



RE-ACT

Enhancing multi-stakeholders' capacity to engage in regional smart specialisation strategies

Module 3

Reach-out and benefit from RIS3: How? What now?

DATE:

(partner logo)

AUTHORIZATION



Objectives/Learning Outcomes

- Understanding the new HEInnovate for RIS3 – SUNAR self-assessment tool
- Making the best of RIS3 with other regional stakeholders
- Reflecting on how to enhance long-lasting collaboration

Agenda

3.1 Introduction to the new HEInnovate for
RIS3 - SUNAR self-assessment tool

3.2 Making the best out of RIS3
collaboration

3.3 Long-lasting regional collaboration
strategies

3.4 Conclusions and next steps

CHAPTER 3.1

Introduction to the new
HEInnovate for RIS3 - SUNAR
self-assessment tool

The new HEInnovate for RIS3 - SUNAR – what for?

SUNAR stands for Smart Universities Acting Regionally
This tool supports HEIs to:



Assess their current active engagement in the regional ecosystem



Revise their strategies, structures and practices



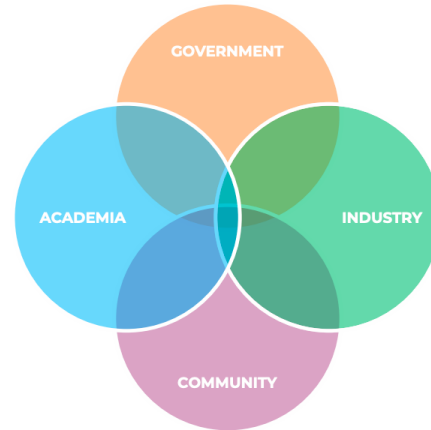
Take action to become regionally embedded, entrepreneurial and smart universities

The new HEInnovate for RIS3 - SUNAR – what for?

The new SUNAR self-assessment tool supports HEIs to:



Debate and agree upon a joint positioning for HEIs as regional asset



Engage all the key actors of the quadruple helix and underpin a profound collaborative work strongly connected to RIS3



Engage in peer support to quadruple helix networks from other regions, strengthening HEIs in their pivotal roles in sustaining innovation

The new HEInnovate for RIS3 - SUNAR – what for?

- ✓ SUNAR is a useful tool to support the participation of HEIs in the creation and implementation of regional strategies, to identify areas for improvement of HEIs' departments. It helps the cooperation between HEIs and regional stakeholders, enterprises, corporates and society at large.
- ✓ In order to better contribute to RIS3, **HEIs should first clearly state their goals, identify their strengths and weaknesses, identify the most relevant areas of research and education and third mission activities** and make synergy in the research areas of different teams.



Universities must **capitalize the results** of the self-assessment along the eight dimensions of SUNAR in order to **propose and implement actions** and measures that help them in becoming more entrenched within the quadruple helix of their region and in this way promote **innovation and regional development.**

SUNAR tool – be aware that...

- The tool focuses on HEIs role in RIS3 and is very overarching and complex! - **NO HEI SHOULD STRIVE TO FULFILL ALL EXPECTATIONS!**
- **SUNAR** should be rather seen as a **general framework**, based on which a HEI should be able to take **informed decisions** about **future actions** to be taken in a **step-by-step manner**.
- Such decisions should **also** be **evidence-based** and besides the result of the self-assessment should take into consideration other factors and information like:
 - own institutional strategy,
 - human and financial resources available,
 - policy context (RIS3 specialisation and operational priorities),
 - regional challenges and fabric, dynamics of quadruple helix cooperation and needs of the community,
 - etc.

