

Guideline for the ONLINE S3 toolbox tool/application - Calls Consultation

ONLINE S3 – 710659 – Guidelines for the pilot experimentation phase



Content

Background and rational	3
Description of the application	4
Benefits to key actors and stakeholders.....	5
Key issues and requirements.....	6
A STEP-BY-STEP GUIDE	8
Further information.....	11
References.....	12



Figures

Figure 1 Rational behind this ONLINE S3 application	3
Figure 2 Overview of this ONLINE S3 application	4
Figure 3 Benefits to stakeholders when using this ONLINE S3 application.....	5
Figure 4 Key issues when using this ONLINE S3 application	6
Figure 5 Step 1 for using this ONLINE S3 application.....	8
Figure 6 Step 2 for using this ONLINE S3 application.....	10
Figure 7 Step 3 for using this ONLINE S3 application.....	10

HISTORY OF CHANGES

Version	Date	Contributing partner	Summary of changes
Version 0.1	2016-10-07	RIM	Structure of the document, elaboration of required information as a template for all tools
Version 1.0	2017-10-05	IIL	Initial Draft

DISCLAIMER

The opinion stated in this report reflects the opinion of the ONLINE S3 consortium and not the opinion of the European Commission.

ACKNOWLEDGEMENT

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BACKGROUND AND RATIONAL

The term “Calls for Project” refers to the mechanism whereby a selection process is launched to choose candidates on a competitive basis. The aim of this application is to allow stakeholder input during this process. This allows stakeholders to propose specific selection criteria and feedback during the overall process. This application and the underlying method can be considered to be part of the wider open consultation framework, adopted by the EU that incorporates stakeholders’ active interaction with the regional or national authorities. As a result, such a consultative process has the potential to increase the effectiveness of the resulting RIS3 actions, by making them meet more responsively the regional policy needs and by strengthening stakeholders’ participation in the submission of projects for support. The method aims to facilitate the RIS3 Action Plan implementation, in terms of preparing and assessing Calls for Projects.

Figure 1 provides the rationale behind this ONLINE S3’s application.

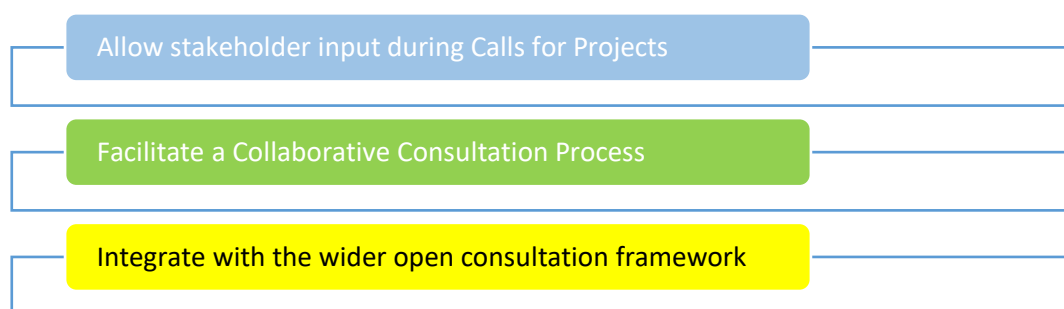


Figure 1 Rational behind this ONLINE S3 application



DESCRIPTION OF THE APPLICATION

The underlying method behind the RIS3 Calls Consultation application aims to offer stakeholders the ability to interact during the calls for projects process. During this process, a funding programme provider and calls planning authority may interact and consult with stakeholders to highlight specific requirements. For example, calls may intend to support research and innovation responsive to specific socio-economic needs or to support new product and service innovation in a specifically targeted RIS3 technology base. Stakeholder integration in this process can be highly beneficial to both parties simply through providing feedback and deliberation during the review of such draft funding programmes.

