



Regional Action Plan for Saxony-Anhalt

Created within the framework of the "Beyond EDP - Improve the RIS3 effectiveness through the management of the entrepreneurial discovery process (EDP)" project funded by the EU in the INTERREG Europe programme.

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Part 1: General Information about the Project

I Project-related Information:

Project:	PGI00048 Beyond EDP: Improve the RIS3 effectiveness through the management of the entrepreneurial discovery process (EDP)
Partner organisations:	Otto von Guericke University Magdeburg
Affected area:	Saxony-Anhalt
Country:	Germany
NUTS 2 region:	DEE0 (Germany, Saxony Anhalt)
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II Political context:

The objectives of the Action Plan are:	<input type="checkbox"/> Investment programmes to create economic growth and jobs <input type="checkbox"/> Programmes to promote European territorial collaboration <input checked="" type="checkbox"/> Other regional development policy instruments
Name of the policy instrument referred to:	Regional Innovation Strategy Saxony-Anhalt (RIS3 Saxony-Anhalt)
Further details on the policy context and the extent to which the Action Plan should contribute to improving the policy instrument:	This can be found in the description of each action.

Part 2: Introduction and Overview of the Planned Actions

The European Commission's **Europe 2020 Strategy** sets targets for the direction Europe should take by 2020 in the fields of employment, research and innovation, climate protection and energy, education and poverty reduction. Its objective is the promotion of a smart, sustainable and inclusive growth economy.¹ The European regions have an important role to play in this context, as they provide the space for the emergence of new innovations.²

In light of this objective, the "Beyond EDP" project, which is funded by the EU under the Interreg Europe programme, examines the content and policies for implementing the Regional Innovation Strategies for Smart Specialisation (RIS3), taking into account the **Entrepreneurial Discovery Process (EDP)** within the partner regions.³

The regional innovation strategies are based on the concept of "smart specialisation". Regional strengths are identified so that they can be promoted and expanded. In the current Structural Funds funding period, the regional innovation strategies represented the ex-ante conditionality for the establishment of an operational programme for the European Regional Development Fund (ERDF).⁴ "An important element in the prioritisation [of funding] is a stakeholder process, which gives all participants the opportunity to participate".⁵ The core of this stakeholder process is the EDP. The EDP is also a continuous process that promotes the regional development of new ideas and innovations through the interaction of business, science and other stakeholders. The EDP unites methods and practices that bring together policy makers, researchers, entrepreneurs and society to identify new ideas and technologies and promote innovation.

The aim of the Beyond EDP project is to use the EDP to identify regional strengths and potential gaps, and ultimately to increase the potential of using funding from EU Structural and Investment Funds (ESIF).

Phase 1 of the project initially provided for an *interregional dialogue* between the respective project partners to get to know the diversity of the structure of the RIS3 and EDP processes. Based on the knowledge gained, actions for the own region will be derived, implemented and evaluated in **Phase 2** by *applying examples of good practices identified* which will be transferred to the own region. The outcome of phase 1 and thus the starting point for phase 2 is an *Action Plan*. This is a document that translates the findings from the project meetings into regionally-specific contexts and sets out concrete implementation and monitoring steps for the elaboration of Phase 2.

On this basis, this document presents a customised **Action Plan** for the German state of Saxony-Anhalt. The RIS3 Saxony-Anhalt is the political instrument of Saxony-Anhalt, which is to be revitalised in the context of the project through the use or improvement of EDP management.

RIS3 Saxony-Anhalt distinguishes between five **lead markets** and three cross-sectional areas, which have been defined as important lead and growth markets on the basis of regional strengths in science and industry.⁶ These have a key function for the stakeholder process. One of the challenges in implementing the objectives of RIS3 Saxony-Anhalt is how to ensure sustainable governance structures to create an open, continuous and interactive bottom-up stakeholder process. This is necessary to account for the needs of all stakeholders such as business, science, politics and civil society

¹ See EU Commission, Commission Communication COM(2010) 2020 final, 03.03.2010, EUROPA 2020: A strategy for smart, sustainable and inclusive growth, p. 3.

² See Foray/Hall, 2011, Smart Specialization, cited by Klaus Detterbeck, Framework Document: Based on existing EDP Analyses and Regions' Experiences, 2018 (updated version), p.3.

