



Action Plan for Norte Region, Portugal

February 2020



Part I – General information

Project: MONITORIS3 – Exchange of experiences in monitoring mechanisms, indicators and methodologies addressed to improvement in the delivery of policies and instruments in the framework of Regional RIS3 across Regions

Partner organisation(s) concerned: Norte Regional Coordination and Development Commission (CCDRN)

Country: PORTUGAL

NUTS2 region: NORTE

Contact person: Raquel Meira

Email address: raquel.meira@ccdr-n.pt

Phone number: +351 22 608 63 00

Part II – Policy context

The Action Plan aims to impact:	<input checked="" type="checkbox"/>	Investment for Growth and Jobs programme
	<input type="checkbox"/>	European Territorial Cooperation programme
	<input checked="" type="checkbox"/>	Other regional development policy instrument

Name of the policy instrument(s) addressed: Hiring of highly qualified human resources

Further details on the policy context and the way the action plan should contribute to improve the policy instruments:

The Norte Regional Operational Programme 2014-2020 (NORTE 2020) is a financial instrument intended to support regional development in the NUTS II Norte of Portugal, which is part of the PORTUGAL 2020 Partnership Agreement and of the current cycle of structural funds provided by the European Union. The allocation for NORTE 2020, of 3.4 billion euros, is the most relevant among regional operational programmes in Portugal. This financial envelope is complemented by other thematic operational programmes and financial instruments of which the Norte Region of Portugal is a beneficiary, with the aim of materialising the vision of the regional development strategy planned in NORTE 2020.

The NORTE 2020 programme was approved by the Commission Implementing Decision C (2014) 10188 final, from 18/12/2014, approving certain elements of the Operational Programme Norte 2014-2020 for support from the European Regional Development Fund and the European Social Fund under the Investment for growth and jobs goal for the region Norte in Portugal. All the policy instruments included in the NORTE 2020 programme aims to impact an Investment for Growth and Jobs programme.

The Norte Region Smart Specialization Strategy (NORTE RIS3) constitutes an ex ante conditionality of the NORTE 2020, as a basis for prioritising research and innovation investments under cohesion policy in 2014-2020. The NORTE RIS3 identified eight priority domains of smart specialization, namely: (i) culture, creativity and fashion; (ii) advanced manufacturing systems; (iii) mobility industries and environment; (iv) food and environmental systems; (v) health and life sciences; (vi) symbolic capital, technology and tourism; (vii) marine technologies and economy; (viii) human capital and specialised services.

As a regional innovation policy, the NORTE RIS3 does not have autonomous public policy instruments. The financing of NORTE RIS3 depends on the policy instruments included in the NORTE 2020 where the alignment with RIS3 was defined as an admissibility condition and/or a selection criteria for the projects submitted to this programme.

As the policy instruments that finance NORTE RIS3 are included in the NORTE 2020 programme, this regional innovation strategy also aims to impact an Investment for Growth and Jobs programme.

In NORTE 2020 programme, the alignment with NORTE RIS3 strategy was defined as an admissibility condition and a selection criteria for the following Thematic Objectives (TO) and Investment Priorities (IP):

- (i). TO 1 “Strengthening Research, Technological Development and Innovation” that comprises the IP 1.1 “Enhancing research and innovation (R&I) infrastructure and capacities to develop R&I excellence, and promoting centres of competence, in particular those of European interest” (ERDF) and IP 1.2 “Promoting business investment in R&D, developing links and synergies between enterprises, research and development centres and the higher education sector” (ERDF);
- (ii). TO 10 “Investing in education, training and vocational training for skills and lifelong learning” with the IP 10.2 “Improving the quality and of, and access to, tertiary and equivalent education with a view to increasing participation and attainment levels, especially for disadvantage groups” (ESF).

The alignment with RIS3 was also defined as a selection criteria for other typologies of projects of the NORTE 2020 Programme, namely for the following:

- (i). TO 3 “Enhancing the Competitiveness of Small and Medium Enterprises” that is composed of IP such as IP 3.1 “Promoting entrepreneurship, in particular by facilitating the economic exploitation of new ideas and fostering the creation of new firms, including through business incubators” (ERDF), IP 3.2 “Development and implementation of new business models for SMEs, in particular with regard to internationalisation” (ERDF) and IP 3.3 “Supporting the creation and extension of advanced capacities for product and service development” (ERDF);
- (ii). TO 8 “Promoting sustainable and quality employment and supporting labour mobility” with the IP 8.5 “Adaptation of workers, enterprises and entrepreneurs to change” (ESF);
- (iii). TO 10 “Investing in education and vocational training for skills and lifelong learning” with the IP 10.4 “Improving the labour market relevance of education and training systems” (ESF) and IP 10.5 “Investing in education, training and vocational training for skills and lifelong learning by developing education and training infrastructure” (ERDF).

