

Multi-Level-Implementation Scheme RIS3 Schleswig-Holstein

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Among other issues, the INTERREG project Smart Blue Regions aims in comparing and monitoring the RIS3 processes in its partner regions. The related project activity was intended to result in Multi-Level-Implementation Schemes for all participating regions (except Skåne), based on regional best practice cases. The project outcomes revealed that basic preconditions differ so much between the regions that a one size fits all approach is not realistic. However, it is worth presenting different regional schemes, to learn about special characteristics and possible solutions approved in practice.

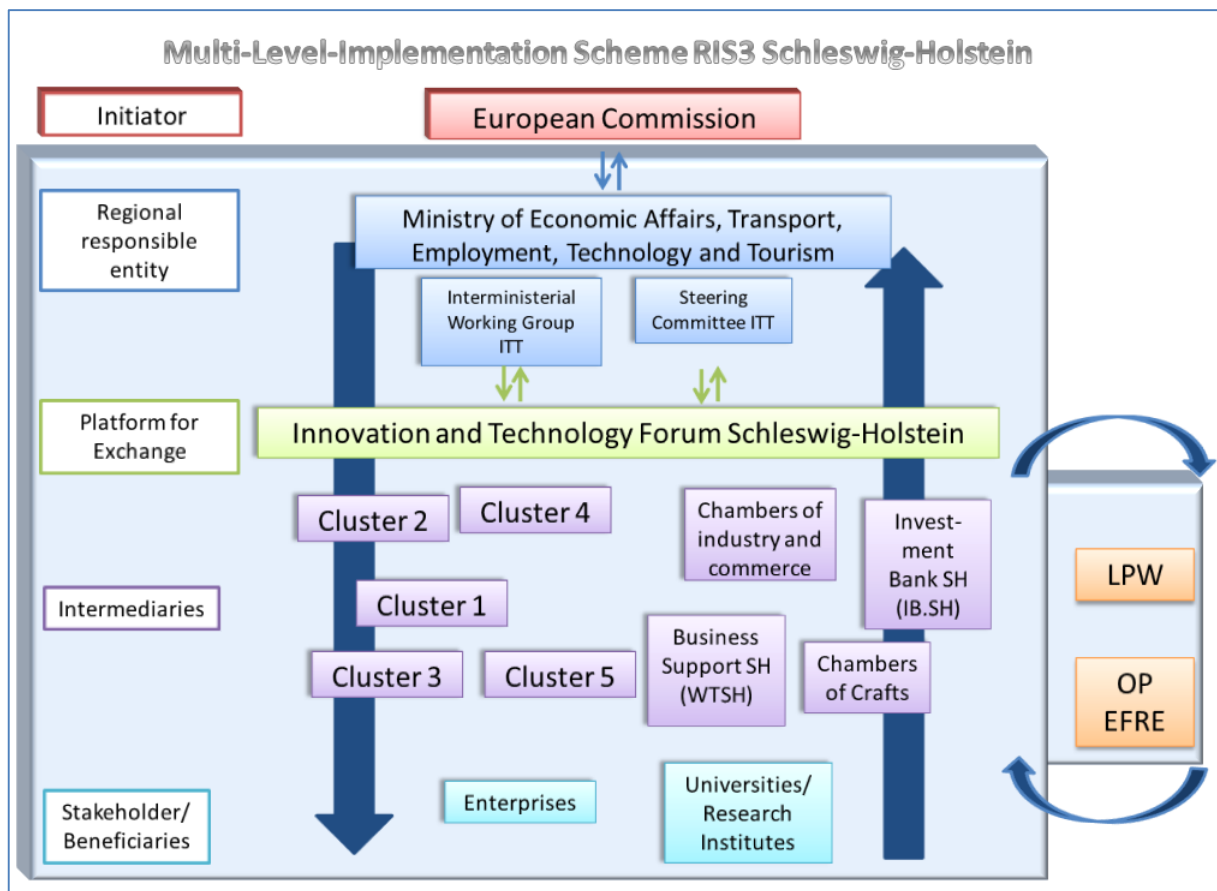


Figure 1: Multi-Level-Implementation Scheme RIS3 Schleswig-Holstein

The Multi-Level-Implementation Scheme (MuLIS) of the RIS3 Schleswig-Holstein covers four main levels (see fig. 1). The first level is the regional responsible entity, represented by the Ministry of Economic Affairs, Transport, Employment, Technology and Tourism (MWWATT). An interministerial working group for Innovation and Technology Transfer as well as a Steering Committee has been established by the MWWATT to accompany the RIS3 process and to prepare, carry out and follow up on the Innovation and Technology Forum, which is the second level of the MuLIS. The forum is a platform for exchange, taking place twice a year. The third level is comprised of different



