of regenerated rescue services stations  <i>Definition:</i> Number of rescue services stations regenerated from the project investment  <i>Source:</i> projects  <i>Target:</i> 145</p> <p><i>Name:</i> Number of new and improved services  <i>Definition:</i> Number of new and improved services developed from the project investment (computer and other ICT equipment, SW, training rooms, toilets, etc.)  <i>Source:</i> projects  <i>Target:</i> 300</p>
<p><u>Priority 2a</u> Supporting pilot projects of deinstitutionalisation of existing social services facilities and deinstitutionalisation of existing facilities of social and legal protection of children and social guardianship</p> <p>To improve quality of life of social welfare and childcare users through deinstitutionalization of existing social infrastructure</p>	<p><i>Name:</i> Increase of the percentage of users benefitting from deinstitutionalized social infrastructure  <i>Definition:</i> Share of users benefitting from new and improved services provided in the supported facilities of social infrastructure at the total number of users of social infrastructure  <i>Source:</i> most actual statistics of the Ministry of Labor, social affairs and family  <i>Baseline:</i> most actual statistics of the Ministry of Labor, social affairs and family<sup>13</sup></p> <p><i>Name:</i> Increase of the percentage of social welfare and childcare users satisfied with the quality of their life</p>	<p><i>Name:</i> Number of new and improved services  <i>Definition:</i> Number of new and improved social services and social and legal protection of children and social guardianship measures provided to the users in the facilities of social infrastructure  <i>Source:</i> projects  <i>Target:</i> 40</p> <p><i>Name:</i> Number of deinstitutionalized social infrastructure facilities  <i>Definition:</i> Number of supported existing social services facilities and facilities of social and legal protection of children and social guardianship  <i>Source:</i> projects  <i>Target:</i> 20</p>

<sup>12</sup> Note on other possible result indicators in this field: **Increased range of population covered** – Range will not increase due to ROP interventions because the whole SVK is divided into operation regions; or **Shorter time until intervention** – Time will not improve mainly due to ROP interventions because ROP supports stations not vehicles.

<sup>13</sup> Ministry of Labour will provide data on facilities deinstitutionalized outside ROP interventions, so we will be able to define and analyze the real ROP contribution.

	<p><i>Definition:</i> Increase of the percentage of social welfare and childcare users satisfied with the quality of their life</p> <p><i>Source:</i> comparative case study / survey on a sample of users of supported facilities and a control group of users of not supported facilities</p> <p><i>Baseline:</i> unknown (a study should have been done also in 2007)</p>	
<p><u>Priority 2b</u> Supporting community centres focused on strengthening social inclusion</p> <p>To increase social inclusion of Roma</p>	<p><i>Name:</i> Increase of the index of social inclusion of Roma</p> <p><i>Definition:</i> Increase of the level of social inclusion of Roma population in supported settlements in the fields of school attendance, employment and community activities participation.</p> <p><i>Source:</i> study / survey on a sample of Roma in supported settlements and a control group of Roma living in not supported settlements</p> <p><i>Baseline:</i> unknown (a study should have been done in 2007)</p> <p><i>Name:</i> Increase of the percentage of Roma population participating in community activities</p> <p><i>Definition:</i> Increase of the percentage of Roma population living in settlements with supported community centers who participate in activities performed by the supported community centers</p> <p><i>Source:</i> projects</p> <p><i>Baseline:</i> projects (2007)</p>	<p><i>Name:</i> Number of new and improved services</p> <p><i>Definition:</i> Number of new and improved services provided to the users in the supported community centres</p> <p><i>Source:</i> projects</p> <p><i>Target:</i> 150</p> <p><i>Name:</i> Number of supported community centres</p> <p><i>Definition:</i> Number of supported community centres</p> <p><i>Source:</i> projects</p> <p><i>Target:</i> 50</p>

### Commentary and Learning

- If before the exercise the indicators seemed over-driven by the core indicators and responding only to the national policy trend, post exercise they reflect better the change sought.
- The surveys, as relevant data sources, should be taken into consideration, where appropriate. However, in designing any future programme, it would be important to concentrate resources and this would reduce the need for a proliferation of surveys which would be costly.
- The indicators are in general appropriate but could benefit from more precision; they could be simpler.