Stakeholders in this context maybe regional authorities who will be able to propose specific criteria for the selection of calls and projects. The application will also act as a participative engagement tool facilitating the management and assessment of project proposals. Using this tool those calling for projects and the stakeholders taking part in relevant projects can communicate and interact with each other to better tailor the projects to what is needed.



Figure 2 Overview of the Open consultation framework for the ONLINE S3 Calls Consultation application



BENEFITS TO KEY ACTORS AND STAKEHOLDERS

Collaborative calls consultation facilitated by this app makes it possible for regions and stakeholders to better communicate with each other regarding what they expect from the RIS3 actions. The app aims to promote a constructive dialogue between stakeholders such that the call for projects process can effectively specify the necessary criteria for project selection, so that projects are best fitted to both sides: those that call for projects and those that take part in them. This has the potential to positively impact the effectiveness and ease of implementing RIS3, by facilitating regions to call for projects that best fit their priority setting that has resulted from shared vision and strategy formulation under the RIS3 framework.

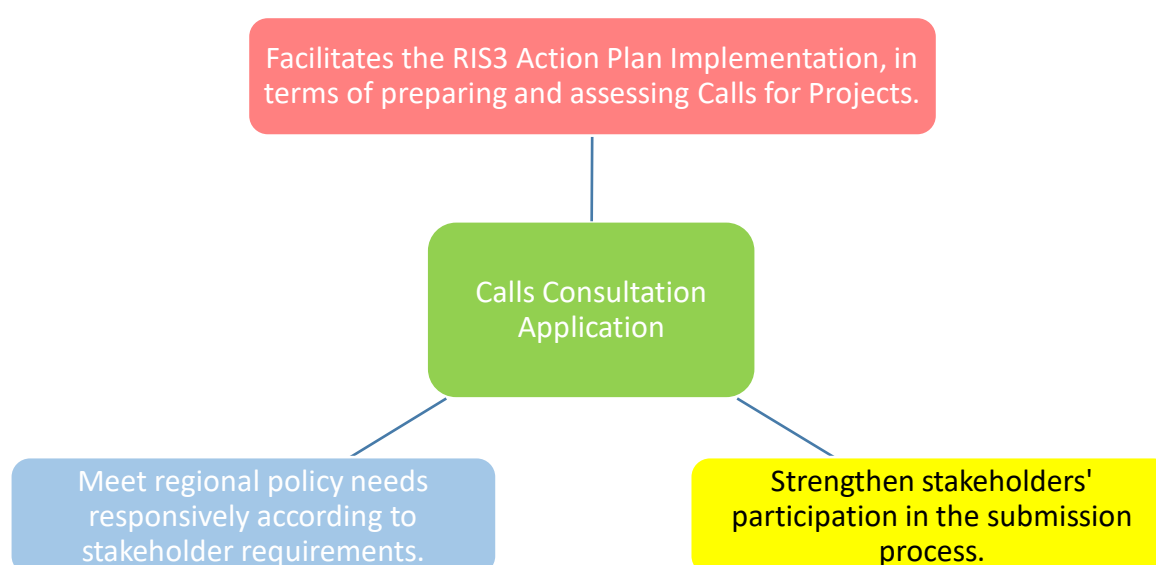


Figure 3 Benefits to stakeholders when using this ONLINE S3 application

KEY ISSUES AND REQUIREMENTS

Required data and Relevant Data Sources

Information regarding the priority setting from Phase 4, as well as the shared vision and the strategy formulation, coming from Phase 3, is required to maximise the benefits of this applications' method. Moreover, information regarding the calls for projects is also needed, in the form of draft texts, so that participating stakeholders can have a solid basis upon which they can share their proposals and thoughts. These will be provided where possible and a simple interface is provided to include information not already present.

All data on top of this will be produced by the participants during the consultation process. Additional data may include similar actions implemented in other EU regions which would be useful in informing judgement, and assessments of actions which might inform stakeholders about the impact and challenges of similar actions in other regions.