intermediaries such as the clusters of Schleswig-Holstein, the Chambers of Industry and Commerce, the Investment Bank Schleswig-Holstein (IB.SH), the Business Development and Technology Transfer Corporation of Schleswig-Holstein (WTSH) as well as the Chambers of Crafts. The fourth level includes all stakeholders and beneficiaries of the RIS3 process in Schleswig-Holstein. Two groups of actors should be named in this context, the enterprises as well as the universities and research institutes.

In the following report I will present the different levels of the Multi-Level-Implementation Scheme in more detail and explain the interaction between the different levels. The role of the European Commission as the initiator of the RIS3 process will be explained as well as the connection between RIS3 and the OP ERDF respectively the Landesprogramm Wirtschaft (LPW; engl. *State programme for economy*). Last but not least, the RIS3 process, which passes through the different levels in form of waves, will be explained.

Regional responsible entity

The highest level of the MuLIS in Schleswig-Holstein is the regional responsible entity, which is the Ministry of Economic Affairs, Transport, Employment, Technology and Tourism (M WVATT). The senior advisor, responsible for the development, implementation and evaluation of the RIS3 is assigned to the department of Technology. To develop the first RIS3 for Schleswig-Holstein, the consulting company Prognos AG in cooperation with the Centre for Regional and Innovation Economics at the University of Bremen was contracted by the M WVATT. For the evaluation and updating of the RIS3, the M WVATT intends to tender another contract to an independent external expert. For the meantime, two bodies have been established to keep the progress ongoing: an interministerial working group for Innovation and Technology as well as a steering committee.

The steering committee is led by the respective state secretaries of the M WVATT and the Ministry of Education, Science and Cultural Affairs (M BWK). In addition, selected persons representing different stakeholder groups are among the members of the steering committee. The business office of the steering committee is attached to the thematically leading unit at the M WVATT. The steering committee is the central steering unit, coordinating and steering the Innovation and Technology Forum Schleswig-Holstein (ITF.SH). Additionally, the steering committee represents the steering structure of the modern governance approach, anchored in the RIS3. The tasks of the committee are the following: 1. Intensifying the interlinkage of science, economy, politics and administration; 2. Enhancing solution-oriented cooperation between the different stakeholder groups; 3. Improving information and knowledge transfer into and out of the stakeholder groups; 4. Developing participatory policy approaches; 5. Analysing barriers of innovation; 6. Giving feedback concerning solutions towards the different stakeholder groups, using crowd intelligence; 7. Successful steering of



all work processes on different levels; 8. Preparing and wrapping-up the Innovation and Technology Forum; 9. Legitimizing and steering the interministerial working group.

The interministerial working group is made up of representatives from several thematically relevant units in the MWVATT, the MBWK and the Ministry of Energy, Agriculture, the Environment, Nature and Digitalization (MELUND) as well as from the Business Development and Technology Transfer Corporation of Schleswig-Holstein (WTSH) and the Investment Bank Schleswig-Holstein (IB.SH). Depending on the topic to be discussed, appropriate guests are invited. The interministerial working group is the central working structure to implement the orders given by the steering committee. The working group meets as needed, however at least once in a quarter. The main tasks of the working group include 1. Improving solution-oriented cooperation between different ministries; 2. Enhancing transparency with regard to innovation, technology and technology transfer policy between the ministries and among different levels of administration; 3. Processing the results of the ITF.SH to be approved by the steering committee; 4. Implementing orders of the steering committee and reporting.

Platform for Exchange

The Innovation and Technology Forum Schleswig-Holstein (ITF.SH) is an event format, intended to take place twice a year. The ITF.SH is jointly organised by the ministries for economic affairs and science. The forum addresses a great variety of participants with different backgrounds, interested in shaping the innovation process in Schleswig-Holstein. The majority of the participants are from universities, universities of applied sciences, research institutes and different intermediaries. Enterprises are invited as well but do not participate as numerous as expected and desired by the organisers. The main aims pursued with this event include: 1. Improving the visibility of the science, technology and business location Schleswig-Holstein; 2. Enhancing networking of actors from science, business, politics and administration; 3. Enabling the exchange on cross-topics and presenting as well as discussing ideas related to innovation, technology and technology transfer; 4. Giving all participants the possibility to engage in regional innovation politics.

