



## Action Plan

# Ministry of Economic Affairs, Transport, Employment, Technology and Tourism (MWWATT)

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The background of the page features a complex network diagram. It consists of numerous nodes, represented by small circles in various colors including red, green, black, orange, grey, and light blue. These nodes are interconnected by a web of thin, light grey lines, creating a dense, interconnected structure that resembles a social or organizational network. The nodes are scattered across the page, with some appearing more prominent than others.

# MARIE

**MA**instreaming **R**esponsible **I**nnovation in **E**uropean **S3**

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## Background

The objective of this document is to present a structured template for the regional Action Plans. The proposed Action Plan template (henceforth "Template") is based on the previous experience of project partners in the development of regional Action Plans for interregional cooperation projects (e.g., NMP-REG, TANIA, COGITA) and takes into consideration the content and structure of the Action Plan template developed by Interreg Europe.

Within this policy context, partners developed their solution(s) addressing the need for improvement or new policy intervention. Within the Action Plan, this improvement is described clearly, in order to demonstrate **how it enhances or expands the current policy status**. The template also helps partners to document how their improvement is linked to the following outputs of MARIE:

- i) **MARIE Good Practices:** The policy improvement draws **elements from one or more Good Practices (GPs)** identified in MARIE.
- ii) **MARIE RRI Concept:** The policy improvement is associated with the dimensions of the MARIE RRI Concept, namely:
  - a. **RRI dimensions**
  - b. **RRI and policy solution lifecycle stages RRI support actions.**

The policy improvement also describes how it addresses issues related to **impact assessment** (type of impact assessment, impact areas, type of assessment) and **governance** (transparency, flexibility, responsiveness).

Finally, the template helped to ensure that the policy improvement was linked to the **three types of policy instrument identified by Interreg Europe:**

### Type 1:

- implementation of new projects



### Type 2:

- change in the management of the policy instrument (improved governance);



### Type 3:

- change in the strategic focus of the policy instrument (structural change) (Interreg Europe Programme Manual v5, 2018).



## Introduction

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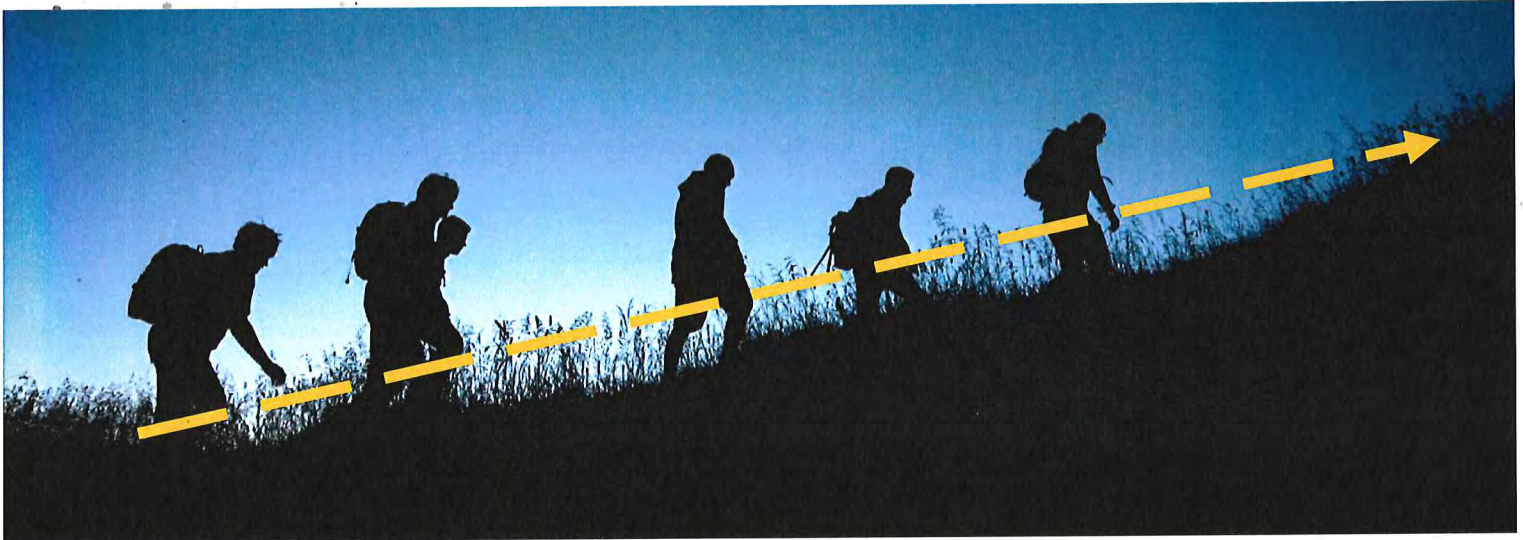


Figure 1: MARIE Action Plan development and implementation strategy

The Action Plan of Partner No 9 – the Ministry of Economic Affairs, Transport, Employment, Technology and Tourism (MWVATT) from Schleswig-Holstein / Germany, has been developed in an intensive process of exchange with the partners of the MARIE project. The main challenge was to connect at this recent development stage potential actions related to RRI and the MARIE project, respecting the given framework and be substantially supportive for

actual policy discussion in the Ministry.

