

EUSALP Action Group 1 – To develop an effective research and innovation ecosystem



WORKSHOP

## RIS3 in macro-regional strategies: building a comparative framework to learn from other regions

25 JUNE 2019

Palazzo Lombardia, Milan, Italy  
*Sala Opportunità, 13th floor, Entrance N1*

In the current debate on post 2020 European Cohesion Policy, it would be important to capitalize on two pillars of the ongoing policy programmes: the transnational macro-regional strategies (MRS) (COWI, 2017) and the research and innovation strategies for smart specialization (RIS3) (Foray et al., 2012; Foray, 2015; Foray, 2018; McCann, 2015; McCann & Ortega-Argilés, 2015; Radosevic, et al. eds., 2017).

The EU Macro-Regional Strategies (MRSs), initially launched in the 2007-2013 programming period, align with the EU's goals of inclusive and sustainable development, by enhancing synergies among neighbouring regions. So far, four MRSs have been designed for regions in the Baltic area (EUSBSR), along the Danube (EUSDR), around the Adriatic and Ionian Seas (EU-SAIR) and in the Alpine area (EUSALP), respectively approved in 2009, 2011, 2014 and 2015. The core of all four strategies is to enhance complementarities and synergies among regions, with a bottom-up regional policy design across the many countries involved (COWI, 2017). MRSs provide opportunities for cross-fertilizations across countries and domains of interventions, from education to health or social innovation.”<sup>1</sup>

The four strategies are at different stages of maturity in elaborating policy programs. This appears to be a critical issue in the further implementation of the strategy in the next 2021-2027 programming period of the cohesion policy, which will aim at “investing in all regions” with “a tailored approach to reduce disparities and help low-income and low-growth regions catch up”, with “locally-led development strategies”<sup>2</sup>.

The development path of such policy design might leverage on the RIS3s elaborated by the regions, characterized by the identification of strategic areas for intervention, based both on the analysis of the strengths and potential of local economy and on an Entrepreneurial Discovery Process (Foray, 2015).

Building on this broad and diverse picture of strategic interventions at regional and at meso-level (i.e. the macro-regions), **the workshop aims to discuss which comparative framework could help policy makers and stake-holders to improve their innovative performance by learning from other regions, and what synergies and complementarities can be enhanced within the MRSs.**

<sup>1</sup> “The added value of macro-regional strategies is characterized by its cross-sectoral approach, its transnational dimension (including the participation of non-EU countries) and its contribution to better multi-level governance. But this is an ambitious concept that needs

time to be consolidated and to bear fruit” [https://ec.europa.eu/regional\\_policy/sources/cooper-ate/macro\\_region\\_strategy/pdf/mrs\\_factsheet\\_en.pdf](https://ec.europa.eu/regional_policy/sources/cooper-ate/macro_region_strategy/pdf/mrs_factsheet_en.pdf)

<sup>2</sup> [http://ec.europa.eu/regional\\_policy/en/news-room/news/2018/05/29-05-2018-regional-development-and-cohesion-policy-2021-2027](http://ec.europa.eu/regional_policy/en/news-room/news/2018/05/29-05-2018-regional-development-and-cohesion-policy-2021-2027), accessed on 01/08/2018

The workshop focuses on the results achieved, three years after the launch of the European strategy for the Alpine region, for the objective of Action Group 1: “to develop an effective research and innovation ecosystem through the identification of the key strategic sectors where cooperation in Research and Innovation (R&I) can affect either economy or society”.

In particular, one of the results of the work of Action Group 1 in the context of the project AlpGov – Interreg Alpine Space will be presented, that is, **the comparative analysis of the priorities of the Smart specialization strategies (S3) of the regions involved in EUSALP**, an analysis essential for the definition of shared common priorities and for the drawing up of a S3 and of a research agenda at macro-regional level, strategic objective of Action Group 1.

The capitalization of existing results and of the results of other projects is one of the keys to implementing the macro-regional strategies and thus the workshop includes other contributions, like that of the Interreg Alpine Space S3-4Alp Clusters, which also focuses on the S3 of the macro-regional area, and those of experts and stakeholders of coordination between the macro-regional strategies launched at European level.

