



Practical issues linked to RIS³ conditionality

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Thematic ex-ante conditionalities

... state-of-play regarding RIS3 conditionality...

Thematic objectives	<u>Ex ante</u> conditionality	Criteria for fulfilment
1. Strengthening research, technological development and innovation (R&D target) (referred to in Article 9(1))	<p>1.1. Research and innovation:</p> <p>The existence of a national or regional research and innovation (strategy) (<i>strategic policy framework(s)</i>) for smart specialisation in line with the National Reform Programme, to leverage private research and innovation expenditure, <i>[which complies with the features of well-performing national or regional research and innovation systems.]</i></p> <p>For research infrastructures only:</p> <p>1.2 The existence of a multi-annual plan for budgeting and prioritization of investments.</p>	<ul style="list-style-type: none"> – is based on a SWOT analysis to concentrate resources on a limited set of research and innovation priorities; – outlines measures to stimulate private RTD investment; – contains a monitoring [and review] system. <p>A framework outlining available budgetary resources for research and innovation;</p> <p>A [indicative] multi-annual plan for budgeting and prioritization of investments linked to EU priorities [and, where appropriate, the] European Strategy Forum on Research Infrastructures -ESFRI).</p>



Thematic ex-ante conditionalities

... to what else does the RIS3 apply?

Thematic objectives	<u>Ex ante</u> conditionality	Criteria for fulfilment
2. Enhancing access to and use and quality of ICT (Broadband target) (referred to in Article 9(2)) (R&D target) (referred to in Article 9(1))	2.1. Digital growth: [The existence within the national or regional innovation strategy for smart specialisation of an explicit chapter for] A strategic policy framework for digital growth to stimulate demand for affordable, good quality and interoperable ICT-enabled private and public services and increase uptake by citizens, including vulnerable groups, businesses and public administrations including cross-border initiatives.	<p>[A strategic policy framework for digital growth, for instance, within the national or regional innovation strategic policy framework for smart specialisation is in place that contains]:</p> <ul style="list-style-type: none"> - budgeting and prioritisation of actions through a SWOT analysis [carried out in Alignment] consistent with the Scoreboard of the Digital Agenda for Europe; – an analyses of balancing support for demand and supply of information and communication technologies (ICT) should have been conducted; – indicators to measure progress [measurable targets for outcomes] of interventions in the field of digital literacy, skills, e-inclusion, e-accessibility, and e-health [within the limits of Article 168 TFEU] which are aligned with existing relevant sectoral national or regional strategies. – assessment of needs to reinforce ICT capacity-building.



Thematic ex-ante conditionalities

... and how about other conditionalities impacting on innovation?

- ✓ 2.2. Next Generation Access (NGA) Infrastructure
- ✓ 3.1. Small Business Act (SBA) implementation
- ✓ 8.2. comprehensive strategy for inclusive start-up support in accordance with the Small Business Act
- ✓ 9.2. strategies for increasing tertiary education attainment, quality and efficiency
- ✓ 9.3. policy framework for lifelong learning
- ✓ 11. strategy for reinforcing the Member States' administrative efficiency including public administration reform



... and what happens if RIS3 implementation is unsatisfactory?

Milestones & indicators e.g. for innovation (from proposed common indicators)

- Number of enterprises cooperating with assisted research institutions
- Number of posts for R&D personnel created in assisted entities
- Private investment matching public support in innovation or R&D projects
- Number of enterprises that introduced new or significantly improved products, new to the market as a result of supported innovation or R&D projects
- Number of enterprises that introduced new or significantly improved products, new to the firm as a result of supported innovation or R&D projects
- Number of R&D personnel/researchers working in newly built or equipped research infrastructures

Performance review in 2017 and 2019:

→ **suspend payments or apply financial corrections**, to avoid wastefulness & inefficiency

See on performance indicators:

http://ec.europa.eu/regional_policy/sources/docgener/evaluation/performance_en.htm

RIS3 vs. Operational Programmes

... what is the relation?

