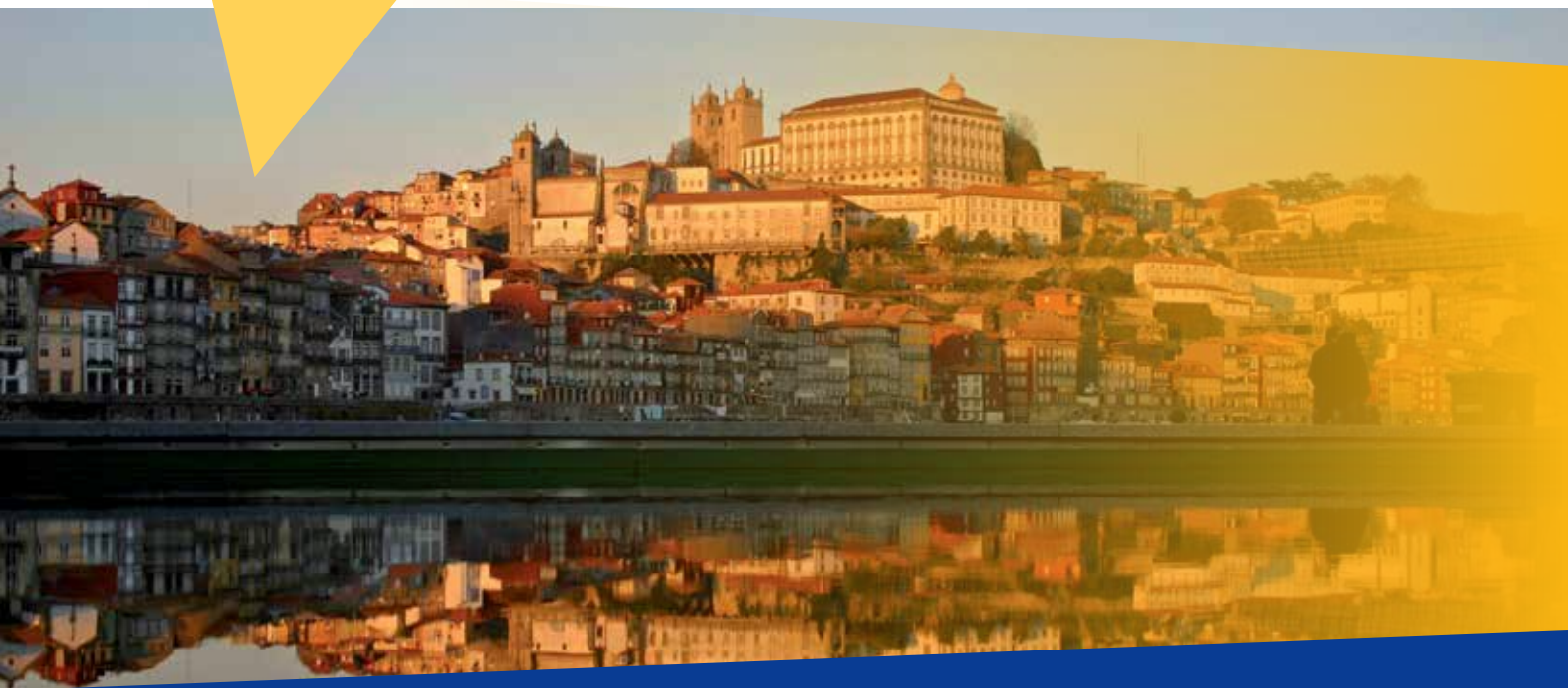




HIGHER
Interreg Europe



Better policy instruments for high innovation projects in the European Regions

ACTION PLAN

Northern Region



ACTION PLAN – CEiIA (Northern Region)

Part I – General information

Project: HIGHER

Partner organisation: CEiIA

Other partner organisations involved (if relevant):

CCDR-N - Regional Development and Coordination Commission of the North Region (Managing Authority)
Technological Interface Centres, universities and companies located in the Northern region

