

# RIS3 elaboration and implementation

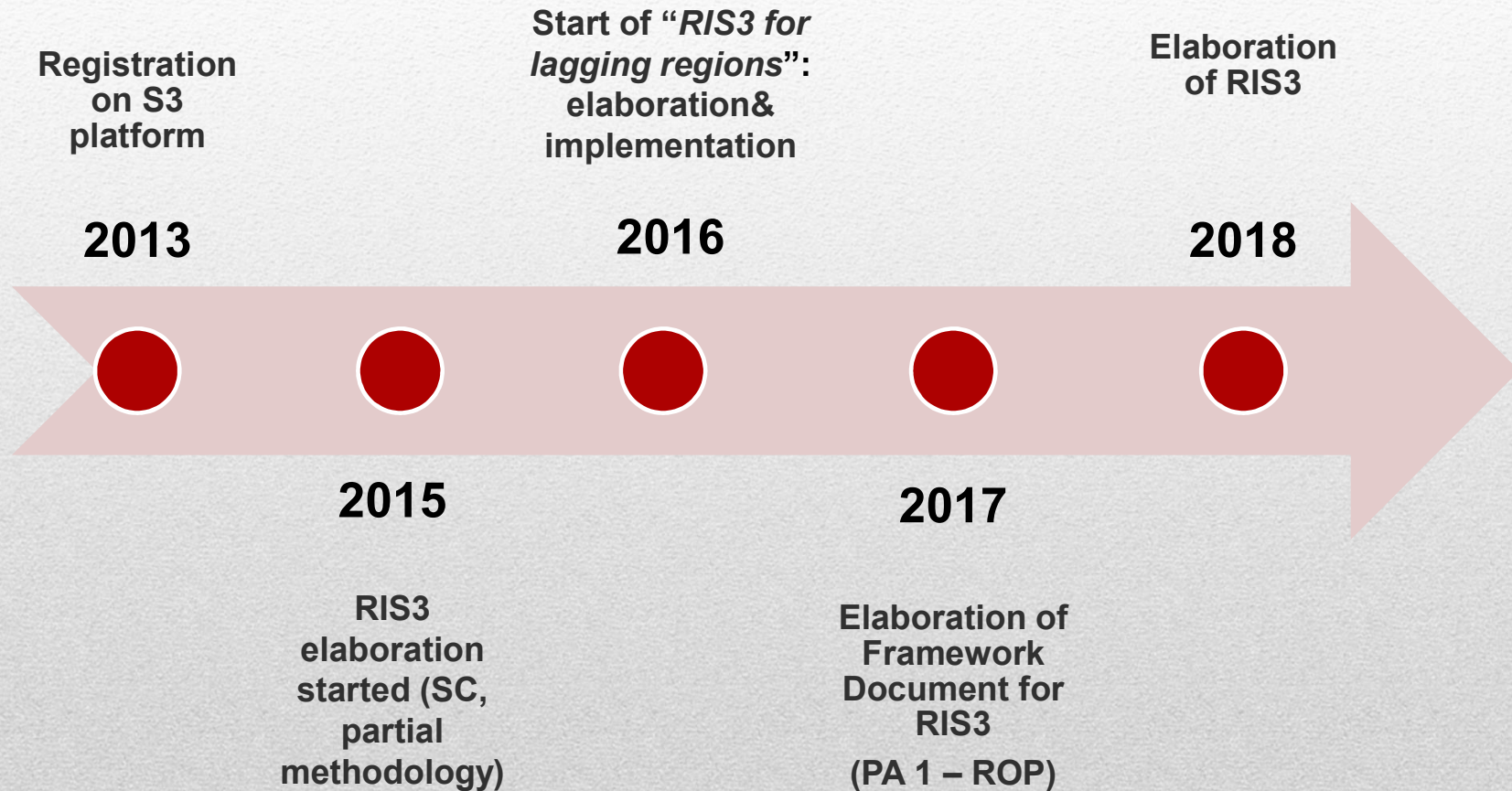
*Case of: NORTH-WEST DEVELOPMENT REGION, ROMANIA*



# CONTENT

- ❑ Introduction (state of play)
  - ❑ Current national and regional institutional context and financing framework
  - ❑ Particularities, lessons learned, pitfalls and/or recommendations for each step of RIS3 design and implementation
  - ❑ SWOT for NW Romania with main aspects to consider post 2020
  - ❑ Conclusions with a view on next financial exercise
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# INTRODUCTION



# INSTITUTIONAL CONTEXT

- ❑ Responsible organization for S3 on national level:
  - ❑ **Ministry of Research and Innovation** (former Authority under the Ministry of Education)
    - ❑ Strategy elaborated by: Executive Unit for Financing Higher Education and RDI (also responsible for the implementation of National RDI Programme).