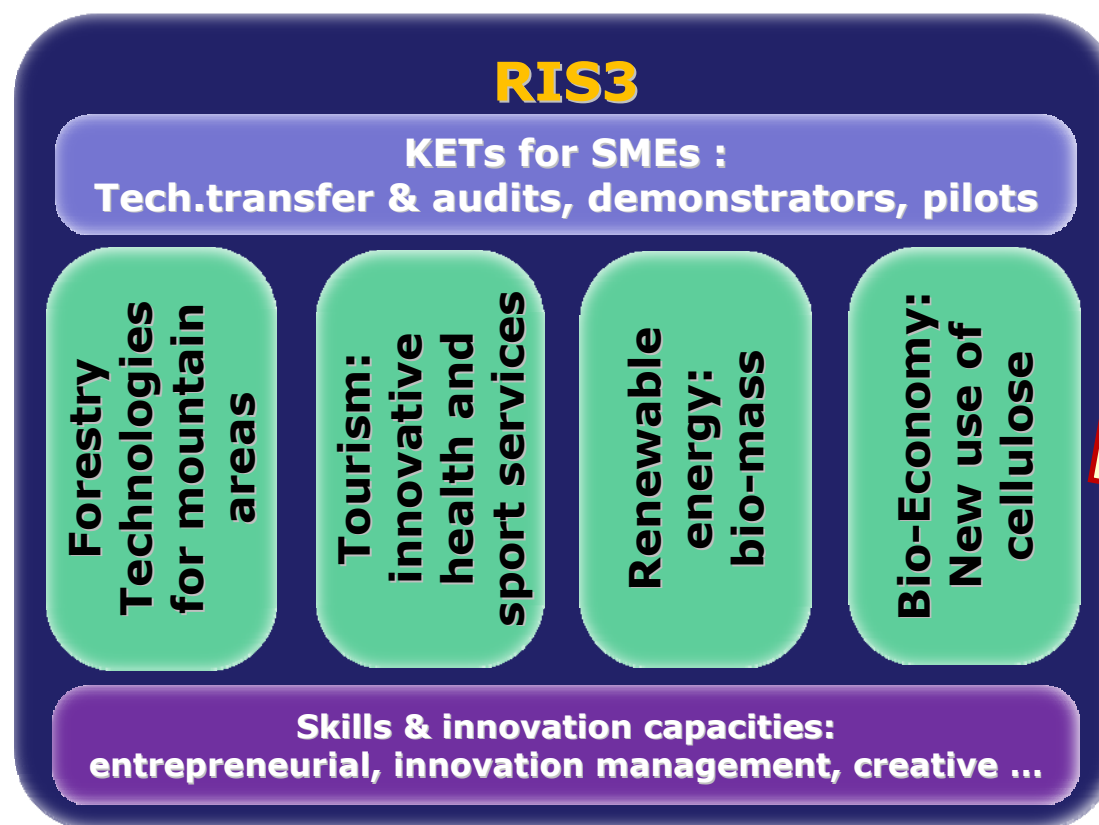


RIS3 can encompass:

- ESF investments in business incubation, self-employment and entrepreneurial skills
 - ERDF & EAFRD & EMFF investments in SME competitiveness
 - Innovation demand aspects in Cohesion Fund (public procurement of innovative solutions)
- + own national / regional funding, legislation, etc.

Hypothetical Structure of a RIS3

Fields of
"specialisation"
... or rather
differentiation,
diversification,
critical mass,
future potential
...



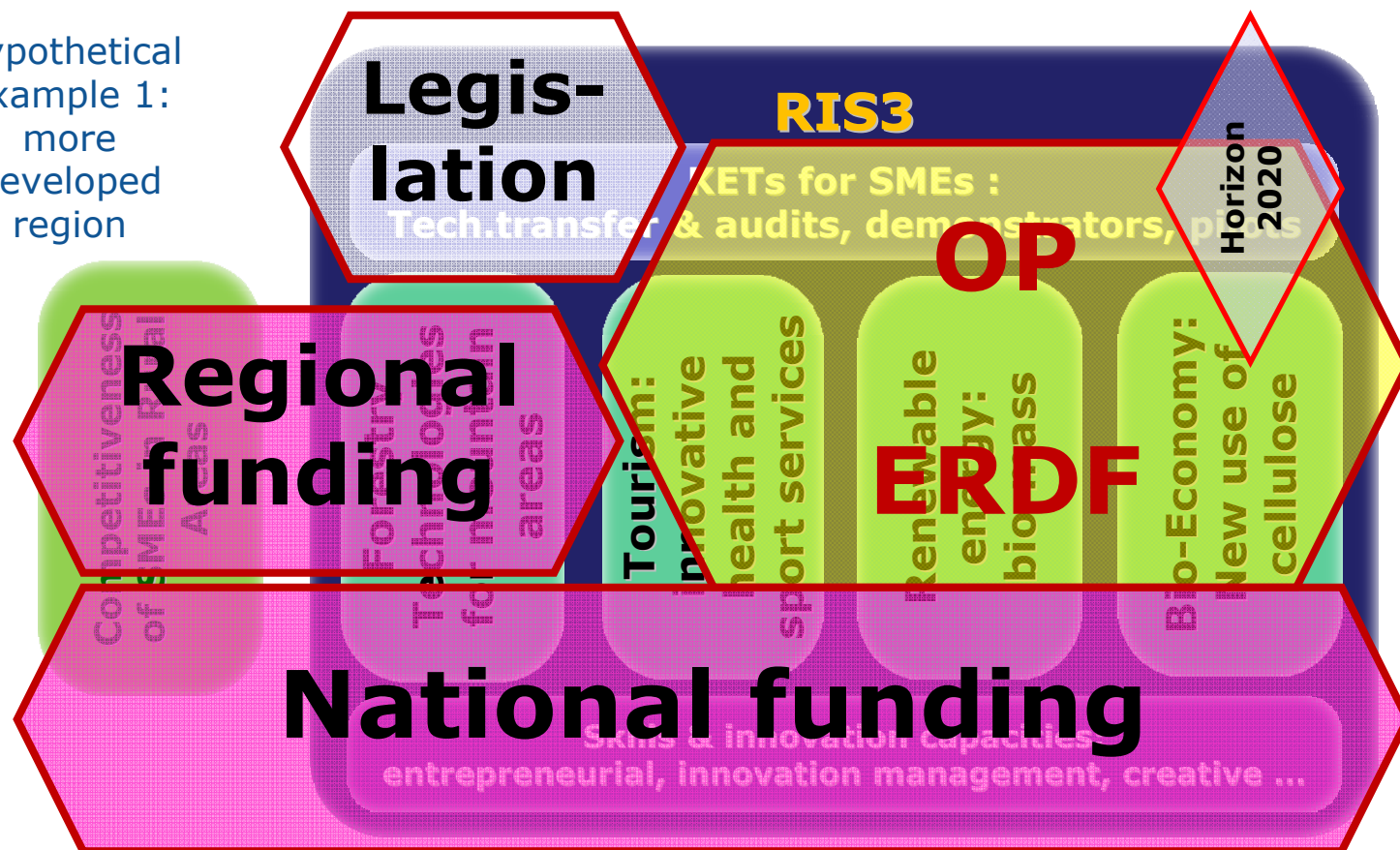
RIS3 \neq reinventing the wheel!