Implementation Roadmap

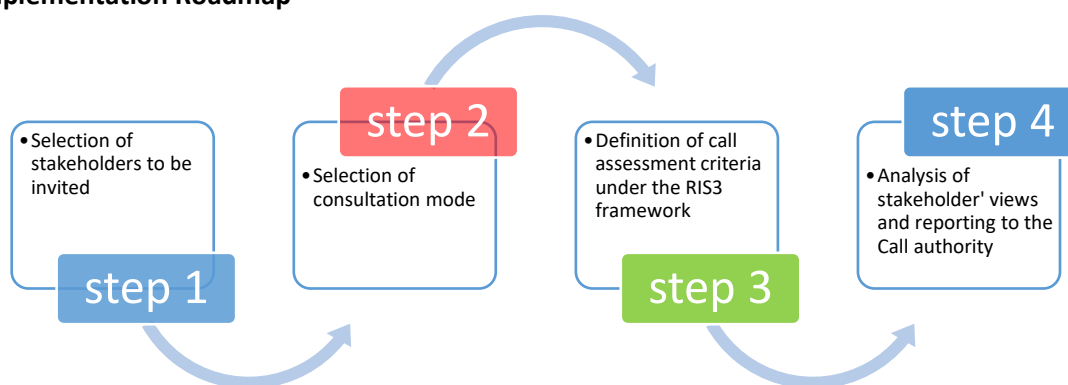


Figure 4 Key issues when using this ONLINE S3 application

Step 1: Selection of stakeholders to be invited

Starting from the stakeholders' mapping, this stage aims to identify the basic categories of stakeholders, based on their level of interest and influence on the specific Call. According to the Better Regulation "Toolbox", there are six steps/questions for stakeholder identification:

1. Who is directly impacted?
2. Who is indirectly impacted?
3. Who is potentially impacted?
4. Whose help is needed to make it work?
5. Who thinks they know about the subject?
6. Who will show an interest in the subject?

Step 2: Selection of consultation mode

Regarding the consultation method, a choice should be made on whether it is going to be open to the public or targeted. Although open public consultations can foster transparency and accountability, and ensure the broadest public validation and support for an initiative, targeted consultation might better fit the concept of calls for projects, as it allows more focused interactions or dialogue and may tap expertise more efficiently, when dealing with a very specific or technical subject. The choice of the appropriate consultation tools should take into consideration some basic principles, including: proportionality, the degree of interactivity needed, accessibility and time restrictions. In practice, an approach including physical presence and use of the online platforms could be most effective.



Step 3: Definition of call assessment criteria under the RIS3 framework

An assessment grid for evaluating the consistency between the proposed Call of projects and the RIS3 framework is presents in the following table. It is important to align the assessment process of submitted projects under the RIS3 framework, as projects tending to illustrate a higher level of RIS3 orientation will be more easily implemented within the RIS3 framework, showing at the same time higher levels of efficiency.

Table 12 Assessment grid of consistency between RIS3 and a Call of action

RIS3 Steps and sections	Assessment of features of the proposed call / action
Phase 1 Governance	<ul style="list-style-type: none"> • Has the action been designed in collaboration with stakeholders or with other forms of broad participation? • Are outcomes of the action to be disseminated to larger audience? • Do the public outcomes of the action follow an open science/innovation approach?
Phase 2 Analysis of context	<ul style="list-style-type: none"> • Does the action consider the results of RIS3 SWOT analysis and the innovation potential of the region? • Does the action contribute to extroversion of productive activities or their positioning in trans-regional and international value chains? • Which is the degree of alignment of the action results of the EDP process (full align, partly aligned, EDP has not been realised or the action does not relate to EDP results)?
Phase 3 Shared vision/ Strategy formulation	<ul style="list-style-type: none"> • Does the action contribute to research and innovation activities? • Are social, organisational, service and market innovation considered beside technological and science based innovation? • Does the action contribute to private sector research and innovation? • Are the societal inclusive, environmental and sustainable economic development challenges addressed? • Are challenges of modernisation / diversification of productive activities addressed by the action?
Phase 4 Priority setting	<ul style="list-style-type: none"> • Is the action in alignment with context analysis and harvesting of entrepreneurial discoveries and DAE? • Is the concentration of resources sufficient to achieve the objectives of the action?
Phase 5 Policy mix/ Action plan implementation	<ul style="list-style-type: none"> • Do eligible activities fall within the priority sectors and activities of RIS3? • Are there private organisations or a mix of public and private organisations supported by the action? • Is the action a follow-up of pilot project or small scale implementation?
Phase 6 Monitoring and Evaluation	<ul style="list-style-type: none"> • Does the action define output and result indicators? • Are indicators linked to priorities with clearly identified baselines and targets? • Are the outcomes of the action sustainable in the long run?

