

Working with indicators

23-24 October 2018, Cracow

Day 1 – 23 October 2018

1. Feedback on Annual Implementation Reports (AIR), David Alba, Evaluation and European Semester Unit, DG REGIO

The presentation "AIR quality check issues, David Alba" is saved under:
<http://www.interact-eu.net/#o=events/working-indicators-post-2020>

Key points presented:

- Financial indicators in the AIR 2019: there is the option to extend the expenditure period by 6 months; i.e. including expenditure certified and presented in payment applications to the EC until the submission of the AIR 2019
- Related to output indicators recurring plausibility checks performed by the Unit point at inconsistencies and shortcomings in the reporting – common sense and internal plausibility checks should be applied before sending the report; examples of problems are:
 - declining values
 - values for outputs at the stage of selection (i.e. initial forecasts respectively estimate) are lower than at the implementation stage
 - final targets for 2023 already achieved

Q& A

Q: Could an AIR also be accepted with errors?

A: If there are significant errors (e.g. not matching numbers) the AIR might be re-opened for the programme to correct.

Q: Is more always better? The implicit assumption is that higher quantities respectively overachievement is always better compared to underachievement; this has obvious consequences such as conservative target estimates at the start etc.

A: Many programmes did an underestimation of targets because of the performance framework. The EC expects targets to be adjusted to significant overachievements at a later stage in the OP/CP, because it makes the values look non-plausible.

Q: Is it possible to adjust the targets at a later stage?

A: Yes, it is possible to adjust the targets, and many programmes already did that.

Proposal: simple questions embedded in the transfer formats might encourage persons in programmes to perform plausibility checks prior to the submission of data? Could that be an option?

A: For the period post 2020 a more dedicated guidance will be developed – the inherent challenge from the perspective of the EC is always that the rules should not be too strict which would result in a tendency not to use certain indicators

2. Indicator set for 2014-2020

2.1. Common Output Indicators (COI)

At the start the participants did a dotting exercise on the list of Common Output Indicators (COI) orange dots indicated a critical position towards the indicator, green dots pointed at an easy use of the COI.

Dotting exercise: Common Output Indicators

	No	Indicator	problematic	reason	useful and meaningful	reason
Productive investment	1	Number of enterprises receiving support			2	
	2	Number of enterprises receiving grants	2		1	clear definition
	3	Number of enterprises receiving financial support other than grants			4	
	4	Number of enterprises receiving non-financial support		Implicit state aid implications (indirect state aid) have to be considered – e.g. with a view to subsequent audits		
	5	Number of new enterprises supported				
	6	Private investment matching public support to enterprises (grants)	1			
	7	Private investment matching public support to enterprises (non-grants)				
	8	Employment increase in supported enterprises				

	9	Increase in expected number of visits to supported sites of cultural or natural heritage and attractions	9	Sometimes these numbers cannot be quantified (even as estimate) with reasonable efforts no tickets issued no reliable data (not to be used as COI but as a result) <u>measuring</u> - impact later? aspect of <u>estimation</u> is challenging - at programme level - for beneficiaries		
Infra structur	10	Additional households with broadband access of at least 30 Mbps				
Transport	11	Total length of new railway line				
	11a	, of which: TEN-T				
	12	Total length of reconstructed or upgraded railway line				
	12a	, of which: TEN-T				
	13	Total length of newly built roads			1	
	13a	, of which: TEN-T				easy to measure, depicting the projects activities
	14	Total length of reconstructed or upgraded roads			3	clear indicator easy to measure (2) data available no base line needed for output indicators, starts from "0" attractive to present widely understandable
14a	, of which: TEN-T					

	15	Total length of new or improved tram and metro lines				
	16	Total length of new or improved inland waterway			1	
Environment	17	Additional waste recycling capacity				
	18	Improved water supply				
	19	Additional population served by improved wastewater treatment				
	20	Population benefiting from flood protection measures	1	double-counting for COI 20, 21, 23, 36		
	21	Population benefiting from forest fire protection measures		double-counting for COI 20, 21, 23, 36		
	22	Total surface area of rehabilitated land				
	23	Surface area of habitats supported in order to attain a better conservation status	3	double-counting for COI 20, 21, 23, 36 measurement problems/ units not used in the participating countries	2	
Research, Innovation	24	Number of new researchers in supported entities	1			
	25	Number of researchers working in improved research infrastructure facilities				
	26	Number of enterprises cooperating with research institutions			4	
	27	Private investment matching public support in innovation or R&D projects				
	28	Number of enterprises supported to introduce new to the market products			1	
	29	Number of enterprises supported to introduce new to the firm			2	
Climate	30	Additional capacity of renewable energy production			2	