If an innovation strategy or support system exists, build on it!

Technical Assistance may be used to develop and monitor the RIS3

RIS3 \neq Operational Programme

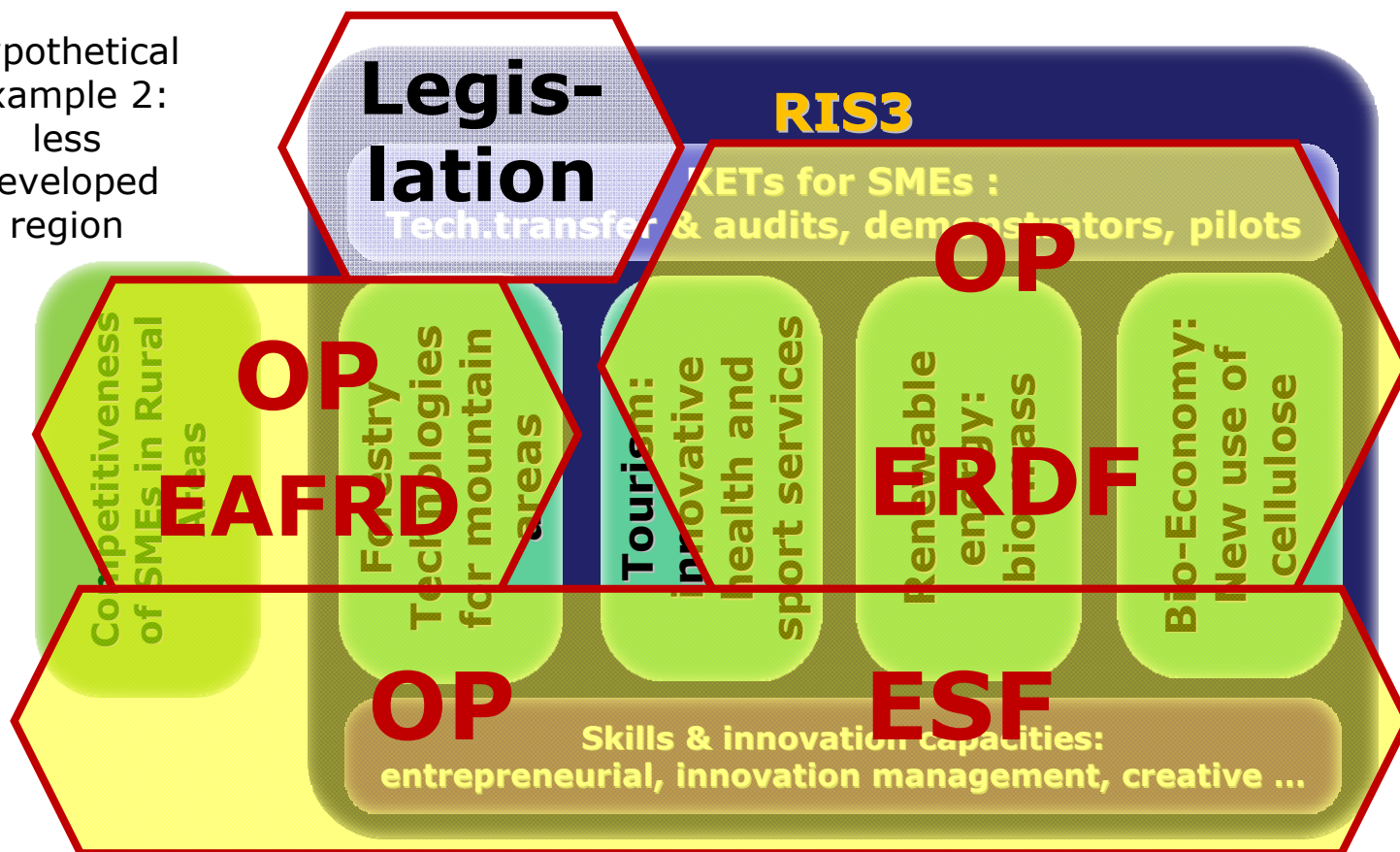
Hypothetical
example 1:
more
developed
region



Implementation
drawing on a
variety of
sources ...

