GUIDANCE ON HARVESTING AGENDA ON CAMI4.0 FOR RIS3 ROUND TABLE AND POLICY FRAMEWORK

D.T3.1.1 – A Guidance Document to Promote Partner Harvesting for the RIS3 Round Table and the Policy Implementation Framework

Version 2.00.00

03 2021

Author: **Michael Fellner & Roland Sommer** Platform Industry 4.0 Association Austria & **Sarah Hedden** MIND CONSULT & RESEARCH

Document Control

Document Summary	
Project Number	CE1662
Project Title	CEUP 2030
Work Package/Activity	A.T3.1 – Prepare the harvest of outputs/results of chosen CE/EU projects for new outputs of WPT3
Deliverable	D.T3.1.1 – Guidance on Harvest Agenda on CAMI4.0 for RIS3 Round Table and Policy Framework.
Deliverable Responsible (if applicable)	PP3 / PIA
Deliverable Reviewer (If applicable)	-
Deliverable Due Date	March 2021

Dissemination Level		
PU	Public	
PP	Restricted to other programme participants	
RE	Restricted to a group specified by the consortium	
CO	Confidential, only for members of the consortium	CO

Document History			
Date	Version	Issuer	Description of Changes
22.01.2021	1.00.00	MCR	Base draft
18.02.2021	1.00.01	MCR	First Draft, for DR Review
22.02.2021	1.00.02	MCR	Second Draft, for PP Review
09.03.2021	2.00.00	MCR	Final

This project is co-financed by the European Regional Development Fund through Interreg Central Europe.

Executive Summary

Project Overview

CEUP 2030 aims to generate stable innovation networks which foster better understanding on **C**entral **E**urope Advanced **M**anufacturing and Industry **4.0** ("**CAMI4.0**") topics, to generate improved knowledge resource exchange on these technologies leading to an upgraded framework for policy-making and implementation.
Ultimately CEUP 2030 creates and tests a common method to promote improved knowledge dissemination to policy-making stakeholders using a collaborative exchange framework based in physical and digital-methods. These methods and the technology show-cases disseminated within these method structures are harvested from existing, high-quality innovation know-how in the CE area.
The project focuses on:

- Identifying the highest-quality innovation know-how in the CE Area, on the CAMI4.0 Topics.
- Enhancing skills capabilities and knowledge of people in charge of local, regional, and (trans)national RTI Policies, associated to the CAMI4.0 Topics.
- Creating a sustainable structure for awareness-raising and shared-sustainable RTI knowledge resource use to enhance policy decision support.
- Anticipating and fast-tracking policy / strategy policy pilot actions to promote a joint RIS3 for CAMI4.0 Excellence in CE/EU.

Work Package and Activity Overview

The overall objective of WPT3 links to the project's specific objective of anticipating and fast-tracking policy strategies focused on the sustainable and continuous development of CE/EU in order to promote aligned action on a joint S3/RIS3 for CAMI4.0 Excellence.

The challenge manifests in two sub-objectives which are:

(1) To generate triple-helix stakeholder driven dialogue on support mechanisms for CAMI4.0 Excellence (via the RIS3 Round Tables)

(2) To foster aligned cooperation processes among 30 CE/EU regions on generating support mechanism for CAMI4.0 using the CEUP 2030 Policy Framework

The specific activity which is of relevance for this document is Activity A.T3.1, which covers the preparation of the harvesting activity which all PPs must participate in, to choose the outputs and results of exceptional CE and EU projects to inspire and put the basis for the design of the WP's Outputs.

This leads to some very practical activities, such as:

- the appropriate integration of gained results from WPT1 (lessons learnt from technology showcases) and WPT2 (structure and process for cooperation on CAMI4.0).
- the appropriate selection, adaption and fine-tuning of proven instruments and methodologies, aka "Harvesting" from PPs Results Portfolios – during A.T3.1, which will trigger the generation of WPT3 Outputs (i.e., RIS3 Round Tables and the Policy Implementation Framework).

This project is co-financed by the European Regional Development Fund through Interreg Central Europe.

Scope of Document & Deliverable Summary

This document contains the guidance on how to complete Activity A.T3.1. It gives further details on the steps and processes that the CEUP 2030 partnership should take to identify outputs and results of the selected CE/EU projects which were identified as good practice for the RIS3 Round Tables (OT3.1) and the CEUP 2030 Policy Framework (OT3.2).

It also provides templates that Project Partners will be required to fill in order to provide inputs for the elaboration of deliverable D.T3.1.2 and DT3.1.3

Audience

This document is directed to project partners since all of them will be asked to contribute to the creation of a common understanding of RIS3 Round Table and Policy Implementation Framework identifying proper methodology and tools to be implemented during the project duration for the realisation of WPT3 Outputs.

Change Control Procedure & Structure

The Deliverable Responsible: Platform Industry 4.0 Austria (PIA/PP3), created this guidance document which is hosted on the Project's common repository in the appropriately named deliverable folder.

The document is under project deliverable change control protocols whereby partners are requested to give feedback on the draft version according to the timing proposed in the final section of this document. Feedback will be incorporated and the final version will be issued by PIA.

At any time, partners believe a project methodology should change, the request should be brought to the Deliverable Responsible and the Work Package Leader (PIA/PP3) to consolidate feedback from other partners, and then further integrate and disseminate the final agreed changes. A new version of the document should be created, and recorded in the document's "Document History" table.

This project is co-financed by the European Regional Development Fund through Interreg Central Europe.

Abbreviations

Abbreviation	Explanation
AF	Application Form
AM	Advanced Manufacturing
ASP	Associated Partner (i.e., Strategic Partner)
CAMI4.0	Central European Advance Manufacturing and Industry 4.0
I4.0	Industry 4.0
TIN	Trend and Innovation Network
PIF	Policy Implementation Framework
PLL	Policy Learning Lab
PP	Project Partner
RIS3	Regional Innovation Strategy for Smart Specialisation
S3	Smart Specialisation Strategy

This project is co-financed by the European Regional Development Fund through Interreg Central Europe.

