Assessing RIS3 strategies guiding questions

RIS3

Regionalne Forum Inteligentnych Specjalizacji

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Regional Policy

Message to pass:

RIS³ is <u>not</u> only about passing the ex-ante conditionality to access Structural Funds money or yet another administrative "paper-filling" obligation imposed by the Commission, but:

➢ **Doing more with less** through focus & cooperation

➢**Comprehensive** (legal & admin. framework, synergies …)

➢**Evidence-based & built on existing assets**

➢**Put innovators' needs at centre!**

➢**Good policy-making!!!**

Headline questions

*1. Is the strategy based on an **appropriate stakeholder involvement?** How does it support the entrepreneurial discovery process of testing possible new areas?*

*2. Is the strategy **evidence-based**? How have areas of strength and future activity been identified?*

*3. Does the strategy set **innovation and knowledge-based development priorities**? How have potential areas of future activity been identified? How does it support the upgrading of existing activities?*

*4. Does the strategy identify **appropriate actions**? How good is the policy mix?*

*5. Is the strategy **outward looking** and how does it promote critical mass/potential?*

*6. Does the strategy produce **synergies between different policies and funding sources?** How does it align/leverage EU/national/regional policies to support upgrading in the identified areas of current and potential future strength?*

*7. Does the strategy set **achievable goals, measure progress**? How does it support a process of policy learning and adaptation? How is it to be communicated?*

*8. What are the **conclusions** and which advice can be given to improve the strategy?*

9. Conform with ex-ante conditionality

Stakeholder involvement/entrepreneurial discovery

1.1 Has the strategy been developed through a broadly-based process of direct stakeholder involvement, including mainly regional government/regional agencies, entrepreneurs, knowledge providers but also other/new stakeholders with the potential for innovative contributions, through measures such as surveys, consultations, dedicated working groups, workshops, etc.

1.2 Has this process been adequately described or referred to in the submitted document?

1.3 Is there an identified leader of the RIS3 process? If yes, who is it? Does the strategy identify the leading entrepreneurs involved in the process?

1.4 Is the priority-setting in the strategy based on an identification of market opportunities/economic potential informed by an entrepreneurial search/discovery process, i.e. by a process foreseen to identify and test specific entrepreneurial opportunities?

Evidence base/analysis/vision

2.1 Does the strategy include/build on a sound analysis of the country's/region's existing situation with regard to scientific/technological and economic specialisations or refer to such an analysis/related studies?

2.2 Is it based on a sound assessment of the competitive assets of the region, including an analysis of its strengths, weaknesses and bottlenecks

2.3 Besides a SWOT analysis, what other quantitative and qualitative information/methods have informed the strategy (e.g. cluster analysis, value chain analysis, peer review, foresight)

2.4 Does the document propose a vision for the region? Is this vision clearly described, credible and realistic?

Priority setting

3.1 Does the strategy outline a limited set of innovation and knowledge-based development priorities?

3.2 Are these priorities sufficiently specific identifying existing/potential niches for smart specialisation and related upgrading of existing activities or potential future activities?

3.3 Do the thematic priorities chosen in the strategy reflect the description and analysis of the regional economic structure, competences and skills?

3.4 Does the strategy take into account considerations of achieving critical mass and/or critical potential in the priority areas selected?

Incl. non-technological and service-sector innovation

Policy mix

4.1 Does the strategy include action lines and/or realistic roadmaps in line with the objectives? Are these sufficient to reach the objectives?

4.2 Does the strategy indicate which bodies are responsible for the implementation of these action lines/roadmaps?

4.3. How does the strategy support/facilitate:

cross-clustering and the identification of innovation opportunities at the interface between different disciplines/industries/clusters?

entrepreneurship and the innovation capabilities of SMEs, for instance by facilitating the diffusion and adaption of technologies, incl. key enabling technologies?

the improvement of demand-side conditions and especially public procurement as a driver for innovation?

Are there sector-specific support services/schemes foreseen?

Policy mix II

4.4 Does the document outline measures to stimulate <u>private</u> R&D&I investments, for instance through public private partnerships? Does it demonstrate/aim at financial commitment of the private sector with the strategy?

4.5. Does the strategy identify budgetary sources, and does it present indicative budget allocations?

4.6 Does it include a sufficiently balanced mix of soft innovation support services and financial instruments? Does it foresee an appropriate mix of grants, loans and financial engineering (venture capital)?

External dimension

5.1 Does the strategy take into account the competitive position of the country/region with regard to other countries/regions in the EU and beyond, as well as its positioning within global value chains?

5.2 Does it foster the internationalisation of SMEs and does it stimulate regional clusters/initiatives to make connections within international/global value chains?

5.3. Does it foster strategic cooperation with other regions (please note whether the regions foresees the allocation of mainstream Structural Funds within their Operational Programmes and/or cooperation through INTERREG)?

5.4 Are sufficient efforts being made with regard to avoiding imitation, duplication and fragmentation, in particular with regard to what is happening in neighbouring regions.

Synergies/policy alignment

6.1 Is the strategy and its priority-setting complementary to national-level priorities, e.g. is it in line with the National Reform Programme, and is it in synergy with national research/education policies?