The Action Plan describe three areas of activities: the explicit implementation of RRI in the Regional Innovation Strategy update 2020, the optimization of stakeholder engagement at the Innovation and Technology Forum Schleswig-Holstein and the enhancement of existing structures related to RRI perspectives.

## Part 1: Policy context of Action Plan

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## Description of the regional Policy Context

Schleswig-Holstein has relevant research capacity in the region, linked to the focus areas of the RIS3. In 2012, an energy transition ministry was established. In addition, the state of Schleswig-Holstein has nine universities and several internationally outstanding non-university research institutions, such as the Max Planck Institute for Evolutionary Biology in Plön, the Helmholtz Center Geesthacht, GEOMAR Helmholtz Centre for Ocean Research Kiel, the Research Center Borstel, the Institute for the World Economy (IfW) or facilities of the Fraunhofer Society ISIT, EMB and MEVIS.

The economic structure in Schleswig-Holstein is characterised by small to medium-sized companies. Large corporations have no head office in Schleswig-Holstein. Thus, gross domestic product (GDP) is below the German average, but above that of the EU-27. Based on the given economic structure, there is a weak investment ratio in research and development, whereby the ratio of third-party funds raised is also below average in the German federal government.

The strategy and the priorities of the Operational Programme of the European Regional Development Fund (ERDF OP 2014-2020) of the Land Schleswig-Holstein aim at creating a business environment that promotes innovation and sustainable economic growth while ensuring attractive jobs and contributing to an environmentally friendly development of the region." (ref. [http://ec.europa.eu/regional\\_policy/EN/atlas/programmes/2014-2020/germany/2014de16rfop014\\_07.09.2018](http://ec.europa.eu/regional_policy/EN/atlas/programmes/2014-2020/germany/2014de16rfop014_07.09.2018))

As reference document to the ERDF OP 2014-2020, the Land Schleswig-Holstein (SH) in Germany approved the Regional Innovation Strategy Schleswig-Holstein (RIS3) on 10 Dec 2013. The expressed focus areas are Maritime Economy, Life Science, Renewable Industry, Food Industry as well as Information and Communication Technology including Media. The vision is to address the global challenge of climate change, energy transition and demographic change with innovative solutions. Schleswig-Holstein intends to be an important innovation leader in Europe. All this should secure growth and attractive workplaces in the region [Schleswig-Holsteinischer Landtag, Umdruck 18/3322].

The grouping of the five thematic focus areas of the RIS3 resulted in five Priority Areas (PA) in the ERDF OP 2014-2020. PA 1 addresses the ambition of "strengthening regional innovation potential". PA1 funds public applied research infrastructure, innovation in companies and synergies between companies, research centres and universities. It is expected to promote more innovation and applied science within the five RIS focus areas. Funding instruments include research and innovation infrastructure, cooperation projects between research and companies, competence centres and innovative networks. Funded projects in PA1 are expected to initiate a closer collaboration between science and economy and hence more innovation. This will result in new innovation fields and cross-sectoral innovation.

The actions of the Land Schleswig-Holstein are guided by 10 guidelines, where the following guiding principles are of particular importance in the context of responsible research and innovation (RRI):

- Continuous development of dialogue between business and science
- Greater involvement of economic, environmental, social and global perspectives and sustainability principles in innovation policy.

The Ministry of Economic Affairs, Transport, Employment, Technology and Tourism (MWVATT), partner in the project MARIE, is responsible for the Regional Innovation Strategy (RIS3) as well as the ERDF OP 2014-2020. Consequently, it is well placed to address selected RRI aspects by incremental improvement during the implementation phase of the MARIE project (2020-2021), as well as the optimization and update of the RIS3 until the end of 2021.

Policy improvements within MARIE will focus on the RIS3, as described in the sections below. The RIS3 will be evaluated and updated between 2020 and the beginning of 2021 and offers room to implement RRI aspects. Therefore, the Action Plan will lead to concrete improvements to the RIS3 in this programming period.

Meanwhile, and with a medium-term perspective, the improvements to the RIS3 will have a relevant impact on the upcoming OP for the 2021-2027 programming period.

### Description of the need(s) to be addressed through the policy improvement

Schleswig-Holstein is ranked as an 'innovation follower' with an innovation performance above EU average, particularly in the key sectors included in the RIS3 strategy. In terms of marine economy and renewable energy, Schleswig-Holstein has particular scientific and industrial excellence.

A number of regional weaknesses have been identified: promoting collaboration between research and economy, participation of companies in innovation projects, turning scientific results into products.