In what concerns MONITORIS3 project, the policy instrument addressed by Norte Region is the “hiring of highly qualified human resources” aiming to qualify the Regional Innovation System, improving both the scientific and technological skills of research and interface centres and knowledge transfer to SMEs. In terms of results, the project intends to promote a change in the policy instrument addressed in Norte Region through an improvement in the monitoring system and the governance model related to the policy instrument.

The policy instrument “hiring of highly qualified human resources” initially addressed by the project is included in the Investment Priority (IP) 8.5 of the Norte Regional Operational Programme 2014-2020 (NORTE 2020), funded by ESF. So, at the heart of this policy instrument is the Specific Objective of the IP 8.5 that aims “To

increase the employment of highly qualified human resources, contributing to raise entrepreneurial skills in R&D&I and intensify the interactions between companies and regional entities of the scientific and technological system”.

However, the monitoring of a public policy instrument such as the “hiring of highly qualified human resources” must also be seen in the broader context of the monitoring of NORTE RIS3 and of its policy mix, involving also the monitoring of other policy instruments that influence the hiring of highly qualified human resources, namely those that aim to increase the number of doctorates, the scientific production, the transfer of knowledge, the business investment in R&D&I and that promote qualified and creative entrepreneurship.

It is important to mention that in accordance with Article 3 (2) (c) and (d) of Regulation (EU) N° 1304/2013, the European Social Fund (ESF) contribution to the Thematic Objective 1 (OT1) is listed in the first paragraph of Article 9 of Regulation (EU) No 1303/2013, mainly by “Strengthening research, technological development and innovation through the development of post-graduate studies and entrepreneurial skills, the training of researchers, networking activities and partnerships between higher education institutions, research and technological centres and enterprises”.

This articulation of the programming of policy instruments is set out in section 2.A.3 (“Social innovation, transnational cooperation and contribution to thematic objectives 1-7”) of the IP 8.5 and is quantified in Table 11 (“Dimension 6 - ESF secondary theme”) of Section 2.A.5 (“Types of intervention”) of the Norte Regional Operational Programme 2014-2020 (NORTE 2020), last version approved by the Implementing Decision of the European Commission of 5 December 2018. In this section it is stated that “The articulation of policy instruments co-financed by the ESF, including the hiring of highly qualified human resources and the support to training actions in work context, is central to the smart specialisation regional strategy (where prevails the contribution of Thematic Objectives 1 and 3). This articulation has indirect and also more formal aspects through the mobilization of ESF funding in the context of business support incentive systems”.

In the context of the policy instrument addressed by MONITORIS3 project, it is necessary also to analyse the articulation with the Specific Objectives and Investment Priorities of Thematic Objective 1 (OT1), financed by ERDF, given that in these IP there are typologies of actions or policy instruments that provide for the financing of highly qualified human resources, namely in research, knowledge transfer and enterprises projects. Therefore, this project will also address as policy instruments: (i) the Specific Objective of the IP 1.1 (ERDF) “To increase the scientific production of internationally recognized quality, oriented towards smart specialisation, aiming to stimulate a technology-based and high added value economy, rationalizing and modernizing R&D&I infrastructures and favouring excellence, cooperation and insertion in international networks of R&D&I” and (ii) three Specific Objectives of the IP 1.2 (ERDF), namely, “To enhance the transfer of scientific and technological knowledge to the business sector, promoting greater effectiveness in the R&I System and value creation”, “To increase business investment in R&D&I by strengthening the link between

companies and entities of the regional STS and promoting the increase in knowledge-intensive economic activities and value creation based on innovation” and “To increase business investment in innovative activities (product, process, organizational methods and marketing), promoting increased tradable and internationalized production and changing the productive profile of the economic fabric”.

In summary, the policy instruments of NORTE 2020 and NORTE RIS3 that are addressed by the present action plan of MONITORIS3 project are the IP 8.5 (ESF) and also the IP 1.1 (ERDF) and IP 1.2 (ERDF), given that in these IP there are typologies of actions or policy instruments that provide for the financing of highly qualified human resources, namely in research, knowledge transfer and enterprises projects.

It is important to highlight that the policy instrument “hiring of highly qualified human resources” included in the IP 8.5 has changed during the first phase of MONITORIS3 project. In the initial phase of the NORTE 2020 Programme, this policy instrument (specific objective of IP 8.5) was directed only for companies and the result was a demand below the initial expectations. Following the reprogramming process of NORTE 2020, which was concluded in the end of 2018, the support for the hiring of highly qualified human resources has been extended to other beneficiaries such as scientific and technological regional entities involved in technology transfer initiatives with companies and also social and cultural non-profit entities. For this policy instrument, the monitoring system of NORTE 2020 includes the following two specific indicators and milestones:

- Output Indicator: Highly qualified human resources hired by supported companies (nº) – 580 (2023)
- Result Indicator: Proportion of highly qualified human resources that remain in the company after 6 months of the end of the support (%) – 65% (2023).