Moreover, given the richness and vivacity of the protagonists of the research and innovation ecosystem in the Alpine macro-regional area, its efficient development can and must be promoted using technological tools that reflect its complexity and that foster networking between the worlds of research, business and governance. In this context, the interactive technological platform produced by the European project CEF-TELECOM Research Alps – promoted by Action Group 1 – will be presented. This platform identifies, maps and geo-locates (in the Alpine Region and in the 7 states it comprises) the laboratories and research centres (public and private), their activities and the research projects they are involved in: instruments for the dynamic visualization of the research and innovation ecosystem of the Alpine macro-regional area, useful for the planning of activities of networking and strategic synergies that

are indispensable for increasing competitiveness in the macro-regional area.

Three years on from the launching of the Alpine macro-regional strategy and in anticipation of the next programming cycle that will see the macro regions as a strategic element of the European Union, the workshop intends to contribute to better focalizing future actions in the context of research and innovation, a crucial context for the growth of competitiveness in the area.

The present Presidency of EUSALP proposes an encounter of the representatives of R&I of the EUSALP regions and invites them to discuss these topics with academics who have contributed to the analysis of heterogeneity within the macro region (session 1) and experts who have designed specific instruments of analysis (session 2).

The sharing of this knowledge base will be essential to delineate, thanks to the active participation of the representatives of the regions, a concrete orientation through which the macro region strategy can achieve the objectives indicated in the mission of EUSALP.

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## AUDIENCE

Policy-makers, academics and other stakeholders are invited to this workshop, which will discuss analytical results about RIS3 and policy implications for macro regions.

## BACKGROUND

This proposal builds on the AlpGov Project of the Interreg Alpine Space Programme - Priority 4 (Well-Governed Alpine Space), SO4.1 (Increase the application of multi-level and transnational governance in the Alpine Space). Margherita Russo, Francesco Pagliacci and Pasquale Pavone (CAPP - Research Centre for the Analysis of Public Policies, Dipartimento di Economia Marco Biagi, Università degli Studi di Modena e Reggio Emilia, Italy) and Anna Giorgi (Leader EUSALP Action Group 1 - Lombardy Region representative, and Ge.S.Di.Mont Research Centre, University of Milan, Milano, Italy)

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## *PROGRAMME with abstracts and references*

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### 14.00 WELCOME

**Ermanno Boccalari**<sup>3</sup>, Lombardy Region - DG Research, Innovation, University, Export and Internationalization, Head of Unit Internationalization, Export and Promotion

### INTRODUCTION

*“Questions to be addressed for designing an R&I macro-regional strategy”* - **Anna Giorgi**<sup>4</sup>, University of Milan, Italy - Leader of the EUSALP Action Group 1 representing Lombardy Region, Italy

### 14.30-16.00 SESSION 1 - Results on regions' socioeconomic characteristics and critical issues with regard to the governance for R&I in a macro-regional perspective

Chair: Fabrizio Rovatti<sup>5</sup>, Member of the EUSALP Action Group 1 representing Friuli Venezia Giulia, Italy

#### **SPEAKERS:**

- **Roberta Capello**<sup>6</sup>, Politecnico di Milano, Italy

**In search of local specificities in the EUSALP macroregion for a RIS strategy: a “balanced development” approach**, Roberto Camagni, Roberta Capello, Silvia Cerisola

**Abstract.** In order to develop RIS3 strategies, of fundamental importance is the identification of local specificities and of sources of efficiency in the EUSALP area. In most macro-regions, the identification of strategies to increase competitiveness is a rather difficult task, given the extreme internal diversity in economic activities, and EUSALP is not an exception in this direction. The aim of this presentation is to identify a strategy for EUSALP, by looking at the endowment of resources, and the efficient use of resources in the different local areas of EUSALP, with the idea that each area calls for those resources that are strategic for its development and growth. Our belief is that strategic resources call for complementarities with other resources to be efficient as suggested by a balanced development view (Nurske, 1952; Rosenstein-Rodan, 1943 and 1959). The results, obtained on the basis of a database gathered at NUTS3 level, are useful to provide policy suggestions to support the competitiveness of EUSALP through synergies and complementarities, according to a cooperation networks perspective.

