

CONCEPT NOTE STRATEGIC ANALYSIS OF REFERENCE DOCUMENTS (I)

As part of the Ex ante evaluation for the Baltic Sea Region programme 2014-2020 a Strategic Analysis (hereafter SA) of a list of reference documents, developed by the JPC, has to be carried out. The analysis will support the JPC in developing the thematic focus of the new BSR programme by providing a basis for the JPC to identify the four thematic areas on which to focus the programme. The methodology for the SA was presented in the proposal for the Ex ante evaluation and this concept note outlines the specific methodological steps and the analytical approach to be used.

Three key tasks are to be addressed in the strategic analysis:

- **Assess the listed reference documents** (Annex 1) in terms of their geographical and sectoral coverage, types, structure and sort them in accordance with these criteria.
- Identify the **correlation between the reference documents and the thematic objectives** defined in the draft regulations for Cohesions Policy and in the draft Common Strategic Framework to determine which thematic objectives have the greatest correlation with the reference documents for the Baltic Sea.
- Identify **horizontal themes addressed in the reference documents**.

The table below provides an overview of the assessment issues, the type of analysis that we propose, the judgement criteria and the expected output. Below, we detail our approach and present our analytical tools.

Table 1. Analytical approach to determining the relevance of strategies and determine strategic focus

Assessment issue	Analysis	Judgement criteria	Output
1) Assessment of the listed reference documents in accordance with their geographical and sectoral/thematic coverage to BSR region	Review of strategies in order to assess overall relevance to programme	Geographical coverage, type of document and institution responsible for the document.	Sorting of the reference documents in terms of relevance to the new programme.
2) Determine the correlation between the reference documents and the thematic objectives defined in the draft regulations for Cohesions Policy and in the draft Common Strategic Framework	Check correlation between the reference documents and the CP and CSF Compare the documents in a log-frame/or simple document analysis	Correlation between thematic objectives from the regulation and priorities/objectives and challenges identified in the strategic documents.	Overview of which thematic objectives have the greatest correlation with the reference documents.
3) Determine horizontal themes and the appearance in the reference documents	Check appearance of horizontal themes (see list) in the reference document.	- appearance of horizontal themes (see list under 3)	Overview of the horizontal themes in the reference documents.

1. Assess the reference documents and sort them according to key criteria

The reference documents will be reviewed to determine their relevance for the programming process.

When doing this analysis, it is important to take into account that the documents are of very different character and level of detail. Some are overall strategic document, political declaration, some specific

action plans, and others again are reports. Some reference documents are purely sectoral or thematic and will therefore only address specific issues. Annex 1 includes a listing of all the 23 reference documents. However, with regard to the EU regulations it is suggested to use the policy background instead of the regulations themselves (see annex 1 - see document 4 and 5) as these outline the priorities/challenges and not only the measures.

Sorting the strategies in terms of geographical scope, sectoral coverage, type and structure will give the JPC an indication of the relative importance of the reference documents for the programming. The overview will in addition provide the JPC with a quick overview and access to all reference documents sorted according to the criteria. The matrix table below provides a preliminary overview of the analytical approach to be followed when reviewing the reference documents listed in Annex 1.

Table 2. Assessment table for reference documents

Criteria/ Document	Year of publication	'Age' of statistical /analytical basis/ data	Geographical coverage (BSR, ENPI, etc.)	Sectoral/ thematic coverage (Coverage of CSF)	Coverage of thematic objectives/priorities (general)	Type of document (strategy, operational programme, policy paper, report, other)	Structure of document (objectives, results etc.)	Type of document objective (operational, specific, intermediate and global)	Can a log-frame analysis be made on the document
EU Documents									
1) Europe 2020	2010	n.a. (no references in document)	All EU	<ul style="list-style-type: none"> Smart growth; Sustainable growth; Inclusive growth 	<ul style="list-style-type: none"> Innovation; Education; digital society; climate, energy and mobility; competitiveness; employment and skills; fighting poverty; 	Strategy	3 Overall objectives , 7 thematic flagships; 5 headline targets	Global objectives	In principle yes (at an overall level)
2) BSR Strategy + action plan	2009+2010	N.a. (no references in document)	BSR	<ul style="list-style-type: none"> Four Pillars An environmentally sustainable region A prosperous region 	<ol style="list-style-type: none"> To reduce nutrient inputs to the SEA to acceptable levels To preserve natural zones and biodiversity, including fisheries To reduce the use and impact of hazardous substances To become a model region to climate change To mitigate and adapt to climate change To remove hindrances to the internal market in the BSR including improving cooperation in the customs and tax area 	Strategy/ action plan	4 pillars with a total of 15 priority areas Actions with targets	Global objectives , intermediate (not SMART)	Yes