Contents

Executive Summary 3
Project Overview 3
Work Package and Activity Overview 3
Scope of Document & Deliverable Summary 4
Audience 4
Change Control Procedure & Structure 4
Abbreviations 5
1. Introduction 7
2. Key Background Information 8
2.1. Activity Flow 9
2.2. Definitions of Methodologies and Concepts 10
2.3. Quality Indicators and Requirements for Harvest 12
2.3.1. Application Form Projects 12
2.3.2. Rules 12
2.3.3. Input Requirements 13
3. Methodology 14
3.1. Process for Results Portfolio Review Harvest 15
3.2. Template Protocol 15
3.3. Reporting Process and Key Questions for the Harvesting 17
3.3.1. RIS3 Round Table Methodologies 17
3.3.2. Policy Implementation Framework Methodologies 18
3.3.3. Policy Instrument Ideation 2.0 19
4. Conclusions & Next Steps 21
4.1. Next Steps 21
5. Annexes 22
5.1. Template 1: WPT3 Result Harvest - RIS3 Round Tables 22
5.2. Template 2: WPT3 Result Harvest - Policy Implementation Framework 23
5.3. Template 3: WPT3 Result Harvest - Policy Instrument Deep Dive 24

This project is co-financed by the European Regional Development Fund through Interreg Central Europe.

1. Introduction

The purpose of this guidance document is to provide information to the CEUP 2030 Partnership on how to complete Activity A.T3.1 – "Prepare the harvest of outputs/results of chosen CE/EU projects for new outputs of WPT3". As already mentioned in D.T1.1.1, and in DT2.1.1, this "Harvesting" activity is common to all the CEUP2030 work packages and has the goal of creating an active and transparent plan on how the Partnership will capitalise the results of previous projects which were identified as good practice for engaging with the topic of Advanced Manufacturing and Industry 4.0.

In particular, this guidance document takes the following structure:

Key Background Information – which provides:
- description of WPT3 Activities flow
- definitions of the WPT3 Outputs, and key concepts within WPT3.
- A reminder of the quality and quantity indicators.

Methodology, which provides:
- process description on how to bring your PP results into the CEUP reporting framework D.T3.1.2 CAMI 4.0 Policy Instrument Implementation Grid, and D.T3.1.3, Harvesting Agenda on CAMI4.0
- template protocols to guide the process in filling in the template
- key questions to connect definitions of CEUP 2030 project aspects, to PP portfolio review.

Conclusion and Next Steps, which provides:
- short summary of the document;
- next steps supported by time-plan and deadlines

Annexes, which provides:
- Templates for WPT3 Harvesting
- Example of Harvesting Results (provided by PIA)

This project is co-financed by the European Regional Development Fund through Interreg Central Europe.

2. Key Background Information

It is important to note that PPs work to review the organisation's past projects is a critical aspect of the CEUP 2030 project. The Interreg Central Europe 4th Call was an experimental design, which looks to prioritise the capitalization of knowledge and know-how gained from a cross-section of good practice projects. The underlying goal of such an experiment is to enhance the macro-regional benefit which is gained from subsidy programmes, with a vision to enable more aligned development plans for the coming programming period.

Harvesting from the cross-section of projects is, therefore, a key enabling activity of CEUP 2030, to which every PP is asked to contribute. We use the term "**Result Portfolio**" to describe each PPs past project work from this programming period. The emphasis on "**this programming period**" is to ensure the results which are harvested for capitalization and upgrade are current and relevant to the socio-political, and technical environment consistent with this programming period (2014 to 2020).

Partners are asked to review their Result Portfolio and filter for results which would add-value to CAMI4.0. This review and filtration of results, with the purpose of capitalising knowledge within CEUP 2030 is the associated definition of the term "**harvest**". Results can take many forms, and for the purpose of this document, PPs should prioritise results which inspire methodological development for RIS3 Round Tables and the Policy Implementation Framework. Furthermore, PPs are asked to as develop ideas to further thinking on opportunities to align the identified Policy Instruments use-cases in a common way. "**Upgrade**" is another term which is used across the project proposal. This term refers to the deployment of the harvested result into the CEUP 2030 project, so it can deliver wider or more extensive benefits to the macro-regional area.

This project is co-financed by the European Regional Development Fund through Interreg Central Europe.

2.1. Activity Flow

As already remarked in previous work packages, each CEUP2030 Work Package starts with an activity where partners must harvest results from their completed project Result Portfolio to be used and upgraded within the specific work package.

Accordingly, WPT3 Activity 3.1 provides the partners with the guidance on how to assess their completed results for the "harvest" (DT3.1.1) and then contain two following deliverables which will:

(1) (DT3.1.2) provide further detail on the Instruments and Implementation which Partners are delivering as PPs formalize their Use-Case Portfolio in Policy Pilot Actions; and

(2) (DT3.1.3) provide a collection of inputs form the partnership on which methodologies will be upcycled and deployed into the development of the RIS3 Round Table and Policy Implementation Framework.

Figure 1 provides a visual showcase of how the harvesting components will be used to inspire methodologies and onward deployment of activities in WPT3. The PPs should specifically note the yellow block of "use-case" input. Partners will be asked to bring in the knowledge which they are fortifying within their Use-Case Portfolios to create a clear, and policy-oriented grid which will lay out all instruments used to generate some conclusions which helps pave the way towards the Common Policy Use-Cases (DT3.3.3). Similarly, to previous work package harvesting exercises, the second aspect of the harvest focuses on bringing in good practice which will speed-up the delivery of the WP's key activities.