- **Henning Kroll**<sup>7</sup>, Fraunhofer Institute for Systems and Innovation Research ISI, Germany  
**RIS3 in practice – Obstacles and perspectives**

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<sup>3</sup> <http://www.regione.lombardia.it/wps/portal/istituzionale/HP/DettaglioRedazionale/istituzione/direzioni-general/direzione-generale-ricerca-innovazione-universita-export-e-internazionalizzazione/organizzazione-e-uffici/uo-internazionalizzazione-export-promozione>

<sup>4</sup> <https://www.unimi.it/it/ugov/person/anna-giorgi>

<sup>5</sup> <https://www.alpine-region.eu/action-group-1>

<sup>6</sup> <http://www.abc.polimi.it/it/personale-docente/capello-roberta/>

<sup>7</sup> <https://www.isi.fraunhofer.de/en/competence-center/politik-wirtschaft-innovation/mitarbeiter/kroll.html>

**Abstract.** The first part of the presentation will illustrate recent insights about the process of smart specialisation policy implementation as well as the intervening factors that can keep even good strategies from developing traction in practice. The second part will turn from the implementation to the strategy level, asking whether the lack of practical momentum that we see emerging from many strategies may in fact also be the result of insufficiently ambitious statements at the outset. He will make the case for challenge- rather than technology-orientated strategies and provide examples of how this concept has become implemented in regional innovation strategies in practice.

#### Policy Papers

Kroll, H. (2018): Smart Specialisation Strategies - 2017 Survey Results

[http://ec.europa.eu/regional\\_policy/en/information/publications/reports/2018/smart-specialisation-strategies-2017-survey-results](http://ec.europa.eu/regional_policy/en/information/publications/reports/2018/smart-specialisation-strategies-2017-survey-results)

Kroll, H. (2016): Fraunhofer Policy Brief on Smart Specialisation

<http://s3platform.jrc.ec.europa.eu/-/policy-brief-on-smart-specialisation?inheritRedirect=true>

#### Academic Papers

Kroll, H. (2015): Efforts to Implement Smart Specialization in Practice – Leading Unlike Horses to the Water, *European Planning Studies*, 23, 10, 2079-2098. DOI: 10.1080/09654313.2014.1003036.

Capello, R.; Kroll, H. (2016): From theory to practice in smart specialization strategy: emerging limits and possible future trajectories, *European Planning Studies*, 24, 1393-1406. DOI:10.1080/09654313.2016.1156058

Kroll, H. (2017): Smart Specialisation Policy in an Economically Well-Developed, Multi-Level Governance System. In: Radosevic, S.; Andreescu, L.; Wade, I.; Roman, A. (eds.): *Advances in the Theory of Smart Specialization*. Elsevier: Amsterdam

Kroll, H. (2019): Smart Specialisation in Economically and Institutionally Less Favoured Regions. In: Kristensen, I.; Dubois, A.; Teräs, J. (Hrsg.): *Strategic Approaches to Regional Development: Smart Experimentation in Less-Favoured Regions*. Oxford: Routledge, 36-51.

Kroll, H. (2019): Eye to eye with the innovation paradox: why smart specialization is no simple solution to policy design. *European Planning Studies*, 27, 5, 932-951.

Kroll, H. (2019): An exploration of recent changes in European regional policy. Leibniz Universität Hannover, Habilitation Dissertation. [http://publica.fraunhofer.de/eprints/urn\\_nbn\\_de\\_101\\_1-2019050202185347909669.pdf](http://publica.fraunhofer.de/eprints/urn_nbn_de_101_1-2019050202185347909669.pdf)

- **Margherita Russo<sup>8</sup>**, University of Modena and Reggio Emilia, Italy – Member of the EUSALP Action Group 1 representing the Italian Ministry of Education, University and Research (MIUR)

#### **Regional structural heterogeneity: Evidence and policy implications for RIS3 in macro-regional strategies**, Francesco Pagliacci, Pasquale Pavone, Margherita Russo, Anna Giorgi

**Abstract.** In the future of EU Cohesion Policy, a critical feature is how to capitalise the current RIS3, introduced in the 2014-2020 programming period as an ex-ante conditionality for accessing European Structural Investment Funds. We contribute to this debate with a socioeconomic comparative analysis of EU regions, considering sub-national structural similarities, referring to population, labour market, and sectoral composition of the economy. Principal Component Analysis and Cluster Analysis are performed on 31 input variables, returning 19 different types of EU regions. With regard to EU Macro-regions, we support policy planning in macroregions as a meso-level of interventions for the future Cohesion Policy.

