Basic information

2015/2278(INI) INI - Own-initiative procedure	Procedure completed
Cohesion policy and research and innovation strategies for smart specialisation (RIS3) **Subject** 3.50.01 European research area and policy 3.50.04 Innovation 4.70.02 Cohesion policy, Cohesion Fund (CF)	

Key players

European Parliament

Committee responsible	Rapporteur	Appointed
REGI Regional Development	VALCÁRCEL SISO Ramón Luis (PPE)	14/07/2015
	Shadow rapporteur DĂNCILĂ Viorica (S&D) POREĘBA Tomasz Piotr (ECR) VAN MILTENBURG Matthijs (ALDE) ŠKRLEC Davor (Verts/ALE) D'AMATO Rosa (EFDD)	

Committee for opinion	Rapporteur for opinion	Appointed
ITRE Industry, Research and Energy	The committee decided not to give an opinion.	

European Commission

Commission DG	Commissioner
Regional and Urban Policy	CREȚU Corina

Key events

Date	Event	Reference	Summary
29/10/2015	Committee referral announced in Parliament		
19/04/2016	Vote in committee		
28/04/2016	Committee report tabled for plenary	A8-0159/2016	Summary

12/09/2016	Debate in Parliament		
13/09/2016	Decision by Parliament	T8-0320/2016	Summary
13/09/2016	Results of vote in Parliament		
13/09/2016	End of procedure in Parliament		

Technical information	
Procedure reference	2015/2278(INI)
Procedure type	INI - Own-initiative procedure
Procedure subtype	Initiative
Legal basis	Rules of Procedure EP 55
Other legal basis	Rules of Procedure EP 165
Stage reached in procedure	Procedure completed
Committee dossier	REGI/8/04824

Documentation gateway

European Parliament

Document type	Committee	Reference	Date	Summary
Committee draft report		PE575.283	19/01/2016	
Amendments tabled in committee		PE578.511	29/02/2016	
Committee report tabled for plenary, single reading		A8-0159/2016	28/04/2016	Summary
Text adopted by Parliament, single reading		T8-0320/2016	13/09/2016	Summary

European Commission

Document type	Reference	Date	Summary
Commission response to text adopted in plenary	SP(2016)876	21/12/2016	

Cohesion policy and research and innovation strategies for smart specialisation (RIS3)

2015/2278(INI) - 13/09/2016 - Text adopted by Parliament, single reading

The European Parliament adopted by 570 votes to 54 with 15 abstentions, a resolution on cohesion policy and research and innovation strategies for smart specialisation (RIS3).

Members recalled that strengthening research, technological development and innovation is one of the investment priorities under the European Regional Development Fund (ERDF) for 2014-2020. For the 2014-2020 programming period, Member States are required to develop **national and/or regional smart specialisation strategies** by involving national and regional managing authorities and stakeholders.

Smart specialisation combines and brings together different policies, including those for entrepreneurship, education and innovation, in order for regions to identify and select priority areas for their development and related investments by focusing on their strengths and comparative advantages.

The central role of RIS3: Parliament underlined that smart specialisation strategies support **thematic concentration and strategic programming of the European Structural and Investment Funds (ESI Funds)** and lead to increased performance orientation on the ground, thus contributing to the achievement of the Europe 2020 objectives. It called on all actors involved to:

- develop RIS3 on the basis of analyses of each region's existing capabilities, assets and competences;
- focus on entrepreneurial discovery in order to detect emerging niches or comparative advantages for smart specialisation, avoid forced and artificial overspecialisation;
- enhance a stronger partnership between public and private sectors while always avoiding possible conflicts of interest between the private and public sectors.

Members supported a **broad definition** of innovation as signifying the transformation of an idea into a new or improved product or service introduced on the market. They asked for:

- **regions** to design schemes for innovative support services aimed at complementing or replacing existing support services, in order to allow a given region to achieve its full competitive potential, help enterprises absorb new knowledge and technology in order to remain competitive;
- **the Commission** to align the general block exemption regulation in order to allow the Seal of Excellence conditions to be offered by the ESI Funds;
- **national authorities** to invest in regional intelligence and big data mining so that they are enabled both to demonstrate their unique competitive advantage and to understand trends relating to regional enterprises in the global value chain.

