Evaluation of the territorial approach operationalization for Portugal 2020 in the context of convergence and territorial cohesion

Sérgio Barroso
Evaluation object
TERRITORIAL APPROACH OF PORTUGAL 2020

Place Based Integrated Instruments

CLLD, ITI, urban sustainable development, other territorial instruments

Measures of positive differentiation of low density territories

Specific tenders, bonus criteria, increase of support rates

Sectoral Place Based Instruments

RIS3, national sectoral programs (education, migration, social inclusion)
To assess the adequacy of the territorial approach of Portugal 2020, considering the contribution to achieve the reduction of regional asymmetries and strengthen economic convergence and territorial cohesion.

- Assess the complementarity and synergies between programming policies and instruments in the same territory.

- Assess the effectiveness of formal and informal coordination mechanisms between programming policies/instruments and multi-level governance.

- Assess the link between configuration of programming policies/instruments and their implementation, aiming to achieve their objectives.

- Assess the adequacy and relevance of the positive differentiation measures for low density territories.
Why we need a T&C?

Analyze if implementation corresponds to the plan

Analyze the way the context is interfering or conditioning the implementation

Analyze if implementation allows to activate (or not) the mechanisms presupposed by the theory of change of intervention

Analyze if risks are being overcome or blocking implementation

How to review / design T&C?

Step 1
Programming documents review

Step 2
Bibliographic review (fill assumptions or risks gaps)

Step 3
Validation (workshops with managing authorities, public agencies responsible for sectoral policies and local actors)
To mobilize, simultaneously and in a Coordinated way, the funding of several funds, priority axis and OP in favour of the prosecution of a coherent territorial Strategy (Programmatic Dimension)

To mobilize instruments that foster the articulation and share of specific knowledge at different territorial scales (Governance Dimension)

Offer differentiated treatment to low density areas in the access to the EISF (Territorial Discrimination)

Increase Territorial Efficiency (internal and external accessibility, efficient use of resources and energy and territorial competitiveness and attractiveness)

Increase Territorial Identity (social capital, natural and cultural patrimony, creativity).

Increase Territorial Quality (good quality of life levels, equity between territories, access to Services of General Interest and knowledge)

Reduce underutilization of local potential

Increase the participation of actors that transform resources into value

Territorial Cohesion

Economic Convergence
## Theory of Change

### Territorial Approach of Portugal 2020

<table>
<thead>
<tr>
<th>Strategic Relevance</th>
<th>Programmatic Efficiency (synergies and complementarities)</th>
<th>Governance Efficiency (subsidiarity and coordination)</th>
<th>Implementation Efficiency</th>
<th>Impact (territorial cohesion and convergence)</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Mix of policies</td>
<td>• Sectorial integration (policies)</td>
<td>• Leadership capacity of local actors</td>
<td>• Territorial differentiation</td>
<td>• Increase territorial efficiency</td>
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<tr>
<td>• Instrumental flexibility and adaptability</td>
<td>• Scale integration (National-regional-sub-regional-local)</td>
<td>• Territorial cooperation (partnerships)</td>
<td>• Interventions spatially defined by challenges / resources</td>
<td>• Reinforce territorial identity</td>
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<tr>
<td>• Actuation scales</td>
<td>• Rationality of the provision scales</td>
<td>• Vertical territorial cooperation (multi-level)</td>
<td>• Valuate the specific endogenous potential</td>
<td>• Increase territorial quality</td>
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<tr>
<td>• Mobilized actors</td>
<td>• ESIF Integration</td>
<td>• Simplify the mechanisms (reduce costs and burden)</td>
<td>• Valuate territorial knowledge</td>
<td>• Reduce underutilization of local economic potential</td>
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<td></td>
<td>• Satial integration (territorial)</td>
<td></td>
<td>• Differentiate low-density territories</td>
<td>• Reinforce stakeholders participation on the transformation of resources in value</td>
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</tbody>
</table>
Theory of Change
TERRITORIAL APPROACH OF PORTUGAL 2020

Classical approach

Sectoral

Fragmented

Top-Down

Place based PT2020 approach

Integrated Place-based Instruments

Impact (territorial cohesion / convergence)

Integrated Approach

Implementation Effectiveness

Strategic Relevance

Measures of positive

Programmatic Efficiency

Governance Efficiency

Maximizing Territorial Cohesion

Maximizing Economic Convergence

Impacts

Integrated Place-based Instruments

Sectoral Place Based Instruments

Measures of positive

Programmatic Efficiency

Governance Efficiency

Maximizing Territorial Cohesion

Maximizing Economic Convergence

Impacts

Integrated Place-based Instruments

Sectoral Place Based Instruments

Measures of positive

Programmatic Efficiency

Governance Efficiency

Maximizing Territorial Cohesion

Maximizing Economic Convergence

Impacts
Methodology TERRITORIAL APPROACH OF THE PORTUGAL 2020

- **Theory of Change Design**
  - Main assumptions
  - Complementary
  - Risks

- **Evaluation Indicators System**
  - Main assumptions indicators
  - Complementary assumptions indicators
  - Risks indicators

- **Surveys**
  - Place-based instrument leaders
  - Place-based instrument partners
  - Sectoral place-based instruments local promotors
  - Beneficiaries of measures of positive diferenciacion

- **Discuss Results**
  - NUTS 3 focus group (10)
  - NUTS 2 workshops (5)
Key methodological lessons
Implementation of the Evaluation Process

• The **logical framework of programs and interventions improved globally** in the 2014-2020 period, as a result of EU focusing on results;

• There are still **failures to formalize the theories of change of strategic and transversal approaches**: (multi-objective, multi-police, multi-actor) – this is a critical challenge;

• **Difficulties in limiting the number of assumptions** in integrated approaches by their amplitude – probably experience and better designed strategies will help us);

• Limitations in the **forecast of the maximization of impacts** as a result of territorial approaches (to deepen);

• **Remember, evaluation is an opportunity for institutional empowerment**, for capacity building and to create a multi-level government culture;

• **More we involve local actors** in the programming phase, **more they are available to participate in the evaluation**. (critical factor due to some institutional fatigue).
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