- Due to the complexity of the programme and novelty of the exercise, it was a challenge to identify the relevant indicators. However, much progress was made during the pilot and it should be easier to select indicators in the context of programme design rather than trying to develop them ex post.

### **6.13. Slovakia, Competitiveness and economic Growth: Innovation and Growth of Competitiveness Priority**

The objective of the priority is to increase competitiveness of industry and services through innovation. The budget of the priority is EUR 437 million (ERDF).

There are 4 output indicators and 4 result indicators - 8 in total 2 of them broken down by gender. There are 14 indicators in AIR. Selected output and result indicators are core indicators. The indicators are not aligned with the priority activities (focused on jobs creation rather than productivity through innovation). Logically, the two impact indicators should have been result indicators. The logic of intervention is not evident. The priority is in reality 3 priorities and the indicators do not reflect the programme objectives.

Result Indicator	Target	Reported Achievement 2010	Output Indicator	Target	Reported Achievement 2010
Jobs created as results of projects (core)	9000	251	No. of supported projects	1100	424
Jobs created for disadvantaged groups as results of projects	80	13	Number of projects – direct investment aid to SMEs (core)	1000	378
Jobs created as results of projects in SMEs (core)	6700	251	Number of RTD projects (core)	300	26
Investment induced (core)	220	256,6	Number of start-ups supported (core)	250	96

#### **Possible Result Indicator and Intervention Logic**

The data sources are still subject to further analysis. The priority was split in two logical priorities more aligned with the objectives of the OP.

- Increase R&D potential of Slovak enterprises – has two relevant result indicators, which follow the logic of the outputs.
- Improving the business environment – the effect is well captured through the indicator "the survival rate of the SMEs funded"

What do you want to change? (result)	Indicators	
	Result indicator	Output indicators

<p>Priority 1: <b>Increase R&amp;D potential of Slovak enterprises, especially SMEs (Slovak companies, especially SMEs are not investing enough in R&amp;D and have low ratio of patent applications)</b></p>	<p><b>Name:</b> Business enterprise expenditure on R&amp;D <b>Definition:</b> Yearly business enterprise expenditure on R&amp;D <b>Source:</b> Statistical office/Eurostat <b>Baseline:</b> 0,2 (2009)</p> <p><b>Name:</b> PCT patent applications per billion GDP <b>Definition:</b> Number of PCT patent applications per billion GDP <b>Source:</b> Statistical office/Eurostat <b>Baseline:</b> 0,4 (2009)</p>	<p><b>Name:</b> Supported R&amp;D projects in SMEs <b>Definition:</b> Number of R&amp;D projects cofinanced from SF <b>Source:</b> National monitoring system <b>Target:</b> 400</p> <p><b>Name:</b> Enterprises investment in own R&amp;D activities induced <b>Definition:</b> Own cofunding of R&amp;D projects by enterprises <b>Source:</b> National monitoring system <b>Target:</b> 300 mil. Eur</p> <p><b>Name:</b> Number of patent applications <b>Definition:</b> Number of R&amp;D projects cofinanced from SF <b>Source:</b> National monitoring system/Industrial Property Office <b>Target:</b> 200</p>
<p>Priority 2: <b>Improving the business environment (Slovakia has the constantly increasing death rate of businesses - 2nd highest in Europe in 2009, especially due to the lack of funding for start-up SMEs)</b></p>	<p><b>Name:</b> Survival rate of start-up SMEs <b>Definition:</b> Number of start-up SMEs continuing in business activities after 2 years of existence <b>Source:</b> Statistical office/Eurostat, Business reports on SMEs <b>Baseline:</b> 65 % (2009)</p>	<p><b>Name:</b> Number of funding facilities <b>Definition:</b> Number of financial instruments created to support start-up SMEs and provide microfinance <b>Source:</b> National monitoring system <b>Target:</b> 3</p> <p><b>Name:</b> Number of SMEs supported <b>Definition:</b> Number of SMEs receiving funding from funding facilities <b>Source:</b> National monitoring system <b>Target:</b> 4 000 (depending on financial engineering instrument)</p>

## Commentary and Learning

The exercise follows the new logical framework: the notion of result was implicit in the priority before the exercise but it was confused and the intervention logic was not clear. Following the new logic, the new result indicators are specific to each priority and capture the change sought.