There is a separate National Competitiveness Strategy elaborated by the Ministry of Economy.

- ❑ Responsible organization on regional level:
    - ❑ **Regional Development Agency**
      - ❑ Public utility NGO,
      - ❑ *Main role*: acting as an Intermediate Body for the Managing Authority (Ministry of Regional Development and Public Administration) of Regional OP,
      - ❑ *Other tasks* include: e.g. elaboration and implementation of regional level strategies, including the Regional Development Strategy.
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# FINANCING FRAMEWORK

## ❑ National RDI Strategy:

- ❑ Ex-ante conditionality:
  - ❑ PA 1 of Competitiveness OP – Research, technological development and innovation.
- ❑ Preparatory document for National RDI Programme.

## ❑ Regional Innovation Strategies:

- ❑ Not an ex-ante conditionality.
    - ❑ There is no direct financing for RIS3 and no regional level programmes.
    - ❑ Link between RIS3 and mainstream EFSI programmes established during implementation, i.e.:
      - ❑ Preparing the implementation of PA 1 of ROP – Promoting technology transfer,
      - ❑ Additional allocation of 25 m EUR ERDF under PA1 for financing RIS3 projects for two regions (NE and NW) participating in “*RIS3 for lagging regions*” project.
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# RIS3 ELABORATION: Case of NW RO

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- Analyses of regional context and potential for innovation
- Setting up a sound and inclusive governance structure

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- Definition of a shared vision about the region's future
- Selection of a limited number of priority areas

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- Establishing a coherent policy mix and action plan
  - Integration of monitoring and evaluation mechanisms
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# Analyses of regional context and potential for innovation

Existence of Regional Development Plan and Strategy for 2014-2020 and of outputs of different projects that could be used.

**Strengths**

Establish/recommend a minimal set of indicators to be analyzed.

**RECOMMANDATION**

Lack of data – for ex. on RDI activity of companies.

Lack of regional data – for ex. on digital economy and society.

Lack of capacity for performing value chain analyses.

Lengthiness of process – analyses had to be updated several times.

**Weaknesses**

# Setting up a sound and inclusive governance structure

## Good practice

- Representation in Steering Group was decided through democratic voting; each group of stakeholders voted on their representatives.

## Pitfall

- Working Groups were set up right at the beginning based on provisions of RIS3 Guide but never relied on during elaboration.

## Weakness

- Lack of time on behalf of SG members to duly fulfill their role and effectively involved.

## **RECOMMANDATION!**

- To take into consideration particularities of regional innovation ecosystem and decision-making structures of responsible organization. Guidance should mainly define roles/tasks that need to be undertaken.
- Since SG means high representation take into consideration to rely on other structures to support in mobilization, for ex. clusters.



# Definition of a shared vision

## EXPERIENCE

Necessity to be in line with the long term regional development vision (2034)

and strategic objectives

= REDUCED FLEXIBILITY

## RECOMMAN DATION

Refine OECD proposals for strategic choices/priorities for types of regions taking into consideration EU categories = DEVELOPED, TRANSITION, LESS DEVELOPED

# Selection of a limited number of priority areas

## Example

- Selection of priority areas both based on critical mass and critical potential
- For selection based on *critical mass* own methodology developed having at the bases correlated industries (Cluster Observatory)
- **Indicators**: *emp. growth rate '4 years per., loc. quotient– employees, loc. quotient– turnover (labor productivity)* -> **Normalizing** -> **Weighing** -> **Hierarchy** -> **Validation in EDP**