#### Papers of the AlpGov Project

Pagliacci, F., Pavone, P., Russo M., Giorgi, A. (forthcoming) Regional structural heterogeneity: Evidence and policy implications for RIS3 in macro-regional strategies, *Regional Studies*

Russo M., Pagliacci, F., Pavone, P., Giorgi, A. (2019): RIS3 in macro-regional strategies: tools to design and monitor integrated territorial development paths, DEMB Working paper 145, [http://merlino.unimo.it/campusone/web\\_dep/wpdebm/0145.pdf](http://merlino.unimo.it/campusone/web_dep/wpdebm/0145.pdf)

Russo M., Pagliacci, P., Pavone, P., Giorgi, A. (2019): Detecting multidimensional clustering across EU regions. Focus on R&I smart specialisation strategies and on socio-economic and demographic conditions, DEMB Working paper 142, [http://merlino.unimo.it/campusone/web\\_dep/wpdebm/0142.pdf](http://merlino.unimo.it/campusone/web_dep/wpdebm/0142.pdf)

- **Kadri Ukrainski<sup>9</sup>**, University of Tartu, Estonia - Faculty of Social Sciences, School of Economics and Business Administration

<sup>8</sup> <http://personale.unimore.it/Rubrica/Dettaglio/mrusso>

<sup>9</sup> [https://www.etis.ee/CV/Kadri\\_Ukrainski/eng](https://www.etis.ee/CV/Kadri_Ukrainski/eng)

## **(Novel) Policy Instruments for Enhancing Research, Development and Innovation (RDI) Cooperation in the Baltic Sea Region (BSR)**

**Abstract.** The aim is to propose (novel) policy instruments for enhancing BSR RDI cooperation derived from the analysis of the set-up, governance and funding of existing instruments and supporting RDI policies in BSR. There is no common single policy and agency level dominating the scene with a variety of policy instruments in place. Therefore, the study takes a bottom-up perspective and finds that cooperation in BSR is driven mostly by domain-specificity as opposed to regional interests and physical proximity. This builds the main challenge for RDI cooperation. We propose two types of (novel) instruments to increase functional proximity in BSR and to increase top-down coordination.

### **Papers**

The original study is an applied research report (where are the proposed instruments described):

Ukrainski, K., Karo, E., Kirs, M., & Kanep, H. (2017). "Participation in ERA and Baltic Sea RDI Initiatives and Activities: Analysis and Policy Implications for Widening Participation of Strong and Moderate Innovators." Available at: <http://www.baltic-science.org/index.php/publications>

Part of the study is also published as working paper (included in the report above):

Ukrainski, K., Kanep, H., Kirs, M., & Karo, E. (2018). Segregation of EU13 Countries in EU Framework Programmes Illuminates Important Challenges for Cohesion Policy. In *CESifo Forum* (Vol. 19, No. 1, pp. 16-23). München: ifo Institut–Leibniz-Institut für Wirtschaftsforschung an der Universität München. Available at: <https://www.econstor.eu/bitstream/10419/181197/1/cesifo-forum-v19-y2018-i1-p16-23.pdf>

### **DISCUSSANTS:**

- **Alberto Bramanti**<sup>10</sup>, Bocconi University, Milan, Italy
- **Aldo Geuna**<sup>11</sup>, University of Turin, Italy
- **Mario Cervantes**<sup>12</sup>, OECD

### **Coffee Break**

## **16.15-18.00 SESSION 2 - Ongoing actions generated by R&I mapping and proposals/recommendations to the Regions towards new programming period**

Chair: Martina Hartl<sup>13</sup>, Member of the EUSALP Action Group 1 representing Austrian Federal Ministry of Education, Science and Research, Austria

- Re-Search Alps<sup>14</sup>, **Stefano Sala**<sup>15</sup>, University of Milan, Italy

**Abstract.** Re-search Alps (RSA) - EU Telecom/CEF - has created an impressive database with information concerning Laboratories, Research Centers, SMEs and Start-Ups operating in the R&I field located in the 7 EUSALP Countries. The dataset is fed directly from the sources available online as open data, integrating over 20 databases in a unique one. RSA currently contains information on 125.649 Research Centers and Laboratories, 257.248 projects, 110.910 websites and 771.875 publications. RSA is designed to be a useful tool for policy makers, researchers and entrepreneurs offering an essential knowledge base to support the networking and technology transfer processes on the territory.