	31	Number of households with improved energy consumption			1	
	32	Decrease of annual primary energy consumption of public buildings			1	
	33	Number of additional energy users connected to smart grids				
	34	Estimated annual decrease of GHG	2	How to measure the effect of operations which focus on <u>planning</u>		
Social Infrastructure	35	Capacity of supported childcare or education infrastructure				
	36	Population covered by improved health services	2	double-counting for COI 20, 21, 23, 36 counting and terminology problem		
Urban Development specific indicators	37	Population living in areas with integrated urban development strategies				
	38	Open space created or rehabilitated in urban areas				
	39	Public or commercial buildings newly built or renovated in urban areas				
	40	Rehabilitated housing in urban areas				
ETC specific indicators	41	Number of enterprises participating in cross- border, transnational or interregional research projects				
	42	Number of research institutions participating in cross-border, transnational or interregional research projects				
	43	Number of participants in cross-border mobility initiatives	1			

44	Number of participants in joint local employment initiatives and joint training	1	participants – problematic how to provide evidence, not the indicator; evidence? reliability? (GDPR) trust!		
45	Number of participants in projects promoting gender equality, equal opportunities and social inclusion across borders				
46	Number of participants in joint education and training schemes to support youth employment, educational opportunities and higher and vocational education across borders	3		2	

Major issues in discussion:

- No clear common definition and understanding of COI: different interpretation leads to misleading results. It would be good to make it a “living” document and add information in form of FAQs from beneficiaries
- In general, the frequent use of rather vague terminology in the definition of indicators (numbers of shared strategies, services, products etc. Elements such as “support”, “participation” should be explained and permanent/changing clarifications is necessary
- The challenge to estimate values (COI 9 – visitors to cultural sites)
- The challenge related to double counting in particular for Common Output Indicators 20, 21, 23 and 36, i.e. indicators for population or surface coverage through actions (improved health systems, flood protection measures, improved conservation status etc.) – it is evident that aggregated totals of project results may not add up to values which are higher than e.g. the population total of the programme area; mechanisms to contain double counting have to be set-up (e.g. requesting the coverage of NUTS 3 or NUTS 4 regions as part of the reporting in order to be able to sort out those regions which are covered by two or more projects)

2.2. Programme-specific output indicators

The participants did an exercise presenting their own programme specific indicators which they consider problematic and then which they consider useful and meaningful.

Indicators which are perceived as good are easy to:

- count or estimate
- communicate

An ambiguous point is the definition of indicators using rather broad terms

- on the one hand such indicators leave room for interpretation, i.e. to take in eventually more diverse results
- on the other hand, underlying concepts are blurry and thus figures on results do not state much

For more information on how to select good indicators please see the handout 'Criteria for selecting assessing indicator' saved under:

<http://www.interact-eu.net/#o=events/working-indicators-post-2020>

Exercise: Please identify OIs that you consider problematic and indicate also the IP /programme name?

IP	Programme	Indicators which are consider problematic and why
1b	DE-NL	number of supported SMEs
1b	DE-NL	no difference between financial/non-financial support which is problematic
1	DE-NL	How do you measure joint? How do you prove it?
1	DE-NL	How to measure increased capacity? – in IE they send surveys to TG
1	DE-NL	Number of end-users benefiting from social innovation
1	DE-NL	problem with recording no. of events – when they cover more topics –> be careful with double counting
2	Central Baltic	2.2 number of jointly targeted planning and management activities 2.3 number of targeted integrated urban plans
2	Central Baltic	2.2 maritime – how to measure joint if issues are linked to location? 2.3 urban planning – explaining to projects what they want to achieve
2b	DE-NL	number of people with better access to health services
3	Interreg Europe	1a, 1b, 3d, 4e, 6c, 6g - share of all NUTs2 registered to policy learning platform - # of policy learning events by the platform