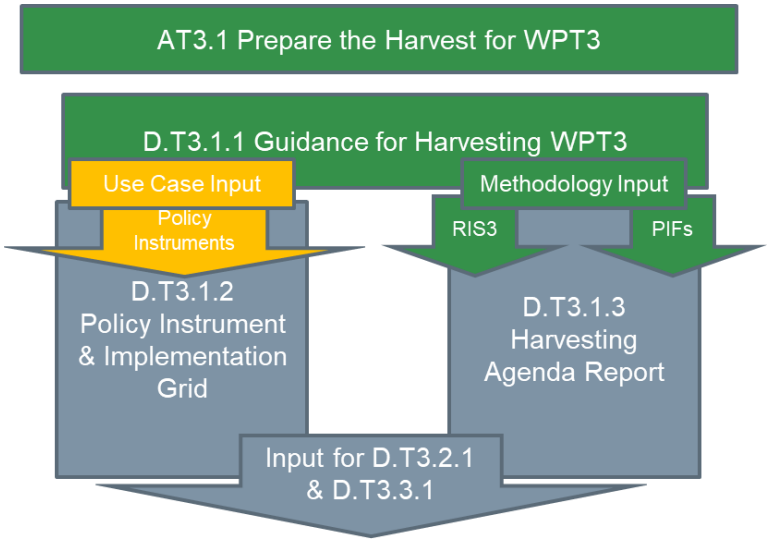


Figure 1 WPT3 Harvesting Input Visualised - (Source: Author Generated; RIS3 = Regional Innovation Smart Specialisation Strategy, PIF = Policy Implementation Framework)

This project is co-financed by the European Regional Development Fund through Interreg Central Europe.

2.2. Definitions of Methodologies and Concepts

As key background information, in this section some terms that will be frequently used in the activities of WPT3 are reported and extensively explained to create better common understanding of projects outputs and related objectives. Moreover, definitions have been enriched with a set of questions that PPs can take into consideration while doing the harvesting for WP3.

- Policy Instruments: Basic "market" knowledge of the subsidy, support instruments and structures which exist to promote advanced manufacturing or industry 4.0. Unlike in the WPT1 Harvesting exercise, in WPT3 this is a forward-looking identification, and should be linked to the actual instrument the PP is pursuing to move its chosen "Policy Instrument Use-Case" from the Action Plan to the implemented Policy Pilot Action. Specific emphasis is going to be placed on how policy instruments create specific positive motion to support organisations in engaging with the CAMI4.0 topics.
  However, each PP is also asked to think laterally, into other territorial areas (international) sectoral areas (including private non-governmental) and thematic focuses (outside of I4.0 specifics), to identify a further 4 Policy Instruments. These inspirations could have emerged from your PLL discussions with stakeholders or your organisation's own desk research on interesting global initiatives. The goal is to think beyond our current structural limitations, so we can bring in lessons from good practice, that could inspire the future of Central Europe's operation.
  This insight should become the basis for what is discussed in the RIS3 Round Tables with the triple-helix stakeholders.

- Policy Instrument Use Cases: The 10 Use Cases (10 sets, 4/PP), are the output of D.T1.3.3 **(by February 2021),** and should leverage good examples from this programming period, to capitalise in a way which creates a solution for a challenge which is faced within the Central Europe Manufacturing sector. This definition is included, because in WPT3, the PPs will turn the Policy Instrument Use Cases into Pilot Projects and set the grounding principles behind the Common Policy Use-Cases.

- Regional RIS3 Alignment Instrument Pilot Projects: By WPT3 PPs should have evidence of starting 20 new regional RIS3 Alignment Instrument Pilot Projects (2/PP) **(by September 2021),** where they aim to showcase how specific policy instrument action can improve regional S3 support for chosen CAMI4.0 topics. These pilot projects should be built from the "Policy Instrument Use Cases" identified at the end of WPT1.

- Common Policy Use Cases: In WPT2 and WPT3 emerges the idea of the coordinated "alignment" of policy instruments. This is a key area of discussion which should occur between PPs (in CAMI4.0 Working Groups, aka TINs in WPT2) and their stakeholders (In RIS3 Round Tables, in WPT3). By the end of the project PPs operating across the 4 CAMI4.0 Topics create 4 common policy use-cases **(by February 2022),** where the stakeholders involved in each CAMI4.0 working group (TIN) agree a plan to align activities for the coming programming period. These Common Policy Use-Cases will be showcased in the Transnational Strategy, on promoting RIS3 alignment on these topics.

- RIS3 Round Tables: The RIS3 Round Table has a goal of optimising CAMI4.0 policy engagement between CE/EU regions. Originally called "RIS3" because of how Research & Innovation Smart Specialisation Strategies emphasize multi-sectoral, multi-skilled collaboration of regional stakeholders to promote competitive advantage through aligned innovation strategies within European territorial areas.

This project is co-financed by the European Regional Development Fund through Interreg Central Europe.

The structure in CEUP 2030 should build on the stakeholder engagement and communication the Partners began in WPT1 (PLL), and create a playground where:

- (1) lessons learnt / good practices from successful use cases can be extrapolated into a Central Europe context
- (2) the RIS3 policy pilot actions can be developed and submitted, to showcase a regional model for aligning policy support for CAMI4.0 value-creation.

The goal of these efforts is inspiration and development. To try to extend, adapt and upgrade the existing mechanisms through expert dialogue and to create clear recommendations (with demonstrable actions) to our policy-making stakeholders as to how these policy instruments could emerge in a wider territorial context and promote the adoption and uptake of Advanced Manufacturing and Industry 4.0 technologies to our target groups. The RIS3 round tables will act as the catalyst (and talking-shop) for the recommendations which the PPs bring together in the Policy Implementation Framework.

The RIS3 round tables should be delivered by late January 2022, but since each PP needs to deliver

- Policy Implementation Framework – Cooperation & Capitalisation Grid: this aspect is the first of two strategy documents which emerge from CEUP 2030. The Grid will consist of four action plans, one per CAMI4.0 Topic, which contains 20 (2/PP) Regional RIS3 Alignment Instrument Pilot Project (optimally, 5 flagship projects per CAMI4.0 topic!!!). These action plans will detail and provide tangible evidence (i.e., submission documents, formal Memorandum of Understanding/Terms of Reference), of the policy pilot actions. The actions should be built with PPs and their regional stakeholders and submitted in an effort to showcase each organisation's model of how to utilize subsidy finance / policy instruments to better align support /value-creation and ultimately adoption of CAMI4.0 technologies by our target groups.