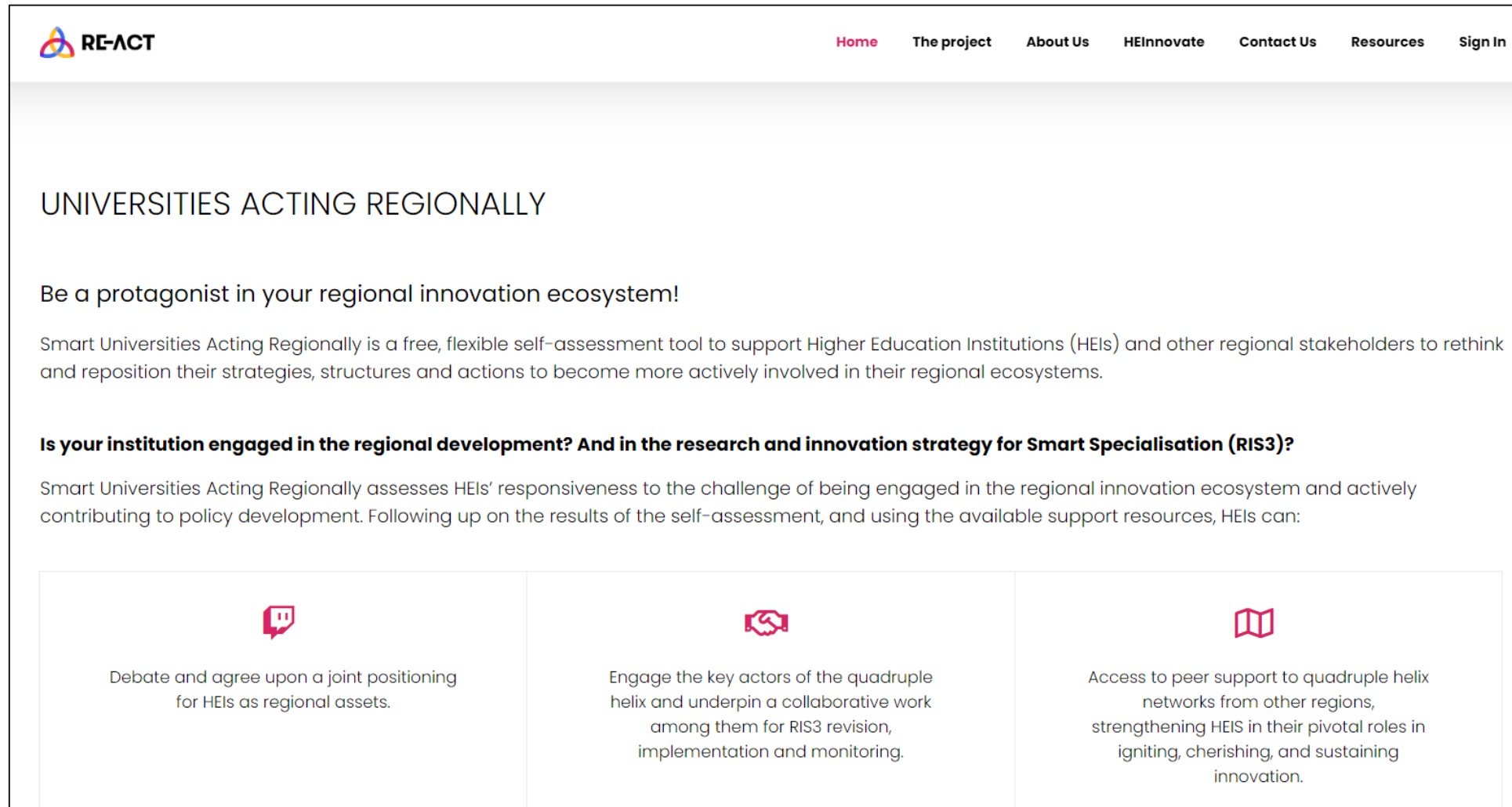


In short, the **SUNAR tool needs to be seen as a guiding framework supporting institutional capacity and capability building linked to RIS3**, relying on **existing situation** and based on the HEIs **long term vision!**



The new HEInnovate for RIS3 - SUNAR

The new tool is available here: <https://react.pbs.up.pt/home>



The screenshot shows the RE-ACT website home page. At the top left is the RE-ACT logo. A navigation menu at the top right includes links for Home, The project, About Us, HEInnovate, Contact Us, Resources, and Sign In. The main heading is "UNIVERSITIES ACTING REGIONALLY". Below this is a sub-heading "Be a protagonist in your regional innovation ecosystem!". A paragraph describes the tool as a free, flexible self-assessment tool for HEIs and regional stakeholders. A bolded question asks if the institution is engaged in regional development and RIS3. A paragraph explains that the tool assesses HEIs' responsiveness and provides support resources. At the bottom, three columns describe key actions: 1) Debate and agree upon a joint positioning for HEIs as regional assets. 2) Engage the key actors of the quadruple helix and underpin a collaborative work among them for RIS3 revision, implementation and monitoring. 3) Access to peer support to quadruple helix networks from other regions, strengthening HEIs in their pivotal roles in igniting, cherishing, and sustaining innovation.