RIS3 \neq Operational Programme

Hypothetical
example 2:
less
developed
region

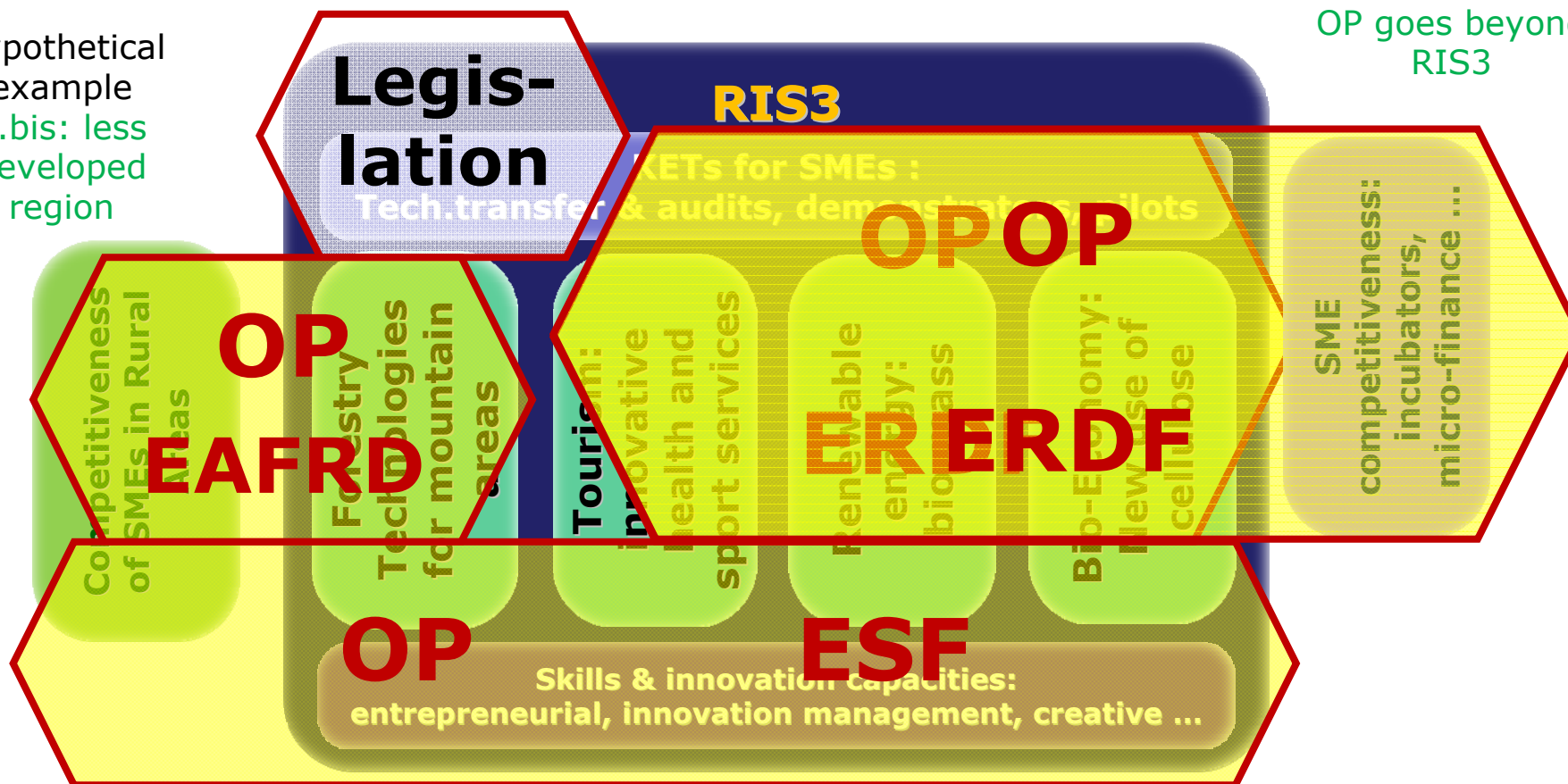


Implementation
drawing mainly
on Structural
Funds ...