- Policy Implementation Framework – Transnational Strategy for CAMI4.0: this aspect is the second of two strategy documents which emerge from CEUP 2030. The Transnational Strategy sets the groundwork for four (4) common policy use cases (one lead Flagship per CAMI4.0 topic) which should showcase how to promote transnational RIS3 alignment across the programming period for CAMI4.0 Topics.

This project is co-financed by the European Regional Development Fund through Interreg Central Europe.

2.3. Quality Indicators and Requirements for Harvest

The following section was written to provide some further guidance on the project's quality indicators which each partner should consider and input requirements which each partner should deliver, when it comes to completing the harvesting activity.

2.3.1. Application Form Projects

The following table lists the six identified projects which were named within the Application Form as bringing result potential to CEUP 2030. It is recommended that these projects are first reviewed for their potential results inclusion in CEUP 2030.

Subsidy Programme	Project Name
HORIZON 2020	SISCODE
HORIZON 2020	Spirit
HORIZON 2020	DIH2
Interreg Central Europe	3DCentral
Interreg Central Europe	Synergy
Interreg Central Europe	S3HubsinCE

Project Partners are encouraged to look beyond these six projects and expand the source of methodology and best practice to other closed or active projects in their portfolio. This will further strengthen the capitalisation of outputs generated within this programming period.

2.3.2. Rules

Referring to D.T1.1.1, the same rules apply for WPT3 harvesting. Therefore, the guidelines provided to partners are recalled in the table below.

Rule	Rule Logic
If you were part of one of the AF mentioned projects, you must pull a result from it!	This rule exists so we can demonstrate that the identified projects have sustainable results which are able to be capitalised!
Only use complete or "near" complete results!	This rule exists so we can be sure that the concept has been tested prior to its inclusion in CEUP 2030
Be honest about the result's success!	This rule exists to remind Partners that they are jointly responsible for bringing in good-quality. We trust your gut-instinct on this!
Clarify exactly which aspect of the result you think the CEUP2030 partnership can benefit from!	The Partnership needs to pull high-quality characteristics from different partner's experience, but we need to know what worked and what didn't work. For example: ***for a physical, interactive workshops*** - what practically worked, and what was the aspect that can be "capitalised", was it a method (i.e. a co-creation process like brain-writing?), was it a presentation style (i.e. like PechaKucha, visual storytelling)? ***For methods and tools*** - what tool is relevant to feed CEUP 2030 Policy Innovation Dashboard?

This project is co-financed by the European Regional Development Fund through Interreg Central Europe.

	Who is the owner of the tool? Does it need to be integrated/ re-designed or simply acquired?
Provide a comprehensive description	Reflect on what you write to make sure it is understandable and able to be interpreted for further use by the Deliverable Responsible of the methodology which will look to benefit from the capitalised knowledge! Would someone with no context to the project world (a loved one, for instance?) understand what you wrote?

2.3.3. Input Requirements

It is important to note that the harvesting activity's goal is providing a summary of the existing results to which the Partnership has "access", in order to capitalise a number of good practice projects in the direction of improved knowledge provision to policy-makers, to better support policy making processes in the next programming period. Because of this, PPs at this stage are only asked to provide summaries of existing results from your PP organisation Result Portfolio, so we can streamline an "Agenda" of results which will be drawn upon in the design and delivery of key project outputs.

Therefore, a minimum number of inputs are required to partners who have to provide their harvested results to trigger the design of WPT3 outputs. Although a minimum number of 1 good practice is required, additional results can be reported if they are considered relevant for the scope.

Name of Harvesting Aspect	Additional Comments	PP's Individual Obligation	CEUP 2030's Combined Obligation
Methodologies for RIS3 Round Table Establishment	Should help inspire other PPs on good engagement techniques to promote triple-helix collaboration within interactive workshop, around the topic of Smart Specialisation.	1	10
Methodologies for Policy Implementation Frameworks	Should help inspire on presentation methods and specific content which can lead to appropriate delivery of policy recommendations.	1	10
Policy Instrument Ideation	Should provide a short summary of the chosen policy instruments being used to develop the PP's actions, with some further ideation on new instruments which could emerge from cross-collaboration / transfer of experiences in other sectors.	1	10
Total Number of Inputs		**3**	**30**