### 6.14. Spain, Galicia: Development of the Knowledge Based Economy Priority

*“With this priority, Galicia is choosing to become a knowledge-based society by creating new scientific and technological infrastructures, and by reinforcing the competitiveness of its businesses through the promotion of research and technological development (RTD), business innovation and the dissemination of ICT.*

*Particular attention is paid to the transfer of technologies and the improvement of cooperation networks between small and medium-sized enterprises (SMEs), and between SMEs and other businesses, universities, colleges, the regional authorities, research centres, and centres of science and technology.”*

ERDF Allocation : € 213 839 142 ; Total Public Contribution: € 267 298 934

In the current priority there are 19 strategic indicators (a mix of context and result indicators) and 20 operational indicators (mainly output indicators). The table below presents some of these.

Result Indicator	Target	Reported Achievement 2010	Output Indicator	Target	Reported Achievement 2010
% of expenditure in RTD / GDP Baseline: 0.88	1.87	0	Number of RTD projects Baseline: 0	4733	604
Number of patents / million of inhabitants Baseline: 2.1	5.58	0	Number of cooperation projects enterprises – research institutions Baseline: 0	1824	204
Number of patents in environmental matters / million of inhabitants Baseline: 0	0.74	0	Number of beneficiary research centres Baseline: unknown	144	13
% of expenditure in RTD by companies / total expenditure in RTD Baseline: 43.44	50	0	Number of newly created research centres Baseline: 0	6	0
% of small enterprises (> 10) connected to broadband Baseline: 83.22	90.15	0	Number of ICT projects Baseline: 0	2100	43
% of households connected to internet Baseline: 30.7	51	0	Number of additional population covered by broadband access Baseline: unknown	225 000	0
% of enterprises with access to internet / number of total enterprises Baseline: 87.58	93.7	0			

- The categorisation of “strategic” and “operational” indicators does not fit into logic of “result” and “output” indicators.
- Targets and baselines have been set for most of the indicators. However, sources have not been explicitly identified for each indicator. Most indicator data will be sourced from the monitoring system and some external statistics.

### Possible Result Indicator and Intervention Logic

What do you want to change? (result)	Indicators	
Priority 1	Result Indicators	Output Indicators
To increase the level	% of expenditure in RTD / GDP	Number of RTD Projects



of RTD in Galicia: To increase basic research (especially in Universities and technological centres) and to increase companies' research.	Source: Statistics of RTD INE Target: 1.87 Baseline: 0.88	Source: Monitoring system Target 4733 Baseline: 0
		Private Investment in RTD projects Source: Monitoring system Target: To be defined Baseline: Not available yet
		Number of Patents/million of inhabitants Source: European Patent Office Target: 5.8 Baseline: 2.1
To speed up knowledge transfer to companies in order to promote the development of new products, and to increase technical-scientific staff in Galician companies	Number of RTD jobs Source: Statistics of RTD INE Target: To be defined Baseline: Not available yet	Number of technological transfer projects Source: Monitoring system Target: 1824 Baseline: 0
		RTD jobs created Source: Monitoring system Target: To be defined Baseline: Not available yet
To increase broadband access to Galician citizens	Households with access to broadband Source: Survey Target: 66% Baseline: 46.5%	Number of additional population covered by broadband access Source: To be defined Target: To be defined Baseline: Not available yet
		Number of Projects Source: Monitoring system Target: To be defined Baseline: Not available yet
To equip Galician enterprises with a better informatics hardware and to increase their knowledge and use of information society	% companies dealing with on-line requests or reservations Source: INE (National Statistical Institute) Target: To be defined Baseline: 9.4%	Companies supported Source: Monitoring system Target: To be defined Baseline: 0
	% companies dealing with on-line payments Source: INE Target: To be defined Baseline: 6.1%	Applications developed Source: Monitoring system Target: To be defined Baseline: 0