RIS3 \neq Operational Programme

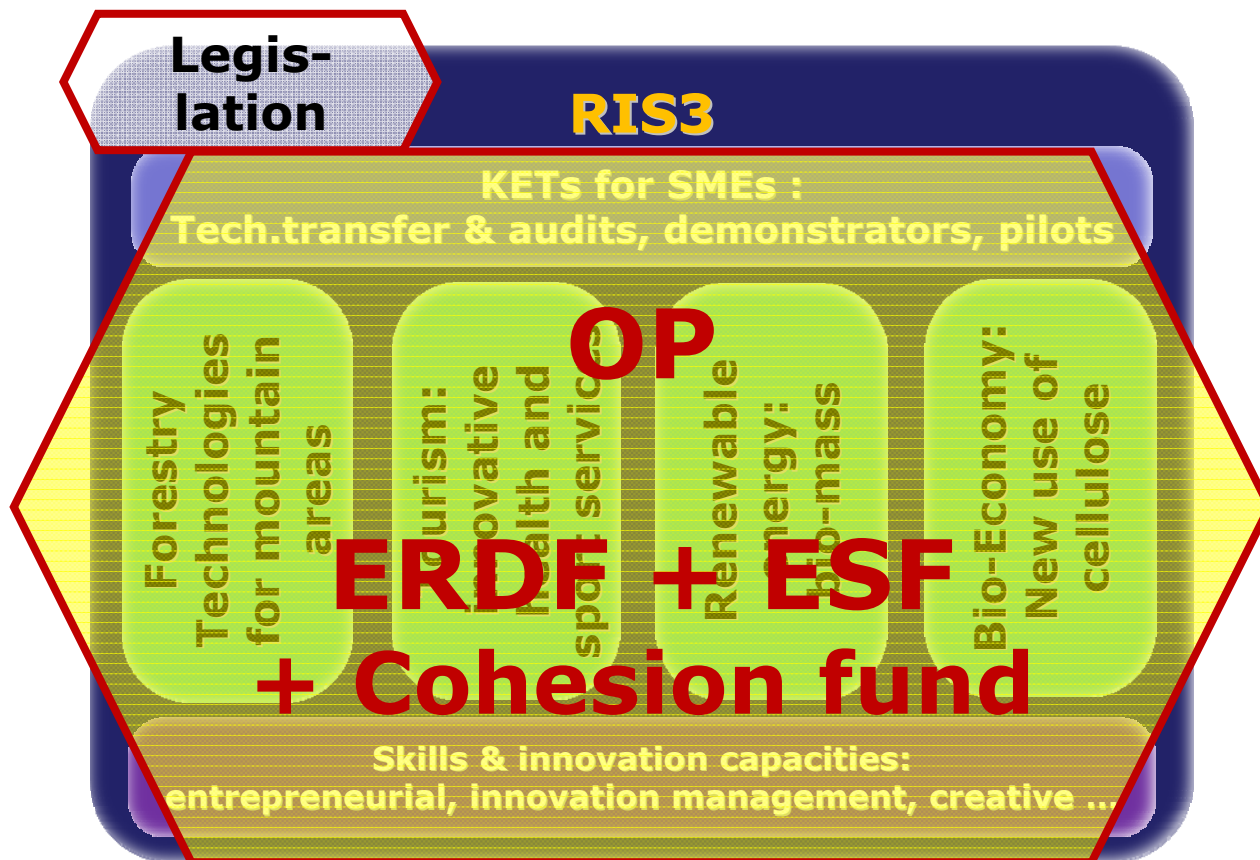
Hypothetical
example
2.bis: less
developed
region

