

## Annex 1: Smart specialisation framework for Enlargement and Neighbourhood countries

Phase	No.	Stage of the process	Explanation	Role of national/ regional administration	Research input (local and international experts)
<b>Institutional capacity building</b>	<b>1</b>	<b>Decision to start smart specialisation process</b>			
	1.1	Formal request	A country has to formally express interest in developing smart specialisation strategy. The support is given on the basis of readiness assessment	Prepare and send the request	Not needed
	1.2	Analysis of context – country specific conditions	The context analysis should provide basic information concerning the administrative and political issues and the level of development of country/region	Providing information	
	1.3	Discussion with public administration	Discussion with public administration is a technical step that allows to determine mode of cooperation and a preliminary roadmap	Identifying appropriate representatives	Not needed
	1.4	Awareness event	Awareness event can be targeted to internal or external stakeholders (depending on needs) and helps explaining the smart specialisation approach and its benefits	Organization of logistics and inviting participants	Can support the event
	1.5	Establishment of national/ regional S3 team/s	National/regional team should include: <ul style="list-style-type: none"> <li>• the representatives of all ministries/departments whose mandate includes is regional policy, scientific and innovation policy, economic development</li> <li>• representatives of national statistical office</li> <li>• representatives of national patent office</li> <li>• external stakeholders (representatives of business and research sector and NGOs)</li> </ul>	Appointment of the team	Can be participants
	1.6	Participation in S3 training	The training is organized by the JRC according to needs and prepares the national and regional S3 teams to manage and organize the strategy development process	Sending appropriate representation	Not needed
	1.7	Agreement with JRC	Agreement with JRC includes a roadmap, mutual obligations and criteria for common work and assessment of final document.	Co-designing and signing the agreement	
<b>Institutional capacity building</b>	<b>2</b>	<b>Analysis of strategic mandates</b>			
	2.1	Overview of existing policies and priorities relevant for S3	The purpose of this stage is to identify the existing economic, scientific or innovative priorities and domains present in strategies and policies together with instruments for their implementation	Providing the overview of the strategies, policies and instruments	Not needed
	2.2	Decision on the place of S3 in the strategic framework	The national/regional S3 team should decide how smart specialisation strategy will be adopted and how it will be coordinated with other relevant policies	Adopting a decision	
	2.3	Decision on the national/ regional dimension of S3	Depending on the size of the country and existing subnational administrative structure, a decision should be taken on the territorial dimension of S3 – it is always recommended to have a regional approach, if possible	Adopting a decision	

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Diagnosis (mapping exercise)	3	<b>Analysis of existing economic, scientific and innovative potential (quantitative)</b>			
	3.1	Provision of statistical data	<p>For quantitative mapping following data is needed:</p> <p><b>industrial subsectors</b> (NACE rev. 2, 3 or 4 digit, 5-10 year period):</p> <ul style="list-style-type: none"> <li>* Employment</li> <li>* Value added</li> <li>* Number of companies</li> <li>* Wages</li> <li>* Share of innovative companies (CIS indicators)</li> </ul> <p><b>product groups or subsectors</b></p> <ul style="list-style-type: none"> <li>* Exports</li> </ul> <p><b>areas of science</b></p> <ul style="list-style-type: none"> <li>* Scientific publications</li> <li>* Patents</li> </ul> <p><b>education profiles</b></p> <ul style="list-style-type: none"> <li>* Number of students/graduates at vocational schools</li> <li>* Number of students/graduates at HEI</li> <li>* STEM graduates</li> </ul> <p>The data should be provided by national statistical office and national patent office</p>	Arranging the data provision	Quantitative mapping on the basis of: <ul style="list-style-type: none"> <li>• Statistical data</li> <li>• Literature</li> <li>• International databases</li> <li>• Representative surveys (combination of sources to be agreed)</li> </ul>
	3.2	Mapping of economic, innovative and scientific potential	Mapping is a statistical analysis of main strengths and specialisations in terms of economic, innovative and scientific potential. Its objective is to indicate preliminary areas of smart specialisation based on the expert assessment of matches between the three types of potential. JRC provides relevant methodology for this exercise.	Supporting data collection, providing additional sources and consulting the process	Performing the analysis
	3.3	Creation of the local expert team	Local expert team cooperates with the international expert in order to understand the methodology and help adjust it to the country profile and needs. It is made of scientists with relevant expertise in economics, economic geography, scientometrics and patent analyses.	Identifying and mobilising local experts	Cooperation between local and international experts
	3.4	Additional analyses	Additional analyses can provide better understanding of the priority domains. They can include international benchmarking, analysis of value chains, revealed comparative advantage and other relevant issues	Identifying existing analyses that can be useful or commissioning new ones	Performing the analyses
	3.5	Consultation with stakeholders	The results of the mapping exercise must be consulted with internal and external stakeholders. Internal stakeholders include all the ministries and departments that have competences concerning the analysed potentials. External stakeholders are representatives of business, academia and NGOs relevant from the point of view of the preliminary smart specialisation domains.	Organization of the consultations and invitation of appropriate stakeholders	Should be participants
	3.6	Publication of the report	The smart specialisation process has to be transparent. The mapping report should be made available to the public minimum in electronic version and made available (in English) on the S3 Platform portal. If necessary it should also be translated to the local language.	On-line publication of the report and providing an electronic version for S3 Platform	Not needed