Step 4: Analysis of stakeholders' views and reporting to the Call authority

The analysis of the stakeholders' views should include a series of statistical data, coming from the stakeholders' input. These data should give an overall picture regarding the attitude of the stakeholders towards the selection criteria of the call. Moreover, additional input including new selection criteria should be seriously considered, especially in cases where the call refers to projects requiring a high level of scientific background knowledge. This is facilitated in the app using comments, voting and polls among invited stakeholders.



A STEP-BY-STEP GUIDE

How to use this application step-by-step?

Steps 1. and 2.

The selection of stakeholders to be invited and selection of consultation mode is achieved through the applications group management interface. Members opt-in to specific groups under their user profile and can tag posts and discussions to only be visible to members of a particular group. Alternatively by specifying no groups the post will automatically become public.

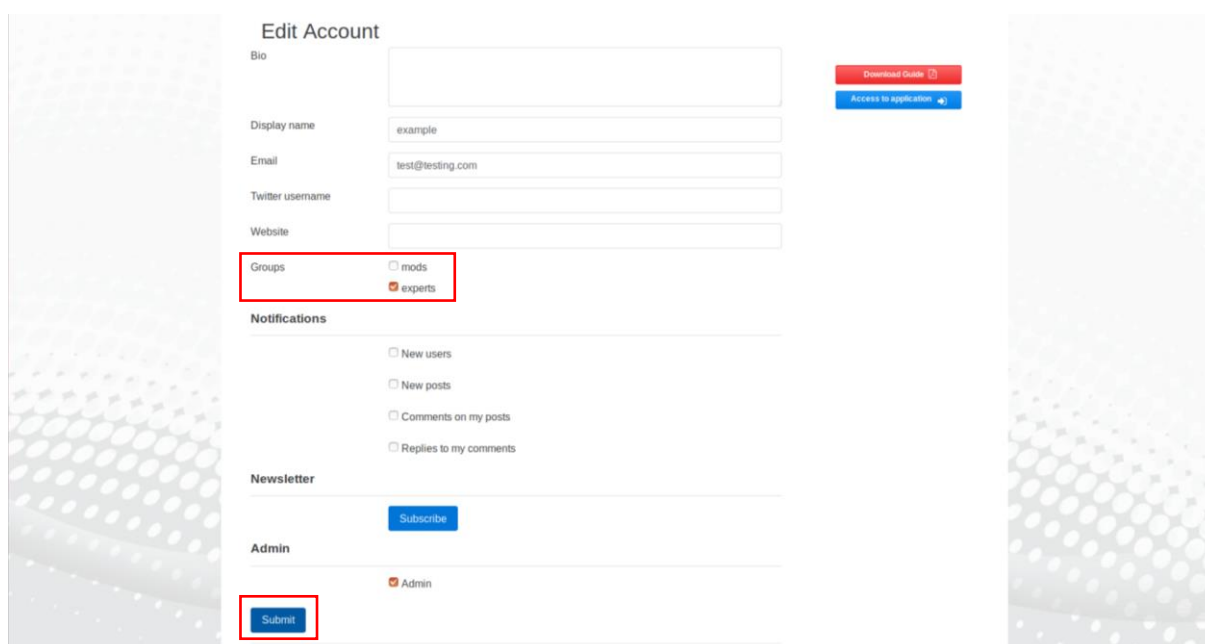
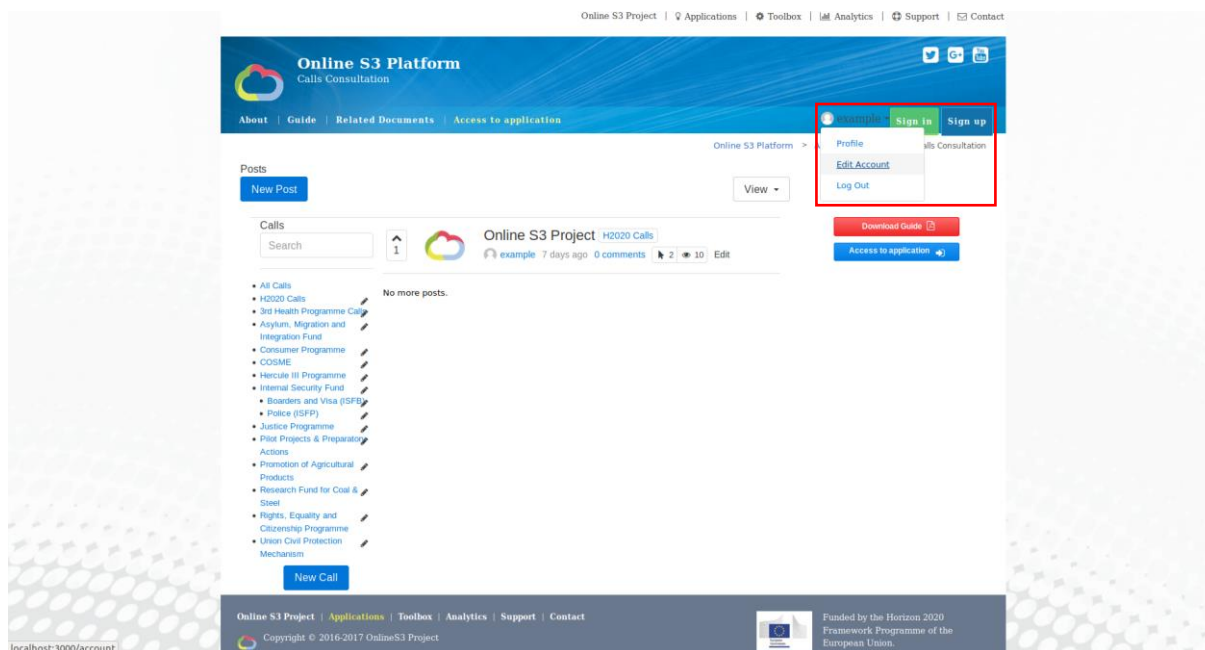


Figure 5 Step 1 and 2 for using this ONLINE S3 application



Step 3.

The definition of call assessment criteria under the RIS3 framework is achieved through the creation of a new category of post for a call, the creation of posts associated with this, and user discussion and voting on posts.

The screenshot shows the 'New Call' form in the Online S3 Project interface. The form is titled 'New Call' and contains the following fields:

- Name: OP Smart Growth
- Description: The Programme aims to boost the innovativeness and competitiveness of Region Xs ec
- Order: 1
- Slug: OPSG
- Image: (empty field)
- Parent ID: H2020 Calls

A 'Submit' button is located at the bottom of the form. The background shows the Online S3 Project dashboard with a sidebar menu and a 'New Call' button highlighted in the sidebar.