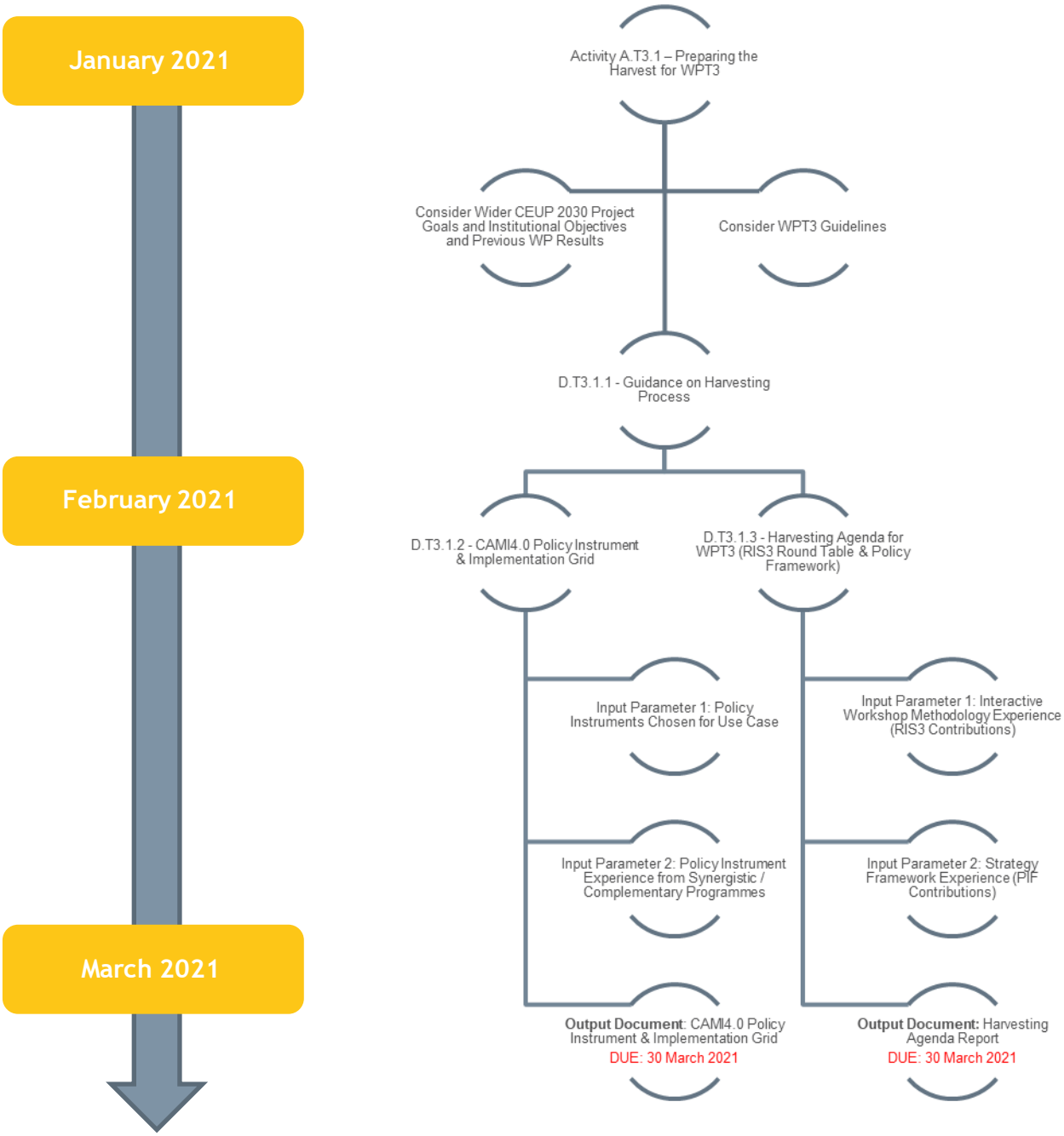
This project is co-financed by the European Regional Development Fund through Interreg Central Europe.

3. Methodology

This section provides insight on an agreed methodology which partners should follow to identify and filter appropriate results from Results Portfolios, and then create the appropriate simplified description for a quick and streamlined reporting in the deliverable connected to of A.T3.1.

Figure 2 provides a visual description of the deliverables hierarchies which are expected to emerge with Activity A.T3.1.

Figure 2 Deliverables Hierarchies for Activity A.T3.1



This project is co-financed by the European Regional Development Fund through Interreg Central Europe.

3.1. Process for Results Portfolio Review Harvest

The following section is aimed at providing partners with a simple process description to carry out the results' portfolio review and generate input for the harvesting:

1. Review the project proposal and the deliverables' descriptions so you are aware of the two key outputs for WPT3.
2. Review the work that your PP organisation has done in the past programming period.
3. Review the experiences you've had over the last year (especially re: COVID-19 months and the adaptation required regarding collaborative work & workshop giving), and consider what you've learnt from bespoke/specific events & collaborative discussions.
4. Review the CEUP 2030 Partnership Harvesting Questions, below.
5. Filter your results portfolio for those results which provide:
    a. Methods which could be used to establish triple-helix working groups.
    b. Methods which could be used to establish the final recommendations for policy instrument alignment to promote CAMI4.0 excellence
    c. Instruments which could inspire cross-programme/cross-thematic opportunities
6. Check that you or a member of your organisation has enough know-how of the project or result portfolio to write a simplified description of the filtered results
7. Check that you have the right access to information and results availability which would allow lessons learnt and methodologies on these subjects to be provided to the Partnership
8. Fill in the proposed templates to share your input with the CEUP 2030 partnership

PPs are really asked to remember the quality indicators & reflect/share effectively on processes/methodologies which have worked. PPs are also asked to reflect on their last year in the project (and the work completed in WPT1 and WPT2) and think beyond classic named "results" to draw on interesting experiences or intriguing instruments which could help enhance Central Europe's manufacturing sector.

3.2. Template Protocol

To summarise the template protocols, you will be asked to provide the following information:

- Your PP Organisation Name, as a drop-down menu
- The name of the harvested result, as a free text response box where you provide the methodology/strategy name in English
- The name of the project and programme from where the knowledge was harvested, as drop-down menu (for the 6 AF good practice projects), and an "other" option for

This project is co-financed by the European Regional Development Fund through Interreg Central Europe.

those partners not involved in the 6 projects. Please, if you select "Other", do not forget to include the name of the project.

- The hyperlink to where the partnership can find more information about the methodology/tools. Note: If this is held privately and not on a website please provide PDF evidence of the input on the Project Shared Space, in a dedicated folder for your PP organisation.
- A short description of the results – as a free text response. Please limit this to no more than 2000 Characters.
- A short description of how the result "worked", what processes were followed in a real or practical sense, i.e., what did people really do. Please limit this to no more than 2000 Characters.
- A short description of the key lessons learnt. What worked well in the methodology that led to the achievement of the goals? Please limit this to no more than 2000 Characters.
- A short description of how the result can be "upgraded" for CEUP 2030. What is the exact part that you think could provide wider benefits to the macro-regional area and how it could be eventually customised/implemented in CEUP 2030 framework? Please limit this to no more than 2000 Characters.

For the template associated to Policy Instruments, there will be a slight diversion from this protocol. This is to connect to connect the work the PPs have done in WPT1, and to move the partnership beyond this towards common model building. That template exercise aims to create a solid-base of inspirational material to feed into the workshop series. See Policy Instrument section for more detail.