The RRI Maturity Mapping<sup>1</sup>, a methodological approach within the partner consortium of MARIE to create transparency about strengths and weaknesses, underline that in SH following dimensions of RRI should be strengthened due to still a modest profile: (a) Public Engagement, (b) Science Education, (c) Governance.

In the RIS3 policy paper, the dimension of responsibility is not mentioned explicit or is directly transferred into precise actions at all. While some aspects of responsibility are part of the policy in the RIS3 (e.g. mobilising innovation stakeholders, networks, open innovation), the strategy is missing a comprehensive RRI focus. Moreover, it does not include any specific RRI criteria or RRI-adapted support tools.

In terms of management mechanisms created alongside the OP and the RIS3, the Innovation and Technology Forum Schleswig-Holstein (ITF.SH) was established as an operational action (tool) to promote technology transfer. Thereby, the forum is a support tool to achieve the RIS3 strategic target, as it provides the framework for the stakeholder involvement, expected by European Commission as part of the RIS3.

The Innovation and Technology Forum Schleswig-Holstein (ITF.SH) has been provided as good practice example in the context of the MARIE partnership. The inter-ministerial structure with the engagement of stakeholder representatives and the format of the ITF.SH are proven. However, this approach does not yet reflect an RRI perspective. The principle effectiveness, the focus and specific dimensions of RRI (a) Public Engagement, (b) Science Education, (c) Governance are still weak in the ITF.SH.

It has been shown that only the political will to offer such a platform for participation and information or a good concept (such as the RRI) is not enough to attract stakeholders. Moreover, the awareness about RRI concept in general is widely missing as well as other priorities in business, research and administration to push developments and innovations forward are set today (economic / scientific / regulative interest). Consequently, immediately if selected topics are to general or do not meet exactly the respective interest of the stakeholder, it will be out of their scope. Commitment is hardly to generate without providing concrete benefits, even though the missing contribution and commitment lead to the dilemma that long-lasting sustainable development have to be prepared together. Not having this cooperation could result in degrowth or even regression and will result in a weak political agenda.

In conclusion we are willing to act to bring RRI forward so that

- we intend to attract a vivid cooperation by best-fitting and meaningful themes / topics with respect to RRI,
- we address the improvement of the dialogue between economy and science & research,
- we test the option to use existing framework conditions to strengthen the impact of economic + ecological + social + global perspectives and concerns into running actions.

<sup>1</sup>Eleni Apospri & Christos S. Tsanos: MARIE Interregional Comparison of Regional RRI Maturity and Needs and Matching with GPs, 31.08.2018

## Description of the envisaged / enhanced policy context

Within the framework of MARIE, dealing with the Responsible Research and Innovation concept, we intend to demonstrate an improvement of our administrative support related to selected aspects of the RIS3 strategy. Thereby, with the update of the RIS3 the relevance of the document as guiding instrument for responsible and strong politic as well as existing and upcoming funding scheme should be underlined.

The MARIE Action Plan for the Land Schleswig Holstein envisages an improvement policy context whereby:

- **RIS3 Update:** The updated RIS3 includes an evaluation of existing S3 fields and selection of meaningful topics within an RRI framework. The MARIE partner believes that the recognisable integration of RRI criteria and RRI-adapted support tools into the RIS3 update, would be an important step to minimise innovation risks and to address societal challenges. Consequently, RRI could have a relevant impact on a future-oriented development in SH. This would be an improvement related to the strategic focus of the selected policy instrument;
- **ITF.SH improvement:** The ITF.SH has been widened, in a framework of continuous improvement, to test new forms of public engagement (one of the key dimensions of RRI). This would be tested through optimisation of effective stakeholder engagement in the RIS3 updating process and other related policy initiatives. The improvement would be related to management mechanisms of the selected policy instrument;
- **Enhance existing structures:** Taking the perspective of RRI economic, ecological, social and global concerns are integrated proactively into running activities of projects, clusters and/or administrative structures. Technology transfer related process [note: the MWVATT department, which is partner of MARIE, is responsible for Technology Transfer] should be (best-possible) mainstreamed to RRI. This could lead to improved strategic focus, in terms of content, and calibrated management mechanism, in terms of the governance process. Different options should be tested.