RE-ACT

[Home](#) [The project](#) [About Us](#) [HEInnovate](#) [Contact Us](#) [Resources](#) [Sign In](#)

UNIVERSITIES ACTING REGIONALLY

Be a protagonist in your regional innovation ecosystem!

Smart Universities Acting Regionally is a free, flexible self-assessment tool to support Higher Education Institutions (HEIs) and other regional stakeholders to rethink and reposition their strategies, structures and actions to become more actively involved in their regional ecosystems.

Is your institution engaged in the regional development? And in the research and innovation strategy for Smart Specialisation (RIS3)?

Smart Universities Acting Regionally assesses HEIs' responsiveness to the challenge of being engaged in the regional innovation ecosystem and actively contributing to policy development. Following up on the results of the self-assessment, and using the available support resources, HEIs can:

- Debate and agree upon a joint positioning for HEIs as regional assets.
- Engage the key actors of the quadruple helix and underpin a collaborative work among them for RIS3 revision, implementation and monitoring.
- Access to peer support to quadruple helix networks from other regions, strengthening HEIs in their pivotal roles in igniting, cherishing, and sustaining innovation.

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The new HEInnovate for RIS3 - SUNAR



Leadership and Governance

The effective involvement of an HEI in the smart specialisation process implies commitment and entrepreneurial orientation by HEI senior (higher) managers and decision-makers. Managerial, regulatory and infrastructural frameworks based on which HEIs interact with their external environment determine the extent of their participation and impact on regional innovation. This dimension underlines the most important steps and actions HEI senior managers decision-making structures should take in order to facilitate the HEIs participation in different phases of RIS3 design (including revision) and implementation (including monitoring and evaluation). It covers HEI senior managers' involvement in regional RIS3 governance structures, as well as other steps that HEI decision-makers should take in order to facilitate the institutions' internal involvement in RIS3 and the HEI's external involvement in the regional innovation ecosystem as part of the quadruple helix.

🗉 Each dimension assessed in *SUNAR* presents a brief summary of what is being assessed under the heading.

The new HEInnovate for RIS3 - SUNAR

- Under each statement, there is a scale from n/a to 5 which enables an assessment of how the HEI performs against the statement.

1 :: The HEI is represented through its senior management in the highest governing body of RIS3 on a regional level.



N/A



1



2



3



4



5

RIS3 design and implementation is a bottom-up, collaborative process, involving stakeholders from the quadruple helix. These stakeholders, including academia, are brought together in entrepreneurial discovery processes and different region-specific governance structures to support the identification of new opportunities, but also to create ownership of the strategy and ensure stakeholder involvement during strategy design and implementation.

A typical RIS3 governance structure at the regional level consists of a steering group, working groups and a management team. The steering group is the highest level RIS3 governance body, gathering high level representatives of regional stakeholders, including HEIs, and is responsible for the overall success of the strategy, together with the policy making organization.

The new HEInnovate for RIS3 - SUNAR

- Under each statement there are also some **guidelines to support the assessment**, indicating what actions should be in place for higher scores. This is to support clear positioning in each statement.

To score highly, an HEI could, for example:

- Be represented in the RIS3 steering group by a person from senior management, actively contributing to coordination with other RIS3 governance structures and to the integration of stakeholder viewpoints in the design and implementation of the strategy
- Actively encourage a culture of collaboration with other steering group members and further external and internal partners to contribute to the success of the RIS3
- Provide institutional support in the design, and implementation of the strategy
- Act as one of the leaders of the RIS3 at regional level, contributing to efficient communication about the importance of smart specialisation and to the mobilization and involvement of a wide variety of stakeholders in the entrepreneurial discovery process
- Cooperate with other members of the governance structure to support local and regional policymakers in addressing complex policy, practical and societal challenges



Leadership and Governance

- 1 The HEI is represented through its senior management in the highest governing body of RIS3 on a regional level.
- 2 The HEI is strategically committed to implement its third mission taking into account RIS3 objectives.
- 3 Senior management of the HEI ensures that processes, procedures and internal communication measures facilitate the HEI's participation in key steps of RIS3 design and implementation.
- 4 The HEI is able to reach out to and attract key innovators from the faculties into the entrepreneurial discovery process and RIS3 implementation.
- 5 Every HEI employee involved in RIS3 has equal access to all information; the principles of transparency and participation are consistently applied.