Country: Portugal

NUTS2 region: North

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Part II – Policy context

- The Action Plan aims to impact:
- Investment for Growth and Jobs programme
 - European Territorial Cooperation programme
 - Other regional development policy instrument

Name of the policy instrument addressed:

*Norte 2020 – Scientific and Technological Knowledge Transfer – Collective Actions
[and RIS3 – Norte Region Smart Specialisation Strategy]*

The targeted policy instrument is Norte 2020 (Regional Operational Program of the North Region, Portugal) - Scientific and Technological Knowledge Transfer - Collective Actions. This instrument is included in Thematic Objective 1 – Promotion of research, technological development and innovation (total ERDF - 403 M €) - Priority 1.2 – Promotion of business R&D investment, and development of synergies between companies, research centres and universities. It aims to promote business R&D investment, enhancing the cooperation between companies and regional Science and Technology organizations, and stimulating knowledge intensive activities and value creation based on innovation (priority 1.2.1). Thus, promoting science – industry collaboration is the main objective of this measure, which is supporting projects under public-private partnerships: companies, universities, R&D centres, associations, and public bodies. A collective approach is privileged. Consequently, the projects should be oriented to answer to common risks and opportunities of an enlarged group of companies, promoting positive externalities, especially under the challenges established by the RIS3.

In fact, RIS3 Norte aims to promote competitiveness, innovation capacity and internationalization of the region. Its main ambitions are to increase R&D investment, namely business R&D investment, and to promote partnerships between companies, universities, and R&D centres. Eight strategic areas were selected: sea-related economic activities; human capital and specialized services; culture, design and fashion; mobility industries and environment; food and agriculture environmental systems; life and health sciences; symbolic capital, technology and tourism services; and key enabling technologies.

The Operational Program of the North Region (Norte 2020) defined the thematic objectives, investment priorities and types of actions to be supported aligned with the eight strategic areas of the RIS3 Norte. Thus, the actions defined by CEiiA in this Action Plan, although directly related to RIS3 Norte, will also influence the Norte 2020, since this policy instrument is responsible for the good implementation of the Smart Specialisation Strategy of the North Region. In particular, these actions will promote the technology transfer process between scientific and technological organisations and companies.

Two calls for proposals were launched, with an ERDF amount of 10 M each (one in 2015 and other in 2016) (funding rate is 85%). In the 1st call, 14 projects were approved with an ERDF amount of 8,391 M €. In the 2nd call, 16 projects were approved with an ERDF funding of 7,170 M €. An additional call was launched in 2015 targeted to a specific group of beneficiaries. 3 projects were approved with an ERDF amount of 2 M €. Thus, in total, 33 projects were approved with an ERDF funding of 17,562 M €.

Policy Instrument	Calls 2015	Calls 2016	Calls 2017	Approved Projects
Collective actions – Scientific and Technological Knowledge Transfer	17	16	-	33

The projects were mainly proposed by universities, polytechnic institutes and technology centres, being the operations centred in some of the strategic areas of RIS3, namely food and agriculture environment systems, health sciences, and information and communication technologies.

At the moment, no information is available concerning future calls for proposals. According to the Managing Authority, a reprogramming process of Norte2020 is being carried out, and only after its conclusion it will be possible to have access to the calendar of future calls for proposals.

However, the 'Collective Actions' policy instrument includes not only the measure "Scientific and Technological Knowledge Transfer" but also other measures related with science-industry interaction, technology transfer and innovation. Thus, we have considered all the measures associated to 'Collective Actions' to improve our capacity to influence the PI, comprising:

- Collective Actions – Scientific and Technological Knowledge Transfer;
- Collective Actions – Promoting entrepreneurship;
- Collective Actions – Internationalisation;
- Collective Actions – Qualification.