## Part 2: Policy improvement and relevance to MARIE outputs

The proposed policy improvement	
<b>Title</b>	<b>Integrating the RRI perspective into the RIS3 update, related tools and structures</b>
<b>Description of policy improvement</b>	<p>The foreseen improvement will use the opportunity that comes with the updating of the RIS3 to integrate RRI concepts. Consequently, tools and structures in the regional policy context, especially these related to technology transfer, are subject of concrete actions and adjustments.</p> <p>The evaluation of the existing RIS3 will be conducted in 2019/2020 and results in an updated RIS3. The given principle for the update is that the existing strategic approach should be revised, improved and developed, but not overruled. The team of MARIE project is already in dialogue with the respective person in charge of the process (see also overview of activities already carried out below) and have agreed that references and newest expertise from MARIE project should be discussed within the updating process. The MARIE team will participate in the kick-off meeting and present their intention to integrate RRI dimensions meaningful into the new document. In order to ensure the consistent exchange, the colleague in charge of the RIS3 update process will join the team of MARIE from 2020 onwards regularly.</p> <p>The RIS3 and related elements that can be influenced by MARIE, in terms of integration of RRI concepts and tools, can be summarised as follows:</p> <ul style="list-style-type: none"> <li>• explicit integration of RRI dimensions into the RIS3 update (strategic focus). The five thematic focus areas in the RIS3 (Maritime economy, life sciences, renewable energies, food industry, information technologies) are huge sectors or branches. There is significant potential to increase the RRI focus within them;</li> <li>• increased public engagement at ITF.SH events, which will be the main moments to gather stakeholder input to the update of the RIS3 (management mechanism). The MARIE partner is committed to testing two main improvements to the ITF.SH mechanism. Firstly, it will be widened in terms of members in order to promote stronger exchange between the stakeholders and the regional government (responsible for innovation and research frameworks). As part of this work, the partner commits to a proactive event to engage stakeholders in side events to the ITF.SH forum, connecting with new target groups and actively seeking their input. Secondly, the content of each event (in line with the RIS3 priority sectors) will focus on a selected topic and consider how the RRI dimensions can be integrated and put into practice. The cross-sectoral innovation perspective, which promotes a specific topic for adjacent sectors or branches actively, will be a consistent momentum to provide wide access to a selected topic.</li> <li>• Foreseen is an initiative to establish the RRI mind-set into existing structures, which correspond to the RIS3 (e.g. projects, clusters, administrative structures/unites). Beside the joint effort to make our intention operational in projects/clusters established today, the exchange addresses especially the department in charge of the funding mechanisms of the OP program in the MWVATT. Together, the existing OP 2014-2020 should be used as reference to identify potential optimisation and ideas of improvement the funding framework under the light of RRI so that proposed project, activity or initiative presented to the Schleswig-Holstein Government in future should be evaluated under the light of RRI dimensions. The aspect of</li> </ul>

	sustainability, as example, is then not only limited to growth, it reflects the entire dimension of responsibility.
<b>Improvement over current policy instrument</b>	<p>The policy improvements are designed to promote ever closer collaboration between science and economy, increase of public and stakeholder participation in public policy and, hence, more innovation in a new, responsible quality.</p> <p>The current policy instrument RIS3, approved by the government of Schleswig-Holstein on 10 Dec 2013, does not reflect specifically the concept of RRI. The proposed improvement intends to put RRI dimensions explicit into the focus of the RIS3 2021 update based to the proposed actions.</p> <p>The MARIE project and interregional learning should assist to shape an optimal RIS3, of which the ITF.SH is part. Different aspects are discussed and translated into action to reach an effective stakeholder engagement and facilitate social-technical, interdisciplinary research teams/networks.</p>
<b>Type of policy improvement</b>	<p>Type 2: change in the management of the policy instrument</p> <p>Type 3: change in the strategic focus of the policy instrument (structural change)</p>

Impact of the proposed policy instrument	
<b>Impact of proposed policy improvement on the envisaged / enhanced policy context</b>	<p>MARIE project in itself has already a strong impact by putting discussion on RRI explicit on the agenda in policy discussions in the MWVATT. Thanks to this, the MARIE partner has been able to link up with other departments and convince them of the need to consider how RRI can be further integrated into the policy context.</p> <p>Activities to integrate RRI aspects into the RIS3 update during the implementation phase 2020-2021, will have a strong impact. In the short term, they will test public engagement in policy making and they will consolidate practical means of integrating RRI concepts and tools into public debate, in the policy context and respective administrative structures.</p> <p>As a medium-term result of the foreseen improvements to the RIS3, it is also expected that RRI will have a greater presence in the new ERDF OP 2021-2027.</p>
<b>Elements of improvement of the current policy context</b>	<p>In practice, it is the RIS3, dated from 2010, which will be improved and updated. Part of this, the ITF.SH and some structures will be reorganised within the programme period.</p> <p>Who will be addressed, attracted and involved in supported projects and initiatives facilitated by the government of SH? - The optimization of an <b>effective stakeholder engagement</b> by improved communication and attraction of relevant participants is getting even more important in future. Intermediates such as cluster managements, regional development agencies other supportive entities could not replace an active role of business leaders or researchers. Consequently, it is getting even more important to set proactive thematic nuclei to act jointly. The government of SH have to become agile to act and react towards promising opportunities.</p> <p>Are the existing specialisation fields reflected in the RIS3 still valid, should anything be added, focussed or skipped? - The <b>evaluation of existing S3 fields and selection of meaningful topics under RRI aspects</b>, which leads to social-technical, interdisciplinary research teams/networks has the potential to force dynamics toward more innovation and growth. Among the government, with stakeholders, actors and analysts the correct positioning of SH with the RIS3 will be checked and discussed.</p> <p>By taking the perspective of RRI, should we shape future developments and possible transition processes actively? - The <b>assessment of funding mechanism and introduction</b></p>