Entrepreneurial Teaching and Learning

- 1 The HEI graduate programmes provide knowledge and skills related to RIS3.
- 2 The HEI delivers training programmes to support the upskilling and reskilling of staff in the smart specialisation priority areas.



Organisational Capacity: Funding, People and Incentives

- 1 The HEI maintains a structured, up-to-date registry of its internal knowledge assets.
- 2 The HEI has dedicated qualified personnel to support academics and researchers in research and innovation.
- 3 The HEI has organisational structures dedicated to knowledge and technology transfer that cover the smart specialisation priority areas.
- 4 The HEI promotes multidisciplinary cooperation among different departments/faculties/research units in accordance with business and society needs.
- 5 A system of rewards is in place to involve staff from different departments of the HEI in research and innovation activities.
- 6 The HEI makes the best use of available funding opportunities for research and innovation to contribute to RIS3 objectives.



Preparing and Supporting Entrepreneurs

- 1 The HEI actively supports companies in the smart specialisation priority areas in their research and innovation activities.
- 2 The HEI develops and provides services to support entrepreneurship and innovation in companies.
- 3 The HEI provides RIS3 partners with access to information on prospective research results that can be commercialised.
- 4 The HEI supports its researchers and students in establishing innovative start-ups and spin-offs, especially in smart specialisation priority areas.



Digital Transformation and Capability

- 1 The HEI uses the advantage of digital technologies to foster innovation on a regional level.
- 2 The HEI supports digital transition at regional level.
- 3 The HEI contributes to the uptake and the dissemination of the latest digital technological advancements



The Internationalised Institution

- 1 The HEI participates as a partner in European and international R&I projects.
- 2 The HEI links the region to external knowledge sources.
- 3 The HEI is engaged in European and international R&I networks.



Knowledge Exchange and Collaboration

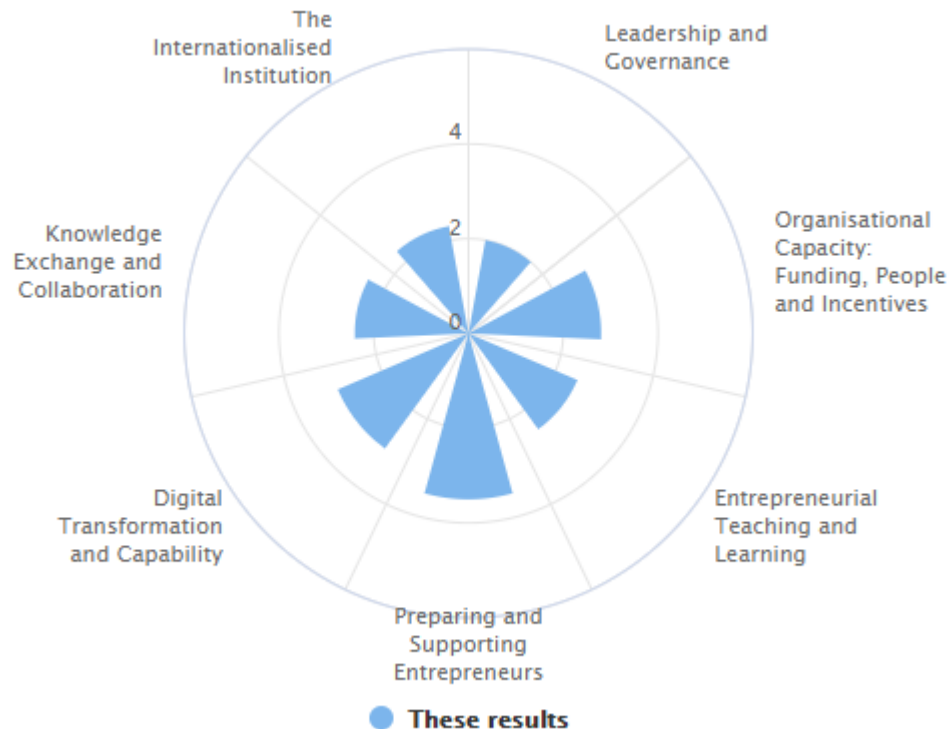
- 1 The HEI supports innovation in smart specialisation priority areas through collaboration with other regional quadruple helix (QH) stakeholders.
- 2 The HEI supports the regional RIS3 responsible organisation(s) in the strategy development and implementation.
- 3 The HEI supports university-industry links and mobility.
- 4 The HEI facilitates cooperation between Quadruple Helix actors.
- 5 The HEI analyses the current and future needs of society and business, providing the knowledge to respond to the challenges



