



The RIS3 Guide: Research and Innovation Strategies for Smart Specialisation

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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



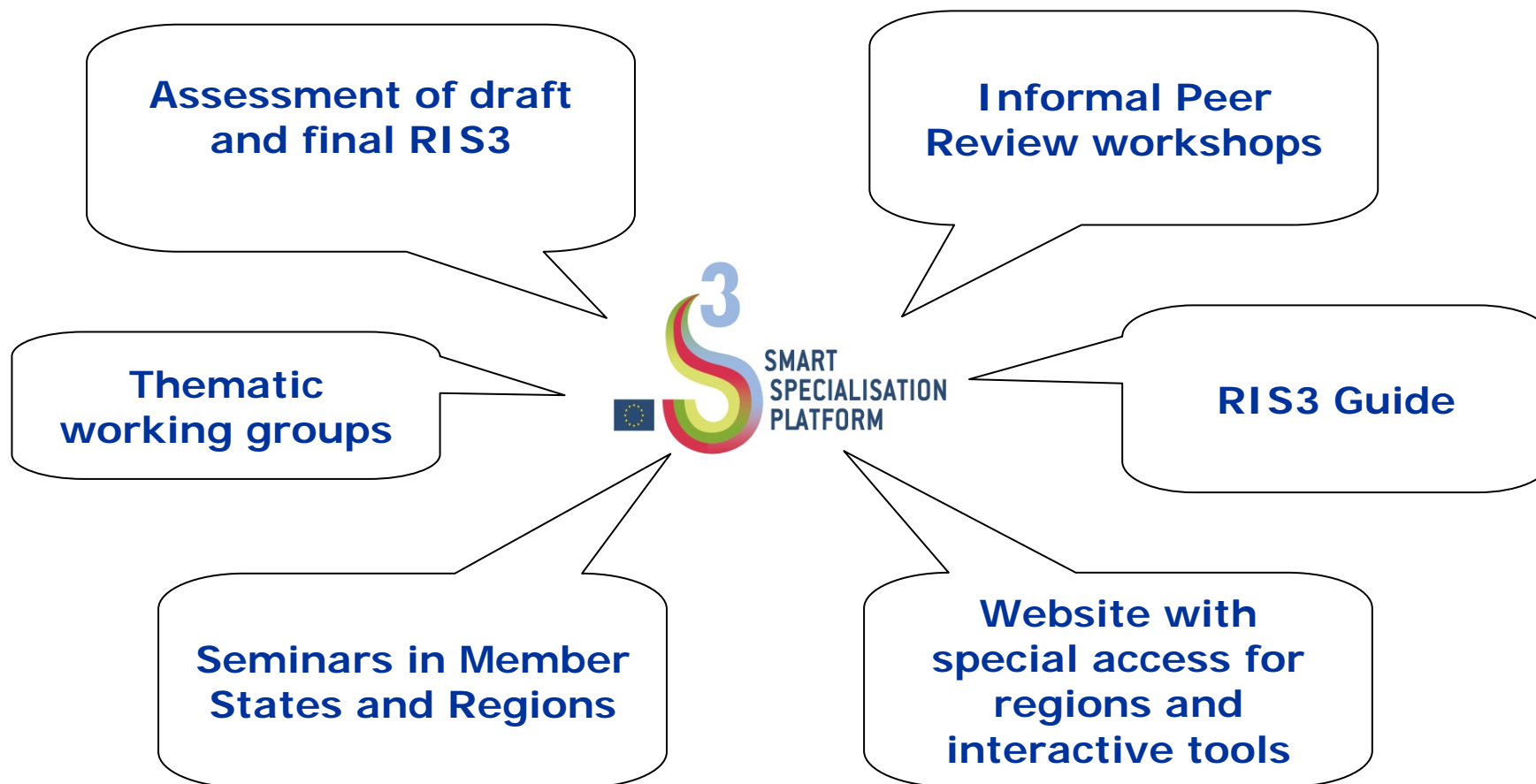


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- ❑ Designed to **assist regions and Member States** in developing RIS3 strategies
- ❑ Managed by a **S3 Platform team** established at JRC-IPTS in Seville
- ❑ Monitored by a **Steering Team** including several EC DGs (DG REGIO, RTD, ENTR, EAC, INFSO and SANCO)
- ❑ Input from a **Mirror Group** of European high-level experts and stakeholders