	<p><b>of new processes</b> especially addressing future-oriented, cross-cutting topics will be new for SH. Some aspects of the extensive and diverse economic environment will be pushed proactively. To reach environmental targets within 8 to 10 years forces to push specific eco-friendly and responsible businesses even harder than before. Transition processes and system shifts will occur, and SH wants to be part of this process. This results to set a principle framework for the division for technology politics and transfer related to RRI, output-oriented working processes beforehand among the ministries involved, and improved setting in connection with different stakeholder representations.</p>
<b>Impact assessment indicators</b>	<p>Indicator: Level of RRI impact on the new RIS3 2021  Measurement: The evaluation of the final document of RIS3  Target (qualitative): the RRI concept will be noticed clearly in the update</p>
	<p>Indicator: Number of new stakeholders involved by this modified ITF.SH  Measurement: Increase percentage of companies attending the ITF.SH  Target: &gt;25% from business</p>
	<p>Indicator: Number of cases RRI dimension will be respected after the MARIE activity  Measurement: Counting the cases, where RRI has been implemented  Target: &gt;2 projects, 2 clusters, 1 MWVATT unit</p>

Policy improvement and relation to MARIE RRI concept		
MARIE RRI Concept Dimensions	Components of RRI dimension	
<b>RRI dimensions</b>	Public Engagement	Broader engagement of all relevant actors from business, science, politics and public authorities as well as the general public; however, this process is less dogmatic than pragmatic oriented at the best added value in respect of implementation power.
	Science Education	Education not only towards the general public but also among fields of specialization and business opportunities; the social-technical, interdisciplinary networks serves to bridge the gap between business & science
	Governance	The impulse of the MARIE project is used to improve governmental processes toward a more active agenda-setting approach, lean management structures and good practice of interregional learning
<b>RRI support actions</b>	Quadruple Helix	Public will also be activated within the process of RIS3 development; see above
	Agenda Setting	Yes, via ministries and knowledgeable experts

RRI inclusion in policy improvement lifecycle	Research	Yes, via stakeholder involvement
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Good Practice used to define the Policy Improvement	
Title of Good Practice	<i>Tampere Region Open Innovation Platforms (OIP)</i>
GP owner (region)	Council of Tampere Region, University of Tampere (UTA)
Can this GP address the policy need(s) identified in the previous section? If yes, how?	<p><b><i>“cross-sectoral innovation policy has become a feasible way to renew the innovation system.”</i></b> - Traditionally innovation policy concentrates on cluster policies. It was criticized to be short term and not creating enough long-term impact. Also created clusters have been slowly weakening in the Tampere Region during the past decade due to restructuring of business. This is why cross-sectoral innovation policy has become a feasible way to renew the innovation system. It is supporting inclusive access to open innovation activities and fostering the culture of open and inclusive innovation.</p> <p>This approach and their experience support the concept improvement of the ITF,SH and discussions with the partners inspires to link the cross-sectoral concept directly to specific thematic challenges.</p> <p>The presentation of the GP provided the impulse to pre-test the approach at the Waterkant Start-Up Festival 2019 in Kiel, where the MARIE partner session arranged a session under the title “Power, technology, mobility – system solutions that work for me and society”.</p>
What elements of this GP are included in the policy improvement presented in Table 4-1?	<p>This GP is an example of how to address stakeholders with a cross-sectoral approach.</p> <p>The main valuable finding was that bringing active and committed persons with their own passion for making a change together makes the difference and drives the process. The selection of persons is most crucial to the entire process.</p> <p>Additionally, the to focus on different value creating processes encouraging co-creation of different organizations seems of most added.</p>
Exchange / Transfer process	Exchange process bases on the established system of the interregional learning events. The first insights have been learnt from the presentation on 8 Nov 2017 in Orleans. A more precise study of the GP and bilateral exchanges have been made in the weeks after the meeting.
Match between Regional RRI Maturity and selection of GP	The maturity mapping for Schleswig-Holstein said that there is potential to improve the stakeholder engagement and this given GP from Finland is addressing access to open innovation activities and fostering the culture of open and inclusive innovation. This issue goes along with a new quality of stakeholder engagement.