Measuring Impact

- 1 The HEI is actively involved in participatory RIS3 monitoring, evaluation and learning activities
- 2 The HEI measures its own contribution to reaching RIS3 objectives.

Overview



In this example of a self-assessment using *SUNAR*, the dimensions scoring the lowest are:

- Leadership and Governance (2)
- The Internationalised Institution (2.3)
- Knowledge exchange and collaboration (2.4)

This chart is generated automatically and can be downloaded from the platform to have an overview of the areas that need improvement and need to be addressed through an action plan.

Comparison



Similarly to the HEInnovate tool, the SUNAR allows multiple assessments from professionals within the HEI or externally (by stakeholders) and enables a visual comparison of perspectives on entrepreneurship features based on the role HEIs should/could play within the regional innovation (eco-)system in the context of smart specialisation.

This chart allows the **comparison of these results against all self-assessments completed.**

Detailed results are produced with the score for each statement and a global score for each dimension assessed.

The PDF can also be downloaded from the platform and is generated for each assessment completed.

Self-assessment detailed results

Leadership and Governance

2.4

- 1 The HEI is represented through its senior management in the highest governing body of RIS3 on a regional level. 3
- 2 The HEI is strategically committed to implement its third mission taking into account RIS3 objectives. 2
- 3 Senior management of the HEI ensures that processes, procedures and internal communication measures facilitate the HEI's participation in key steps of RIS3 design and implementation. 2
- 4 The HEI is able to reach out to and attract key innovators from the faculties into the entrepreneurial discovery process and RIS3 implementation. 2
- 5 Every HEI employee involved in RIS3 has equal access to all information; the principles of transparency and participation are consistently applied. 3

Organisational Capacity: Funding, People and Incentives

2

- 1 The HEI maintains a structured, up-to-date registry of its internal knowledge assets. 2
- 2 The HEI has dedicated qualified personnel to support academics and researchers in research and innovation. 1
- 3 The HEI has organisational structures dedicated to knowledge and technology transfer that cover the smart specialisation priority areas. 2
- 4 The HEI promotes multidisciplinary cooperation among different departments/faculties/research units in accordance with business and society needs. 3
- 5 A system of rewards is in place to involve staff from different departments of the HEI in research and innovation activities. 2
- 6 The HEI makes the best use of available funding opportunities for research and innovation to contribute to RIS3 objectives. 2

START NEW SELF-ASSESSMENT

View all self-assessments

Upon completing a self-assessment it is possible to submit a new one and view all the forms completed so ... **several professionals can collaborate!**

My self-assessments list

STATUS: COMPLETED

SUBMITTED AT: 2021-09-29 10:34:52

[View result](#)

[Delete](#)

STATUS: COMPLETED

SUBMITTED AT: 2021-09-22 13:25:03

[View result](#)

[Delete](#)

STATUS: COMPLETED

SUBMITTED AT: 2021-09-08 18:15:05

[View result](#)

[Delete](#)

Ready to try it?

Register: <https://react.pbs.up.pt/signin>

Sign in or create a new Smart Universities Acting Regionally account

To start a self-assessment lease sign in below, if you already have an Smart Universities Acting Regionally account. Alternatively, you can register a new account.
Registration is free and confidential.