6.2 Is the strategy based on inter-departmental/inter-ministerial/inter-agency coordination and cooperation covering relevant policies, in particular between research/science policies and , economic development policies, but also with regard to other relevant policies such as for instance education, employment and rural development policies? Does it assess/take into account the existing level of policy coordination within the region?

6.3 Does the strategy include a clear reflection/proposal on how to exploit synergies between different European, national and regional funding sources, in particular between ERDF and Horizon 2020, but also with other key programmes such as ESF, EAFRD and COSME?

6.4 Does it consider both, upstream and downstream actions to and from Horizon 2020 financed by Cohesion Policy? How does the strategy link to relevant European (ESFRI) as well as to smaller national and regional partnering facilities?

Governance/monitoring/communication

7.1 Does the document identify concrete, achievable goals? Does it identify output and result indicators and a realistic timeline for these goals?

7.2 Does the region have a sound governance and monitoring system in place to implement, monitor and evaluate the regional innovation strategy? Does this support a process of continuous policy learning and adaptation? If not, are actions foreseen to build up capabilities for that?

7.3 How is the strategy to be communicated to stakeholders and the general public? What are the mechanisms for ensuring support for the strategy from critical groups and the active participation of such groups in its implementation?

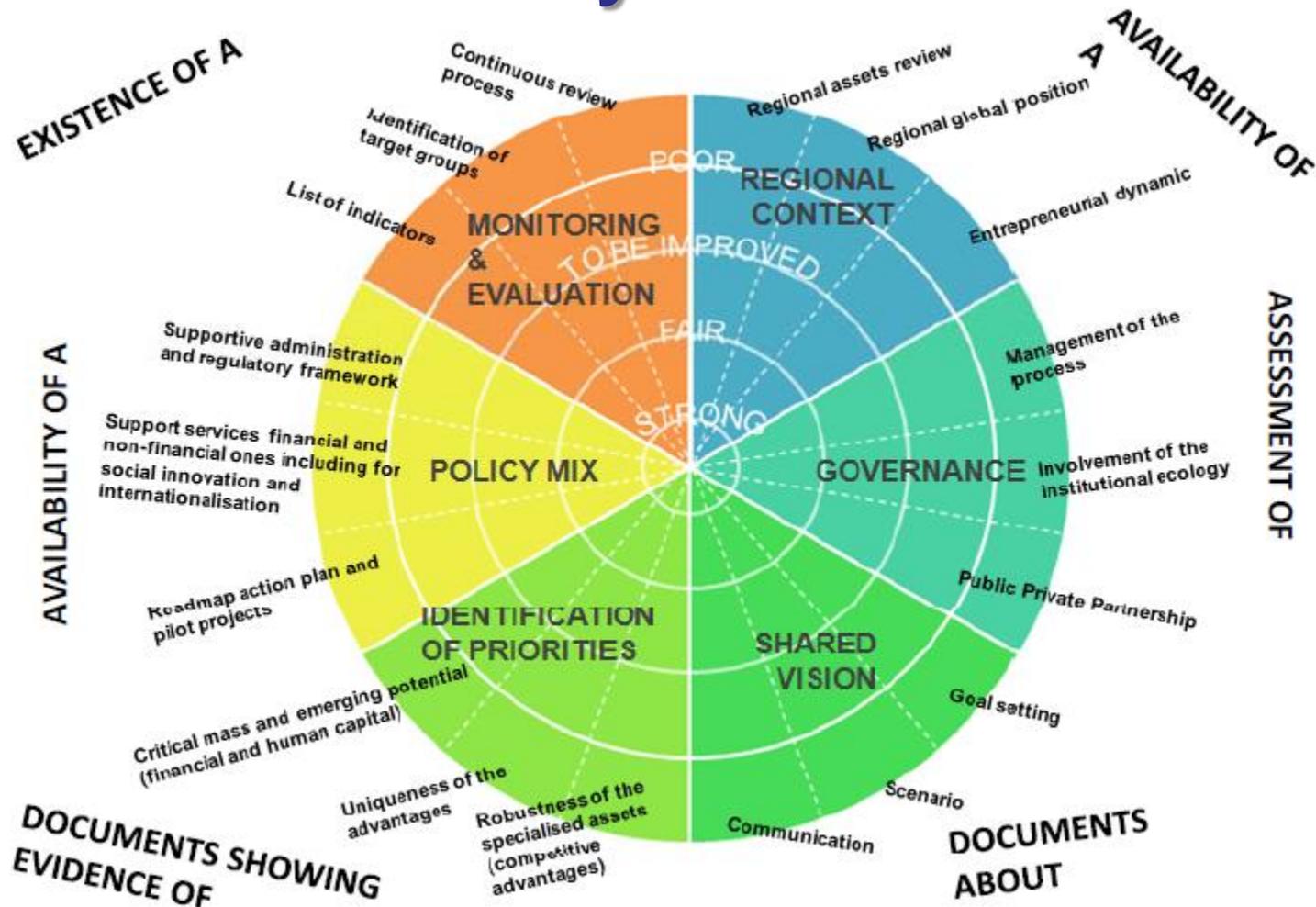## Your conclusions/recommendations

8.1 In case the strategy is based on an earlier strategic exercise/innovation strategy, has it been appropriately reviewed and updated? What is done/going to be done differently as a consequence of the strategy and process compared to the previous/existing economic strategy?