This project is co-financed by the European Regional Development Fund through Interreg Central Europe.

3.3. Reporting Process and Key Questions for the Harvesting

In order to support the Partner's in their efforts to harvest results for WPT3, the following section provides insight on the specific type of activity and methodology which is being sought, along with some guiding questions to introduce the activity concept.

3.3.1. RIS3 Round Table Methodologies

As highlighted in the introduction, the RIS3 Round Table should build from the PLLs, and ultimately be a talking-shop or playground for ideas to be explored and developed with a diverse set of stakeholders with multi-sectoral backgrounds (triple-helix).

Interactive workshops focusing on active collaborative engagement is the key methodology sought for CEUP 2030's WPT3 which is looking to promote ideation and implementation. You will be asked, in the template, to describe the methods you've used to promote interactive workshops and workshops which have had effective discussions where "technology" meets "policy".

Some key questions to consider for RIS3 Round Tables harvesting:

- **Reflecting on your PLL Activities from WPT1**
  - Did you host a meeting (or see another hosting activity) which provided a cutting-edge methodology/ an effective methodology?
  - How was the level of interaction in your existing workshop structure?
  - Do you need to add in a participatory method to promote good exchange & discussion?
  - Do you need to an e-tool to help you with this?
- **Reflecting on your past results / experiences (especially any new experience you've had in a project / or non-project activity)**
  - What is your good practice experience with delivering trainings/ interactive workshops?
  - How were stakeholders engaged in an interactive way? What worked (and what didn't!)
  - How was the subject of R&I strategy or policies to support R&I weaved into the agenda, to create an effective discussion round?
  - How were technical experts (enterprises / research partners) involved in those discussions?
  - How were policy-making stakeholders involved in those discussions?
- **For all results:**
  - What were the key lessons you learnt from the experience you had (the key methodologies and techniques) which would be valuable to integrate into the CEUP 2030 RIS3 Round Tables?
  - How would it need to be repurposed for the thematic focus of this project (matching policy & technology discussions) and upgrade it for CEUP 2030?

This project is co-financed by the European Regional Development Fund through Interreg Central Europe.

3.3.2. Policy Implementation Framework Methodologies

As highlighted earlier, the Policy Implementation Framework (PIF) contains two aspects. A "Cooperation Grid" which will be a lasting action plan / roadmap of the activities the PPs are delivering to enable their model, and a "Transnational Strategy" which will provide the common vision and key recommendations (derived from commonalities in the chosen regional models) to promote transnational coordination on policy instruments to support CAMI4.0.

Good practice in final strategy and recommendation report framework is the priority methodology which is being sought for CEUP 2030. However, also ideas surrounding specific recommendation structures (for different audiences, for different thematic areas), in and around the manufacturing sector, would also be greatly appreciated.

Some key questions to consider for Policy Implementation Framework methodologies:

- **Reflecting on your strategy contributions (PP Pre-Work PPT) from WPT1**
  - Were you able to include your organisation's strategic vision on how to support target groups associated to the adoption of Advanced Manufacturing (AM) and Industry 4.0 (I4.0?
  - Was the strategy information included in the report, useful to help you learn about the AM & I4.0 R&I focus other regions and other PPs?
  - Was the information you provided useful for other regions to learn about the AM & I4.0 R&I focus your region and your organisation?
  - Was the information useful to allow policy-makers an insight on where they should be focusing support?
  - What further information / steps are needed to give policy-makers the insight they need to reflect on their policy instruments and become inspired by other policy support measures?
  - Have you seen those steps codified in the methodology of another project / initiative?
- **Reflecting on your past results / experiences (especially any new experience you've had in a project / or non-project activity)**
  - What is a good-practice transnational /multinational – multilateral strategy, which you think communicate effectively on how to develop a common model of operation between different geographical areas (can be non-manufacturing related, and from any territorial area)?
  - How was the strategy built with the involved stakeholders, at what level were recommendations made?
  - What is a good-practice action plan or roadmap, which you think communicates effectively?
  - What level of detail is needed to hold organisations to account to deliver on the plan?
- **For all results:**
  - How can your contributions be upgraded in CEUP 2030 to promote optimal knowledge provision to policy makers?
  - What information & insight would need to be provided by the CEUP 2030 PPs to meet the "policy development" methodology you've seen?

This project is co-financed by the European Regional Development Fund through Interreg Central Europe.

3.3.3. Policy Instrument Ideation 2.0

Policy instruments (defined earlier in the document, and previously in the project) is the central topic of discussion in CEUP 2030. With a core project "thesis" question asking: Are the policy instruments which exist in Central Europe (regionally, nationally and transnationally), currently, effective at providing support to our target groups which we believe (1) need to adopt AM and I4.0 technologies or (2) need help advancing R&I on AM and I4.0 to keep Central Europe at the cutting edge.

In CEUP 2030, the PPs commit to testing out a model to answer this thesis, by bringing policy-makers closer to the technology experts and technology showcases which emerged this past programming period to highlight needs & gaps in the current market conditions of CE's manufacturing space. Each PP builds a view as to how this could be improved in their regional (or national) area. The PP group as a whole builds expert opinion on where these gaps exist, where market trends are leading us in CE, and where CE stakeholders need extra support from policy makers to mind the gap.

In WPT1 PPs have already started brainstorming and ideation on the Policy Instruments which have provided effective support in their region. These are reminded to all users in Table 1. PPs have then (by end of February), identified four use cases each, which engage with between 1 – 4 different Policy Instruments, to enable the delivery of their models to optimize the uptake of AM&I4.0. WPT3 pushes PPs to extend their brainstorming further. To not only build their pilot into reality, but also to reflect on:

(1) how their pilot successes can build common opportunities across CE and

(2) where are there still gaps in uptake of AM/I4.0, which could be filled by targeted policy instruments.