Principal Investigator: Professor Francesco Guerra, Unimore, Italy

### **References**

The platform is available at: [app.researchalps.eu](http://app.researchalps.eu)

<sup>10</sup> <http://faculty.unibocconi.it/albertobramanti/>

<sup>11</sup> <https://www.didattica-est.unito.it/do/docenti.pl/Alias?aldo.geuna#profilo>

<sup>12</sup> [http://web.worldbank.org/archive/website01503/WEB/0\\_\\_C-113.HTM](http://web.worldbank.org/archive/website01503/WEB/0__C-113.HTM)

<sup>13</sup> <https://www.alpine-region.eu/action-group-1>

<sup>14</sup> EU CEF-Telecom Project, <http://researchalps.eu/>

<sup>15</sup> <http://researchalps.eu/index.php/consortium/>

Website: [researchalps.eu](https://researchalps.eu)

- S3-4AlpClusters<sup>16</sup>, **Michael Keller**<sup>17</sup>, HES-SO - University of Applied Sciences and Arts Western Switzerland, School of Engineering and Architecture of Fribourg

### **Smart Specialisation Strategies with Smart Clusters. A New Approach to Generating Transformative Activities**

**Abstract** Our contribution explores the beneficial interplay between clusters and S3 and draws on more than two years of fruitful experience from the Interreg Alpine Space project “S3-4AlpClusters”, which developed conceptual and practical solutions for S3-implementation with clusters in a cross-regional context. The project introduced an innovation model as a practical effort to better integrate cluster initiatives in the S3 process. The model is a systematic process for the regional and cross-regional identification and development of transformative activities. Tools and methodologies for S3-implementation, such as S3-synergy diamonds, entrepreneurial discovery workshops (EDW) or action development workshops (ADW) are valuable individual contributions for future policy involvements of clusters. Nevertheless, it is only by putting them into the context of a systematic innovation model, putting clusters at the core of regional economic development and making them the levers for cross-regional cooperation, that they become fully relevant for smart transformation processes leading to growth and innovation within businesses, new value chains and jobs in innovative new fields.

#### **References**

Website on the S3-Innovation Model – S3-4AlpClusters: <https://bit.ly/2E8FzuJ>.

Bersier, J. and Keller, M. (Eds.). (2019). Smart Specialisation Strategies with Smart Clusters - A New Approach to Generating Transformative Activities. S3-4AlpClusters Final Publication. Download: <https://www.alpine-space.eu/projects/s3-4alpclusters/en/project-results/final-publication/final-publication>.

Foray, D., Keller, M., Bersier, J. and Meier zu Köcker, G. (2018). *Transformative Activities for Smart Specialisation: Considerations on a Workshop Methodology*. Working paper EPFL / HES-SO HEIA-FR / ClusterAgentur. Download: <https://hesso.tind.io/record/2759>.

Foray, D. (2018). Smart specialisation strategies as a case of mission-oriented policy—a case study on the emergence of new policy practices. *Industrial and Corporate Change*, 2018, 1–16.

Foray, D. (2017). Smart Specialisation, Edmund Phelps and the Palazzo Lombardia, in J. Severijns (ed.), *Solving Contradictions by Connectivity*. Province of Limburg: Maastricht, The Netherlands.

Keller, M., Reingruber, I., Dermastia, M., Bersier, J. and Meier zu Köcker, G. (2019). Implementing S3 with Clusters - An Innovation Model for Transformative Activities. *Fteval Journal for Research and Policy Evaluation*, Issue 47. Download: [https://www.fteval.at/content/home/journal/aktuelles/07\\_06\\_2019\\_ausgabe\\_47/Journal47\\_WEB1.pdf](https://www.fteval.at/content/home/journal/aktuelles/07_06_2019_ausgabe_47/Journal47_WEB1.pdf).