³ See Research Portal Saxony-Anhalt, Projects: Beyond EDP, Improve the RIS3 effectiveness through the management of the entrepreneurial discovery process (EDP), URL: <https://forschung-sachsen-anhalt.de/project/beyond-edp-improve-ris-effectiveness-20041> [last accessed on: 11/01/2019].

⁴ See European Commission, National/Regional Innovation Strategies for Smart Specialisation (RIS3), 2014, URL: https://ec.europa.eu/regional_policy/sources/docgener/informat/2014/smart_specialisation_en.pdf [last accessed on: 11/01/2019].

⁵ Quoted from Research Portal Saxony-Anhalt, Projects: Beyond EDP, Improve the RIS3 effectiveness through the management of the entrepreneurial discovery process (EDP), URL: <https://forschung-sachsen-anhalt.de/project/beyond-edp-improve-ris-effectiveness-20041> [last accessed on: 11/01/2019].

⁶ See Saxony-Anhalt Ministry of Science and Economics Regional Innovation Strategy for Saxony-Anhalt 2014-2020, 2014, p. 8.

(paraphrased as the "**quadruple helix (Q4 Helix)**"⁷) and to develop innovations to strengthen the economy and science, with a particular focus on SMEs.⁸

The Action Plan serves as a building block for achieving these objectives. As a region-specific approach, it focuses on further developing existing strengths in EDP management and closing possible gaps, which requires concrete implementation steps.

The Action Plan sets out two actions, which address the transformation of political processes in support of innovative ideas in Saxony-Anhalt, whereby it should be noted that they have been selected from a larger number of potential actions. The selected actions are based on the following criteria:

The common feature of all actions is a specific connection to RIS3 Saxony-Anhalt. The respective orientation of the planned actions correlates to a corresponding guideline in RIS3 Saxony-Anhalt. In addition, they take account of the "quadruple helix" approach. At the same time, the actions differ in terms of their territorial orientation or dimensions (transregional, regional, local).

 **Action 1** is divided into three sub-actions:

Sub-Action 1a deals with the governance structures of the lead markets, which represent the five most important economic focal points in Saxony-Anhalt. It is a proposal for a review of the composition of the stakeholder groups in at least one chosen lead market and considers a combination of the lead markets among themselves and with the cross-sectional fields. The objective of this action is to establish a transparent stakeholder process by systematically involving all stakeholders in the work process of the lead markets.

In sub-Action 1b lead market work is transferred to a supra-regional dimension. This is intended to promote transregional cooperation, improve competitiveness and promote international networking. The lead markets are to play a key role in this context by giving the lead market work of at least one selected lead market a supra-regional character within the framework of cooperation with the Saxony-Anhalt state representation in Brussels.

The supplementary sub-Action 1c deals with project ideas of relevance to RIS3 but, which cannot be covered by the current funding programmes at the European, national and regional level. The Action Plan identifies a number of possible solutions. In addition, it highlights possible awareness-raising measures with regard to the interlinking of European Structural and Investment Funds and resources from other European funding instruments. Furthermore, the Action Plan is intended as a means of establishing a dialogue between science and business on lead market-related topics.

 **Action 2** of the Action Plan is aimed at the identification of possibilities for the implementation of RIS3 Saxony-Anhalt in rural areas based on the LEADER/CLLD approach. The action addresses this multi-level concept in the context of EDP management. It is based on the LEADER/CLLD approach, which is well established in Saxony-Anhalt. The further developed "Smart LEADER/CLLD" approach - as a tool to support the actions undertaken by the local population - is a combination of a new methodology to promote innovation and project ideas for local development.

The Action Plan was authored by the Otto von Guericke University Magdeburg, which represents the Saxony-Anhalt region in the project in close cooperation with the Ministry of Economy, Science and Digitalisation. The implementation of the proposed actions requires close collaboration with the relevant stakeholders affected by the respective measures within Saxony-Anhalt.

The submission of the Action Plan requires the co-signature of an authority responsible for the state of Saxony-Anhalt, in particular the Managing Authority ERDF/ESF and the Ministry of Economy, Science and Digitalisation, and the document needs to be validated by these authorities as a sign of agreement with the proposed measures for the remaining project period 04/2019 - 03/2021.

⁷ See Klaus Detterbeck, Framework Document: Based on existing EDP Analyses and Regions' Experiences, 2018 (updated version), p. 10.

⁸ See Interreg application, B.2.9 Policy instrument 9, 2016, p. 32.