Sign in

E-mail *

Password *

Register

Name *

Surname *



Debate Sharing experiences

How did the self-assessment process go?

What do you think about the SUNAR tool in terms of...?

✓User-friendliness – easy to use?

✓Language – clear and easy to understand?

✓Accuracy – adequate language?

✓Usefulness – did it help?

✓Relevance – does it bring added value?

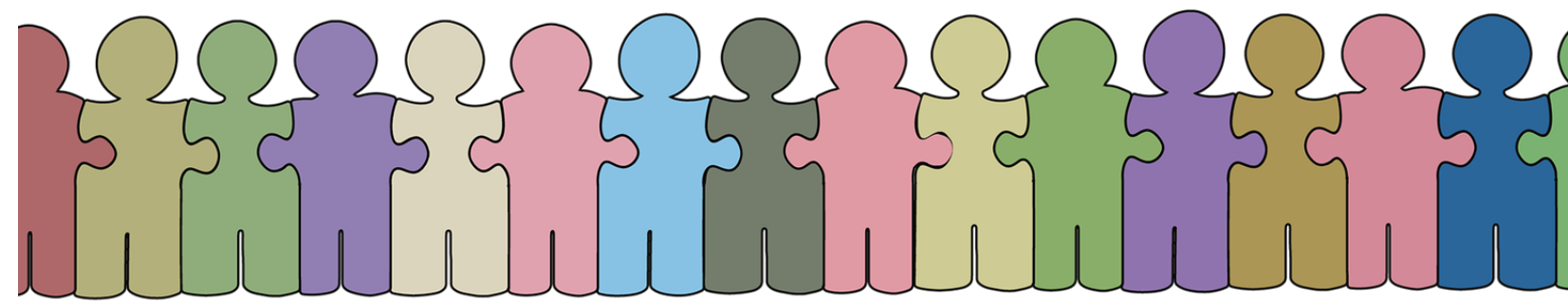
✓Innovation – has differences in relation to
HEInnovate?



CHAPTER 3.2

Making the best out of RIS3
collaboration

Examples of GOOD PRACTICES



University of Aveiro (UAVR), (Portugal)

Background

- Created in 1973, the University of Aveiro (UAVR) is one of the most dynamic and innovative universities in Portugal, despite not being in one of the main cities (Lisbon, Porto).
- UAVR has over 13000 students distributed by 16 Departments and 4 Polytechnic Schools, organic structures that work together in an inter-disciplinary way according to their academic and research affinities.
- UAVR is a considered a research-oriented university where innovative products and solutions are developed and contribute to the advance of science and technology.



Therefore UAVR is a privileged partner for companies and other national and international organisations, by means of cooperation and co-creation projects to the society.

Evaluation – using HEInnovate at UAVR - Department of Mechanical Engineering

1st implementation of HEInnovate (end of 2014)

- Target audience: members of the Centre for Mechanical Technology and Automation (TEMA) research centre (scholars, Ph.D students, post-docs, researchers and HE teachers).
- Engagement: Personal invitations sent using official/formal email communications through the HEInnovate platform. Message included a summary of the main ideas and context behind HEInnovate, as well as its importance, in order to guarantee the proper awareness about the self-assessment tool.
- Dimensions & results: All dimensions of HEInnovate were addressed (seven, at that time). 40% completed responses. The results were subsequently debated in an “in-person” general meeting.

2nd implementation of HEInnovate (beginning of 2016)

- Target audience: members of the students’ association of mechanical engineering of UAVR.
- Engagement: In-person meetings prior the self-assessment exercise to understand the vision of the students regarding the entrepreneurial performance of the department and the usefulness of adopting a self-reflection tool to assess it. At the end of the meeting and debate, students were invited to fulfil the HEInnovate assessment.
- Dimensions & results: All seven dimensions addressed, individually, during a period of two weeks after the meeting. 54% completed responses.

GOOD PRACTICE 1: HEI using HEINNOVATE results – University of Aveiro

Results:

- Effective and good communication between all agents within HEIs was considered crucial;
- In both implementations, HEInnovate tool was discussed as a self-reflection tool, together with its usability and user-friendliness for the topic;
- The most debated dimension in both target audiences was the “Entrepreneurial Teaching and Learning”;
- Students considered as fundamental actors for the assessment of Innovation and Entrepreneurship (with)in HEI;
- Rooted conviction (even within the teaching staff) that “entrepreneurship” is all about creating start-ups.