The status of the related calls for proposals and approved projects is described in the following table:

Policy Instrument	Calls 2015	Calls 2016	Calls 2017	Approved Projects
Collective actions – Scientific and Technological Knowledge Transfer	17	16	-	33
Collective actions - Entrepreneurship	39	12	-	51
Collective actions - Internationalization	29	12	3	44
Collective actions - Qualification	33	30	-	63
Total				191

According to information provided by the Managing Authority, some future calls for proposals linked to this PI ('Collective Actions') will probably be targeted to specific beneficiaries, namely Technological Interface Centres. The objective of these organizations is to promote the interface between universities and companies, through product valorisation and technology transfer activities. 40 Technological Interface Centres (TIC) have been officially recognized by the Portuguese Government. It is worth of notice that CEiiA, a partner of HIGHER project was acknowledged as a 'Technological Interface Centre'.

Part III – Details of the actions envisaged

ACTION 1 - Establishment of a Monitoring System for the Smart Specialisation Strategy (RIS3) of the North Region

1. The background

One of the fragilities identified in the Smart Specialisation Strategy of the North Region was the lack of a structured monitoring system. This weakness has been recognized by the Managing Authority (through two meetings and exchange of several e-mails between CEiiA and CCDR-N) and by regional stakeholders during the implementation of Phase 1 of the HIGHER project. Moreover, the learning process and the exchange of experiences with the other project partners was very useful to identify good practices related with monitoring processes.

One reference example is RIS3CAT (Catalonia RIS3) Monitoring System, available in the "Good Practices Inventory" of the HIGHER project, and presented to the partnership by UAB Research Park (Lead Partner) in some project's events.

The Catalan RIS3 Monitoring System was developed and implemented with the aim of monitoring and coordinate the ERDF with a learning process of the quadruple helix dynamics and the economic transformation of Catalonia.

The main objectives of this monitoring system are to guide the design, implementation and evaluation of RIS3CAT in order to ensure the efficient use of public resources and maximize their impact, and to provide information to facilitate the decision-making of the stakeholders concerned so that they can adapt strategies, instruments and projects.

The RIS3CAT monitoring process is structured in four levels: projects, instruments, process of intelligent specialization, and impact. The main sources of information for the monitoring system are related to different indicators:

- RIS3CAT project execution indicators (carried out by companies, R&D+I system stakeholders, public administration and non-profit organizations);
- RIS3CAT outcome indicators;
- Comparison indicators in the context of the European Union.

In addition to the quantitative information obtained through the indicator system, qualitative information is collected through questionnaires and other tools.

The monitoring system is fundamental to the governance of RIS3CAT, allowing adjustments of the strategy to the real needs, challenges and opportunities that are emerging in the Catalan economy. A public report is published annually with all the information collected during the period, where a specific analysis of the main results obtained is carried out. The Action Plan of the strategy is updated annually by the RIS3CAT bodies based, mainly, on the information obtained through the monitoring system.

The lack of a monitoring system of RIS3 influences the capacity to monitor and evaluate the results of the PI tackled by CEiiA in the scope of the HIGHER project - 'Collective Actions'.

2. Action

The development of a monitoring system of the implementation of any Smart Specialisation Strategy is essential for its success. It is through an effective monitoring system that one can evaluate the implementation of these strategies to support the decision-making process and to make possible adjustments to the objectives, strategic areas and policy instruments.

An effective monitoring system of the Smart Specialisation Strategy of the Northern Region of Portugal is not in place. It is necessary to define a set of indicators that will be used in the monitoring process, making data and information available concerning the implementation of the strategy.

Thus, one of the actions proposed in this Action Plan, to be developed under the HIGHER project (Phase 2) is the establishment of a monitoring system for the RIS3 Norte, which could be extended to the Transborder Smart Specialisation Strategy Northern Portugal – Galicia, Spain.

The definition of a monitoring system for RIS3 Norte will not only benefit the strategy itself, but will also allow the monitoring of the policy instrument tackled by CEiiA within the HIGHER project: North 2020 - Scientific and Technological Knowledge Transfer - Collective Actions.

It is worth of notice that this monitoring system must be designed in coherence with the guidelines defined in the scope of the National Smart Specialisation Strategy, coordinated by ANI – National Innovation Agency. This multilevel governance model calls for an articulation between the national and the regional level.