Some key questions to consider for Policy Instrument Ideation 2.0 harvesting:

- **Reflecting on the Policy Instruments you brought in for your Use-Case**
  - Did you utilize one of the best-practice examples you brought in during WPT1 Harvest on Policy Instruments?
  - How could your chosen instrument bring about common benefits to Central Europe?
  - What support / steps would need to be taken to do this (capitalize the opportunity)?
- **Reflecting on experiences you've had during your PLL discussions (the transnational PLL presentations) or other opportunities to hear about policy instruments (regardless of which sector, non-manufacturing also ok, and you don't need to have used it),**
  - what new Policy Instrument ideas have inspired you?
  - What instrument have you seen which could be an effective tool to promote AM & I4.0 uptake/adoption?
  - What organisation was sponsoring the policy/support instrument?
  - What was good about the support instrument?
  - What characteristics about the support instrument could bring good potential for RIS3 alignment activity on the CAMI4.0 topics?

This project is co-financed by the European Regional Development Fund through Interreg Central Europe.

Table 1 WPT1 Harvest Results for Policy Instruments (Source: CAMI4.0 Glossary - CEUP 2030, 2020)

Topic:	(KPT)	(PRO)	(PIA)	(IWU)	(KIT)	(AFIL)	(SIIT)	(PTB)	(PBN)	(HAMAG)
Policy Instruments										
Policy Instrument USE CASE 1	Vouchers for Innovations	COMET - e.g., Pro²Future- Products and Production Systems of the Future	aws-Industry40-Funding	Performance Centre Smart Production	ZIM - Zentrales Innovationsprogramm Mittelstand	S3-innodriver - Vouchers to support the implementation of innovation actions of SMEs	Creation of a European metacluster in the domain of Advanced Materials and Textiles	Incentives for launching innovative companies in 2020 (P2 2020)	INTENCIVE: INnovation and Technology ENhancing Customer Orlented Health SerVicEs	HR-ZOO
Policy Instrument USE CASE 2	ScaleUp Programme	Funding Program "Production of the Future"	Digilift	Trinity - Agility for production	Karlsruhe Nano Micro Facility (KNMF)	Italian Industry4.0 Plan	stimulating business investments	Supporting strategic (innovation development) partnerships regarding priority fields of smart specialization	HGC Academy	IRI 2
Policy Instrument USE CASE 3	Bridge Alfa	Digital Innovation Hubs in Austria and Neighbour Countries	FFG-Big-Data-for-Production	Forschungsgemeinschaft Werkzeuge und Werkstoffe e.V.	Vanguard Initiative, New growth through Smart Specialization	Call MADE Competence Center	Polo SOSIA	Voucher for cyber security	Export performance boost of the Hungarian SMEs	Integrator
Policy Instrument USE CASE 4	Digital Innovation Hubs Policy in Poland	Low Level Support for SMEs (Innovation Check)	Maturity-Model-Industry40	Smart³ Network	Allianz Industrie 4.0 Baden-Württemberg	3DP PAN EU CALL FOR SMES	Cluster Tecnologico Nazionale “Fabbrica Intelligente	RDI in value chains and networks	Human-machine cooperation with social economy	Innovation in the S3 environment

This project is co-financed by the European Regional Development Fund through Interreg Central Europe.

4. Conclusions & Next Steps

The purpose of this document has been to provide the PPs background information and detailed process descriptions on the harvesting requirements of Activity 3.1.

It sets the process for harvesting key content and methodologies from each PP's result portfolio from this programming period, which can be utilised and upgraded throughout the process of delivering WPT3's outputs.

4.1. Next Steps

- Work Package Leader and PPs are asked to review this methodology and clarify with the Deliverable Responsible Partner, any questions or comments on the procedure.
    - Due Date: 3 March 2021
    - Responsibility: All PPs
- All PPs are then asked to complete the harvesting and reporting process for the RIS3 Round Tables, Policy Implementation Framework and Policy Instrument Ideation 2.0.
    - Due Date: 24 March 2021, uploaded in Alfresco Folder.
    - Responsibility: All PPs

All Harvesting should be completed by March 24, to ensure that the other activities and deliverables depending on harvesting activities can stick to the project deadlines.

This project is co-financed by the European Regional Development Fund through Interreg Central Europe.

5. Annexes

The purpose of this section is to provide PPs the templates which will be used to gather the Harvested methodologies and tools for WPT3, along with a deeper dive on Policy Instruments for Industry 4.0.

5.1. Template 1: WPT3 Result Harvest – RIS3 Round Tables

Result Harvest for WPT3 – RIS3 Round Tables	
Name of the PP	Choose your PP Name
What is the name of the harvested result (aka the output/activity name from the project)?	[Free Text Response]
What is the name and programme of the harvested project (in English)?	Choose Good Practice Project Name **In case of other, please clarify project & programme name, in English:** [Free Text Response]
Hyperlink to the result location (aka where more information on the strategy or workshop methodology can be found)	[Free Text Response]
A short description of the result:	
[Free Text Response – limit to 2000 characters]	
A short description how it worked:	
[Free Text Response – limit to 2000 characters]	
A short description of the key lesson learnt:	
[Free Text Response – limit to 2000 characters]	
A short description of how the result can be "upgraded" for CEUP 2030 method:	
[Free Text Response – limit to 2000 characters]	
Any strong comments / views on what you'd like the RIS3 Round Tables to deliver, based on your previous experience (and how does the result you've highlighted, do this/ support towards this).	
[Free Text Response – limit to 2000 characters]	

This project is co-financed by the European Regional Development Fund through Interreg Central Europe.

5.2. Template 2: WPT3 Result Harvest - Policy Implementation Framework

Result Harvest for WPT3 - Policy Implementation Framework	
Name of the PP	Choose your PP Name
What is the name of the harvested result (aka the output/activity name from the project)?	[Free Text Response]
What is the name and programme of the harvested project (in English)?	Choose Good Practice Project Name **In case of other, please clarify project & programme name, in English:** [Free Text Response]
Hyperlink to the result location (aka where more information on the strategy or workshop methodology can be found)	[Free Text Response]
A short description of the result:	
[Free Text Response - limit to 2000 characters]	
A short description how it worked:	
[Free Text Response - limit to 2000 characters]	
A short description of the key lesson learnt:	
[Free Text Response - limit to 2000 characters]	
A short description of how the result can be "upgraded" for CEUP 2030 method:	
[Free Text Response - limit to 2000 characters]	
Any strong comments / views on what you'd like the Policy Implementation Framework to deliver, based on your previous experience (and how does the result you've highlighted, do this/ support towards this).	
[Free Text Response - limit to 2000 characters]	

This project is co-financed by the European Regional Development Fund through Interreg Central Europe.