## Conclusions and comments of the pilot region:

### Strengthens of the new result-based approach:

- Results oriented approach is applicable to the programming of Cohesion Policy interventions and it facilitates political discussion on programming and a common understanding among stakeholders;
- It is a tool for resources allocation and encourages the optimisation of resources;
- It makes transparent if objectives have been achieved and needs satisfied.

### Difficulties of the new result-based approach:

- It is difficult to source Result Indicators because of the lack of regionalised data, time-lags and lack of public availability.
- A result-based oriented programme approach may introduce some rigidity for reviewing and modifying the programme.

Current situation: In Galicia the result orientation approach is already used in Regional planning in the economic social planning (strategic plan of Galicia 2010-2014) and in the annual budget.

Data sources : In the current programming period sources are the Monitoring System and external statistical sources. The timeliness and regularity of external sources data are not always synchronised with the needs of the indicator system.

### **Commentary and Learning**

Under the priority examined, there are three different dimensions of change. Therefore, it is impossible to identify one specific intended result. More intended results appear at lower priority level. So there are not one but three priorities. Even more each of these three priorities splits into several sub-priorities (e.g. the priority *“To increase the level of RTD in Galicia: To increase basic research (especially in Universities and technological centres) and to increase companies’ research”* in fact it is a compound of three sub-priorities: 1) *To increase the level of RTD in Galicia*; 2) *To increase basic research*; 3) *to increase companies’ research*.

The proposed result indicator: *“% of expenditure in RTD / GDP”* for sub-priority *“To increase the level of RTD in Galicia”* seems more an indicator on input than result. An increase in RTD expenditure reported by this indicator does not guarantee by itself that the outcome will be a higher and better RTD level (e.g.. higher amount of resources could be poorly spent).

The proposed output indicator: *“Number of Patents / million of inhabitants”* seems more a result indicator because the number of patents would seem to be the result of an intervention.

Shifting from the current logic to the new theory of change approach will imply a significant modification to the approach in developing a programme. The Managing Authority is in favour and ready to implement it in the next programming period. Currently the regional authorities are familiar with using result approach but for allocating resources and for drawing up budgets. Therefore the MA could take advantage of this knowledge for drawing up the new programme under a result based approach.

### **6.15. Sweden, Skane-Blekinge: Innovation and Renewal Priority**

The Priority is Innovation and Renewal and its aims are "To contribute to more and growing enterprises, increased employment and stronger innovation structures to increase the region's international competitiveness". The ERDF allocation of €32.52 million represents 46% of the total funding for the Programme. In 2010 the Priority received a further allocation of €7.76 million bringing the total allocated to this priority to €40.28 million or 57% of total Programme funding.

The indicators used in the Operational Programme are numerous: 22 output indicators, of which 11 have a corresponding result indicator. The output indicators are diverse, including for example 'number of projects based on natural environment, culture and cultural heritage' and result indicators include many of the type 'number of business that participate/are active/collaborate' and also include 'number of networks formed'.

In the Skane Blekinge Annual Implementation Report 2010, reporting against 14 Core indicators showed good progress, especially in the number of jobs created (1169 against

a final target of 1900 for the whole OP) and the number of start-ups supported (419 against a final target for the whole OP of 500).

However, also in the AIR, there were 94 indicators for the OP as a whole and these were not broken down by priority except for two indicators “Number of jobs created” and “Number of business start-ups”. Nor were they broken down by output and result indicator. It is therefore very difficult to distinguish the contribution that the priority has made to the overall achievements of the programme by looking at the indicators.

### Possible Result Indicator and Intervention Logic

During the pilot process the Innovation and Renewal priority was informally divided into several sub-priorities and from these the focus on venture capital and clusters was chosen. The pilot participants recognised that a plethora of indicators was not necessary to measure the effects of the intervention and therefore designed fewer, more focussed indicators as shown in the table below. Moreover, the participants realised that previous indicators did not reflect the effect of activities going on under the programme, and therefore chose new indicators which would capture the effects of activities going on under the Programme.