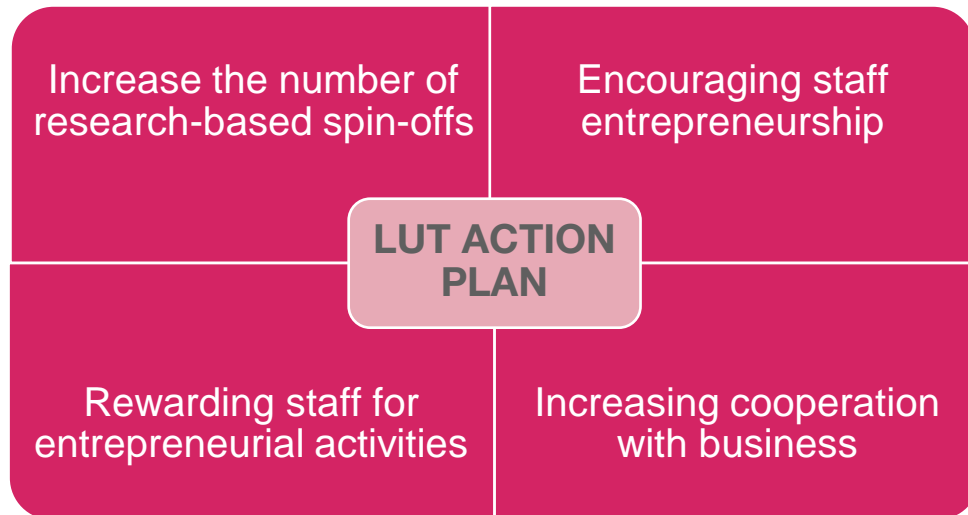
Key Takeaways

- The promotion of actions needs a proper team, engaged and committed with the topic of entrepreneurship and innovation in Higher Education Institutions.
- An adequate setup of HEInnovate is crucial to fully accomplish the objective of its implementation. The clear communication and contextualization about the purpose of using HEInnovate, together with its characteristics (namely the flexibility and self-diagnose without benchmarking and ranking) is also considered important.
- In-person debates are needed to increase the impact of the action and its translation towards effective and contextualized actions and, subsequently, change of behaviours.



GOOD PRACTICE 2: using HEINNOVATE results – Lappeenranta University of Technology

- In Finland, at the Lappeenranta University of Technology (LUT), **HEInnovate has been used to guide the process of strategy development** and to define the new action plan for entrepreneurship.
- **HEInnovate was used as a common reference framework for discussion** and, through the use of workshops, staff were able to come up with action points for the plan.



GOOD PRACTICE 3: Facilitating HEIs involvement in RIS3 in North-West Romania (*initiatives of the European Commission*)

- 1) Directorate General Regional and Urban Policy: **“Lagging (or catching up) regions’ initiative”** implemented between 2016 and 2017 in North-West and North-East Development Regions (and two other selected regions from Poland),
- 1) Preparatory Action of the European Parliament (**“The economic competitive advantages and the potential for smart specialisation at regional level in Romania”**), managed by Directorate General Regional and Urban Policy and implemented by the Joint Research Centre between 2016-2018 in North-West and North-East Development Regions and rolled out to all Romanian regions between 2018-2020: **“Targeted support for RIS3 in lagging regions/Romania”**.

Sources for all slides and further information: www.nord-vest.ro, <https://s3platform.jrc.ec.europa.eu/targeted-support>,

[https://www.europarl.europa.eu/RegData/etudes/STUD/2020/652215/IPOL_STU\(2020\)652215_EN.pdf](https://www.europarl.europa.eu/RegData/etudes/STUD/2020/652215/IPOL_STU(2020)652215_EN.pdf),

https://ec.europa.eu/regional_policy/en/policy/how/improving-investment/lagging_regions/



GOOD PRACTICE 3: Lagging regions' initiative (DG REGIO)

a) **Fostering quadruple helix cooperation in a selected smart specialisation priority area (ITC):**