OP goes beyond
RIS3



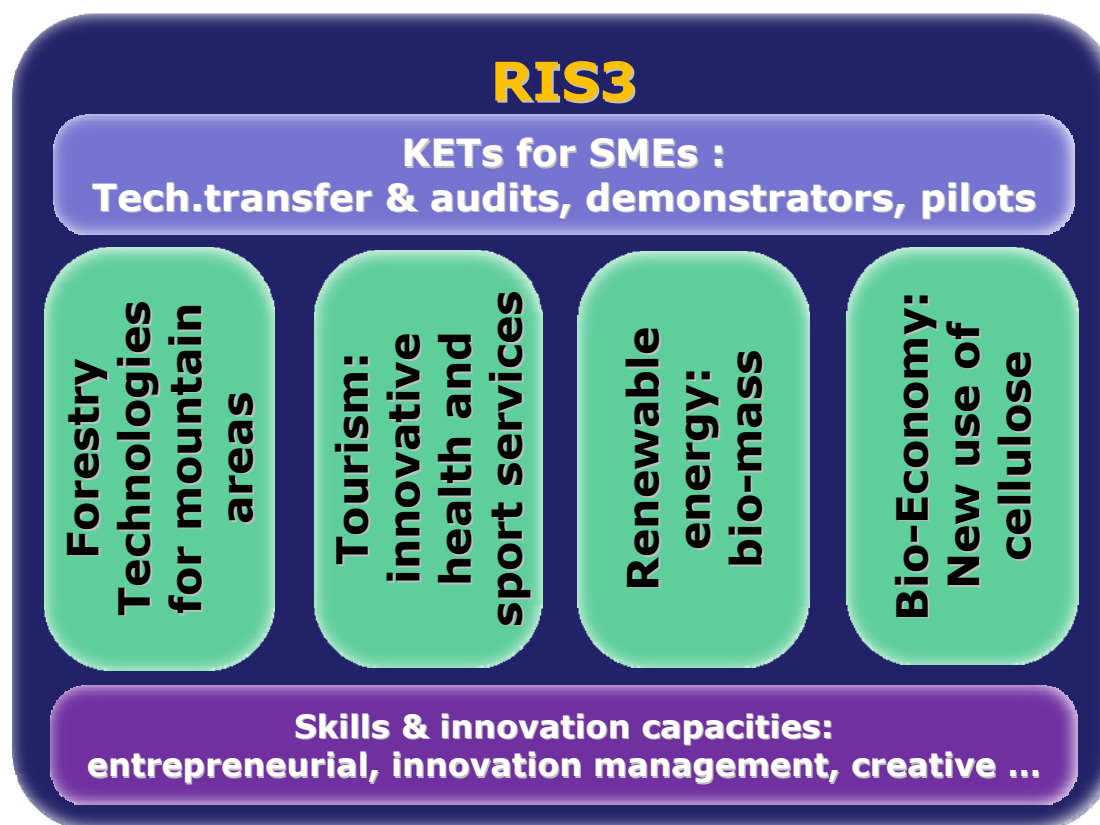
RIS3 \neq Operational Programme

Hypothetical
example 3:
multi-fund
OP



RIS3 \neq Operational Programme

Hypothetical
example 4:



RIS3 \neq Operational Programme !

**... but there needs to be a
connection **in substance****

Partnership principles vs. RIS3 stakeholder involvement

... what is the relation?



Multi-level governance & Partnership Agreements

CPR Article 5: **Partnership and multi-level governance**

1. For the Partnership Agreement and each programme respectively, a Member State shall organise a partnership with the **following partners**:
 - (a) competent regional, local, urban and other **public authorities**; (b) **economic and social partners**; and (c) bodies representing **civil society**, including environmental partners, non-governmental organisations, and bodies responsible for promoting equality and non-discrimination.
2. ...be involved by Member States in the **preparation of Partnership Agreements** and progress reports and in the preparation, implementation, monitoring and evaluation of programmes

European Code of Conduct on Partnership:

http://ec.europa.eu/regional_policy/sources/docoffic/working/strategic_framework/swd_2012_106_en.pdf

CPR Article 14: **Content of the Partnership Agreement:** related to RIS3:

- analysis of disparities & development needs with reference to thematic objectives and key actions + summary analysis of the *ex ante* evaluations (*use RIS3 SWOT*)
- consolidated table of milestones and targets established in programmes (*RIS3 indicators, policy-mix, vision ...*)
- summary of the assessment of the fulfilment of *ex ante* conditionalities (*RIS3*)

How many RIS3 per country?



Relation regional – national RIS3

Hypothetical
example
MS without
strong
regional
innovation
competences:

Partnership Agreement, OP ...

National level RIS3

Consolidation

RIS3 Region A

RIS3 Region B

RIS3 Region C

RIS3 Region D

Regional RIS3s only

Hypothetical
example
MS with
strong
regional
innovation
competences:

Partnership Agreement, OP, ...