So far, three events of this kind took place. The first forum was held in Kiel in the parliament building on September 19th, 2016. The topic of this first forum was “Technology and knowledge transfer as a key for innovative products and smart specialisation”. The event combined a small exhibition for intermediaries and stakeholders/ beneficiaries to present themselves, some presentations, a block of parallel workshops and time for networking. The workshops in form of world café rounds dealt with topics such as “networking between science and business”, “challenges and new methods in technology and knowledge transfer”, “financing innovative ideas” and “learning from best practice cases outside Schleswig-Holstein”.



The 2nd forum was titled “From the original idea towards a successful business: financing of company growth and innovative ideas” and took place at the Kiel Centre for Innovation and Technology (KITZ) on February 16th, 2017. Besides a small fair for stakeholders from the financing sector, this forum was exclusively based on presentations with lots of time for networking and discussions in between and afterwards. The topic of successful business start-ups was highlighted from different perspectives. The Microsoft Accelerator programme for start-ups was presented as well as success factors developed by the Institute for Innovation Studies at the Christian-Albrechts-University Kiel. Successful entrepreneurs and experts from the financing sector shared first-hand information about their experiences with the participants.

The 3rd forum took place at the University of Lübeck on May 2nd, 2018. The chosen topic for this event was “Cross-Innovations versus Specialisation – Where is the key for successful business?” The forum started with five short keynote speeches covering different cross-innovation topics such as nanotechnology, digitalisation, creative industry, tourism and integrated energy. The second part of the event was organised in form of five parallel workshops representing the five specialisation fields of Schleswig-Holstein: maritime economy, life sciences, food industry, renewable energy as well as information & communication technology, media. During the workshop sessions, the following questions were discussed: Do the five specialisation fields cover the strengths of Schleswig-Holstein in an appropriate way? Which aspects within the specialisation fields need more attention? Which topics could be fruitful fields of cross-innovation, connecting different specialisation fields? After the workshop sessions there was time for the participants to network and discuss the results.

Intermediaries

The group of intermediaries represents an important level for the RIS3 implementation, especially in the context of communication between the regional responsible entity and the multitude of stakeholders/ beneficiaries. In Schleswig-Holstein, five cluster organisations are established, representing the five specialisation fields. A sixth cluster exists for the tourism sector. However, as this one is not related to any specialisation field named in the RIS3, this cluster is left out in the presented MuLIS. The clusters are financed from different sources, however they are connected by one cluster agency, coordinating the implementation of the cluster policy in Schleswig-Holstein and enhancing the exchange between all six cluster organisations. The cluster organisations with their cluster and project managers and assistants are important contact points to address the actors within the specialisation fields. The employees of the cluster organisations are on one hand in constant contact to their members and know about challenges and trends within their field and are on the other hand well connected with the regional administration. Therefore they are valuable contact persons for both sides and constitute an important connecting element within the MuLIS.

Besides the cluster organisations, other institutions like the Chambers of Industry and Commerce, the Investment Bank Schleswig-Holstein, the Business Development and Technology Transfer Corporation of Schleswig-Holstein (WTSH) as well as the Chambers of Crafts do play a role as intermediaries in the RIS3 process. Their task is primarily to advise enterprises in terms of financing, innovation and development. Same as the cluster organisations, the employees of those institutions are in constant exchange with their customers as well as with the ministry, which makes them important interfaces as well as active stakeholders in the RIS3 process.

However, intermediaries are not only the contact point between the ministry and the stakeholders, together with the MWVATT the intermediaries are able to influence and foster the innovation process. Therefore, their employees should understand the concept of smart specialisation, the rationale behind the RIS3 process in general and the aims of the RIS3 in Schleswig-Holstein. With their knowledge, connections, insights and advisory capacity, they are predestined to cooperate with the regional responsible entity to guide the process.