Welcoming the role of the **Smart Specialisation Platform** (S3 platform) established by the Commission's DG REGIO and located at the JRC in Seville, Parliament stressed that this platform should: (i) play a key role in advising regions and setting benchmarks on their innovation strategies; (ii) help lagging regions and enhancing multilevel governance and synergies between regions.

Multi-level governance and its capacity: Members regretted that some Member States have decided to opt for national RIS3 without giving local and regional authorities a chance to develop their own views. They called on the Member States concerned to **reconsider replacing the national RIS3 by regional ones in order not to miss out on growth opportunities**, and called for a better coordination between national and regional S3 strategies wherever appropriate, in order to adapt them if necessary to future needs and requirements for sustainable development, in particular in the food and energy sectors.

In order to encourage a change of mentality and to promote innovative policy approaches to boost intra-regional, inter-regional, extra-regional, cross-border and transnational collaboration, Parliament called for:

- the **development of flexibility and coordination mechanisms** to link the results of the RIS3 process to the implementation of Horizon 2020 and other programmes;
- the encouragement of regions to engage in forms of transnational cooperation such as the Vanguard Initiative, the Seal of Excellence, the Knowledge Exchange Platform (KEP), the S3 platforms, the Stairway to Excellence, and the regional innovation schemes for the co-location centres of the European Institute of Innovation and Technology (EIT);
- the facilitation of the development of **strategic cluster partnerships**, with a view to boosting investment, enhancing coordination, creating synergies and promoting exchanges of views in order to avoid duplication and inefficient spending of public resources.

Better synergies for growth and job creation: Parliament underlined that the coordinated and complementary use of ESI Funds together with Horizon 2020 and EFSI funds provides excellent options for boosting innovation at regional, national and EU levels by enhancing the attractiveness of investment in research and innovation in order to attract private capital to complement public funding. It called for **increased support for SMEs and start-ups**, as the vast majority of these are at the forefront of disruptive innovation.

Smart cities as catalysts for RIS3: the resolution stressed the need for the further development and extension throughout Europe of the concept of **'smart and connected cities'**. It welcomed the intention of the Dutch EU Presidency to create a bottom-up approach empowering cities in coordination with regional authorities, to develop the EU Urban Agenda.

Monitoring and evaluation: Members regretted a **lack of granularity** in many of the strategies, and called for the refinement of the prioritisation process, thus avoiding the risk of focusing all strategies on the same topics. They called for the development of strategies not only in high technology but also in low technology and social innovation.

The EU and the Member States were called upon to carry out periodic (annual and mid-term) monitoring – both quantitative and qualitative – of the implementation of the strategies, and to involve all stakeholders, including civil society, in the process.

Main lessons: Parliament called on the Commission to push for a **review of the strategies in 2017** in order to boost their efficiency and effectiveness, and to provide information on their contribution to both future cohesion and research and innovation policies after 2020. It asked DG REGIO and the S3 platform to draft, and widely disseminate, a **short policy paper** on the past RIS3 experience.

Cohesion policy and research and innovation strategies for smart specialisation (RIS3)

2015/2278(INI) - 28/04/2016 - Committee report tabled for plenary, single reading

The Committee on Regional Development adopted the own-initiative report by Ramón Luis VALCÁRCEL SISO (EPP, ES) on Cohesion Policy and Research and Innovation Strategies for Smart Specialisation (RIS3).

Members recalled that during the last legislative period, the European Regional Development Fund (ERDF) in support of Thematic Objective No 1, established that regions were required to focus their investment on R&D&I via **smart specialisation strategies** in the 2014-2020 programming period. Therefore, RIS3 is an ex-ante condition for member states and EU regions for receiving European Structural and Investment Funds (ESIF).

Smart specialisation combines and brings together different policies, including those for entrepreneurship, education and innovation, in order for regions to identify and select priority areas for their development and related investments by focusing on their strengths and comparative advantages.

The central role of RIS3: Members underlined that smart specialisation strategies support **thematic concentration and strategic programming of the European Structural and Investment Funds (ESI Funds)** and lead to increased performance orientation on the ground, thus contributing to the achievement of the Europe 2020 objectives. They called on all actors involved to:

- develop RIS3 on the basis of analyses of each region's existing capabilities, assets and competences;
- focus on entrepreneurial discovery in order to detect emerging niches or comparative advantages for smart specialisation, avoid forced and artificial overspecialisation;
- enhance a stronger partnership between public and private sectors while always avoiding possible conflicts of interest between the private and public sectors.