Considering this change in the policy instrument, it was necessary to change the “self-performance indicator” of MONITORIS3 project to the Norte Region to the one that represents the new output indicator of the policy instrument in NORTE 2020: “Highly qualified human resources hired” – Target: 580.

The main goal of MONITORIS3 project is the improvement of Smart Specialisation Strategies (S3) related structural funds policy instruments through the promotion of exchange of experiences and policy learning on monitoring strategies of such instruments. During the first phase of MONITORIS3 project, Norte Region focused the work in the development of the methodological approach for the definition of NORTE RIS3 monitoring system as a contribution for the improvement of the monitoring of the policy instrument addressed by MONITORIS3 project. This methodological work was concluded with the publication of the document “Norte Region Smart Specialisation Strategy (NORTE RIS3). A Monitoring System Methodological Approach for MONITORIS3 Project”. This document took into account the process of sharing experiences and good practices in the designing and implementation of RIS3 monitoring systems between the partners of the project. The Interreg Europe Policy Learning Platform considered it as a good practice on how to set-up an effective RIS3 monitoring system (link: <https://www.interregeurope.eu/policylearning/good-practices/item/2179/norte-ris3-methodological-approach-for-monitoring-regional-smart-specialisation-strategies-ris3/>) and also invited

CCDR-N to present it as a showcase for other regions in the “Thematic workshop on better monitoring, evaluating, and designing RIS3”, that was held on the 25th September 2019 in Brussels. Beyond that, the S3 Platform/JRC from the European Commission congratulated CCDR-N for the document produced and published it in the S3 Knowledge Repository (link: <http://s3platform.jrc.ec.europa.eu/-/norte-region-smart-specialisation-strategy-norte-ris3-a-monitoring-system-methodological-approach-for-monitoris3-project?inheritRedirect=true>).

Considering the importance of the governance models for the implementation of NORTE RIS3 and inspired in some of the good practices presented by other project partners, the monitoring of the policy instrument in this action plan will also be done with a new approach in the governance model aiming a strong involvement of a regional stakeholders group, namely, involving representatives from entities of the scientific and technological system, universities, polytechnics, clusters, business associations and public institutions.. This strong involvement is a new feature in the monitoring of policy instruments and intends ultimately to produce relevant recommendations for the policy instrument improvement.

As a result of the practice exchange in the first phase of MONITORIS3 project, among the partnership also grew up the idea of introducing qualitative indicators in the RIS3 monitoring systems of the regions. In this context, it was decided to implement a pilot action aiming to develop a new method of collection and measurement of indicators towards innovation attitudes with a dedicated survey to the beneficiaries. With this new method it is expected to enrich the information regarding the implementation of this policy instrument and provide a more deep analysis of the achievement of its global objectives.

In this context, the second phase of the project will be focused on the operationalization of the monitoring system defined in the first phase of the project for the policy instrument “hiring of highly qualified human resources”. As explained above, the monitoring of a public policy instrument such as this must also be seen in the broader context of the NORTE RIS3 and its policy mix, involving also the monitoring of other policy instruments that influence the hiring of highly qualified human resources, namely those that aim to increase the number of doctorates, the scientific production, the transfer of knowledge, the business investment in R&D&i and that promote qualified and creative entrepreneurship.

In summary, this action plan focus on different dimensions of policy improvement, namely:

- Institutional capacity-building improvement in monitoring policy instruments, through the collection, systematization and analysis of information about the monitoring of the policy instrument addressed by the project and other related policy instrument, and also through the test of a new method of collection and measurement of indicators towards innovation attitudes;
- Governance model improvement, through the involvement of the main stakeholders in the monitoring of the policy instrument envisaged by the project, adequately framed by the NORTE RIS3 monitoring system, in order to produce relevant recommendations for its improvement.



CCDR-N gathered in last 16th October 2019 the Regional Stakeholder Group of MONITORIS3 project. In the meeting was presented the policy instrument of NORTE 2020 addressed and its current status and the good practices identified during the first phase. It was also presented and approved a proposal of the action plan for Norte Region. This regional group will be maintained in the second phase of the project and will be responsible for the monitoring of the regional action plan to be implemented during 2020 and 2021.

Part III – Details of the actions envisaged

ACTION 1:

Name of the action: Implementation of the Policy Instrument Monitoring System

1. Relevance to the project *(please describe how this action derives from the project and in particular from the interregional exchange of experience. Where does the inspiration for this action come from?)*

As referred in the policy context, during the first phase of MONITORIS3 project was developed the methodological approach for the definition of NORTE RIS3 monitoring system, as a result of the process of sharing experiences and good practices in the designing and implementation of RIS3 monitoring systems between the partners of the project. This work was published through the document “Norte Region Smart Specialisation Strategy (NORTE RIS3). A Monitoring System Methodological Approach for MONITORIS3 Project”.