2. Determining the key thematic priorities in the reference documents

Having reviewed the reference documents and determined their relative importance to programme preparation, an analysis of the reference documents will be carried out in relation to how the thematic objectives (of the CSF) are reflected in the documents.

This is suggested done by using the principles of a log-frame approach to identify and compare priorities, objectives and challenges identified in the reference document. The thematic objectives of the CSF are broadly formulated and when assessing the reference documents these formulations will be interpreted broadly also scoring documents positively when only parts of a thematic objective is identified. The analysis will contain three aspects:

- Determining how the thematic objectives are addressed in the reference documents and the relative importance in each document of the thematic objectives, scoring these as high (key priority/objective), medium (one priority among a number) and low (mentioned in general). Each thematic object will obtain a scoring on the correlation between the documents and the objective. Thematic objectives with high scores indicate that these should be considered one of the four thematic objectives for the BSR programme 2014-2020.
- For each of the 11 thematic objectives the overall correlation between the 11 thematic objective and reference documents is analysed in a qualitative way i.e. how do the thematic objectives appear (description/context) in the reference documents.
- In addition a qualitative analysis of how BSR-specific features/objectives appear/feature in the documents covering the Baltic Sea Region or parts of it will be carried out.

In Table 3 preliminary values have been entered for the first aspect of the analysis (these do not reflect the final analysis) the other aspect will be reported in a qualitative way.

Table 3. The importance of the thematic objectives in the reference documents

Thematic Objective	1) Strengthening research, technological development and innovation	2) Enhancing access to, and use and quality of information and communication technologies	3) Enhancing the competitiveness of small and medium-sized enterprises	4) Supporting the shift towards a low-carbon economy in all sectors	5) Promoting climate changes adaption, risk prevention and management	6) Protecting the environment and promoting resources efficiency	7) Promoting sustainable transport and removing bottlenecks in key networks infrastructure	8) Promoting employment and supporting labour mobility	9) Promoting social inclusion and combating poverty	10) Investing in education, skills and life long learning	11) Enhancing institutional capacity and efficient public administration
Overall importance	High	High		High	High	High	High	High	High	High	
Key priority	High		High	High	High	High	High				
Priority 1						High	High				
Priority 2											
Priority 3											
Priority 4											
Priority 5											
Priority 6											
Priority 7											
Priority 8											
Priority 9											
Priority 10											
Priority 11											

3. Determine the horizontal themes in the key documents

In addition to the thematic objectives outlined in the CSF, there are a number of horizontal or general priorities/objectives which will need to be reflected in the programming of the BSR. The analysis will therefore identify which horizontal themes are included in the reference documents. The horizontal themes may be:

- Green growth/blue growth
- Demographic change
- Territorial integration

- Sustainable development
- Digital society

The purpose of this assessment will be to check how these themes appear in the documents, which relative importance these have (are these predominant or not); and what is said about these and how will these be relevant to the programming.

Table 4. Horizontal issues in the reference documents

Reference document/ Horizontal theme	Green growth/blue growth	Demographic change	Territorial integration	Sustainable development	Digital society	Etc.
1) Europe 2020						
2) BSR Strategy + action plan						
3) Territorial Agenda EU 2020						
4) TEN-E guidelines						
5) TEN-T guidelines						
6) Northern Dimension						

4. The outputs and timing

- 23 reference documents assessed and summarized; conclusion on how these can provide input to the programming;
- Detailed analysis of how each reference document reflects the CSF and horizontal issues with relevant examples to be included in report;
- Validate findings with stakeholders/JTS (meeting or draft report to JTS);
- Draft and final reports containing the analysis with identification of the thematic objectives. The analysis matrixes will be attached to the report. The reports will be submitted to the JPC (through the MA/JTS).