Some activities will be developed to achieve this objective:

Activity 1.1 - Awareness raising of policy makers of the need of defining a monitoring system for RIS3:

This activity includes the organisation of one meeting with the Managing Authority (CCDR-N) in order to define the methodology to be implemented for the definition of the RIS3 Monitoring System, in terms of: main steps, set up of a specific team, involvement of stakeholders, etc.

The output will be a document with the methodology, comprising a work plan and a timeline.

Activity 1.2 – Definition of guidelines of the RIS3 Norte Monitoring System:

Since CCDR-N is the Managing Authority of Norte 2020 and is directly responsible for the policy instrument with which CEiiA is working, and the regional stakeholders of the HIGHER project played an important role in the implementation of the project during the first phase, this activity includes the organisation of three joint meetings to discuss the structure of the RIS3 monitoring system, as well as the selection of indicators to be included in this system.

The final output is the production of a document - "RIS3 Norte Monitoring System: Structure, Methodology and Operationalization" with the definition of guidelines for the selection of monitoring indicators, which will support the decision-making process, as well as for the requisites of the monitoring system and that will support the activation of this system.

3. Players involved

- CEiiA – Partner of the HIGHER project;
- Regional Development and Coordination Commission of the North Region (CCDR-N) – Managing Authority;
- Regional Stakeholders: Technological Interface Centres located in the Northern region and linked to the strategic areas of RIS3; universities (University of Porto, University of Minho, etc.); and companies.

4. Timeframe

October 2018 – September 2020

5. Costs

10.000 € (estimation)

6. Funding sources

CEiiA's internal resources

ACTION 2 - Activation of a Regional Innovation Council for Monitoring RIS3 Norte and the implementation of related PI

1. The background

Other fragility identified in the Smart Specialisation Strategy of the Northern Region is the inexistence of a formal Regional Innovation Council oriented to monitor its execution and evaluate its impact on the promotion of science - industry collaboration within the RIS3 strategic areas.

The Regional Scientific Council for Research and Innovation of the Region of Central Macedonia (Greece) is a good example that can be replicated and adjusted to the reality of the Northern region. This good practice, identified during the exchange of experiences phase of the HIGHER project, was presented in some project's events and is available in the "Good Practices Inventory" of the project.

We are mainly interested in the model of operationalization and the working methodology of this Council, comprising its composition, rules of procedure, activities, results, etc.

The mission of the Regional Scientific Council for Research and Innovation is to support the planning and implementation of the RIS3 strategy and related regional Action Plan. The Council supports the implementation of RIS3 through different proposals and suggestions, based on analytical tools such as expert opinions, field studies, innovation assessments and human resources collaboration.

This support includes:

- a) Networking of the regional stakeholders involved in R&D+I;
- b) Cooperation with the R&T National General Secretariat for planning and implementing R&D+I regional strategies coordinated in the national level;
- c) Defining criteria and conditions for the evaluation of R&I proposals submitted to regional authorities;
- d) Enhancing the access of beneficiaries to various funding sources, as well as the integration and interconnection of research organizations;
- e) Making full use of the research potential of the region and its human resources, enhancing the R&I infrastructures and facilitating the transfer of knowledge.

The Council consists of eleven members, six of whom are from the university or research institutes, and the remaining five are from the market and other institutions and public administration, covering a large part of the four-fold propeller of the innovation ecosystem. In addition, this Council develops a series of activities and specific methodologies that can be reproduced by the Northern region, namely:

- Their involvement in strategic analyses, decisions and proposals, through participation in relevant meetings, discussions and events;
- Their continued involvement in the implementation of RIS3, contributing to their experience and points of view, as well as engaging in innovation activities;
- Their role in involving all the stakeholders of the innovation ecosystem in the acceptance and implementation of the Smart Specialization Strategy and related Action Plan.