What do you want to change? (result)	Indicators	
Priority 1	Result Indicators	Output Indicators
<b>Innovation and Renewal</b> Venture Capital fund projects – lack of a regional supply of venture capital for business development in enterprises  Lack of a permanent regional structure for co-investment	More investors within private venture capital in the region Definition: No. of active private investors in the funds Source: survey; Baseline: ?  Developed cooperation between venture capital actors in the region Definition: No. of co-investments between venture capitalists Source: survey; Baseline: ?	Number of enterprises receiving financial support (loans, venture capital) Source: survey Target: X enterprises  Number of new enterprises supported Source: survey Baseline: X enterprises  Total investments from the funds including private co-financing Source: survey; Target: X euro  Share of private co-financing in the funds' investments Source: survey; Target: X %  Median size of investments (euros) Source: Survey; Target: X Euros
<b>Clusters initiatives/ innovation platforms</b> Low degree of commercialisation of R&D and low innovation capacity on the economy which creates a need for increased Triple Helix cooperation within cluster	Increased commercialisation capacity Definition: increased turnover of the SMES that are members of cluster initiatives Source: statistics Sweden/Business statistics Baseline: X % on average in the enterprises within the cluster initiatives	Number of cooperation projects between enterprises within the cluster initiatives and research institutions Source: Survey: Target: X projects  % of the member organisations in the cluster initiatives with a “high” or “very high” degree of cooperation with SMEs Source: Survey: Target: X % of the members

initiatives	<p>Increased collaboration between actors in the cluster initiatives</p> <p>Definition: X % of the member organisations in the cluster initiatives states that they cooperate to a “high” or “very high” degree</p> <p>Source: Survey; Baseline: ?</p> <p>Number of members in the cluster initiatives</p> <p>Source: Survey; Baseline: ?</p>	<p>% of the members in the cluster initiatives with a “high” or “very high” degree of cooperation with research institutions</p> <p>Source: Survey; Target: X % of the members</p> <p>% of the members in the cluster initiatives with a “high” or “very high” degree of strategic knowledge and innovation cooperation between members</p> <p>Source: Survey; Target: X % of the members</p>
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- The data sources for the result indicators and baselines have been identified as surveys, relatively easy to carry out annually. Some statistics are already gathered, e.g register data.
- Evaluations could include theory based evaluation with a mixture of evaluation methods. There will be good evidence gathered via the surveys used for the baselines and target setting. The indicator figures themselves (i.e. reporting against progress) will be just one element to be analysed as part of the evaluation
- The region raised the problems of the difficulty of measuring things they considered not measurable, such as 'eureka moments', changes in structures, as compared to the ease of using indicators such as new firms created or jobs created. Due to the small size of the programme, the region suggested using case studies and ongoing evaluation to evaluate results.

### Commentary and Learning

- The pilot region did a good job of picking out a few result indicators which would actually capture the results of this priority. They have focussed on key activities which will bring a tighter focus overall to the priority and should make it easier to evaluate its success or otherwise. The original list of indicators contained in the programme were so numerous (partly because many of them were divided into women / men as well as those of national/foreign origin) and so vague that they did not in fact capture the activities going on under the priority or their results. The heavy reliance on using surveys to collect baseline data is fine so long as the surveys are not just online, and so long as they ask the right questions.
- Overall learning gained through this process and any implications to be reflected in guidance: The wording of the Priority in the original operational programme was imprecise and open to interpretation (this was deliberate). The indicators contained in the operational programme in its original form looked acceptable. However, once the Annual Implementation Reports came in, with reporting against 90 plus indicators, some questions should have been asked about the validity of using so many indicators.
- The participants acknowledge the usefulness of this pilot exercise. However if this new approach - with more sophisticated and qualitative indicators - is to be successful, it is important to have active ownership from the lead partners and project partners.