- RIS3 priorities in EU regions<sup>18</sup>, **Pasquale Pavone**<sup>19</sup>, Capp-Unimore and Scuola Superiore Sant’Anna di Pisa, Italy

### **Perspectives on RIS3s: a classification of priorities emerging from automatic text analysis, Pavone, P., Pagliacci, F., Russo M., Giorgi, A. (2019)**

**Abstract.** Building on automatic text analysis, this work proposes an original categorization of Research and Innovation Smart Specialisation Strategy (RIS3) priorities and provides a common language (with detailed dictionaries) to classify priorities and then to associate EU regions to multiclass categories of priorities. This result is a powerful tool to interpret the current state of diversification across regions, with its potential of complementarities and synergies that might support territorial integrated development paths. It would also support regions in their future strategic programmes on RIS3.

#### **Paper of the AlpGov Project**

Pavone P., Pagliacci F., Russo M., Giorgi A. (2018). R&I smart specialisation strategies: classification of EU regions’ priorities. Results from automatic text analysis. Deliverable prepared for the EU project “AlpGov”, Work Package T-3.1 “Mapping the governance in the research and innovation field of the Eusalp regions”, 31th December 2018

<sup>16</sup> <https://www.alpine-space.eu/projects/s3-4alpclusters/en/home>

<sup>17</sup> [https://www.researchgate.net/profile/Michael\\_Keller31](https://www.researchgate.net/profile/Michael_Keller31)

<sup>18</sup> Work Package T-3, Interreg Alpine Space Programme (Priority SO4.1)

<sup>19</sup> <https://embeds.santannapisa.it/news/pasquale-pavone-research-fellow-economics-joins-embeds>



## DISCUSSANTS & Q&A

**Ales Gnamus**<sup>20</sup>, EC-JRC, Expert in energy, smart cities and engineering<sup>21</sup>, **Michaela Gensheimer**<sup>22</sup>, ESPON EGTC, Senior Project Expert, **Esa Kokkonen**<sup>23</sup>, The Baltic Institute of Finland, Director; Interventions by members of the EUSALP Action Group 1 and all participants.

## 18.00-18.30 CONCLUSIONS & FUTURE ACTIONS

**Luca Marchesi**<sup>24</sup>, Lombardy Region, DG Environment and Climate – Deputy Head of Unit Environmental Evaluations and authorizations

**Marco Peronaci**<sup>25</sup>, Ministry of Foreign Affairs and International Cooperation, DG for the European Union - EUSALP Italian National Coordinator, Minister Plenipotentiary

*Speakers, discussants and participants are invited to contribute by their own perspective in addressing the following questions:*

- *What are the next steps to be taken so that macro-regional strategy can have an impact on a transversal topic like R&I?*
- *Which regions are prepared to get involved in using the tools proposed by S3-4Alps, the instruments of analysis of AlpGov and the data now available thanks to Re-Search Alps? How to support them?*
- *In relation to the creation of a common strategy between the EUSALP regions concerning R&I:*
  - *Would a coordination group/forum between the regions be useful?*
  - *Who should take part in the coordination group, in order to make coordination efficient in collecting and communicating feedback from the group/forum and making decisions meaningful for macro-regional strategy?*
  - *Could AG1 be transformed into the coordination group/forum for the strategic action of the EUSALP regions concerning R&I?*

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<sup>20</sup> <http://s3platform.jrc.ec.europa.eu/researchers>

<sup>21</sup> <http://s3platform.jrc.ec.europa.eu/researchers>

<sup>22</sup> <https://www.espon.eu/contact/espon-egtc>

<sup>23</sup> [www.linkedin.com/pub/esa-kokkonen/5/494/238](https://www.linkedin.com/pub/esa-kokkonen/5/494/238)

<sup>24</sup> <http://www.regione.lombardia.it/wps/portal/istituzionale/HP/DettaglioRedazionale/istituzione/direzioni-general/direzione-generale-ambiente-e-clima/organizzazione-e-uffici/uo-valutazioni-e-autorizzazioni-ambientali->

<sup>25</sup> <https://www.esteri.it/mae/it>