Part 3: Detailed Description of the Planned Actions

Inspired by the tools used in project management, the approach taken in this Action Plan is based on a total of five principles, which can be described by the acronym SMART and are defined for this Action Plan as follows:

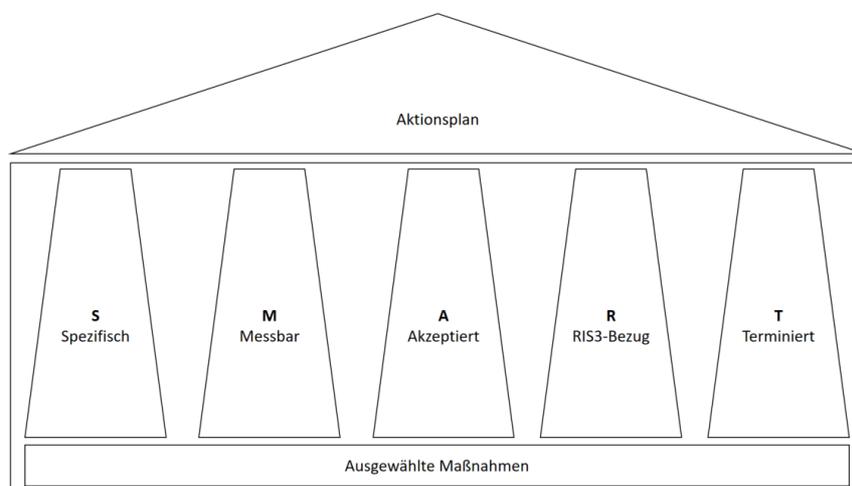


Fig. 1: Principles of the Saxony-Anhalt Action Plan, proprietary presentation.

The applicable principles can be described in detail as follows:

	S – Specific	The Action Plan is region-specific for Saxony-Anhalt (place-based concept) and contains comprehensible and concrete objectives for the <i>implementation</i> of the actions.
	M – Measurable	The objectives of the actions must be measurable so that they can be evaluated (quantitatively and/or qualitatively) by using <i>indicators</i> .
	A – Accepted	The Action Plan is intended to represent a <i>holistic approach</i> of the region and therefore requires validation by the Managing Authority and the Ministry of Economy, Science and Digitalisation of Saxony-Anhalt as a sign of agreement with the planned actions.
	R – RIS3 related	Saxony-Anhalt is represented as a project partner in the "Beyond EDP" project, which examines the content and implementation of the RIS3 with due consideration to the Entrepreneurial Discovery Process (EDP). The <i>starting point</i> of the Action Plan is <i>RIS3 Saxony-Anhalt as a political instrument</i> .
	T – Terminated	The actions set out in the Action Plan will be implemented between 04/2019 and 03/2021, thus, within a <i>limited timeframe</i> .

Whereby these principles can be understood as a framework for the elaboration and implementation of the Action Plan. The following sections describe in detail how the planned actions can be implemented step-by-step in the remaining project period, taking particular account of the background specific to each action, the planned implementation - including concrete implementation steps and timeframe - as well as the stakeholders likely to be involved in the actions.

1 Action 1

Action 1a – Analysis and review of lead market structures using selected lead markets in Saxony-Anhalt as examples

Action 1a deals with the governance structures of the lead markets, which represent the five most important economic focal points in Saxony-Anhalt. It submits a proposal in which the composition of the stakeholder groups of at least one selected lead market is examined and a combination of the lead markets with each other, with the cross-sectional fields and the inclusion of new elements is considered.

Objective of Action 1a

Against the background of the EDP understanding regarding stakeholder involvement acquired during the project, the transfer of the governance structures already practised in Sweden (known as matrix in the project) should enable an open, interactive and continuous stakeholder process at regional level in order to contribute to the improvement of EDP management.

Background of Action 1a

Policy context and intended improvement of the policy instrument

The RIS3 Saxony-Anhalt 2014-2020 was adopted by the state government in February 2014. It is based on preliminary considerations aimed at promoting innovation and ensuring competitiveness. The RIS3 Saxony-Anhalt itself was created in the context of an intensive consultation process involving stakeholders from business, science, politics and civil society.⁹

By participating in the "Beyond EDP" project, the aim is to improve governance structures within the so-called lead markets and to further develop them. The aim is to investigate how sustainable governance structures can contribute to the creation of an open, continuous and interactive bottom-up stakeholder process. Small and medium-sized enterprises (SMEs) will be given special consideration, as Saxony-Anhalt's economic structure is dominated by SMEs.¹⁰