2. Action

Based on the governance model of the Smart Specialisation Strategy (RIS3), the creation of a Regional Innovation Council aims to monitor and evaluate these strategies. Thus, in the North Region, and in accordance with the recommendations of the European Commission, the establishment of a Regional Innovation Council has been approved. This new body should advise and propose lines of action to the Managing Authorities of the European programs, namely NORTE 2020.

So far, this Regional Innovation Council of the North is not active. This is also a constrain to the effective implementation of a monitoring system of the Smart Specialisation Strategy. In the scope of this Action Plan, a second action is related to the activation and operationalisation of this body.

The activation of the Regional Council of Innovation of the North region, besides promoting the governance model of RIS3 and its monitoring, will also promote the monitoring of the political instrument with which CEiiA, partner of the HIGHER project is working (North 2020 - Scientific and Technological Knowledge Transfer - Collective Actions).

For the accomplishment of this action, some activities were defined, such as:

Activity 2.1 - Awareness raising of policy makers of the need of the activation and operationalisation of the Regional Innovation Council:

This activity includes the organisation of one meeting with the Managing Authority (CCDR-N) in order to define the methodology to be implemented for the activation and operationalisation of the Regional Innovation Council, namely: main steps, involvement of stakeholders, etc.

At this meeting CEiiA will also present the case of Regional Scientific Council for Research and Innovation of the Region of Central Macedonia (Greece) and its model of operationalization and working methodology as good example to be replicated and adjusted to the reality of the Northern region and consider in the activation of the Regional Council of Innovation of the North region.

The output will be a document with the methodology, comprising a work plan and a timeline.

Activity 2.2 – Definition of guidelines for the activation and operationalisation of the Regional Innovation Council:

The regional stakeholders of the HIGHER project played an important role in the first phase of the project. Thus, this activity involves the organization of two meetings with the MA and stakeholders in order to collect their contributions to the operationalization of the Regional Innovation Council.

The output is the production of a document with the operationalization model of the Regional Innovation Council, in terms of: composition, rules of procedures, meetings, activities, outputs, results, impacts, etc.

3. Players involved

- CEiiA – Partner of the HIGHER project;
- Regional Development and Coordination Commission of the North Region (CCDR-N) – Managing Authority;
- Regional Stakeholders: Technological Interface Centres located in the Northern region and linked to the strategic areas of RIS3; universities (University of Porto, University of Minho, etc.); and companies.

4. Timeframe

October 2018 – September 2020

5. Costs

1.000 € (estimation)

6. Funding sources:

CEiiA's internal resources

ACTION 3 – Launch of Regional Smart Specialisation Platforms related to RIS3 Strategic Areas

7. The background

Under the framework of the Regional Innovation Council, it is foreseen the launch of Regional Smart Specialisation Platforms in the areas defined in the scope of RIS3.

During the learning process of the first phase of the HIGHER project, in particular in the partners' meetings and thematic workshops, some good practices were presented that can be inspirational for the creation of these platforms in the North Region. One of these good practices, presented by the Association of Urban Municipalities of Slovenia, was the Strategic Research and Innovation Partnerships (SRIPs) programme. This good practice was presented to the project partners during the Interregional Meeting in Cambridge ("Governance and internationalization of S4 and Strategic Research and Innovation Partnerships in Slovenia" – March 2017) and is also available in the "Good Practice Inventory" of the HIGHER project.

The Slovenian Smart Specialization Strategy (S4) is being implemented around the establishment of Strategic Research and Innovation Partnerships (SRIPs), one for each of the nine priority areas of the strategy (Smart Cities and Communities; Smart Buildings and Homes, including wood chain; Networks for the transition into a Circular Economy; Sustainable food production; Sustainable tourism; Factories of the future; Health – medicine; Mobility; Development of materials as products).

Each partnership includes representatives of companies, knowledge institutions and government actors and aims to improve the overall performance of companies and institutions in areas where Slovenia has recognized comparative and competitive advantages as well as develop and market new products and innovative services in the areas defined in S4 and, consequently, the creation of jobs with higher added value.

Each of the SRIPs connects more than 100 companies and knowledge institutions and is developing roadmaps or action plans in which they define the development strategy of the corresponding strategic area. They are also developing interesting projects and strategies for internationalization, and are considered a good tool for integration into international value chains.