Support to regions in preparing RIS3



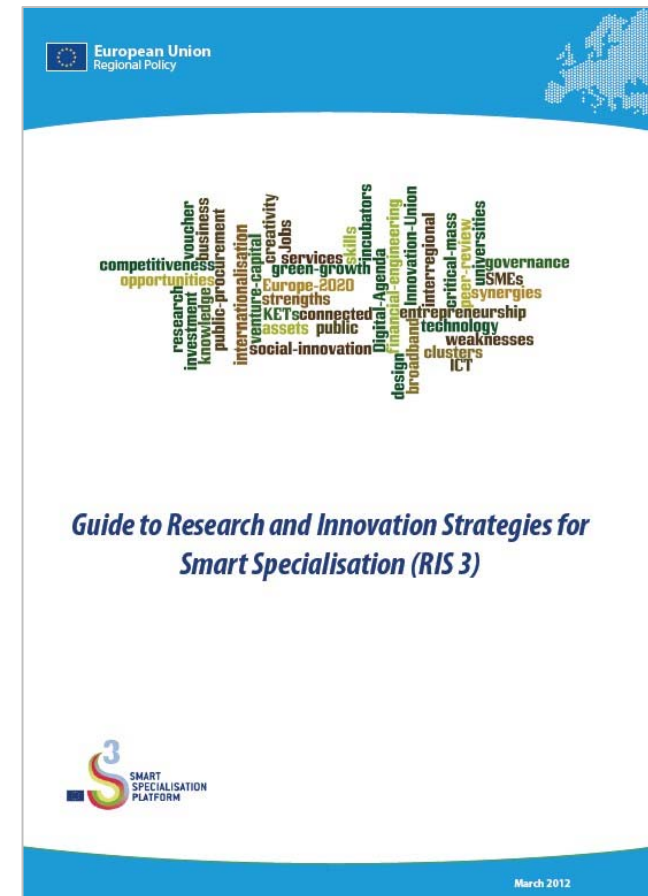


The RIS3 Guide

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

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- 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 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

Monitoring & Evaluation



The importance of communication of RIS3

Good communication is crucial:

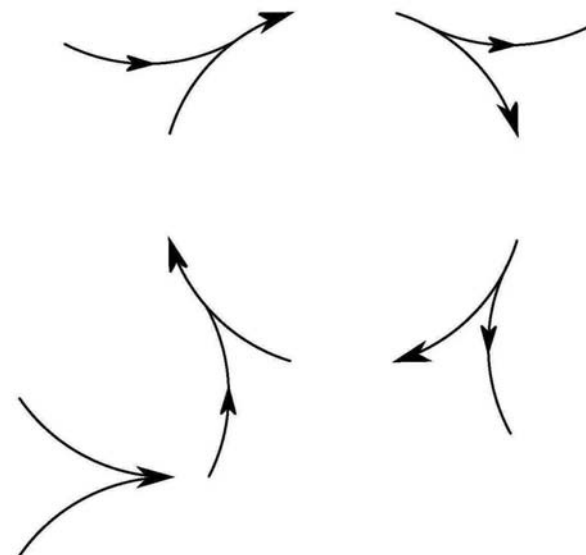
- To ensure RIS3 endorsement by all stakeholders
- To engage new stakeholders
- To inform the general public
- Communication is needed at every stage of the process



(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:
 - 1st Workshop in Seville (January 2012)
 - 2nd Workshop in Seville (May 2012)
 - 3rd Workshop in the Azores (June 2012)
 - 4th 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

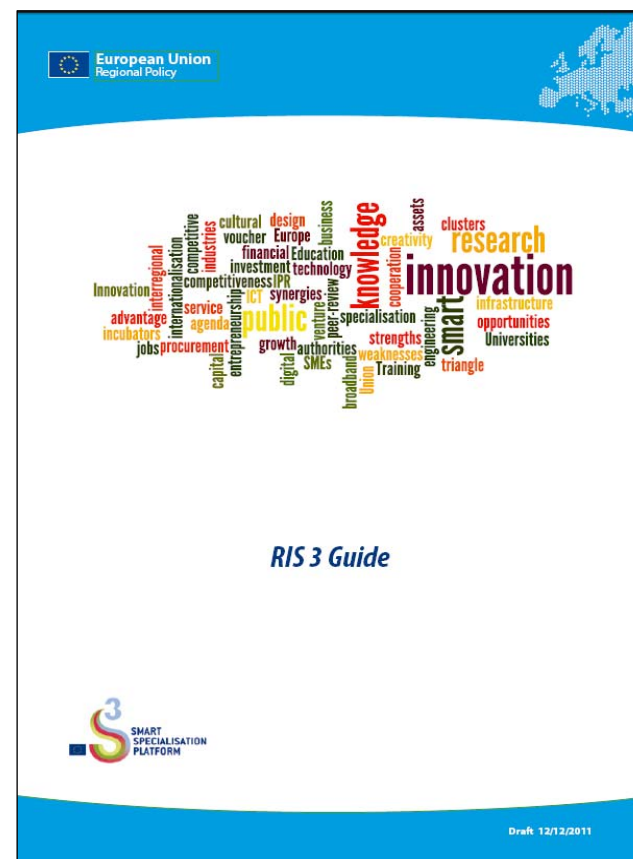
PART II: THE RATIONALE

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!



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