Members supported a **broad definition** of innovation as signifying the transformation of an idea into a new or improved product or service introduced on the market, into a new or improved operational process used in industry and commerce, or into a new approach to a social service.

They asked for:

- **regions** to design schemes for innovative support services aimed at complementing or replacing existing support services, in order to allow a given region to achieve its full competitive potential, help enterprises absorb new knowledge and technology in order to remain competitive;
- the Commission to align the general block exemption regulation in order to allow the Seal of Excellence conditions to be offered by the ESI Funds;
- **national authorities** to invest in regional intelligence and big data mining so that they are enabled both to demonstrate their unique competitive advantage and to understand trends relating to regional enterprises in the global value chain.

Welcoming the role of the **Smart Specialisation Platform** (S3 platform) established by the Commission's DG REGIO and located at the JRC in Seville, the report stressed that this platform should: (i) play a key role in advising regions and setting benchmarks on their innovation strategies; (ii) help lagging regions and enhancing multilevel governance and synergies between regions.

Multi-level governance and its capacity: Members regretted that some Member States have decided to opt for national RIS3 without giving local and regional authorities a chance to develop their own views. They called on the Member States concerned to **reconsider replacing the national RIS3 by regional ones in order not to miss out on growth opportunities**, and called for a better coordination between national and regional S3 strategies wherever appropriate, in order to adapt them if necessary to future needs and requirements for sustainable development, in particular in the food and energy sectors.

In order to encourage a change of mentality and to promote innovative policy approaches to boost intra-regional, inter-regional, extra-regional, cross-border and transnational collaboration, the report called for:

- the **development of flexibility and coordination mechanisms** to link the results of the RIS3 process to the implementation of Horizon 2020 and other programmes;
- the encouragement of regions to engage in forms of transnational cooperation such as the Vanguard Initiative, the Seal of Excellence, the Knowledge Exchange Platform (KEP), the S3 platforms, the Stairway to Excellence, and the regional innovation schemes for the co-location centres of the European Institute of Innovation and Technology (EIT);
- the facilitation of the development of **strategic cluster partnerships**, with a view to boosting investment, enhancing coordination, creating synergies and promoting exchanges of views in order to avoid duplication and inefficient spending of public resources.

Better synergies for growth and job creation: Members criticised the lack of synergies across ESI Funds and other EU financing instruments, which hinders coordination, coherence and integration in EU funding, as well as reducing its results and impact. They called for action to obtain the necessary information for achieving **synergies** between the various policies and instruments available in the RIS3, such as the cohesion policy for 2014-2020, the smart specialisation platform, the European Cluster Observatory, the European Innovation Partnership, the European Strategy Forum, the Key Enabling Technologies (KETs) and the research infrastructures.

The report stressed the need for the further development and extension throughout Europe of the concept of **'smart and connected cities'**. It welcomed the intention of the Dutch EU Presidency to create a bottom-up approach empowering cities in coordination with regional authorities, to develop the EU Urban Agenda.

Monitoring and evaluation: although most regions have adopted a RIS3, a considerable number of them still need to work on complying with the **ex-ante conditionality requirements**, the main challenges being the monitoring mechanism, the budgetary framework and the measures to stimulate private-sector research and innovation investments.

Members regretted a **lack of granularity** in many of the strategies, and called for the refinement of the prioritisation process, thus avoiding the risk of focusing all strategies on the same topics. They called for the development of strategies not only in high technology but also in low technology and social innovation.

The EU and the Member States are called upon to carry out periodic (annual and mid-term) monitoring – both quantitative and qualitative – of the implementation of the strategies, and to involve all stakeholders, including civil society, in the process.

Main lessons: Members called on the Commission to push for a **review of the strategies in 2017** in order to boost their efficiency and effectiveness, and to provide information on their contribution to both future cohesion and research and innovation policies after 2020. They asked DG REGIO and the S3 platform to draft, and widely disseminate, a short policy paper on the past RIS3 experience.