Another good practice presented by UAB Research Park (Lead Partner) during the Interregional Meeting in Cambridge (March 2017), which is also available in the "Good Practices Inventory" of the HIGHER project concerns the RIS3CAT Communities. RIS3CAT Communities are one of the main instruments for implementing RIS3 in Catalonia and an innovative element as it combines the need to implement RIS3 and the development of the EDP (Entrepreneurial Discovery Process) in order to achieve the transformation of the economic sectors of Catalonia.

They are groups of companies, business associations, cluster organisations, universities, research centres, technology centres, foundations and institutions linked to R&I, whose main objective is to define a high impact action plan to be implemented through the development of several R&D collaborative projects. The action plans of these communities are financed through the Government of Catalonia, European funds (ERDF) and other public and private funds.

There are 11 communities in five different strategic economic sectors: health; agri-food; industrial systems; chemistry and resources; and sustainable mobility.

These two good practices will serve as examples for the launch of the RIS3 Regional Smart Specialisation Platforms of the Northern Region. In fact, RIS3CAT Communities and SRIPs include representatives from companies, entrepreneurs, universities, research centres, associations, etc., both representing instruments for the implementation of RIS3 in their respective priority areas and aim to stimulate cooperation among different actors, innovation and internationalization, contributing to the definition of investment priorities. Moreover, some of the strategic areas of RIS3CAT Communities and SRIPs are common to the ones foreseen in the Northern region, such as mobility industries.

8. Action

The third action proposed in this AP is the creation and operationalisation of Regional Smart Specialisation Platforms in the areas defined in the scope of RIS3 to support the implementation of the strategy: sea-related economic activities; human capital and specialized services; culture, design and fashion; mobility industries and environment; food and agriculture environmental systems; life and health sciences; symbolic capital, technology and tourism services; key enabling technologies. These platforms will integrate several players, namely companies, entrepreneurs, universities, research centres, associations, and public bodies, in line with the referred good practices.

These platforms will be a good instrument to involve all the regional stakeholders related to each strategic area of RIS3 in planning and monitoring the implementation of the strategy and related PI. Since CEiiA is an important regional player on mobility industries, it can directly contribute to the activation of the Mobility Platform.

In this framework, it is important not only the articulation with the national level of the Smart Specialisation Strategy, but also with some networks and other types of agglomerations that are being supported by the Portuguese Government, such as clusters and collaborative laboratories (some of them with regional relevance). CEiiA is well positioned to contribute to this analysis, since it is member of three clusters: Smart

Cities, Automotive, and Aeronautics; and three Collaborative Laboratories: sea and space, industry 4.0, and smart and sustainable cities.

For the accomplishment of this action some activities were identified, such as:

Activity 3.1. – Definition of guidelines for the activation and operationalisation of the Regional Smart Specialisation Platforms:

Since CCDR-N is the Managing Authority and is directly responsible for the policy instrument with which CEiiA is working, and the regional stakeholders of the HIGHER project played an important role in the first phase of the project, the objective of this activity is the organization of two joint meetings to discuss the guidelines for the activation and operationalisation of Regional Smart Specialisation Platforms in the areas defined in the scope of RIS3.

The output is the production of a document with the operationalization model of the Regional Smart Specialisation Platforms, in terms of: composition, rules of procedures, meetings, activities, outputs, etc.

Activity 3.2. - Analysis of the articulation between clusters and collaborative laboratories with regional relevance in the framework of RIS3 and Regional Smart Specialisation Platforms:

Due to the several types of cooperative arrangements existent in Portugal to promote the interface between the research community and the business community, it will be necessary to identify their contribution to the Regional Smart Specialisation Platforms. This is the case of clusters and collaborative laboratories.

Since CEiiA is a member of three clusters (smart cities, automotive, and aeronautics) and three collaborative laboratories (sea and space, industry 4.0, and smart and sustainable cities), it is in a privileged position to make this analysis.