The methodological approach assumed by Norte Region considered that the RIS3 is a distinct strategy by the fact that thematic and sectoral bets in the priority domains allow, with the same mix of public policies, to achieve better results, expressed in the respective indicators, and to accelerate the process of structural change in the regional economy. The monitoring system must reflect the strategic nature and therefore be comprehensive. NORTE RIS3 monitoring system approach assumed that the bottom-up and top-down logical approaches are complementary. The aim is to monitor whether resources are allocated in the planned way, whether the achievements are the ones planned and are focused on the most relevant priority domains, giving rise to the expected results and to the structural change of the economy at the desired pace.

The monitoring system approach starts with the input and output indicators from the NORTE 2020 that are associated with the monitoring of the policy mix, moving to the result indicators, including those that measure the bets in the different priority domains, allowing the monitoring of the strategic objectives. Finally, the context indicators allow to verify the overall level of achievement of the RIS3 and its vision. The indicators associated to the priority domains are the nodal point of the whole monitoring model. It is the information obtained at this level that allows, in every moment, to improve the fine tuning of public policies.

The following lessons learnt from MONITORIS3 interregional activities were particularly relevant to draft this action:

- The draft of this action benefited from the learning process developed in the context of the Interregional Thematic Seminars, in particular the ones held in Bodo in June 2017, in Porto in March 2018, under the title “Exchange of Experiences in S3 Monitoring Systems”, and in Santiago de Compostela in December 2018, and from the reports with a detailed description of the monitoring system of the respective S3 that were produced by some of partners during the first phase

(“Evaluation and monitoring system for the Innovation Strategy for Nordland 2014-2020”, “Monitoring and Evaluation System of the Galician Smart Specialization Strategy” and “A monitoring system for Regional Smart Specialisation Strategy (RIS3) related to Regional Operational Program 2014-2020 Axis 1 Promotion of technology transfer” of West Region Romania). The experience from Nordland inspired the methodological approach in the design of the NORTE RIS3 monitoring system structure developed in phase 1 of the project that was presented in the document “Norte Region Smart Specialisation Strategy (NORTE RIS3). A Monitoring System Methodological Approach for MONITORIS3 Project”. The NORTE RIS3 monitoring system structure took into account the solution implemented by Nordland that links the hierarchy of objectives set in the innovation strategy and the hierarchy of indicators selected for monitoring the strategy.

- The experience of the spanish region of Basque Country with a proper and very complete monitoring system for the instruments deployed by SPRI - Basque Business Development Agency. This agency, dependent of the Basque Government, manages various aid programmes on R&D, aimed at companies, and also at the RVCTI (Basque Science, Technology and Innovation Network), which are the subject of monitoring and evaluation in order to assess the results, having developed a methodology called SIME (monitoring and evaluation system), which uses indicators covering the entire cycle of each programme, displaying information on resources, results and impact, which are measured at various points throughout the project life. The Interregional Thematic Seminar held in Santiago in December 2018 was especially important to learn about this good practice, and its potential transferability to Norte.
- The Concept Note “Smart Specialization: an approach to a Monitoring and Evaluation System” conceived by the National Innovation Agency (ANI), advisory partner in de project. This paper addresses the setting-up of a monitoring and evaluation system for the RIS3, with a proposed architecture that covers four critical dimensions: implementation, first level results, structural change and long term impacts. The Interregional Thematic Seminar held in Porto in March 2018 was especially important to learn about this reflexion on the designing of monitoring systems, having inspired the NORTE RIS3 monitoring system approach.
- The “Feedback Report on Monitoring” of the Peer eXchange & Learning Workshop in Vilnius (Lithuania) in October 2018, as well as the presentation “Challenges and Options for RIS3 Monitoring Systems” by Claire Nauwelaers on the same workshop, shared by Nordland with the partners. In this workshop, the general conclusion was that RIS3 monitoring design and operationalisation are quite demanding in terms of analytical capacity, data collection and stakeholder engagement, having these very issues been addressed in the workshop through the cases of Lithuania, Friuli Venezia Giulia and Lower Austria. The reflections and conclusions of this workshop have been a rich source of

information for the NORTE RIS3 monitoring system approach as well as the conception of this Action Plan.

- The “Regional Innovation Network” good practice presented by Veneto Region partner highlighted the importance to have a structured network organization aggregating enterprises, research institutions as privileged interlocutor of the Regional Body. This permanent governance structure allows a more effective collaboration between universities and companies. The purpose of the network is to operate on the supply chain (and on the frontier) of innovation by pursuing the development trajectories considered as priorities by the regional strategic policy. This good practice reinforced the importance to have a specific governance model for the monitoring of the policy instrument.
- The “Entrepreneurial Discovery Process for RIS3 Evaluation” presented as a good practice from Galician partner was also a source of inspiration for the present action. One of the main elements of the implementation and evaluation of S3 of Galicia was the Entrepreneurial Discovery Process in which all the agents from Galicia Innovation Ecosystem are involved. The entrepreneurial discovery process in Galicia allowed to complement with qualitative data the existing gaps in the monitoring system of RIS3, namely through the carry out of surveys to beneficiaries and stakeholders. The data gathered throughout this process allowed to reach relevant conclusions on the current monitoring system as the need of changing the governance model. This practice inspired the inclusion of new methods for the involvement of stakeholders, such as the surveys.