3	EE-LV	jointly organised events, except management meetings number whether <u>jointly organised</u> – not always clear
4c	MED	Number of regions & subregions engaged (through charters, protocols, MOU) in developing energy efficiency plans/strategies
5b	RO-HU	Population safeguarded by improved emergency response services
6d	MED	Number of joint governance plans
6d	ABH	Number of implemented measures impossible to count progress partially finished operations
6	BSR	none (investments not reached)
6	EE-LV	Improved & revitalised cross-border joint urban area square metres different risks may occur that programme cannot control
6	IPA CRO-BIH-ME	Number of participants trained in quality assurance, standardisation on cultural and natural heritage and destination management
6	IPA CRO-BIH-ME	Area covered by improved emergency preparedness and risk prevention systems (km ²)
6b	RO-HU	output indicator: number of measurement points positively affected by the interventions (after the completion of the project)
6d	AT-CZ	Number of green infrastructure realised -> Common understanding of a single green infrastructure (count the tree or the forest?)
6c	AT-CZ	Number of cross-border mechanisms to ensure joint management of common heritage -> joint management often not sustainable
6c	IPA CBC RO-RS	tourism joint actions and communication instruments created
7	BSR	none (investments not reached)
7	RO-BG	No. of studies, strategies and action plans to improve safety of navigation on Danube and Black Sea
8b	CZ-PL	Number of implemented joint <u>mechanisms</u> in the field of cultural and natural heritage – mechanisms is so vague that it causes misunderstandings.
8	South Baltic	No. of delivered cross-border employment schemes and joint training supporting employment in the blue and green economies
9a	GR-BG	No. of healthcare institutions reorganised, modernised or re-equipped No. of health ICT systems developed
10	CZ-PL	Number of implemented joint <u>mechanisms</u> in the field of education - mechanism is unclear for beneficiaries
11	FR-DE-CH	users of new tools, instruments & services for administration & citizen cooperation
11	IPA CBC Croatia-Serbia	Number of persons related to improving health care services and/or social care services trained

11	CRO-BIH-ME	number of participants in joint education and training schemes on health and/or social care
11b	SI-AT	population covered by improved public services
11	CZ-PL	Number of partners involved in action - it doesn't say anything about quality, intensity or frequency
11	SI-HU	Number of institutions/organisations involved in cross-border initiatives

Exercise: OIs that you consider useful and meaningful and indicate also the IP /programme name?

IP	Programme	Programme specific indicators, which are consider useful
1	BSR	to capture the learning that takes place – capacity building in organisations (specific target groups)
1		No. of projects indicators easy to measure
1	NWE	<ul style="list-style-type: none"> - No. of jobs created/maintained - No. pilot actions implemented focusing on social innovation - No. of technologies/products/processes tested in real-life conditions - funding leveraged (EUR)
1a	AT-CZ	No. of research institutions participating in CBC, TN or IR research projects <ul style="list-style-type: none"> - easy to count - fits in new programme architecture
1a	FR-DE-CH	new coordination tools developed
1b	Flanders-Netherlands	number of supported innovation projects BETWEEN companies
1	Germany-Denmark	Number of newly established institutions for crossborder science, testing, co-creation and living labs (virtual & physical)
1b	SI-AT	No. of joint CBC R&D projects
1b	MED	Number of operational instruments to favour innovation of SMEs
1	BSR	No. of local/regional/national authorities involved
1	BSR	No. of documented learning experiences (in all priorities)
2	CB	1.2 number of participating young people 2.1 number of targeted joint attractions (4.2 number of benefiting vocational education schools)
3	Interreg Europe	1a, 1b, 3d, 4e, 6c, 6g # of action plans developed # people with increased professional capacity due to participation in Interreg cooperation.
4c	MED	Number of available planning tools to monitor and manage energy consumption in public buildings
5a	IPA CBC Croatia-Serbia	number of jointly developed and/or operated monitoring systems
5	IPA CBC RO-RS	environment studies in the field of environment protection and emergency management
5b	CZ-PL	Number of systems with increased connectivity/compatibility (in risk management) – it represents systemic character of the support
6c	GR-BG	O 0202: No. of cultural/natural assets

		rehabilitated/protected
6c, 6d	CBC Latvia-Lithuania	Number of organisations supported
6c	RO-BG	No. of integrated tourism projects/services created
6c	SI-HU	- Number of joint cross-border touristic products - Length of cycle tracks and footpaths
6	BSR	No. of local/regional /national authorities involved
6	BSR	No. of documented learning experiences
6c	IPA CBC HR-HS	Number of tourism supporting facilities and/or tourism infrastructure developed or improved
6d	FR-DE-CH	New strategies & instruments in order to increase the species protection & ecosystems quality
6	EE-LV	Public campaigns targeted at environmentally behaviour number concrete: described during application
6	NWE	- No. of jobs created - No. of jobs maintained - No. of adopted or applied low carbon technologies - No. transport management systems leading to GHG emission reduction - No. innovative uses of waste - funding leveraged (EUR) - No. transport operators supported
6c	IPA CBC RO-RS	environment equipment built/installed/modernised in the field of CBC services for environment protection
7	EE-LV	small harbours with improved services number - concrete indicator with certain standards to be achieved
7	PL-SK	total length of new roads
7	BSR	No. of documented learning experiences
7c, 6f	South Baltic	size of pilot investments
7b	PL-DE (Saxony)	the total length of reconstructed or upgraded roads
7	BSR	No. of local/regional/national authorities involved
7	Flanders-Netherlands	number of initiatives aimed at courses and traineeships
7b	RO-HU	Output indicator: total length of newly built roads (km)
7c	RO-HU	Output indicator 2: total length of newly built bicycle road
7c	FR-DE-CH	new concepts, tools & installations fostering environment friendly transports
8	CBC LAT-LIT	Business support services improved/created as a result of cross-border cooperation
8b	CZ-PL	Number of cultural/natural wealth items, which attractiveness has been raised – easy to understand, attractive for promotion, measurable
9a	CBC Lat-Lit	Created/improved social services and infrastructure