The screenshot shows the 'Edit Post' form in the Online S3 Project interface. The form is titled 'Edit Post' and contains the following fields:

- ID: fjJycnZgZpL6PzW
- Url: http://www.onlines3.eu/
- Title: Online S3 Project
- Body: An online platform for Smart specialisation
- Categories: H2020 Calls
- Thumbnail url: (empty field)
- Group: (dropdown menu with options: Administrators, Members, Guests, Moderators, Experts)
- Admin: (checkbox)
- Posted at: (empty field)
- Status: approved
- Sticky: (checkbox)

A 'Submit' button is located at the bottom of the form. The background shows the Online S3 Project dashboard with a sidebar menu and a 'New Post' button highlighted in the sidebar.

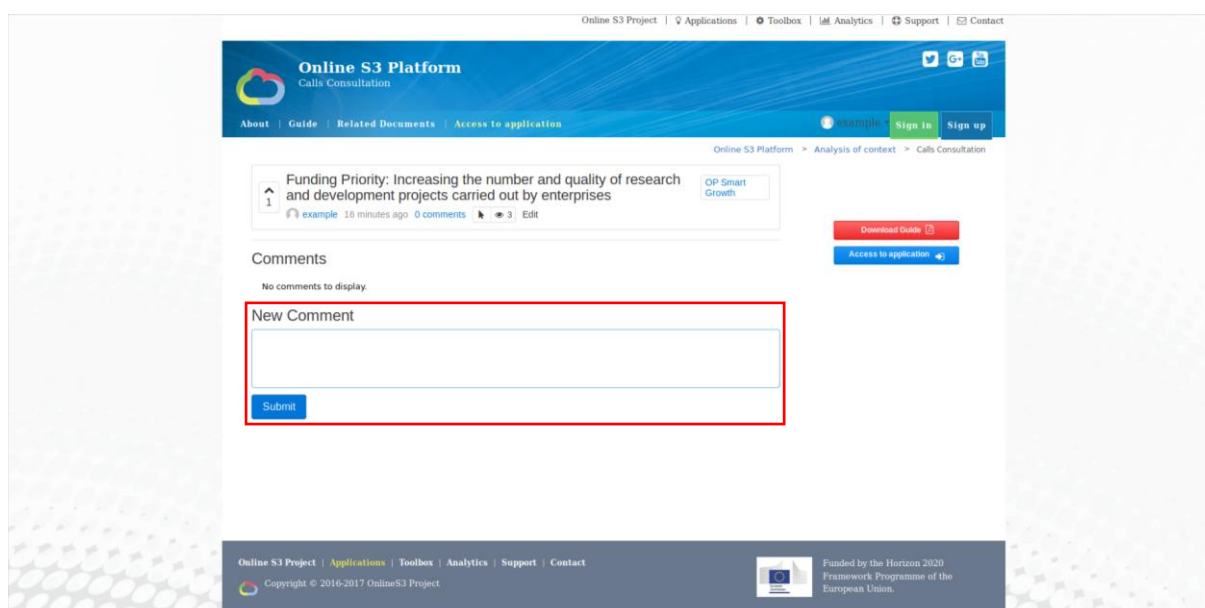
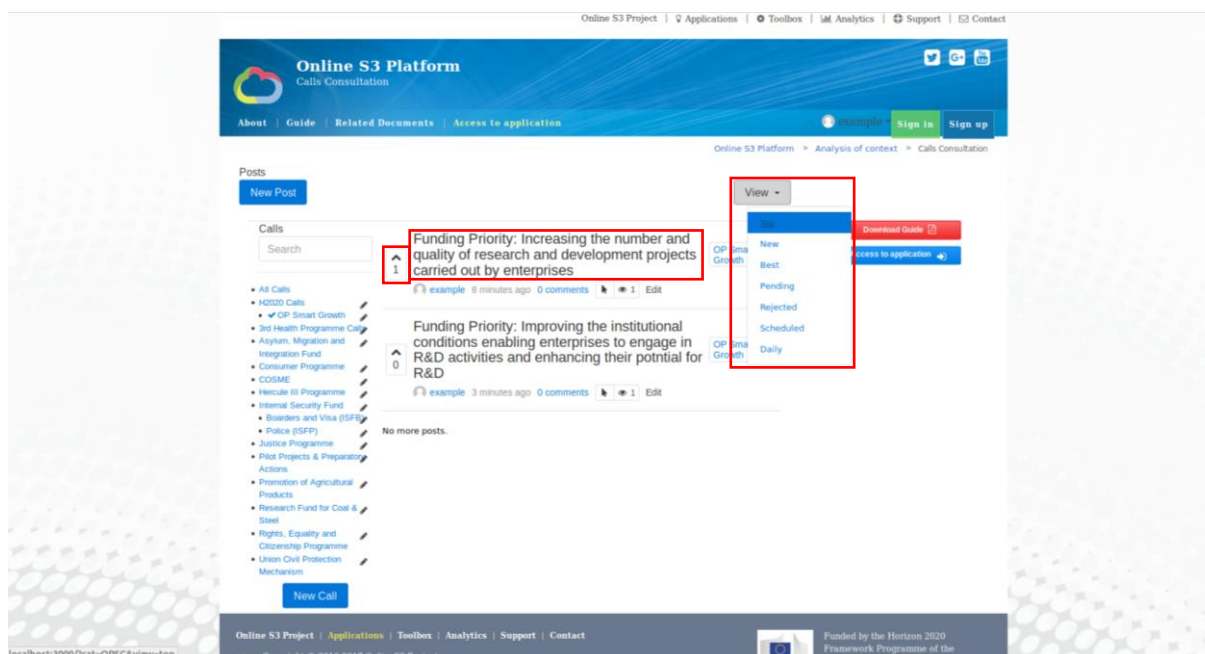