Good Practice used to define the Policy Improvement	
Title of Good Practice	Koklaamo
GP owner (region)	Council of Tampere Region, City of Tampere
Can this GP address the policy need(s) identified in the previous section? If yes, how?	<p><i>"...themes of Koklaamo processes has been identified together with the residents based on their experiences of their living environment, the strengths and the weaknesses..." - Koklaamo is an innovation platform that brings together companies, communities, experts from different fields and citizen to cocreate and experiment new solutions. The key challenge is to find new cooperative ways. Koklaamo has been piloted with different themes. It starts off with an open call inviting companies/communities to bring their ideas related to the theme. The organizing team behind Koklaamo is responsible for the coordination and facilitation of the process.</i></p> <p>The interesting aspect is that different stakeholders are connected (companies, communities, experts) and the selection of relevant topics is given to the community itself. Taking this impulse, it has been internally discussed, if such a mechanism could help to reach out to the real stakeholders in any kind of participation process that should attract them. However, it implies that the topics are not set by the MWWATT or any other organizer, the community decide about the relevance of topics.</p>
What elements of this GP are included in the policy improvement presented in Table 4-1?	Whereas the next ITF.SH in Feb 2020 is defined already and will address the RIS3 evaluation process, the additional foreseen events in 2020/2021 intend to prove the mechanism in detail. A call for topics might be sent to potential stakeholders in advance.
Exchange / Transfer process	The impulse refers to the presentation of the GP in Orleans at the 3 <sup>rd</sup> ILE, 8 Nov 2017. The personal exchange took place directly at the meeting. More detailed exchange did not take place, because it is not the concept in detailed, which provides the input rather than the principled idea.
Match between Regional RRI Maturity and selection of GP	The maturity mapping for Schleswig-Holstein said that there is potential to improve the stakeholder engagement and this given GP from Finland is demonstrating the importance to integrate different perspectives and backgrounds of involved persons (companies, communities, experts) and an alternative option to define relevant topics.

Other elements of the MARIE Interregional Exchange process used to define the Policy Improvement
In general, the exchange in the heterogenous group offers fewer concrete solutions, which could be copied pasted. But all the new insights about challenges, thoughts and actions results in more internal clarity about our own position, where to adjust recent policies with respect to RRI and to derive precisely now the actions foreseen. Additionally, the joint actions defined by the project proposal (interviews and maturity mapping) forces us to dig into a more detailed study of our own environment that we would do it without the project. This creates the most relevant added value.

An impulse from partners, which has been used already, is the co-organization of events attached to other activities such as the Responsible Innovation Summit in Dublin (15/16 Oct 2018) or the Innovation Café in Bucharest (6 Feb 2019). The events create exceptional added value for the topics of RRI, the outreach to people, the integration of different perspectives into the discussions as well as benefits related to economics.

With the partner meeting and 7<sup>th</sup> ILE in Kiel, we already check the concept by the connection to the Waterkant Startup festival. The Waterkant Startup Festival is an established event, 2019 for the fourth time with approx. 1,500 participants from Kiel Region, Schleswig-Holstein and Scandinavia. This framework creates much more attention toward the IFT.SH offer and therefore the RRI concept than a stand-alone event.

Additional moments relevant for the interregional learning process within the MARIE process were the Open Exchange Session – Experience the Good Practices: “Mini-World-Café SH” in Orleans on 8 Nov 2017. Content and feedback given by all participants was of value in the following discussions and has been integrated in the foreseen improvement process (e.g. “criteria for evaluation process should take broader criteria of RRI into account”, “citizens aside a project”, “SMEs mandatory part of research teams; market ability”, “without any commercial perspective no companies will be get involved”, “participation as business advantage”, “think about STIR – socio-technical interdisciplinary research”, “cooperation for development through urban-related solutions”, “regional adoption of RRI concept”).

## Part 3: Definition of actions and feasibility check

### Stakeholders involved in the development and implementation of the policy improvement

<b>Name of stakeholder</b>	Ministry of Economic Affairs, Transport, Employment, Technology and Tourism (MWWATT)
<b>Type of stakeholder</b>	Policy-making organisation
<b>Responsibilities / role within the development and implementation of the policy improvement</b>	<p>The MWWATT is responsible for</p> <ul style="list-style-type: none"> <li>the formulation and approval process of the RIS3 as well as leading the 2021 update including the evaluation of the existing S3 thematic areas and selection of relevant and meaningful topics.</li> <li>the initiation and realisation of the ITF.SH and therefore also for the continuous improvement process</li> <li>the Operational Programme and several structural funds.</li> </ul>
<b>Does this organisation provide political backing to the implementation of the policy improvement? If yes, how?</b>	Yes.

### Specific tasks and timing

Specific tasks and timing		
Task number	Task description	Timing
0.1	Conceptional development and design of improvement focus related to RRI in our policy papers/actions; searching for best possible impact realised in the context of MARIE; brainstorming and discussions in regular MARIE jour fixes	Q3 2018 – Q2 2019
0.2	“Pilot” for wider stakeholder engagement in the forum of the Waterkant Festival	Jun 2019
0.3	Definition of responsibility within the MWWATT, Dep. 30	Aug 2019
1.1	RIS3 update: Preparation of the set-up of framework for the improvement process; tender process and selection of external consultant	Sep – Nov 2019