9a	RO-HU	Output indicator 2: Number of health-care departments affected by modernised equipment
9c	GR-BG	No. of participants in SE projects
10	Central Baltic	number of benefiting vocational education schools
10	PL-DE (Saxony)	number of participants in joint education systems and trainings (...)
11b	RO-BG	No. of supported cross border mechanisms to enhance cooperation capacity
11	Interreg VA Brandenburg-Poland	participants in SPF
11b	ABH	number of SPF-participants nice + easy to communicate

2.3. Result indicators

Major challenges identified:

- Drop in the ocean: the fact that Interreg programmes and projects have to be considered as ‘drop in the ocean’ related to many of the phenomena addressed by the RI (unemployment etc.) – and it is very costly and difficult to track it and provide evidence for a drop in the ocean ... – it is evident that programmes and projects will in most cases not lead to any statistical effects; the mostly qualitative positive contributions should be addressed in the evaluation
- Surveys: quite a number of the programmes has opted for surveys as RI – the RI is usually expressed as median or average on an ordinal scale; such survey can be comparatively time-consuming and costly and programmes have to rely on input from external experts; a major methodological problem can be the biased view

It is essential to be honest in the evaluation of programme contributions to the result indicators: in case it is impossible to identify any statistical effect it should be stated like this. Qualitative contributions of Interreg programmes such as the establishment of a permanent cross-border dialogue related to a specific policy aspect etc. should be highlighted instead.

Exercise: the participants were presenting result indicators which did not work and elaborate also why they did not work.

IP	Programme	Result indicators, which did not work and why?
IP 1a	AT-CZ	Expenditure on R&I of GDP is increased. → programme doesn't have a measureable influence on

		this number
IP 3	BE-NL	Energy consumption per employee - link with/for projects = complex - source for target value is inconsistent in measuring unit - → 4b, 4c
IP 6		number of households not facing pollution, and other municipal environment problems
IP 6c		number of overnight stays in the programme area
IP 6c	SI-AT	number of overnight stays
IP 6d	MED	Share of marine protected areas meeting conservation goals & objectives (thanks to their improved management)
IP 6d	GR-BG	% of NATURA areas reporting excellent or good degree of conservation
IP 7		No. of public transport services for <u>workers</u> (?) and <u>students</u> (?) during a normal working day
IP 7	EE-LV	the number of visiting vessels in small harbours - many factors that influence the achievement, which are out of programme control
IP 8b	RO-HU	Result indicator: employment rate in the eligible area as a percentage of the working age population increased from 56,31 to 56,51
IP 10 ETC	CZ-PL	“Share of registered unemployed graduates among the total number of unemployed” – external influences; general trends vs. low CBC allocation
IP 11	PL DE (Saxony)	Mood index of institutions in Polish-German cross border cooperation
IP 11	PL-DE (Brandenburg)	“Mood index the institutions involved in the German-Polish cooperation”
IP 11	FR-DE-CH-	% of citizens identifying with Upper Rhine as a crossborder region
	DE-DK	<u>all</u> RI are problematic - scale wise or - effort wise (cost-benefit) or - in the measuring methodology
In general	South Baltic	Result Indicators will be measured only 3 times depending on external experts (performance %)
IP 3	DE-NL	Percentage SMEs introducing product & process innovation
IP 11	Germany-Netherlands	Perception of the border as a barrier
		in general: qualitative indicators for example the ‘active population more satisfied with the access to the labour market’
IP 11		Quality of institutional cooperation in the programme area (issues with measuring reality)
	CR-BiH-Montenegro	Range of cluster activities enhancing innovation, new technologies and ICT solutions
IP 5	CR-Serbia	Disaster response capability in the programme area

IP 11	Interreg Europe	Amount of SF (6&3/ETC) influenced by Interreg Europe - tricky to verify correct figure reported
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Exercise: the participants were presenting result indicators which they considered as useful and meaningful