The present action derives from the interregional exchange of experiences developed during the phase 1 of the project that allowed the stabilization of a new methodological approach for RIS3 monitoring system and also for the governance model. In the phase 2 of the project this action intends to operationalize the monitoring and the governance of the specific policy instruments addressed by the project in Norte Region that are related to the “hiring of highly qualified human resources”.

2. Nature of the action *(please describe precisely the content of action 1. What are the specific activities to be implemented?)*

The main goal of MONITORIS3 project is the improvement of Smart Specialisation Strategies (S3) related structural funds policy instruments through the promotion of exchange of experiences and policy learning on monitoring strategies of such instruments. During the first phase of MONITORIS3 project, Norte Region focused the work in the development of the methodological approach for structuring the NORTE RIS3 monitoring system as a contribution for the improvement of the monitoring of the policy instrument addressed by MONITORIS3 project. This methodological work was concluded with the publication of the document “Norte Region Smart Specialisation Strategy (NORTE RIS3). A Monitoring System Methodological Approach for MONITORIS3 Project”.

Inspired in some of the exchange of experiences and good practices presented by other project partners, the monitoring of the policy instrument in this action plan will also be done with a new approach in the governance model aiming a strong involvement of a regional stakeholders group in order to produce relevant recommendations for the policy instrument improvement, namely, involving representatives from entities of the scientific and technological system, universities, polytechnics, clusters, business associations and public institutions.

In this context, this action aims the implementation of the policy instrument monitoring system defined in the first phase of the MONITORIS3 project and the development of the Policy Instrument Regional Stakeholders Group based on the experience of the first phase. As the focus of the policy instrument is the “hiring of highly qualified human resources”, the Investment Priorities (IP) of NORTE 2020 programme and of NORTE RIS3 strategy that will be addressed by this action are the IP 8.5 (ESF) and also the IP 1.1 (ERDF) and IP 1.2 (ERDF), given that in these IP there are typologies of actions or policy instruments that provide for the financing of highly qualified human resources, namely in research, knowledge transfer and enterprises projects.

The policy change envisaged thanks to the implementation of this action is focused in the improvement of the monitoring and governance of the policy instruments addressed by the project in Norte Region (IP 8.5, IP 1.1 and IP 1.2). This improvement is expected to be done through the implementation of a new methodology for monitoring the policy instruments that was developed in the phase 1 of the project (based in the document “Norte Region Smart Specialisation Strategy (NORTE RIS3). A Monitoring System Methodological Approach for MONITORIS3 Project”) and also through the new approach for the involvement of the main stakeholders in the monitoring of the policy instrument envisaged by the project.

This action will be implemented through the development of a set of activities aiming the improvement of the policy instruments addressed (IP 8.5, IP 1.1 and IP 1.2), namely the following:

1. Collection of different annual data related to the implementation of the policy instruments aimed by this action, namely: context, results, outputs and inputs indicators;
2. Processing and analysis of the data collected considering the new methodology for monitoring the policy instruments developed in the phase 1 of the project;
3. Conduction of a survey about the implementation of the policy instruments to the members of the Regional Stakeholders Group, aiming to complement the monitoring system with qualitative data;
4. Preparation of the annual monitoring reports concerning the implementation of the policy instruments aimed by this action;
5. Publication and dissemination of the monitoring reports (outputs: 2 reports disseminated);
6. Organization of meetings of the Policy Instrument Regional Stakeholders Group, where information from the previous activities will be presented and analysed, ensuring a specific governance model for the monitoring of the policy instrument (outputs: 2 meetings and respective minutes);

7. Production of recommendations from the Policy Instrument Regional Stakeholders Group aiming the improvement of the policy instruments (outputs: 2 proposals). This recommendations will be directed to the Management Authority of NORTE 2020 Programme and also to the Regional innovation Council of NORTE RIS3

The implementation of the new methodology for monitoring the policy instruments that was developed in the phase 1 of the project will be done through the activities n° 1, 2, 4 and 5. The implementation of the new approach for the involvement of the main stakeholders in the monitoring of the policy instrument envisaged by the project will be done through the activities n° 3, 6 e 7.

The implementation of the RIS3 monitoring system will enable to an overview of the implementation of different RDI policy instruments that are linked to the RIS3 strategy and to conclude if the outputs and results are reaching the defined targets and objectives. Through the implementation of this action, it will be possible to better understand if the monitoring system is well conceived or if it needs adjustments in order to extract the desired information to follow up the implementation of the Norte RIS3 strategy and its policy instruments, in particular the “hiring of highly qualified human resources”.