1.1.1	Dispatch of the tender documents	Sep 2019
1.1.2	Selection and contracting of consultancy expert	Oct 2019
1.1.3	Kick-off discussion and set-up together with the consultancy expert	Nov 2019
1.2	Evaluation of RIS3, innovation systems and potentials in SH based on desk research and expert interviews by the consultancy expert	Nov 2019 – Jan 2020
1.2.1	Review of recent specialisation fields and strategic targets	Nov – Dec 2019
1.2.2	Validation of quality of the cross-innovation approach and network structures	Nov – Dec 2019
1.2.3	GAP-Analysis	Nov – Dec 2019
1.2.4	Conclusive summary of validation and SWOT	Dec 2019 – Jan 2020
2.1	ITF.SH: new quality of stakeholder engagement by precisely defined concept of the ITF.SH 2020/01 in the context of the RIS3 evaluation	Jan – Feb 2020
2.1.1	Definition of invitees for the ITF.SH 2020/01 and attraction of participants	Jan 2020
2.1.2	Preparation of event itself	Jan – Feb 2020
2.1.3	Realisation and documentation of event	Feb 2020; 1-day event
3.1	RIS update: precise definition of aspect addressed in the RIS3 2021; integration of RRI perspective	Feb – Jun 2020
3.1.1	Definition of innovation concept (respecting RRI) and impact for innovation funding by the consultancy expert	Feb – Mar 2020
3.1.2	Review of needed revision of priorities in dialogue with MWVATT	Mar – Apr 2020
3.1.3	Definition of modules for smart specialisation based on systematic exchange with innovation actors	Apr – May 2020
3.1.4	Participation workshop related to the updated priorities of the RIS3 with stakeholders from the respective sectors	Jun 2020; 0,5-day event



4.1	Finalisation of updated RIS3 and new ideas for adjusted funding mechanism with the incorporation of RRI aspects and perspectives by the consultancy expert; presentation and approval	Jun - Dec 2020
5.1	Funding mechanisms: dialogue between the MARIE team, the consultancy expert and the person in charge of the OP programme on identifying potential optimisation and ideas of improvement of the funding mechanism under the light of RRI; sequence of meetings resulting in reference document for RIS3 update	Feb – Mar 2020
6	Submission of RIS3 update to EU Commission for approval	Q4 2020
7	First “new” ITF.SH event, established with thematic cross-sector concept reaches out to the real stakeholders (ITF.SH Q1 2020 is pre-set with the RIS3 update as topic and does not follow complete the “new concept”.)	Q2 2021 + Q4 2021
8	Consistent process of to enhance existing structures in MWVATT and decision processes related to RRI; no precise agenda exists rather than the new mind-set of members of the MARIE team will be utilised to integrate proactively RRI dimensions into running activities of projects, clusters and/or administrative structures.	Q1 2020 – Q4 2021 (consistent process)

### Resources required for the development and implementation of the policy improvement

Resources for the development and implementation of policy improvement				
Type of resource	Name of resource	Associated tasks	Timeframe of use	Financial cost
Physical (e.g., facilities, buildings)	N/A			
Human (types of personnel)	Person in charge RIS		confirmed	secured
	Person in charge ITF.SH		confirmed	secured

Resources for the development and implementation of policy improvement				
Type of resource	Name of resource	Associated tasks	Timeframe of use	Financial cost
	External support		confirmed	secured
Intellectual (e.g., patents, proprietary knowledge)	Expertise regarding RIS			secured
	Expertise regarding ITF.SH			secured
	Operational support & facilitation			secured

### PESTL analysis of the external environment

PESTL analysis				
Factor type	Factor title	Description of factor	Scope (international, national, regional)	Importance
Political	Leadership	The concept of RRI have to be understood and supported from the Minister	Regional (SH)	moderate
Economic	Support instead of restriction	RRI should not result in any substantial restriction for jobs and growth	Regional	moderate
Social / cultural	Relevance	The relevance of the need of RRI have to be accepted and supported	Regional	moderate
Technological	N/A			
Legal / regulatory	N/A			

## Enablers and barriers of Action Plan development and implementation

Enablers		
Enabler title	Description of enabler	Importance of enabler and potential impact on development and implementation of policy improvement
1	Acceptance and commitment within the different levels of the MWVATT to bring the topics of RRI forward	If the staff at the MWVATT sees the importance to push RRI, more engagement could be expected, which will result in even better results
2	Pro-active support by the Minister	If there is the change to get fully support by the Minister, all activities to move forward will be more effective
3	Associated partners or stakeholders find out the added value of RRI within their working context	More actors are dealing with RRI creates more acceptance and awareness, which increases the pressure to deal with the concept actively
Barriers		
Barrier title	Description of barrier	Importance of barrier and potential impact on development and implementation of policy improvement
1	No achievement by convincing the responsible persons and the directors/minister about the need of RRI perspective	The impact and visibility of RRI in the respective contexts will be very limited
2	Flexibility of the funding system	If there are fixed requirements of project applications (for example standardized national frameworks) it can constrain the implementation of specific indicators or processes in this action.