## Recommandation

- Make clear what do priority areas represent, i.e. match/intersection between technology/RD area and economic area/sector!
- *at the moment in different MS, regions they might be economic sectors/areas/domains, but also in certain cases technologies or research domains, making it hard to make comparisons, identify regions with similar priorities.*

# Establishing a coherent policy mix and action plan

## ❑ RECOMMENDATION:

- ❑ Actions, proposed interventions could be split in two categories in the policy mix: a) specific ones under/connected to each priority area, b) horizontal aspects (e.g. energy efficiency, circular economy, social innovation, etc.) and interventions (e.g. human resources, STEM, clusters, etc.),
  - ❑ Difference could be made between categories of regions:
    - ❑ Less developed regions with disconnected innovation ecosystems have other needs than developed or transition regions. Suggestion:
      - In case of *less developed regions* some general actions, interventions could focus on more economic sectors/areas/domains than the ones selected as priorities.
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# Integration of monitoring and evaluation mechanisms

## ❑ RECOMMENDATION:

- ❑ Propose a minimal set of indicators to be used, based on list of indicators from Regulations, as well as Regional Innovation Scoreboard.
- ❑ Integrate in guidelines or rely on information from C. Gianelle and A. Kleibrink, *Monitoring Mechanisms for Smart Specialisation Strategies*, S3 Policy Brief Series No. 13/2015, or refine indicator system based on this paper.
  - *Intervention logic presented can also be integrated/used/recommended!*

as well as findings of the Monitoring Working Group, including MOOC on Iversity.com.

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# RIS3 IMPLEMENTATION

## ❑ OBSERVATIONS:

- ❑ The biggest problem was lack of capacity (mainly human resources) both at the level of the organization responsible for RIS3 elaboration and implementation:

- number of personnel involved and competencies, fluctuation,
- overload/lack of time to properly implement tasks,

as well as,

- ❑ on the level of key actors:

- number of personnel involved and competencies,
- lack of knowledge about potential financing sources,
- lack of capacity to design successful applications, especially for Horizon 2020.

## PARTICULARITY:

elaboration of RIS3 went in parallel with certain implementation measures in the framework of DG Regio's pilot initiative for lagging regions, that **MAINLY**

## INVOLVED:

- Support for JRC in the elaboration of preparatory documents (studies on tech. transfer, HR development, entrepreneurial universities, etc. as part of "*RIS3 for lagging regions*" project
- Elaboration of guidelines for call for proposals and selection of projects to be developed for financing, etc.

# SWOT: Main elements (Post2020)

- EDP's connect
- RIS3 process has a huge mobilization potential with benefits beyond the use of funds

**STRENGTH**

- Lack of capacity of key actors and responsible institutions

**WEAKNESS**

- Synergy with Horizon EU, new Digital Programme and Interreg instrument

**OPPORTUNITY**

Lack of financing for projects

**THREAT**



# CONCLUSIONS: *RIS3 post 2020*

- ❑ need for recommendations about type of institutions responsible, number and quality/competencies of personnel involved, multi-level governance, financing,
  - ❑ incorporate/offer more practical information based on lessons learned and complementary guidelines/reports elaborated so far by JRC (*e.g. minimum set of indicators and aspects to be analyzed, and to be used in monitoring and evaluation*), including an EDP methodology,
  - ❑ define exactly what is understood under a priority area (intersection between technology/RD and (existing or emerging) economic activity),
    - *A certain degree of harmonization between RIS3s is necessary in order to enhance interregional cooperation and develop the newly proposed Interreg Instrument.*
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# CONCLUSIONS: *RIS3 post 2020*

- ❑ propose a slightly modified intervention logic (specific actions/priority + horizontal actions),
- ❑ allow for a certain degree of methodological difference between different categories of regions, in order to have better impact in less developed (especially low-growth and low income) regions.
- ✓ incorporate aspects with a view on the content of proposed regulations, *i.e.* link with Horizon Europe, especially Seal of Excellence (e.g. *through focus on the same societal challenges?*), and Interregional Innovative Investments (e.g. *joint EDP's, modification/diversification of S3 platforms?*) for creating necessary links between regions and generation of joint initiatives.





THANK YOU FOR YOUR  
ATTENTION!

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