The involvement of stakeholders within the implementation of the RIS3 monitoring system will provide a new perspective of the different RDI policy instruments that are linked to the RIS3 strategy, in particular the “hiring of highly qualified human resources”, and it is expected to provide recommendations for the improvement of the policy instrument.

3. Stakeholders involved *(please indicate the organisations in the region who are involved in the implementation of the action1 and explain their role)*

The overall implementation of the RIS3 monitoring system will be carried out by the Management Team of the RIS3 strategy that is integrated in the Regional Development Department of CCDR-N, also in charge of the implementation of MONITORIS3 project. Besides the Management Team of RIS3, the Managing Authority of NORTE 2020 will also be involved in the implementation of activities defined in this action.

The development of the stakeholders group will gather the relevant actors for the monitoring of the policy instrument. Stakeholder involvement will be achieved through the organization of meetings with the aim of sharing the work developed and the lessons learned within the project, as well as allowing each stakeholder to contribute with proposals for improving the policy instrument. Having this information, the stakeholders of the RDI ecosystem will be in possession of information that can provide insights of how they should organize themselves in order to develop their own strategies linked to the RIS3 strategy.

The indicative list of stakeholders to be involved is the following:

- The Norte Region Development and Coordination Commission (CCDR-N), as the Portuguese government agency in charge of the Norte Region Smart Specialization Strategy (NORTE RIS3), will have the coordination of the stakeholder group and overall implementation of the action plan;
- The Managing Authority of Norte Regional Operational Programme 2014-2020 (NORTE 2020);
- Public entities with responsibilities in competitiveness and Research & Innovation policies in Portugal, such as the National Innovation Agency (ANI), the Foundation for Science and Technology (FCT) and the Portuguese Agency for SME and Innovation (IAPMEI);
- Public Universities and polytechnic institutes located in Norte Region, such as the University of Porto, University of Minho, University of Trás-os-Montes e Alto Douro, Polytechnic Institute of Porto, Polytechnic Institute of Bragança, Polytechnic Institute of Cávado e do Ave, Polytechnic Institute of Viana do Castelo and School of Design, Management and Production Technologies Northern Aveiro.
- Representatives of each one of the NORTE RIS3 Regional Smart Specialisation Platforms, involving entities of the scientific and technological system, universities, clusters, business associations and public institutions.

4. Timeframe (please specify the timing envisaged for action 1)

Activity	2020		2021	
	1 st Semester	2 nd Semester	1 st Semester	2 nd Semester
1	X		X	
2	X		X	
3		X	X	
4		X	X	
5		X	X	
6		X	X	

5. Costs (please estimate the costs related to the implementation of action 1)

The estimated costs with this action will be 11.206 euros and are essentially internal to CCDRN, related to human resources of the RIS3 Management Team. This way, the estimated budget will be composed by Staff Costs (2 people affected 10% of the time during 18 months) in the amount of 10.706 euros (7.137,33 euros in the 1st year and 3.568,67 euros in the 2nd year). There can be also costs related to the organization of meetings and communication and dissemination, in the amount of 500 euros (2 meetings with an estimated amount of 250 euros per meeting).

6. Funding sources (please describe how action 1 will be financed. Is it through the policy instrument(s) indicated in part II):

Considering that this action 1 aims to improve the monitoring of NORTE RIS3 and of a policy instrument of NORTE 2020, the implementation of the activities established will be supported by CCDRN/Technical Assistance of the NORTE 2020 Regional Operational Programme.

ACTION 2

Name of the action: Innovation Attitudes measurement survey

1. Relevance to the project *(please describe how this action derives from the project and in particular from the interregional exchange of experience. Where does the inspiration for this action come from?)*

During the 7th Interregional Thematic Seminar organized in the framework of MONITORIS3 in Timisoara (Romania), the Nordland County Council brought up an idea of how to introduce qualitative indicators into the monitoring systems of RIS3. The Nordland County Council proposed to measure “Innovation Attitudes” of companies through innovation surveys since this contributes to show hidden information on innovation investments in the companies that quantitative indicators are not able to show.

During this Interregional Thematic Seminar, CCDR-N agreed on the great interest and relevance to incorporate the “Innovation Attitudes” indicator into the RIS3 monitoring system conceived and that this should be one of the Actions to be implemented as part of the regional action plan. Nordland County Council presented a project memo, occasioned by the county council’s participation in the MONITORIS3 project, that outlines a monitoring scheme for the MoFI project - “Mobilization for research based innovation in the industry in Helgeland” (Norway), that builds on the monitoring scheme already put in place by the project’s funding agent (the Research Council of Norway) and extends it by proposing an innovation survey to be administered to the firms in the project’s target group at the project’s start (a baseline) and after some time. As referred in the memo, a monitoring system should consider elements like input activities, results, changes (behaviour/activities) and competitive advantage (effects) and, while the input activities are relatively more easy to monitor, changes within the firms and their influence on competitive advantages are more challenging, as such developments/changes and results take time. That way, the survey proposed by Nordland County Council gives relevant and good knowledge and insights about the firms’ innovation efforts, R&D activities and collaboration, work practice and utilization of resources and capabilities.