IP	Programme	Result indicators which were considered as useful and meaningful
IP 1	NWE	Increased SME capacity to innovate
IP 1	FR-DE-CH	Number of enterprises participating in R&D projects
IP 3	EE-LV	the share of entrepreneurs carrying out joint product or service development
IP 4c	MED	Share of regional energy efficiency plans including adapted measures for public building stock
IP 6	Baltic Sea Region	Capacity of public authorities / practitioners to implement measures to reduce nutrient inflows into waters (the same logic is used in all specific objectives)
IP 6c, RO204	GR-BG	Annual tourist overnight stays at accommodation establishments
IP 7	AT-CZ	Level of cooperation / integration → survey
IP 7b	PL-SK	cross-border traffic intensity
IP 7b	RO-BG	cross border population served by modernized infrastructure leading to TEN-T
IP 7b	RO-HU	Cross-border population served by modernised infrastructure leading to TEN-T increased from 356,076 to 446,424 people
IP 11		Number of solutions improving public services
	CR-Serbia	number of overnights in the programme area
		% share of 6&3/ETC programmes with implemented measures inspired by Interreg Europe (- survey with MAs-IBs of 6&3/ETC programmes)
		No. of cross-border employees (statistics exist)
	CR-BiH-Montenegro	Increase in arrivals on non-residents staying in hotels and similar establishments

3. Indicators post 2020, David Alba, Evaluation and European Semester Unit, DG REGIO

The presentation “Post 2020 indicator system, David Alba’ is saved under:
<http://www.interact-eu.net/#o=events/working-indicators-post-2020>

Key points related to the draft legislative framework for the period post 2020 are:

- Request to report bi-monthly does not mean that something additional should be reported but it is the request to report the latest data at regular intervals
- Pillars of the new intervention logic are the 5 Policy Objectives which include 21 Specific Objectives
- Common Output and Common (more direct) Result Indicators; the new set of indicators includes also 11 indicators for Interreg
- Impact indicators in the period post 2020 will be statistical indicators which are not irrelevant for Interreg programmes but it is evident that Interreg programmes will not produce any statistical effects related to the impact dimensions (such as employment rates etc.); it is expected that the contribution of Interreg programmes to the impact indicators for EU Cohesion Policy will be reviewed by evaluators

Q& A

Q: Since no more targets are set this could be understood as moving away from result orientation.

A: This is a valid point but current and previous periods have shown that setting targets did also not provide a significant impetus for more result orientation; omitting estimations of targets should also be considered as one aspect of simplification.

Q: Output and Result Indicators should be collected at project level?

A: Related to Interreg Output Indicators suitable ones will most probably be easily found among the Common Output Indicators but for Result Indicators it is not that clear if the proposed common ones are adequate; programmes might have to define programme specific result indicators

Q: Is it required to provide a methodology for each indicator?

A: The calculation method for each indicator should be clear. There will be a guidance coming out for the common output indicators when you measure, how you measure and what kind of beneficiaries you want to measure, where do you store this information and how often to measure.

Q: Given the character of the Interreg (ETC) Common Indicators – is it intended to combine ETC Indicators and thematic indicators?

A: Combination of one of the 21 Specific Objectives with the Common Indicators for Interreg should be sufficient to see which theme is addressed by the intended interventions

Q: Can we adjust Common Indicators for specific themes?

A: In order to allow for an aggregation at a later stage it is recommended to use the Common indicators as defined and - if required - to introduce a more detailed subset at programme level; these aspects should be explained in the guidance; please mind the proportionality - when setting up the indicator system the cost of monitoring should be taken into account

Q: Does the proposed indicator for Policy Objective 1 (Smarter Europe) referring to 'patent applications' indicate a shift of paradigms in Cohesion Policy towards stronger emphasis on competitiveness?

A: It refers mostly to one of the aspects of the Policy Objectives; i.e. the increased competitiveness of SMEs.

Q: What is the background of having the term '6 to 12 months after completion' used for Result Indicators RCR 84 and RCR 85? Usually the term durability refers to a much longer period, i.e. 5 years?

A: It is understood as the definition of short-term results; the approach to measurement needs to be defined respectively integrated to the reporting routines of beneficiaries.

Q: Is it required to monitor Impact Indicators?

A: It is required to take these indicators into account since it close the evaluation cycle to come from the direct result, i.e. for example jobs created to longer-term effects such as effects on the employment or unemployment rate; it is a task for the evaluation to assess whether the programme had an impact or not and it is not an issue for ongoing monitoring at programme level.

Q: Is it still necessary to define a target for the programme's contribution to the change achieved?

A: The programme still has to do that, but not in the way it has been in this period. It needs to be done in a more qualitative way in an evaluation.

Q: The outputs are measured on operational level and the direct results as well?

A: Yes

Q: So I have to collect output and direct result from a project?

A: Yes, it is important that we measure what your Intervention logic is actually about.