## Transferability conditions and factors

Transferability factor		
Factor title	Description of factor	Importance of factor and potential impact on regional transferability of policy improvement
1	Concept for attraction and involvement of stakeholders	If the integration of regional actors is getting more efficient, the exchange is more direct, and the quality of involvement is increasing; support/agendas/policies will meet the demands even better
2	Added value by addressing RRI explicit in policy documents	The placement of RRI in relevant formal documents increases the pressure to focus both on own interests but also on relevant socio-ethical aspect by bringing research and innovation forward. Additionally, the relevance of the RRI mindset will be reaching a "normal status" in the validation perspective of proposed activities.
Funding sources		
Source	Description	
1	Allocated project budget provided by the MWVATT from state budgets – confirmed	

## Risks and mitigating actions

Risks and Mitigating Actions			
Title of risk	Description of risk	Level of probability (High, Medium, Low)	Description of mitigating action(s)
Policy interest does not meet RRI concept	If the strategic interests of the MWVATT contradict specific dimensions of RRI	low	Searching for alternative pathways

ITF.SH will be closed down	If the Minister decided to close down the event of the ITF.SH, no foreseen improvement could be realised within the MARIE project	low	Check if any other relevant event/workshop event intent stakeholder engagement and is willing to provide the reference event for developing and testing the concept
No dialogue is accepted from the colleagues responsible for the funding mechanisms regarding RRI	If – within their mindset – the dimension of RRI seems to be not relevant for their evaluation/improvement of funding mechanisms	low	Provide arguments and looking for additional support/advices

## Part 4: Feasibility check

### Transfer and implementation team (Internal staff members and stakeholders)

Feasibility check items	Response	Comments / details:
Have you identified what skills are necessary to design and implement this policy improvement?	YES	
Have you checked which staff members / stakeholders were involved in the original GP? Are these the same in your local context?	YES	
Have you identified who is going to work on this measure from within the partner organisation?	YES	
Have you identified the most relevant stakeholders to work on the measure from outside the partners' organisation (stakeholders)?	YES	
Have you contacted all the necessary stakeholders (internal and external) and involved them in the measure?	N/A	

Have you discussed and allocated the role of each stakeholder?	N/A	
Have you made agreements (formal / informal) with each stakeholders, defining their responsibilities and eventual compensation?	N/A	

### Technical feasibility check

Feasibility check items	Response	Comments / details:
Have you checked which facilities and equipment have been used in the original GP?	N/A	
Have you identified what kind of facilities and equipment you need according to your local context?	N/A	
Have you checked if these facilities and equipment are available either within your structure or stakeholders' structures?	N/A	
Have you prepared a list of facilities and equipment you need to buy or rent?	N/A	
Are you aware of / have you checked the necessary procedures to buy or rent these facilities and equipment?	N/A	

### Financial feasibility check

Feasibility check items	Response	Comments / details:
Have you checked the provisional budget and financing plan of the GPs considered in the proposed policy improvement?	YES	
Have you prepared a provisional budget for the policy improvement (proposed Implementation budget)?	YES	
If needed, have you contacted an expert to assess global costs of the policy improvement (Implementation budget)?	YES	in process on behalf of MWVATT (no related MARIE costs)
Have you validated the implementation budget with the transfer and implementation team?	N/A	

Feasibility check items	Response	Comments / details:
Have you identified all possible funding sources and created a financing plan?	N/A	
Have you determined cost distribution between partners and other funders?	N/A	

### Legal /regulatory feasibility check

Feasibility check items	Response	Comments / details:
Have you checked the laws and regulations (local / regional / national) that could affect implementation of the policy improvement in your policy context?	N/A	
Have you checked if the policy improvement complies with these laws and regulations?	N/A	
If needed, have you identified which adjustments have to be made to the policy improvement? Are they workable?	YES	
Have you checked if these changes lead to additional costs? What are these costs?	N/A	
If applicable, have you determined who will cover these additional costs?	N/A	
Have you checked if changes require the involvement of stakeholders that were not originally involved in the transfer and implementation team?	N/A	
Have these stakeholders been contacted and involved?	N/A	

### Political and socio-cultural feasibility check

Feasibility check items	Response	Comments / details:
Have you analysed the social / cultural / political context in which the policy improvement will be implemented?	YES	
Have you identified political risks and any necessary mitigating actions?	YES	
Have you identified social or cultural risks and any necessary mitigating actions?	YES	

Feasibility check items	Response	Comments / details:
Have you met local / regional politicians to explain and validate the project, if necessary?	YES	
Have you planned / carried out a consultation phase with interested actors (e.g. beneficiaries, companies, local politicians, civil society representatives)?	YES	

### Implementation schedule

Feasibility check items	Response	Comments / details:
Are you aware of the schedule / timing of the planning and implementation of the GPs considered in the proposed policy improvement?	YES	
Have you set deadlines for the planning of the policy improvement with the transfer and implementation team?	YES	
Have you built a schedule of implementation actions?	YES	
Have you planned meetings of the transfer and implementation team?	N/A	
Have you checked if there are any political constraints to take into account in the schedule?	N/A	
Have you checked if there are any other significant events that could have an impact (positive or negative) on the implementation of the policy improvement?	N/A	

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