8.2 Can the strategy be regarded as a regional research and innovation strategy for smart specialisation? What are its strong aspects? What are its weaker parts?

8.3 What needs to be changed/improved? Feel free to add any other comment you may have that could help the region to improve its RIS3 process and strategy.

Dimensions of analysis

Source: Eurada

Step 1: Analysis of regional/national context

Regional/national context

Step 1 (page 18) + Annex I (pages 28- 33)

- regional / national assets' endowment
- SWOT
- innovation potential & skills for knowledge based development

Outward Dimension

Step 1 (page 19) + Annex I (pages 28-33)

- connectivity - knowledge, trade & skills flows
- positioning in trans-regional and international value chains
- trans-regional/international collaboration networks

Entrepreneurial Dynamics

Step 1 (page 20) + Annex I (pages 28-33)

- start-ups, clusters, entrepreneurial networks
- FDI
- new forms of self-employment, etc.

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Source: Eurada

Step 2: Governance

Step 2 (page 21) + Annex I (pages 34-44)

Governance
- identification of specific bodies and definition of their tasks, roles and responsibilities

Broad Participation
- interactive, consensus-based application of collaborative leadership principles
-quadruple helix actors (involvement of boundary spanners)

Management & Communication
- use of open forum discussion and citizen dialogue

Source: Eurada

Step 3: Shared vision

Step 3 (page 22) + Annex I (pages 45-50)

Broad View of Innovation
- are social, organisational, service and market innovation considered beside technological and science based innovation?

Grand Challenges
- sustainable economic development

Scenario Analysis
- risk assessment and contingency plan for possible future changes

Step 4: Identification of priorities

Step 4 (page 22) + Annex I (pages 51-52)

Revision of Past Priorities
- critical revision of past experiences (from RIS to RIS3)
-dynamic identification of actual or potential areas with competitive advantages

Consistency
- alignment with context analysis and harvesting of entrepreneurial discoveries and DAE

Critical Mass
- concentration of resources to the limited number of priorities

Source: Eurada

Step 5: Policy mix

Step 5 (page 23) + Annex I (pages 53-58)

Roadmap
- including action plan and pilot projects

Balance
-appropriate mix of targeted and horizontal measures

Framework Conditions
- e.g. allowing for support to experimentation, etc.

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Source: Eurada

Step 6: Monitoring & Evaluation

Step 6 (pages 24-25) + Annex I (pages 59-64)

Output & Result Indicators
- selection of a limited number of output & result Indicators linked to priorities with clearly identified baselines and targets

Monitoring
- mechanisms, supported by appropriate data collection, to verify how the activities in the RIS3 are delivering the output and result targets
-revision of priorities and policy mix as a result of the monitoring exercise

RIS3 Update
- revision of priorities and policy mix as a result of the monitoring exercise and entrepreneurial discovery process

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Source: Eurada

Ex-ante conditionality on RIS3 (after adoption by EU Parliament in November 2013)

Strengthening research, technological development and innovation (R&D target):

1.1. Research and innovation:
The **existence** of a **national or regional smart specialisation strategy** in line with the **National Reform Programme,** to **leverage private research and innovation expenditure,** which complies with the **features of well-performing national or regional research and innovation systems**

1.2. Research and innovation infrastructure:
The existence of a **multi-annual plan for budgeting** and prioritisation of investments

Ex-ante conditionality on RIS3

–   is based on a SWOT or similar analysis to concentrate resources on a limited set of research and innovation priorities:

> there is evidence that a SWOT or a similar analysis has been conducted in order to establish priorities for investment

> there is a description of the methodology used for the analysis

> there is a description of the prioritisation/elimination process, including the involvement of stakeholders, and of its results.

Ex-ante conditionality on RIS3

−   outlines measures to stimulate private RTD investment:

> there is a description of the policy-mix planned to be used for the implementation of smart specialisation and indication which programme/ instrument will be used for their funding,

> there is an explanation on how these measures are tailored to the needs of enterprises, in particular SMEs (e.g. description of the "entrepreneurial discovery process" used for the strategy development), and other private R&I investors and/or which other measures are undertaken to incentivise private research and innovation investments.

–   contains a monitoring mechanism:

> there is a description of the methodology, including the chosen indicators, and governance structure of the monitoring mechanism.

> there is a description of how the follow-up to the findings of the monitoring will be ensured.

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Ex-ante conditionality on RIS3

A framework outlining available budgetary resources for research and innovation has been adopted.

> The relevant operational programme contains a reference to the name of the framework and indicates where it is published (in a form of a link)

> A national or regional framework[2] outlining available budgetary resources for research and innovation has been adopted, indicating various sources of finance [and indicative amounts] (EU, national and other sources as appropriate)

Questions?