4. Quality and reliability of data, Katja Ecke, Interact

The presentation “Working with indicator post 2020/Interact’ is saved under:
<http://www.interact-eu.net/#o=events/working-indicators-post-2020>

After a short introductory presentation based on the results of a first round of audits carried out for data reliability, participants discussed at their table a few questions on that topic:

1. How to ensure that projects (project partners) have the same understanding of indicators as the programme bodies?
2. How to consistently and equally monitor indicators?
3. How to limit the risk of errors when reporting in SFC?

For (1), participants agreed that communication in particular at the application stage is crucial to avoid any problems during the project implementation. With regard to (2) participants concluded that there are different approaches in the different programmes, but it is important to train programme staff in a consistent approach and to document monitoring efforts accordingly. Finally, for (3) it was highlighted that this task is still partially manually carried out, which increases the risk of errors. It was also concluded that if electronic monitoring systems are not carefully designed for the indicators significant resources have to be made available to ensure the follow-up and to correct mistakes.

Q& A

Q: What are the financial consequence of audit findings for data reliability?

A: there are usually no financial implication due to the nature of the finding (it is difficult to quantify the financial impact on the EU budget). However, if it turns out that the overall management and control system of a programme is not reliable there could be a payment stop for the programme.

Day 2 - 24 October 2018

ESPON Territorial Impact Assessment (TIA) Zintis Hermansons, ESPON EGTC)

Zintis provided a brief overview on the current ESPON activities and an introduction to the TIA method.

The presentation “TIA ESPON’ by Zintis Hermansons is saved under:
<http://www.interact-eu.net/#o=events/working-indicators-post-2020>

5. Territorial Impact Assessment (TIA) Quick Scan. Bernd Schuh, ÖIR

3.1. General aspects

- The underlying concept is ...*the vulnerability concept developed by the Intergovernmental Panel on Climate Change (IPCC). In this case, the effects deriving from a particular policy measure (exposure) are combined with the characteristics of a region (territorial sensitivity) to produce potential territorial impacts* (cf. ESPON; ARTS); the vulnerability of a region means e.g. that a region having a higher share of persons working in the primary sector is more sensitive to a specific change in a regulatory policy such as the reorganisation of direct payments in the framework of the Common Agricultural Policy etc.
- The method can be used for ex-ante or ex-post assessment of impacts; though the method can only point at trends and give hints on implications it is a valid and acknowledged method;¹ it provides an illustration and a background in order to support better informed policy discussions
- In principle any indicator could be added to the tool (e.g. built on a Likert scale which is fairly easy) and indicators should be seen as a source of inspiration in order to develop new ideas
- The system will be ready on an Open Data Platform by the end of 2018; currently ESPON stakeholders have an internal debate on options to safeguard the proper use of the tool if it is offered to a broader range of interested parties; ESPON provides options for programmes to ask for targeted support; the stock of data and indicators in the system will be updated regularly – in accordance with the intervals of updates in key statistics such as EU-SILC or the Regional Innovation Scoreboard etc.

¹ The TIA Quick Scan is part of the methods applied in the framework of the EU Regulations' Scrutiny Board which seeks to assess ex-ante the impacts of new EU legislation.

- The model currently allows for a focus on urban and rural regions; certain specifications for border regions are under development

The presentation “Introduction of the ESOPN TIA Quick Check’ by Bernd Schuh, OIR is saved under: <http://www.interact-eu.net/#o=events/working-indicators-post-2020>

3.2. Steps

- **Step 1** is to capture the territorial effects and to come to a shared view on the intentional and unintentional effects of the interventions (i.e. mapping major elements of the intervention logic)
- **Step 2** is to identify indicators which are adequate proxies for the effects of the interventions, be it a future EU Regulation, a major project or such as is the case here the Policy Objective as part of future Interreg programmes; the current stock of indicators (and underlying data) comprises about 50 indicators, data stem from various sources such as Eurostat, European Union Statistics on Income and Living Conditions (EU-SILC)²; the European Innovation Scoreboard³ etc.; an additional set of cross-border indicators is currently under development
- **Step 3** is the expert judgement on the proxy power of the selected indicators, the methodological guidance recommends to have a balanced invitation list to safeguard a diverse set of experience and opinions; inviting experts with strong personality who are prone to act as opinion leaders bears the risk to come a biased view; a major advantage is that the expert judgement is transparent; the judgement is based on a simple Likert scale and allows to decide on the direction of the effect (positive or negative) as well as its intensity (neutral, weak, strong); indicators with an ambivalent result in the judgement phase deserve particular attention – either these indicators should be dropped since the opinions on effects are not conclusive or the discussion needs to be reiterated and deepened