The output of this activity will be the report "Analysis of the Contribution of Regional Clusters and Collaborative Laboratories to the Regional Smart Specialisation Platforms".

Activity 3.3. – Operationalisation of the Regional Smart Specialisation Platform oriented to mobility industries:

Since CEiiA is focused on the development of the mobility industries, it will contribute to the organisation and will participate in the meetings of the Regional Smart Specialisation Platform centred on mobility, supporting the definition of its working methodology and monitoring processes. CEiiA could even has a leading role in this platform.

The output of this activity is the roadmap of activities of the Regional Smart Specialisation Platform centred on mobility industries, and the minutes of the first meeting.

9. Players involved

- CEiiA – Partner of the HIGHER project;
- Regional Development and Coordination Commission of the North Region (CCDR-N) – Managing Authority;
- Regional Stakeholders: Technological Interface Centres located in the Northern region and linked to the strategic areas of RIS3; universities (University of Porto, University of Minho, etc.); and companies.

10. Timeframe

October 2018 – September 2020

11. Costs

8.000 € (estimation)

12. Funding sources

CEiiA's internal resources

Date: 11 September 2018

Signature: *Cherise Van der Sandt*



Stamp of the organisation (if available):

Letter of support

Project acronym	HIGHER
Project title	Better Policy Instruments for High Innovation Projects in the European Regions
Name of the organisation	Regional Development and Coordination Commission of the North Region – CCDR-N
Name of the policy instrument addressed	NORTE 2020 – Collective Actions – Scientific and Technological Knowledge Transfer
Name of HIGHER project partner	CEiiA

We hereby confirm:

- That the Managing Authority of the Norte Regional Operational Programme for the period 2014-2020 (NORTE 2020) was informed about the Action Plan to be implemented in the Phase 2 of the project HIGHER focused in improving the monitoring and the governance model of the Norte Region Smart Specialisation Strategy (NORTE RIS3) and of the policy instrument “Scientific and Technological Knowledge Transfer – Collective Actions”;
- That the Action Plan envisaged the implementation of the following Actions: (i) Action 1 - Establishment of a Monitoring System for the Smart Specialisation Strategy (RIS3) of the North Region; (2) Action 2 - Activation of a Regional Innovation Council for Monitoring RIS3 Norte and the implementation of related PI; (iii) Action 3 – Launch of Regional Smart Specialisation Platforms related to RIS3 Strategic Areas.
- That the actions described in the Action Plan are in line with NORTE 2020 Regional Operational Programme, considering that the NORTE RIS3 Strategy is an ex-ante conditionality and that the policy instrument addressed by the project is included in an Investment Priority (1.2) of the Regional Operational Programme;
- That the actions described in the Action Plan are in line with the NORTE RIS3 Strategy, considering that the development of a monitoring system and the implementation of the governance model, with a Regional Innovation Council and Regional Smart Specialisation Platforms, are key components for the monitoring and evaluation of the strategy.
- That the Managing Authority of NORTE 2020 will support the implementation of the Action Plan during Phase 2 of the project, from October 2018 to September 2020, in accordance with the governance model

of the Programme and of the NORTE RIS3 Strategy. Accordingly to the requests by the project partner, the Managing Authority of NORTE 2020 will consider the possibility for the implementation of the activities included in the actions.

- That this support letter does not represent any financial commitment to this project from the Managing Authority of NORTE 2020 Regional Operational Programme, attending its competences defined in particular in Decree-Law no. 137/2014 of 12 December that establish the Governance Model of the 2014-2020 Partnership Agreement and its Operational Programmes.

Name of signatory	
Position of signatory	
Date	
Signature and institution stamp	<p>Fernando José Guimarães Freire de Sousa</p> <p><small>Assinado de forma digital por Fernando José Guimarães Freire de Sousa DN: c=PT, o=Comissão de Coordenação e Desenvolvimento Regional do Norte, cn=Fernando José Guimarães Freire de Sousa Dados: 2019.01.24 14:57:43 Z</small></p>