With the advisory of Nordland County Council to this pilot action from CCDR-N, the exchange of experience process will be maintained throughout the implementation of the second phase of MONITORIS3 project. Since other partners are also interested in developing innovation surveys for the companies and adapt them to their regional singularities, CCDRN will keep on sharing information and experiences on the implementation of the surveys and develop a final report on conclusions, lessons learnt and recommendations.

2. Nature of the action (please describe precisely the content of action 1. What are the specific activities to be implemented)

As referred in the policy context, the Norte Regional Operational Programme 2014-2020 (NORTE 2020) comprises in its investment priorities a policy instrument dedicated to support the hiring of highly qualified human resources that is addressed in Norte Region by MONITORIS3 project. This policy instrument includes in the Investment Priority (IP) 8.5 "Adapting of workers, companies and entrepreneurs to the change" and has the specific objective of increasing the hiring of highly qualified human resources, contributing to raise entrepreneurial skills in R&D&I and to intensify the interactions between companies and the regional entities of the scientific and technological system.

The monitoring system of the policy instrument "hiring of highly qualified human resources" is integrated in the NORTE RIS3 monitoring system structure. In this system, each indicator corresponds to a certain level of the hierarchy of objectives. The aim is to monitor whether resources are allocated in the planned way, whether the achievements are the ones planned and are focused on the most relevant priority domains, giving rise to the expected results and to the structural change of the economy at the desired pace.

The measurement of "Innovation Attitudes" previewed in this action with a dedicated survey to the beneficiaries aims to enrich the information regarding the implementation of this policy instrument and provide a more deep analysis of the achievement of its global objectives.

In this context, the inclusion of surveys directed to beneficiaries of the Programme that measure other types of indicators than the ones required for the monitoring of the implementation of the NORTE 2020 and NORTE RIS3 requires the development of a set of activities in order to design and test it before its implementation and to assess its relevance and feasibility for the monitoring system of the policy instrument. The aim of this pilot action is essentially to test a new method of collection and measurement of indicators towards innovation attitudes.

This action will be implemented through the development of a set of activities:

1. Development of surveys by a team of the Regional Development Department of CCDRN, under the advising of Nordland County Council and preferably in contact with the other partners that also applied to a pilot action with the same objective, properly adapted to the specificity of the policy instrument addressed in MONITORIS3, namely the "Hiring of Highly Qualified Human Resources" of IP 8.5 of "Norte Regional Operational Programme 2014-2020 (NORTE 2020)". For the advisory of Nordland County Council, video conference calls will be established as needed, e-mails will be changed and staff time from this partner and from CCDRN will be allocated to the project. It is previewed one meeting in person in Nordland in order to discuss more accurately the final version of the surveys. This meeting will be attended by 2 officers from CCDRN in charge of the Pilot Action/Action Plan. Naturally, the monitoring of this policy instrument must

be seen in the broader context of the NORTE RIS3 and its policy mix (policy instruments from NORTE 2020), involving subsequently the monitoring of other policy instruments that influence the hiring of highly qualified human resources. A pre-test will be performed with a reduced number of beneficiaries, namely a subset of the SME's supported in the first calls of the policy instrument "Hiring of Highly Qualified Human Resources" (IP 8.5). Naturally, this activity will be articulated between the Regional Development Department of CCDR-N that is in charge of the RIS3 and the Technical Secretariat of Employment, Qualification and Social Inclusion of NORTE 2020 that is particularly in charge of the management of the policy instrument "Hiring of Highly Qualified Human Resources" of IP 8.5. (Outputs: Video conference calls with Nordland County Council as needed; 1 meeting between CCDRN (2 officers) and Nordland County Council in Nordland; 1 articulation meeting with the Technical Secretariat of Employment, Qualification and Social Inclusion of the Managing Authority of NORTE 2020; 1 preliminary version of the innovation survey; 1 pre-test to the innovation surveys with a subset of the SMEs supported in the first calls; 1 compilation of the responses of the pre-test to the innovation surveys)