Coordination/synergies

RIS3 Region A

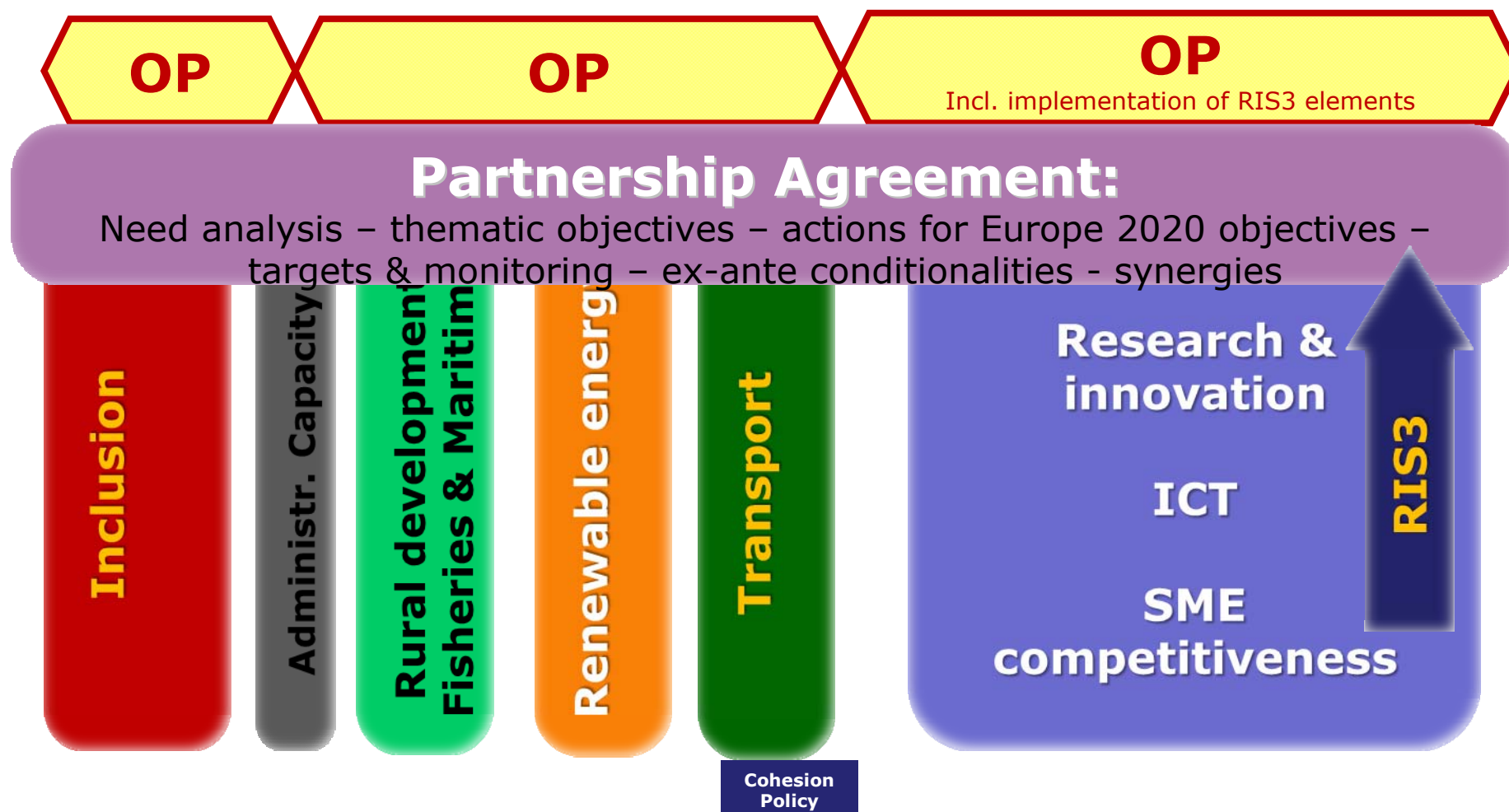
RIS3 Region B

RIS3 Region C

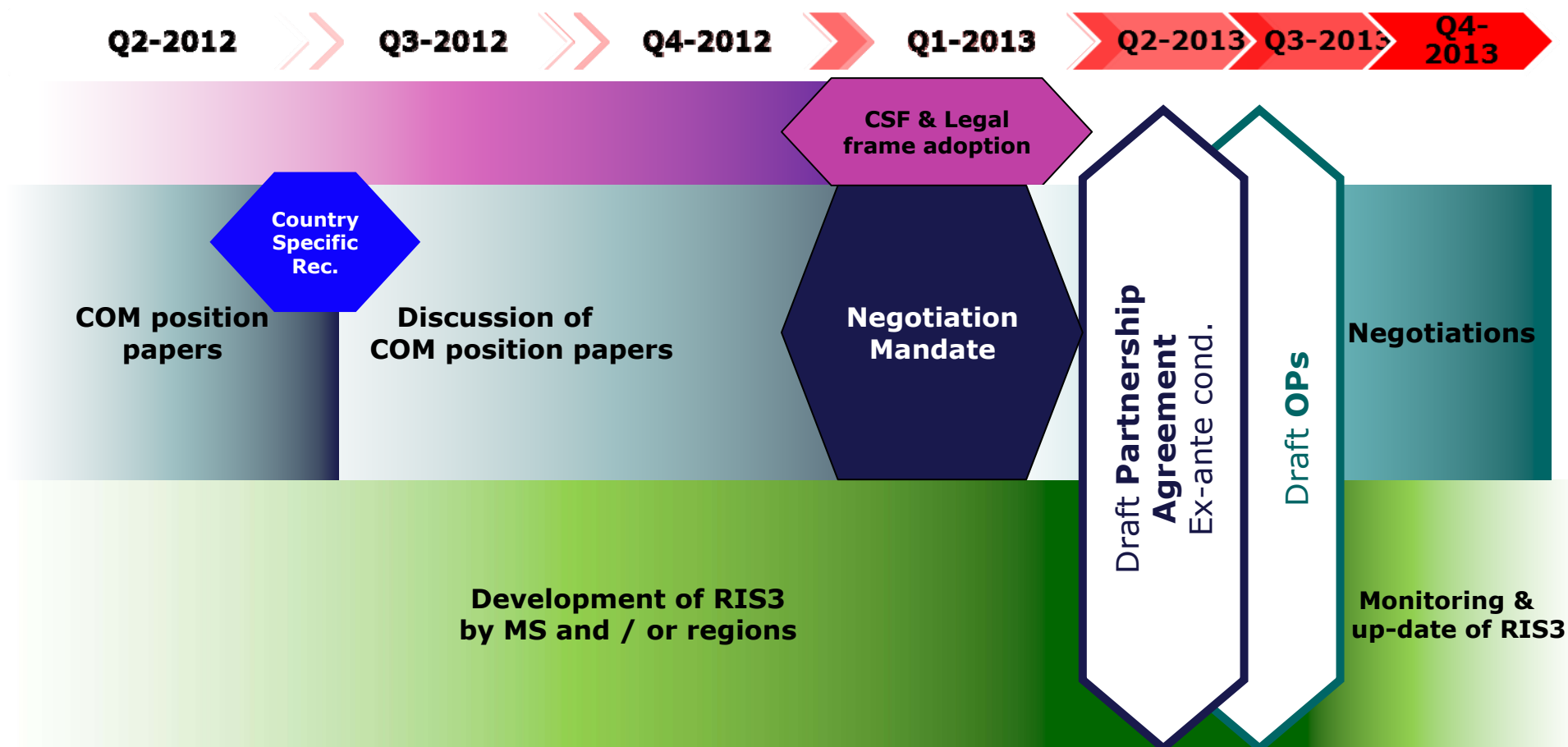
RIS3 Region D

Relation RIS3 vs. Partnership Agreement