The table of content for the report on the strategic analysis of the reference documents will look as follows:

Table of context
1. An executive summary of conclusions and recommendations
2. A short description of the methodology,
3. Findings,
3.1 Overview and assessment of the reference documents (sorted according to criteria)
3.2 CSF thematic priorities in the reference documents (importance as well as description on how they appear in documents)
3.3 Horizontal issues in the key documents (which horizontal issues are predominant in the reference documents and how)
4. Conclusions and recommendations for the programming
Annexes 1-4 Overview tables

Table 5 **Activities of the strategic analysis**

No.	Activity	Description	Timing
2.1	Concept note	Development of concept note based on discussion of the kick-off meeting with the JTS Finalise the list of strategies.	21 May 2012
2.2	Present concept note	Presentation of the concept note at the JPC	13 June 2012
2.3	Review of strategies	Carry out the review of the strategies according to the methodology outlined above.	May-June
2.4	Assessment of strategies in relation to CSF	Each strategy will be analysed and the correlation to CSF thematic objectives will be established.	June-July
2.5	Assess horizontal themes of strategies documents	Each strategy will be analysed and the correlation to horizontal priorities will be established	June-July
2.6	Interviews with key stakeholders/JTS	After the analysis has been completed, a number of expert interviews will be carried out to verify the findings.	August
2.7	Preparation of the draft report	The draft report will be prepared according to the structure	5 September
2.8	Presentation and discussion of the analytical report	The draft will be presented to the JPC and discussed at a programming tasks force	20 September
2.9	Presentation the analytical report	At the 3rd JPC meeting	28 November
2.10	Preparation of the final analytical report	The final analytical report will be prepared including the comments of the JPC.	December

Annex 1. Key documents for assessment

No	Title	Published by	Date
1	Europe 2020 Strategy	EU Documents	2010
2	BSR Strategy		2009 + 2010
3	Territorial Agenda of the EU 2020		2011
4	Proposal for new TEN-E guidelines/Energy infrastructure priorities for 2020 and beyond - A blueprint for an integrated energy network		2011
5	Proposal for new TEN-T guidelines/Roadmap to a single European Transport Area - Towards a competitive and resource efficient transport system.		2011
6	Northern Dimension Policy Framework Document		2006
7	Political Declaration Northern Dimension Policy		2006
8	EU-Russia Common Spaces Progress Report 2010		(2011)
9	Joint EU-Russia statement on the Partnership for Modernisation		(2010)
10	Work plan on activities within the EU-Russia Partnership for Modernisation		(2010)
Intergovernmental and other documents			
11	State of the Region Report	BDF	2011
12	HELCOM Baltic Sea Action Plan	HELCOM	2007
13	VASAB Long-Term Perspective for the Territorial Development of the BSR	VASAB	2010
14	The Future of the Baltic Sea Region: Potentials and challenges	HWWI	2011
15	Development Perspective for the NSPA	NORDREGIO	2009
16	NSPA Foresight 2020 - Policy Road Map	NORDREGIO	2009
17	Strong, Specific and Promising - Towards a vision for the Northern Sparsely Populated areas in 2020	Nordregio	2009
18	Joint Communiqué of 12 October 2011	Barents Euro-Arctic Council	2011
19	Talking Barents	The Norwegian Barents Secretariat	2010
20	Barents Borders: Delimitation and internationalization	Link does not work	2012
21	Position Paper on the future of Objective 3/INTERREG funding in the period after 2013 submitted by the STRING partnership	STRING	06/2011
22	The Zealand Agreement	STRING	09/2011
23	Strategy of Social and Economic Development of the North-West Federal District Until 2020	?	?