The RIS3 Guide: Research and Innovation Strategies for Smart Specialisation

Sofia, 10 May 2012

Dr Ruslan Rakhmatullin
(ruslan.rakhmatullin@ec.europa.eu)
S3 Platform
European Commission
DG JRC (IPTS)
What is RIS3?

(National/Regional) Research and Innovation Strategies for Smart Specialisation are integrated, place-based economic transformation agendas that do five important things:

• They focus policy support and investments on key national/regional priorities, challenges and needs for knowledge-based development, including ICT-related measures;
• They build on each country's/region’s strengths, competitive advantages and potential for excellence;
• They support technological as well as practice-based innovation and aim to stimulate private sector investment;
• They get stakeholders fully involved and encourage innovation and experimentation;
• They are evidence-based and include sound monitoring and evaluation systems.
Novelties in RIS3?

Building on the past
- Widespread experience of national/regional innovation strategies in the framework of the EU cohesion policy
- Achieved greater co-operation among private and public stakeholders and better communication between technology providers and clients

... but breaking away from the past
- Lack of international and trans-regional perspective
- Not in tune with the industrial and economic fabric of regions
- A very narrow vision of innovation
- Picking the winner syndrome
- The best performing regions were often copied
Designed to **assist regions and Member States** in developing RIS3 strategies

Managed by a **S3 Platform team** established at JRC-IPTS in Seville

Monitored by a **Steering Team** including several EC DGs (DG REGIO, RTD, ENTR, EAC, INFSO and SANCO)

Input from a **Mirror Group** of European high-level experts and stakeholders

[http://s3platform.jrc.ec.europa.eu](http://s3platform.jrc.ec.europa.eu)
Support to regions in preparing RIS3

- Assessment of draft and final RIS3
- Informal Peer Review workshops
- Thematic working groups
- Seminars in Member States and Regions
- RIS3 Guide
- Website with special access for regions and interactive tools
The RIS3 Guide

Edited by JRC IPTS in association with DG REGIO and with contributions from:

- D. Foray, P. McCann, J. Goddard, K. Morgan, C. Nauwelaers, R. Ortega
- Representatives of various EC DGs
- S3 Platform research team

Available on the S3 Platform site:
http://s3platform.jrc.ec.europa.eu
Key steps for developing RIS3

Step 1 – Analysis of regional context/potential
Step 2 – Governance
Step 3 – Vision for the future
Step 4 – Selection of priorities
Step 5 – Policy mix
Step 6 – Monitoring and evaluation
Step 1 – Analysis of regional context and potential for innovation (I)

- A broader definition of innovation, not just RTD-oriented
- Assess existing regional assets
- Identify regional competitive advantage
- Detect emerging niches for smart specialisation
- Combine methods (e.g. regional profiling, SWOT approach, surveys)
Step 1 – Analysis of regional context – looking out – and potential for innovation (II)

Outward-looking Analysis:

- Assess region’s positioning within the EU
- Beware of global companies and value chains
- Flows of knowledge and skills
- Avoid ‘blind’ duplication, discover possibilities for collaboration
- Combine methods (e.g. studies; interviews; interregional work groups)
Step 1 – Analysis of regional context and potential for innovation (III)

Analysis of **entrepreneurial dynamics** and identification of future opportunities:

- Different types of actors
- Spirit of the entrepreneurial environment
- Involvement of entrepreneurial actors in the regional economy
  - Firms, but also Universities, Technology Centers, Venture Capitalists, Regional Development Agencies...
- Identify economic differentiation potential
- Combine methods
  - consultation with firms, clusters; technological audits; foresight studies
Step 2 – Governance: Ensuring participation and ownership

Wider engagement of stakeholders:

- Include the demand-side perspective → Quadruple Helix
- Collaborative leadership
- Boundary spanning individuals and organisations
- Dedicated Steering Group/ Knowledge Leadership Group, Management Team, Working groups
Step 3 – Developing an overall vision of the region’s future

Shared vision of the region’s potential and main directions for its international positioning:

- Formulate different scenarios based on analyses and debate where your region wants to go
- Produce a positive tension towards the future
- Guarantee long-term engagement of stakeholders
- Mobilising power
Step 4 – Identification of priorities

Decision-making step where top-down meets bottom-up:

- Focus on a limited number of areas with potential for smart specialisation as emerged from entrepreneurial discovery
- Areas where the region hopes to excel
- Pay attention to horizontal priorities (Key Enabling Technologies, social innovation, etc.)
- Avoid capture by interest groups!
Step 5 – Definition of a coherent policy mix, roadmaps and action plan

Organising and detailing rules and tools:

- Roadmap will include:
- Action plan → target groups, objectives, timeframes, indicators, sources of funding and budget allocations
- Pilot projects → experiment with unprecedented policy mixes, obtain inputs for updating RIS3 strategies
Step 6 – Integration of monitoring and evaluation mechanisms

Mechanisms *integrated* in the strategy:

- Monitoring → to verify the correct and efficient implementation of activities
- Evaluation → to verify whether and how strategic goals are met
- Importance of ex-ante setting of measurable targets and output/outcome indicators
The importance of communication of RIS3

Good communication is crucial:

- To ensure RIS3 endorsement by all stakeholders
- To engage new stakeholders
- To inform the general public
- Communication is needed at every stage of the process
(Peer) Review and update of RIS3

Formulating and implementing a RIS3 is a continuous process:

- Need to adapt and update the strategy
- Information is gathered during implementation and incorporated into an updated RIS3
- Peer-review exercise:
  1\textsuperscript{st} Workshop in Seville (January 2012)
  2\textsuperscript{nd} Workshop in Seville (May 2012)
  3\textsuperscript{rd} Workshop in the Azores (June 2012)
  4\textsuperscript{th} Workshop in Puglia (September 2012, tbc)
The RIS3 Guide

First draft version published in December 2011

The new updated version is now available from the S3 Platform website

PART I: THE POLICY CONTEXT
PART II: THE RATIONALE
PART III: RIS3 DESIGN IN A NUTSHELL

Annex I – A step-by-step approach to RIS3 design
Annex II – Delivery instruments and horizontal approaches
Annex III – Guidance for expert assessment
Thank you!

http://s3platform.jrc.ec.europa.eu

JRC-IPTS-S3PLATFORM@ec.europa.eu