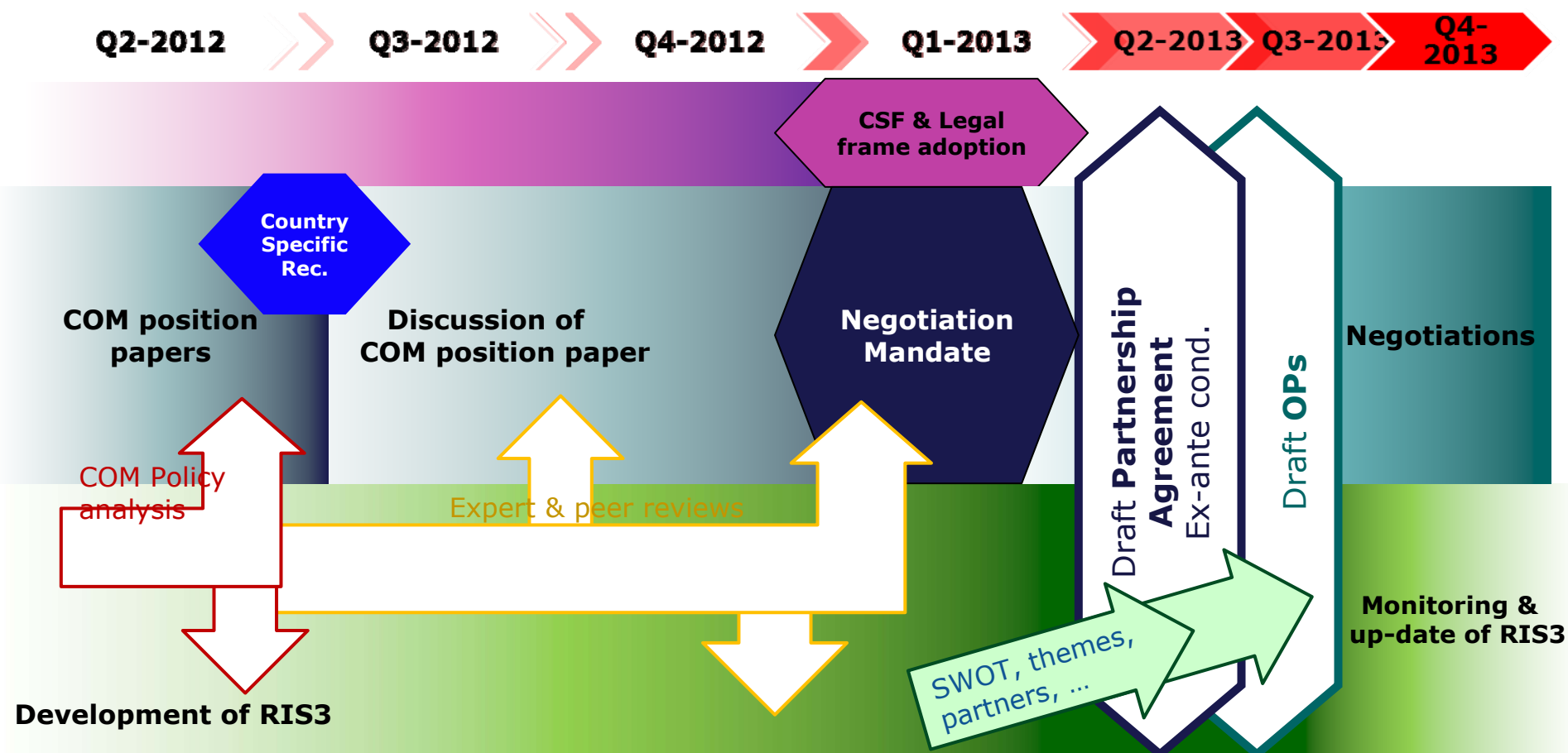
Hypothetical example: MS without strong regional innovation competences



Timing for RIS3 development & assessment



Timing for RIS3 development & assessment





Thank you