Stakeholders/ Beneficiaries

Two groups of stakeholders or beneficiaries are addressed in the RIS3 process. The first group consists of enterprises. Enterprises are the core of the regional economy. In Schleswig-Holstein, 96.4%¹ of all companies are small enterprises with less than 50 employees. Those firms are primarily focused on their own business, its development and success. However, to compete in a global environment, enterprises increasingly need to cooperate and to exchange with others. Cluster organisations support them to connect with suitable partners. In addition, small enterprises need support and advice from other intermediaries for instance in terms of funding possibilities. However, even though enterprises benefit from an innovative environment and a successful economic development in Schleswig-Holstein, most of them are not interested in the RIS3 process as such. Nevertheless, it is important to get those stakeholders on board. To guarantee a successful innovation policy it is essential to know their needs, their challenges and ideas. Integrating them in an appropriate way seems to be one of the most difficult tasks in the RIS3 process.

The second group of stakeholders/ beneficiaries are universities, universities of applied sciences and research institutes in Schleswig-Holstein. They are important suppliers for basic and applied research and thus central actors in the innovation system. There still is a gap between research results and its usability for enterprises. Improving technology and knowledge transfer as well as a close exchange of research and business are thus highly important. In contrast to most small enterprises in Schleswig-Holstein, the science sector established departments for technology transfer, attending different events and representing the opinion, wishes and needs of their institutions. However, a direct contact between scientists and entrepreneurs is still challenging.

¹ RIS3 SH



Initiator

The RIS3 process in Schleswig-Holstein was initiated based on a requirement by the European Commission. The RIS3 document had to be provided by the regions as ex ante conditionality to use ERDF funds for supporting innovation projects in the programme period 2014-2020. The RIS3 process is based on the concept of smart specialisation, including an evidence-based strategy development, an entrepreneurial discovery process, the uptake of a global perspective in the context of regional competitive advantages, the consideration of existing knowledge and technologies, by setting priorities for regional specialisation in related sectors, and by focusing on cross-innovations and the accumulation of a critical mass of competences. The development of the RIS3 document is supposed to be based on a regional SWOT analysis (strengths, weaknesses, opportunities, threats). The European Commission gave instructions and guidelines for the process, to be carried out by the regional responsible entities. The developed RIS3 documents as well as all updates have to be sent to the Commission for information and approval.

OP-ERDF/ LPW

The RIS3 Schleswig-Holstein contains different aims and visions, but no specific measures to implement them. As an ex ante conditionality, the RIS3 is connected with the operational programme of the ERDF funding as well as with the overarching state programme for economy (LPW). To guarantee consistence it is important to update changes in one document also in the other one. The RIS3 responsible person and the managing authority for the OP ERDF are assigned to different departments of the MWVATT. Parallel processes are not always feasible.

The OP ERDF indicates different measures available for funding to implement the aims and visions described in the RIS3. However, no specific measures for the different specialisation fields are listed. In contrast, measures described in the OP ERDF are general and open for all sectors. Only the RIS3 specifies which fields are eligible in terms of innovation projects. Other priority axes of the operational programme are not influenced by the RIS3.

Interaction – the RIS3 process in Schleswig-Holstein

The RIS3 process can be described as a wave-like process (see fig. 2). The starting point of the process was the decision of the European Commission to request RIS3 documents as an ex ante conditionality for ERDF innovation funding in the program period 2014-2020 (and probably in the following periods). This idea was based on the concept of smart specialisation, introduced by Dominique Foray and his working group at the École Polytechnique Fédérale de Lausanne to the European Commission. The main intention behind this concept is to focus funding for innovation projects on some cautiously chosen specialisation fields. Those specialisation fields are supposed to reflect the innovative potential of the region as well as regional comparative advantages. In addition, those specialisation fields, elaborated within a participatory entrepreneurial discovery process, should show related variety among themselves. That means that cross-innovations including several

specialisation fields should be realistic and probable. The idea was transformed in an ex ante conditionality for all regions wanting to receive ERDF funding for innovation projects. The regions had to nominate a regional responsible entity. In the case of Schleswig-Holstein, the MWVATT was chosen.