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Diagnosis (mapping exercise)	4	<b>In-depth analysis of priority domains (qualitative)</b>			
	4.1	Expert interpretation of the results of mapping exercise	The qualitative interpretation of the results is necessary to overcome the constraints of existing industry and scientific classifications and uncover real sectors and value chains they represent. Specific value chains for priority domains have to be identified together with challenges and trends. It can be done on the basis of in-depth interviews, focus groups or case studies with experts representing the key and most innovative companies, sectorial experts and researchers cooperating with business. If interviews are considered, minimum 10-15 interviews with key organisations should be conducted per preliminary priority domain. The result of this analysis is the better definition of preliminary priority domains for the purposes of entrepreneurial discovery process.	Organization of the qualitative analysis	Performing the analysis
	4.2	Publication of the report	The smart specialisation process has to be transparent. The qualitative report should be made available to the public minimum in electronic version and made available (in English) on the S3 Platform portal. If necessary it should also be translated to the local language. Mapping report and qualitative report can be published together.	On-line publication of the report and providing an electronic version for S3 Platform	Not needed
	4.3	Decision on priority domains for EDP	After the quantitative and qualitative analysis, a common panel should be organized involving national smart specialisation team, experts and JRC representatives in order to establish the priority domains for the entrepreneurial discovery process.	Organization of the panel and inviting experts	Should be participants
Stakeholder dialogue	5	<b>Entrepreneurial discovery process (EDP)</b>			
	5.1	EDP training	Training of EDP coordinators and facilitators is organized by JRC and designed to prepare the teams of national coordinators and facilitators (moderators) of the EDP workshops. The coordinators represent National Smart Specialisation Teams and facilitators are experienced moderators with business experience.	Appointing and mobilising coordinators and moderators	Not needed
	5.2	Identification of stakeholders for each priority domain	For each priority domain, relevant stakeholders need to be identified. They include key players in value chains, innovative companies, cluster members, chambers of commerce and other business associations, researchers and organizations from related fields. They can be identified by desk research and interviews or a more objective network analysis of scientific and innovation cooperation.	Coordination of the identification exercise	Can assist with the analysis
	5.3	EDP plan and working rules	Before the EDP is formally launched, clear rules should be defined for participation and decision-making process. They need to be communicated to the members of working groups together with the invitation or at the first meeting. As the EDP includes a series of workshops, often organized in different regions, a plan has to be developed and communicated to the participants.	Definition and communication of the working rules and plan	Not needed
	5.4	Definition of EDP working groups	The working groups should well represent the value chains identified in qualitative mapping for each priority domain, researchers from relevant domains, intermediaries and government agencies active in the priority domain. Representatives of companies should constitute minimum 50% of participants of each working group.	Inviting and mobilising the working groups members	Not needed
	5.4	EDP workshops	A series of workshops should be organized for each priority domain. The deliverables of the EDP workshops are: <ul style="list-style-type: none"> <li>• EDP kick-off conference presenting all priority domains</li> <li>• SWOT analysis</li> <li>• Vision for the future and final name of priority domain</li> <li>• Policy mix (objectives and actions with indicators)</li> </ul>	Organization of the workshops	Should be participants
	5.5	EDP input for S3	The results of the EDP process should be the main input for the smart specialisation strategy. The coordinators and facilitators should cooperate to provide written conclusions from each workshop and consult them with the participants.	Coordination of the delivery of written input	Not needed

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Institutional capacity for implementation	<b>6</b>	<b>Design of monitoring, implementation and financing system</b>			
	6.1	Monitoring guidance	Monitoring guidance is given during a meeting of National Smart Specialisation Team with JRC. It concerns the rules for the design of indicators and reporting.	Arranging a guidance meeting	Can support the process
	6.2	Design of monitoring system	The National Smart Specialisation Team prepares the indicators and designs the monitoring system according to received guidance.	Design of the monitoring system for S3	Can support the process
	6.3	Implementation and financing guidance	Implementation and financing guidance is given during a meeting of National Smart Specialisation Team with JRC. It concerns the organizational and financing rules for effective implementation.	Arranging a guidance meeting	Not needed
	6.4	Design of implementation system	The National Smart Specialisation Team prepares the organizational and financing scheme for S3 according to received guidance.	Design of the implementation system for S3	Not needed
Final strategy	<b>7</b>	<b>Preparation of S3 strategy document</b>			
	7.1	Preparation of the S3 strategy draft	The National Smart Specialisation Team prepares the draft of S3 strategy including: the results of mapping exercise, description and justification of priority domains, SWOT analysis, vision for the future, strategic goals, operational objectives and action plans, monitoring and evaluation system and implementation system including financing sources.	Preparation of the S3 strategy draft	Can support the process
	7.2	Consultation with stakeholders	The final draft has to be consulted with the EDP working groups and wider group of stakeholders of regional or national innovation systems. It can be done during a final conference.	Organization of consultation process	Can support the process
	7.3	EC approval	The National Smart Specialisation Team requests EC approval of the S3 strategy. If necessary, changes are introduced.	Sending the document for approval	Not needed
	7.4	Formal approval	The relevant authorities formally approve the S3 strategy. Implementation should start shortly after that.	Launching the approval process	Not needed