² The EU-SILC project was launched in 2003 on the basis of a "gentlemen's agreement" in six Member States (Belgium, Denmark, Greece, Ireland, Luxembourg and Austria) and Norway. The start of the EU-SILC instrument was in 2004 for the EU-15 (except Germany, the Netherlands, the United Kingdom) and Estonia, Norway and Iceland (<https://ec.europa.eu/eurostat/web/microdata/european-union-statistics-on-income-and-living-conditions>)

³ The European Innovation Scoreboard provides a comparative analysis of innovation performance in EU countries, other European countries, and regional neighbours. It assesses relative strengths and weaknesses of national innovation systems and helps countries identify areas they need to address. The European Innovation Scoreboard 2018 was released on 22 June 2018. The Regional Innovation Scoreboard is a regional extension of the European Innovation Scoreboard, assessing the innovation performance of European regions based on a limited number of indicators. The latest edition of this two-yearly report was published in 2017. https://ec.europa.eu/growth/industry/innovation/facts-figures/scoreboards_en

since there are still fundamental discrepancies; the process should lead to a group-owned result based on a broad variety of opinion

- **Step 4** is the production of maps based on the previous steps; for Interreg programmes these maps will be based on NUTS-3 regions; the differences between the effects on regions are based on the expert voting which is decisive for the direction of effects and the intensity (expressed with the intensity of the colours)
- **Step 5** is the policy discussion; ex-ante it might be used
 - To reveal different regional points of departure
 - to anticipate desired or unintended effects
 - to reveal preferences for future investment or to set up a proper narrative for the future impact of a programme (thereby using the indicators as stepping stones for a coherent narrative as well as using the underlying data to provide also a quantitative picture on the context of the interventions)
 - to decide on regional distribution of funds to maximise effects

Ex-post it might be used in order to:

- illustrate the territorial impact of a programme or a group of programmes,
- a priority axis or an important cross-border transport link etc.

Group 1 Smarter Europe (Policy Objective (PO) 1

Definition of the scope of the assessment

The Group work started with a quick survey among the participants in order to see if all specific objectives within the Policy Objective should be considered:

	Specific Objective	No of programmes having projects in the intervention field in 1014-20
(i)	enhancing research and innovation capacities and the uptake of advanced technologies;	7
(ii)	reaping the benefits of digitisation for citizens, companies and governments;	1
(iii)	enhancing growth and competitiveness of SMEs;	8
(iv)	developing skills for smart specialisation, industrial transition and entrepreneurship;	4

Finally, the group decided to make the assessment in a bundle for the whole PO1.

Selection of the indicators

The following indicators have been selected:

Indicator	Annotation
Regional ICT infrastructure	More means lower sensitivity
Share of R&D personnel and researchers	More means higher sensitivity
Number of students in tertiary education	More means higher sensitivity
SME introducing product or process innovation	More means higher sensitivity
Innovative SMEs collaborating with others	More means higher sensitivity
Share of private enterprises (Entrepreneurship)	More means lower sensitivity
Jobs created in technology and knowledge-intensive sectors	More means higher sensitivity
Employment in technology and knowledge-intensive sectors	More means higher sensitivity
Out migration	More means lower sensitivity

In addition, the following indicators would have been of interest (though non-existent for the time being):

- Housing units for rent and land available in order to illustrate potentialities for economic development
- Accessibility of certain groups to ICT infrastructure (e.g. persons aged 50+ etc.)
- Number of cooperation in the field of governance
- Product and process innovation implemented (the existing indicator states 'innovations introduced' but actually implemented ones would also be interesting)
- Accessibility of innovation infrastructure

Expert judgement and production of maps

See maps for PO1 under: https://connections.interact-eu.net/communities/service/html/communityview?communityUuid=459319b7-7414-4ff9-b781-9762c40cc278#fullpageWidgetId=W20e09d1aa394_46a9_89d2_842d5356e71d&folder=bb62a115-1731-4166-b26b-57583f4be47d

Policy discussion

In future it would make sense to see Interreg (cross-border, transnational) co-operation along three main lines of actions or policy elements:

1. Cross-border capacity building: creating platforms, networks, joint strategies, getting to know each other, learning from each other the Maps:
2. Classical cross-border problem solving: connecting roads, building missing bridge, establishing joint rescue, medical service, etc.
3. Achieving results together (Exploiting together joint opportunities/resources): going together to far markets, joint product development, joint research and development, integrating labour markets, creating joint transport corridors, etc.

All aspects mentioned are relevant and different regions are likely to concentrate on different policy elements depending on their situation, capacities, the level of development etc. The three policy elements mentioned should have different sets of indicators, used together with relevant policy objectives indicators (results and outputs).