5.3. Template 3: WPT3 Result Harvest – Policy Instrument Deep Dive

As mentioned in the body of the main document, Template 3 is slightly different in terms of its construction. It asks for a deep dive on the Policy Instrument angle of your WPT1 use case. With this activity, we are setting up the topics which will be the focus of your RIS3 Round Tables: which areas of support are needed to promote common, territorial approach for CAMI4.0 Excellence.

Furthermore, the template asks PPs to think about other instruments they've seen (outside of the manufacturing world), which provide you with specific inspiration on delivering CAMI4.0 Excellence to our target groups. This should be an opportunity for each PP to bring their own unique experience about policy instrument use (networks, infrastructure support, funding, voucher schemes, annuity grants, etc.), from all potential other fields of operation (Green Deal, World Economic Forum, World Bank).

Please dig deep across your experiences, and provide some lines about how to use this instrument and upgrade towards Industry 4.0 / Advanced Manufacturing in CE.

Result Harvest for WPT3 – Policy Instruments Deep Dive	
Name of the PP	Choose your PP Name
CAMI4.0 Use Case Name for IPS	**[Insert Name of Use Case]**
Policy Instrument Chosen	[Free Text Response]
A short description of why you chose this instrument to approach the solution? What is the gap that is being filled/the challenge that is being overcome?	[Free Text Response – limit to 1000 characters]
How can your use of this instrument (and the delivery of the use-case), benefit a wider territorial area?	[Free Text Response – limit to 1000 characters]
What would your organisation need to expand this benefit across the territorial area in a common approach?	[Free Text Response – limit to 1000 characters]
Is a common approach needed on the instrument, or is a common approach needed on the use case, or on another aspect?	[Free Text Response – limit to 1000 characters]
What support from policy makers (and at what level) would you need to capitalize on this opportunity?	[Free Text Response – limit to 1000 characters]

This project is co-financed by the European Regional Development Fund through Interreg Central Europe.

CAMI4.0 Use Case Name for Automation and Robotics	[Insert Name of Use Case]
Policy Instrument Chosen	[Free Text Response]
A short description of why you chose this instrument to approach the solution? What is the gap that is being filled/the challenge that is being overcome?	[Free Text Response - limit to 1000 characters]
How can your use of this instrument (and the delivery of the use-case), benefit a wider territorial area?	[Free Text Response - limit to 1000 characters]
What would your organisation need to expand this benefit across the territorial area in a common approach?	[Free Text Response - limit to 1000 characters]
Is a common approach needed on the instrument, or is a common approach needed on the use case, or on another aspect?	[Free Text Response - limit to 1000 characters]
What support from policy makers (and at what level) would you need to capitalize on this opportunity?	[Free Text Response - limit to 1000 characters]
CAMI4.0 Use Case Name for Smart Materials	**[Insert Name of Use Case]**
Policy Instrument Chosen	[Free Text Response]
A short description of why you chose this instrument to approach the solution? What is the gap that is being filled/the challenge that is being overcome?	[Free Text Response - limit to 1000 characters]
How can your use of this instrument (and the delivery of the use-case), benefit a wider territorial area?	[Free Text Response - limit to 1000 characters]
What would your organisation need to expand this benefit across the territorial area in a common approach?	[Free Text Response - limit to 1000 characters]
Is a common approach needed on the instrument, or is a common approach	[Free Text Response - limit to 1000 characters]

This project is co-financed by the European Regional Development Fund through Interreg Central Europe.

needed on the use case, or on another aspect?	
What support from policy makers (and at what level) would you need to capitalize on this opportunity?	[Free Text Response - limit to 1000 characters]
CAMI4.0 Use Case Name for Artificial Intelligence	**[Insert Name of Use Case]**
Policy Instrument Chosen	[Free Text Response]
A short description of why you chose this instrument to approach the solution? What is the gap that is being filled/the challenge that is being overcome?	[Free Text Response - limit to 1000 characters]
How can your use of this instrument (and the delivery of the use-case), benefit a wider territorial area?	[Free Text Response - limit to 1000 characters]
What would your organisation need to expand this benefit across the territorial area in a common approach?	[Free Text Response - limit to 1000 characters]
Is a common approach needed on the instrument, or is a common approach needed on the use case, or on another aspect?	[Free Text Response - limit to 1000 characters]
What support from policy makers (and at what level) would you need to capitalize on this opportunity?	[Free Text Response - limit to 1000 characters]

This project is co-financed by the European Regional Development Fund through Interreg Central Europe.

Use the table below to provide four examples of instruments you've discovered in your discussions with policy makers, or your exposure/experience through other events (can be non-sectoral related, or associated to different thematic areas) over the past year (you don't need to have used it yourself as an organisation!), which you believe would provide good inspiration and a common working base for CEUP 2030's efforts to promote the upgrade and adoption of CAMI4.0 topics amongst stakeholders.

Overview of Other Inspirational Policy/Support Instruments				
What is the name of the Instrument (in English)?	**What type of instrument is it?**	**Short description of instrument (where you found it (from which stakeholder? what it does/appears to do? What caught your attention?).**	**What makes the instrument a good inspiration for CEUP 2030 & common action on CAMI4.0 Excellence?**	**Hyperlink to Further Info on the Instrument**
	In case of other, please describe:			
	In case of other, please describe:			
	In case of other, please describe:			
	In case of other, please describe:			

This project is co-financed by the European Regional Development Fund through Interreg Central Europe.