- development of mechanisms and instruments supporting national-regional (vertical multi-level-governance) and quadruple helix (horizontal multi-level governance) cooperation, as well as cooperation between local public administration and SMEs on one side and between universities and SMEs on the other,
- development of a joint project idea, selected by stakeholders, to foster university-industry cooperation, channeling in best practices and addressing the most important regional challenge jointly identified and selected,
- development of an action plan to be implemented by the local public administration to support innovation in ITC.

a) **Support for a more effective technology transfer activity in the region:**

- analysis of technology transfer offer and demand in order to support TTOs (including those operated by HEIs) to tailor their services to the needs of businesses (with accent on SMEs) in smart specialisation priority areas.

GOOD PRACTICE 3: Targeted support for RIS3 in Romania (DG JRC)

a) Action plan for the development and mobility of human resources from HEIs:

- setting up a working group of representatives from regional HEIs,
- development of an Action Plan with the support of an external expert taking into consideration needs and challenges, RIS3 content and available financing sources.

a) Entrepreneurial University Development Plan:

- self-assessment of HEIs based on a questionnaire developed using the content of different self-assessment tools, including HEInnovate,
- analysis of results by experts of ACEEU (Accreditation Council for Entrepreneurial & Engaged Universities), and elaboration of an Action Plan for each regional HEI with measures to support development of entrepreneurial profile and technology transfer capacity.

a) Training workshop series: Strengthening University-Industry-Government Cooperation in Romania

- as concerns HEIs special emphasis has been put on the development of entrepreneurial profile and use of HEInnovate self-assessment tool.



Practical Exercise 1. Reaching HEIs in our region

- The basis of this exercise is the results of the participatory exercises from Module 1 and 2.

N.B. Prepare separate file to register summarised results. Column B of available “Template 1_M3 WP3_Practical exercises” can also be used for this purpose.

- All participating stakeholders formulate **inputs and recommendations** to be taken into consideration by HEIs - in general or a particular HEI - when preparing action plans within WP2, taking also into consideration the regional fabric and policy context.
- Interactive tools, like Jamboard or Slido can also be used.
- Total time of the exercise: maximum 10 minutes.

Inputs and recommendations to be taken into consideration by HEIs of our region:

- Xxxxx
- Xxxx
- Xxxxx
- Xxxxx

CHAPTER 3.3

Long-lasting regional
collaboration strategies

Practical Exercise 2. Joint project idea development with participants



Summary: Based on the material prepared for the previous exercise, challenges and bottlenecks are jointly prioritized in an interactive exercise with stakeholders using *Template 1_M3 WP3_Practical exercises*. The template column B needs to be completed before the training. Total time allocated: 30 minutes (10 minutes voting and results, 20 minutes elaboration of problem and objective trees).

Instructions:

- Use excel template to register problems gathered during M1 and M2 exercises, and, if necessary cluster them around “overarching challenges” or “themes”,
- Each participant can choose 3 problems from the list, and based on importance can score them from 3 to 1, where 3 means “top priority” and 1 “less important”,
- The problem with the biggest overall score gets to be addressed through the generation of one project idea (a problem and objective three is made and at least the intervention logic is selected together with participants). In case there is no agreement on the problem to be addressed, 2 or 3 challenges are selected for each “stakeholder group type” (e.g. administration, RIS3 responsible organization, businesses, civil society). In this latter case, participants are split in brake-out rooms and work on separate problem and objective trees together with one facilitator and/or trainer.
- Based on the objective three the intervention logic is selected in agreement with participants and a short description is made for the project idea (objectives, activities, deliverables, responsible, alternatively also budget estimates).



Challenge time

Is there an idea for which regional stakeholders, in partnership will seek financing for, or would like to implement in the future to support their RIS3?

Is there any organization that would take the lead to develop the idea into a project? Who would like to participate as a partner and in which role?

Total time for discussions: at least 10 minutes.



(This can also support the definition of a longer term action in the action plan, in case the HEI partner decides to put such an action in the action plan.)

CHAPTER 3.4

Next steps

Upcoming WP2 and 3 activities showing how the training laid down the foundations for future exercises and make participants motivated to participate in upcoming activities, linking them with overall project objectives.