2. Adaption of surveys taking into consideration the conclusions of the pre-test implemented in the first semester. Then, a more large set of beneficiaries will be addressed and supported in the response to the survey, namely all the SME's supported by all the calls of the policy instrument "Hiring of Highly Qualified Human Resources". The implementation of innovation surveys to other policy instruments (namely instruments of IP 1.2 – R&D projects) will be addressed within the scope of this action in case the pilot action shows itself successful. For the advisory of Nordland County Council, video conference calls will be established as needed, e-mails will be changed and staff time from this partner will be allocated to the project. Naturally, this activity will be articulated between the Regional Development Department of CCDR-N that is in charge of the RIS3 and the Technical Secretariat of Employment, Qualification and Social Inclusion of NORTE 2020 that is particularly in charge of the management of the policy instrument "Hiring of Highly Qualified Human Resources" of IP 8.5. (Outputs: Video conference calls with Nordland County Council as needed; 1 articulation meeting with the Technical Secretariat of Employment, Qualification and Social Inclusion of the Managing Authority of NORTE 2020; 1 final version of the innovation survey; 50 innovation surveys submitted to SMEs; 1 compilation of the responses to the innovation surveys)
3. Treatment of the data recorded from the collected surveys and extraction of conclusions. The report will be debated with the Technical Secretariat of Employment, Qualification and Social Inclusion of NORTE 2020 and will be presented to the Policy Instrument Regional Stakeholders Group, in order to better inform the relevant stakeholders and provide a forum for recommendations to the management of the policy instrument and open discussion with the NORTE 2020 Managing Authority. The recommendations will also feed the Governance Model of NORTE RIS3, namely by informing the Regional Innovation Council. It is expected that the measurement of innovation attitudes of regional SMEs will contribute to better feed the monitoring system of NORTE RIS3 in the dimension of the "Vision and Regional Innovation Performance", by adding a new kind of indicators in the "indicators sequence" in this dimension of analysis. In the case

the testing of the pilot action proves to be successful (it is cost-effective and it produces reliable information), the report will recommend to include this qualitative dimension into the RIS3 monitoring system and also into the monitoring of NORTE 2020. An articulation meeting between the department in charge of the RIS3 monitoring and also the Pilot Action/Action Plan and the Managing Authority of NORTE 2020 is previewed in order to present and debate the conclusions of the report and decide on the inclusion or not of this dimension within the monitoring systems of RIS3 and NORTE 2020. These conclusions will be presented to the Regional Innovation Council of Norte. For the advisory of Nordland County Council, video conference calls will be established as needed, e-mails will be changed and staff time from this partner will be allocated to the project. (Outputs: 1 report with the analysis of the responses to the innovation surveys and the conclusions and recommendations from the Pilot Action; 1 articulation meeting with the Technical Secretariat of Employment, Qualification and Social Inclusion of the Managing Authority of NORTE 2020; 1 presentation of the conclusions of the report to the Policy Instrument Regional Stakeholders Group; 1 proposal of recommendations from the Policy Instrument Regional Stakeholders Group, that will be directed to the Management Authority of NORTE 2020 programme and also to the Regional Innovation Council of Norte).

3. Stakeholders involved *(please indicate the organisations in the region who are involved in the implementation of the action 2 and explain their role)*

As this action is strongly linked to Action 1, the stakeholders will take part on the implementation of this action in an integrated way with the first one. So, the indicative list of stakeholders to be involved is the following:

- The Norte Region Development and Coordination Commission (CCDR-N), as the Portuguese government agency in charge of the Norte Region Smart Specialization Strategy (NORTE RIS3), will have the coordination of the stakeholder group and overall implementation of the action plan;
- The Managing Authority of Norte Regional Operational Programme 2014-2020 (NORTE 2020);
- Public entities with responsibilities in competitiveness and Research & Innovation policies in Portugal, such as the National Innovation Agency (ANI), the Foundation for Science and Technology (FCT) and the Portuguese Agency for SME and Innovation (IAPMEI);
- Public Universities and polytechnic institutes located in Norte Region, such as the University of Porto, University of Minho, University of Trás-os-Montes e Alto Douro, Polytechnic Institute of Porto, Polytechnic Institute of Bragança, Polytechnic Institute of Cávado e do Ave, Polytechnic Institute of Viana do Castelo and School of Design, Management and Production Technologies Northern Aveiro.
- Representatives of each one of the NORTE RIS3 Regional Smart Specialisation Platforms, involving entities of the scientific and technological system, universities, clusters, business associations and public institutions.

4. Timeframe *(please specify the timing envisaged for action 2)*



Activity	2020		2021	
	1 st Semester	2 nd Semester	1 st Semester	2 nd Semester
1	X			
2		X		
3			X	

5. Costs (please estimate the costs related to the implementation of action 2)

In the case of CCDRN, the estimated budget will be 14.876,90 euros, composed by Staff Costs (2 people affected 10% of the time during 18 months) in the amount of 10.706 euros (7.137,33 euros in the 1st year and 3.568,67 euros in the 2nd year), Office and Administration costs in the amount of 1.605,90 euros (1.070,60 euros in the 1st year and 535,30 euros in the 2nd year) and Travel and Accommodation in the amount of 2.565 euros (in the 1st year).

6. Funding sources (please describe how action 2 will be financed. Is it through the policy instrument(s) indicated in part II):

This action results from a Pilot Action submitted to Interreg Europe. The funding source will be Interreg Europe that will fund 85% the costs, being the national counterpart supported by the budget of CCDRN.

Date: 26th February 2020

Name of the organisation(s) : Norte Regional Coordination and Development Commission (CCDRN)

Signatures of the relevant organisation(s):