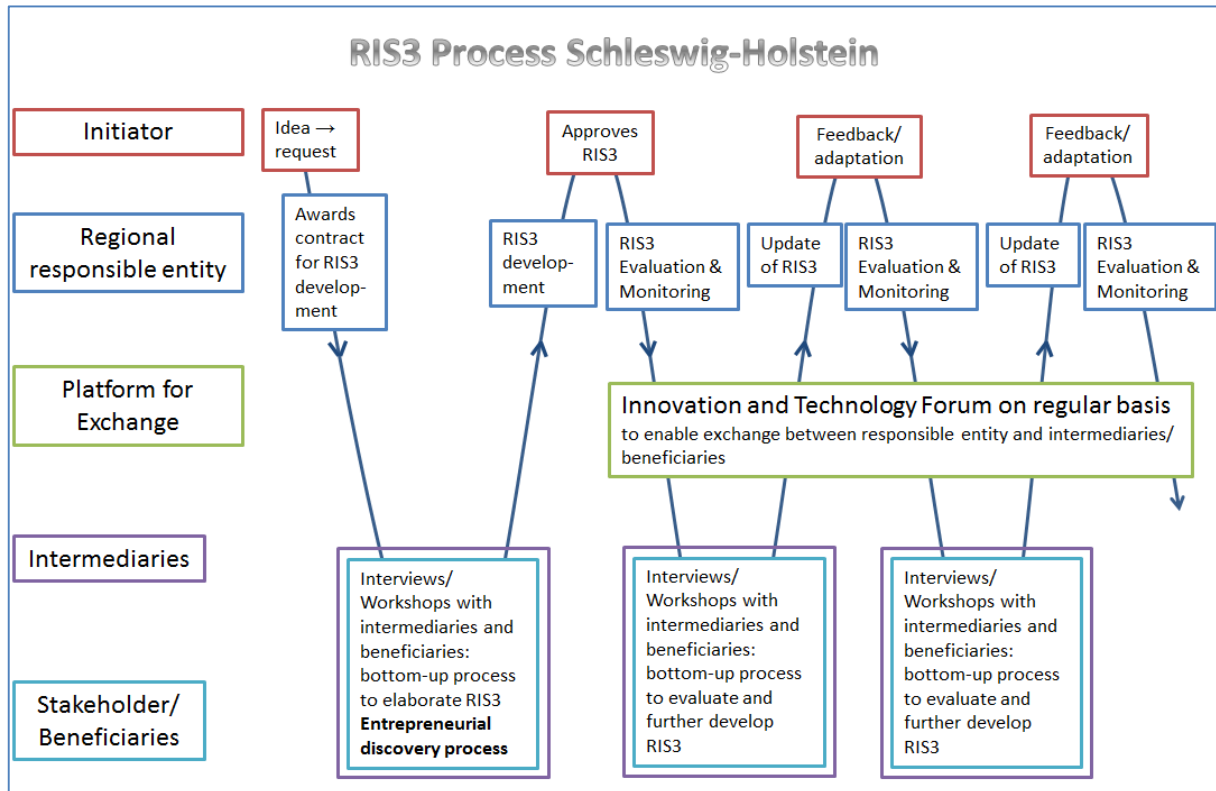


Figure 2: RIS3 Process Schleswig-Holstein

Being responsible to put the RIS3 in place, the MWVATT commissioned Prognos to carry out the required process and to develop the strategy in cooperation with the Centre for Regional and Innovation Economics at the University of Bremen. Prognos organised a workshop, inviting all related intermediaries and stakeholders/ beneficiaries. In addition, interviews were conducted with actors of the innovation system in Schleswig-Holstein. After the SWOT analysis, the workshops and interviews, Prognos elaborated the current RIS3 document together with the ministry. The strategy was then presented to the European Commission and accepted. On December 10th 2013, the cabinet of Schleswig-Holstein approved the innovation strategy (RIS3). It came into force just in time for the start of the new ERDF funding period 2014-2020.

However, the RIS3 is not intended to be a static document. The idea and thus the requirements of the European Commission earmark a permanent stakeholder process of monitoring and evaluation. For this reason the Innovation and Technology Forum Schleswig-Holstein (ITF.SH) was initiated. The event is organised, carried out and wrapped-up by the Interministerial Working Group ITT and the Steering Committee, both set in place by the MWVATT. The majority of the participants of this forum are stakeholders/ beneficiaries as well as intermediaries. The aim is to inform those actors but also to



learn from them in workshops, how to improve the RIS3 and its implementation. The ITF.SH takes place on a regular basis. It is meant to be a monitoring tool for the RIS3. Results from the workshops are then included in the formal evaluation of the RIS3 and are taken into account when updating the RIS3. This process of monitoring, evaluating and updating is an ongoing, open process including all levels of the MuLI. The European Commission receives feedback from the regions, to adapt their requirements. Furthermore, all updated strategies have to be approved by the Commission.