Group 2 Smarter Europe (Policy Objective (PO5))

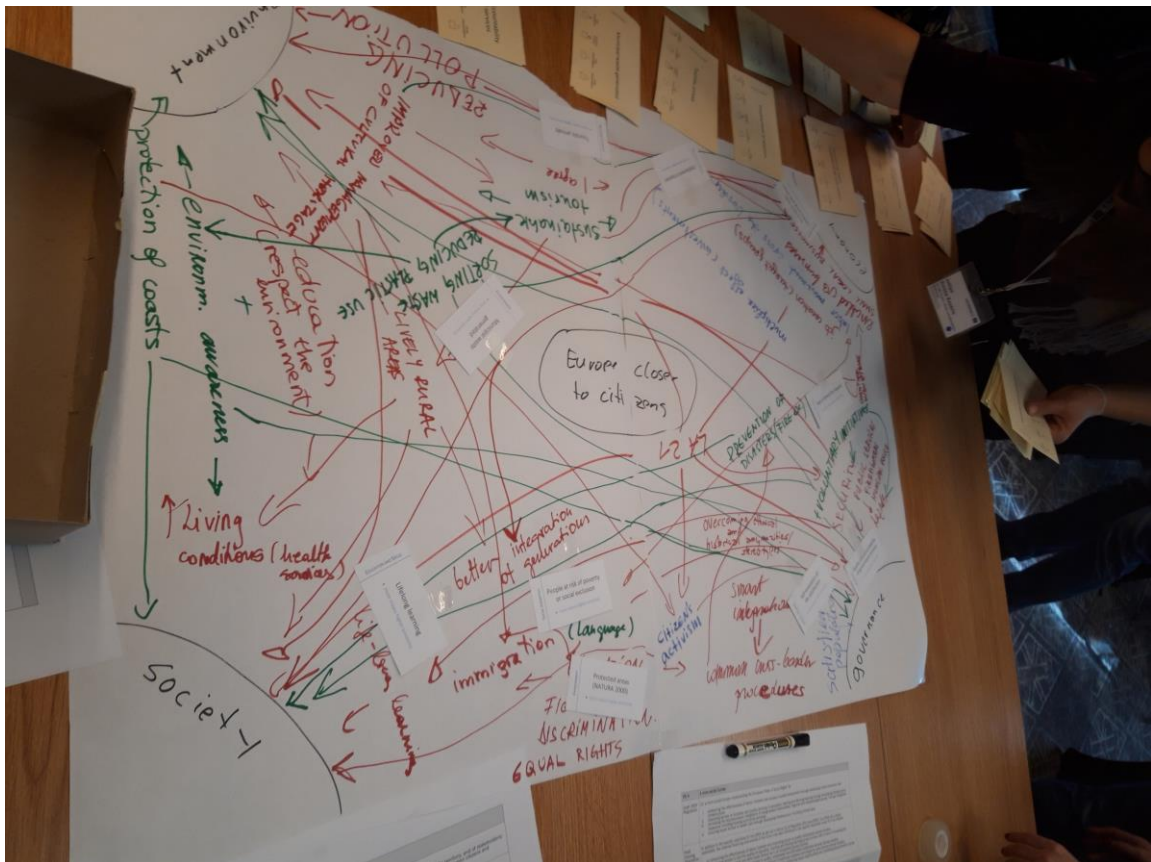
Definition of the scope of the assessment

'Europe closer to citizens by fostering the sustainable and integrated development of urban, rural and coastal areas and local initiatives' by:

- i. fostering the integrated social, economic and environmental development, cultural heritage and security in urban areas;
- ii. fostering the integrated social, economic and environmental local development, cultural heritage and security, including for rural and coastal areas also through community-led local development.

Mapping the intervention logic:

The four corners of the map are: governance – economy – environment – society.



Selection of the indicators

The following indicators have been selected:

Indicator	Annotation
Employment in tourism	More higher sensitivity
Innovative SMEs collaborating with others	More means higher sensitivity
Touristic arrivals	More means higher sensitivity
People at risk or social exclusion	More means higher sensitivity
Quality and accountability of government services	More means lower sensitivity
Lifelong learning	More means higher sensitivity
Municipal waste generated	More means higher sensitivity
Risk of forest fire hazard	More means higher sensitivity
Self-evaluation of life satisfaction	More means lower sensitivity

Expert judgement and production of maps

See maps for PO5 under
https://connections.interact-eu.net/communities/service/html/communityview?communityUuid=459319b7-7414-4ff9-b781-9762c40cc278#fullpageWidgetId=W20e09d1aa394_46a9_89d2_842d5356e71d&folder=bb62a115-1731-4166-b26b-57583f4be47d