Figure 6 Step 3 for using this ONLINE S3 application

Step 4.

Stakeholders' views can be summarised as a newsletter which can then be reported to the Call authority for analysis and deliberation.

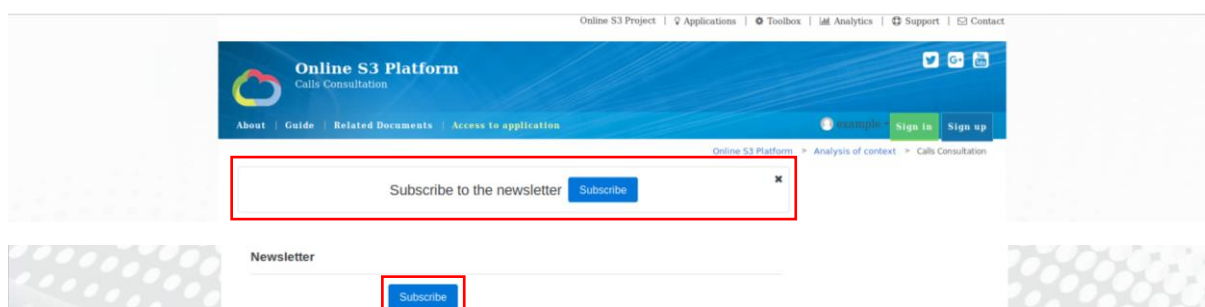


Figure 7 Step 4 for using this ONLINE S3 application



FURTHER INFORMATION

Please refer to the RIS3 Calls Consultation (5.5) methodology fiche created for WP1 of the Online S3 project for further information on the underlying method supporting this application. Additionally, please refer to the RIS3 Calls Consultation (5.5) analysis of online applications and e-tools supporting the implementation of the method created for WP2 of the project for further information on the design of the tool.



REFERENCES

Foray, D., Goddard, J., Goenaga Beldarrain, X., Landabaso, M., McCann, P., Morgan, K., Nauwelaers, C., Ortega-Argilés, R. Guide to Research and Innovation Strategies for Smart Specialisation (Ris 3), Smart Specialisation Platform. Regional Policy. available at <http://s3platform.jrc.ec.europa.eu/s3pguide>; European Commission; 2012.