This in turn would contribute to the optimisation of the EDP management in Saxony-Anhalt. The overarching goals are to promote innovation and strengthen the economy and science to exploit the potential of the Saxony-Anhalt region.¹¹

In order to exploit this potential, RIS3 Saxony-Anhalt is a "lead market-oriented innovation strategy"¹². Against the background of smart specialisation¹³, five lead markets were defined in RIS3 Saxony-Anhalt as future-oriented growth markets on the basis of regional core competencies in the fields of business and science:¹⁴

- (1) Energy, Engineering and Plant Construction, Resource Efficiency
- (2) Health and Medicine
- (3) Mobility and Logistics
- (4) Chemistry and Bioeconomy
- (5) Food and Agriculture

⁹ See Interreg Europe, RIS3 in Saxony-Anhalt, URL: <https://www.interregeurope.eu/beyondedp/news/news-article/1785/ris3-in-saxony-anhalt/> [last accessed on: 28/01/2019].

¹⁰ See Interreg application, B.2.9 Policy instrument 9, 2016, p. 32; Saxony-Anhalt Ministry of Science and Economics Regional Innovation Strategy for Saxony-Anhalt 2014-2020, 2014, p. 15.

¹¹ See Interreg application, B.2.9 Policy instrument 9, 2016, p. 32.

¹² Quoted from Saxony-Anhalt Ministry of Science and Economics Regional Innovation Strategy for Saxony-Anhalt 2014-2020, 2014, p. 22.

¹³ See European Commission, National/Regional Innovation Strategies for Smart Specialisation (RIS3), 2014, URL: https://ec.europa.eu/regional_policy/sources/docgener/informat/2014/smart_specialisation_en.pdf [last accessed on: 11/01/2019].

¹⁴ See Saxony-Anhalt Ministry of Science and Economics Regional Innovation Strategy for Saxony-Anhalt 2014-2020 (abridged version), 2014, p. 7.

Three flanking cross-sectional fields are also included:¹⁵

- (1) Information and Communication Technologies (ICT)
- (2) Key technologies such as Nanotechnology and Microtechnology
- (3) Creative Industry

Type of Action

Within the INTERREG programme, three types are distinguished as an expression of an improvement of a policy instrument, which may overlap:¹⁶

- Type 1: Implementation of new projects
- Type 2: Change in the management of the policy instrument
- Type 3: Change in the strategic focus of policy instrument

In view of the intended optimisation of the governance structures of the lead markets in Saxony-Anhalt as a contribution to an improvement of the EDP management, Type 2 *Change in the management of the policy instrument* will initially be pursued.

Insights gained from the project and basis of the action

To contribute to the improvement of the EDP management, the "Beyond EDP" project serves as an inspiration and starting point for possible optimisation approaches.

At the start of the joint cooperation, the Otto von Guericke University Magdeburg drew on the relevant literature and previous findings of the project partners to draw up a "framework document" as a theoretical and conceptual approach to a common understanding of the EDP.

As the stakeholder process is an important part of this, the considerations focused on possible approaches to stakeholder involvement. To this end, the Q4 Helix was highlighted as an approach, and gained in importance as the project progressed. According to this approach, the involvement and interaction of a wide range of stakeholders from different fields is required including science, business, politics and civil society.¹⁷

Accordingly, the framework document drawn up within the EDP project represents an important milestone for the present Action Plan.

In addition, the project meetings held in the respective regions during Phase 1 of the project provided an exchange of previous experience and good practice examples. The findings of the interregional learning process will be used to derive appropriate measures for the region in question.

Following the project meeting in Östergötland (SE), the Swedish good practice example of the collaboration model (matrix governance structure) is to be transferred to the own region as part of Action 1a.

The Östergötland region stands for expertise in communication technologies, electronics, software applications and aerospace. Large, internationally active as well as small and medium-sized enterprises shape the regional economy.

To strengthen the innovation potential of the region, a Regional Innovation Strategy has been established by the East Sweden Business Region (ESBR). The ESBR represents a common platform for all stakeholders in the region, whose aim is to promote an attractive, competitive industry with high growth potential. A so-called collaboration model was developed to improve cooperation between the stakeholders. As an integrative bottom-up process, the basic concept of the collaboration model is to involve permanent focus groups that correspond to a consciously defined composition (see Figures 2 and 3). The focus groups each consist of five to ten members representing business, science, politics and civil society.

¹⁵ See Saxony-Anhalt Ministry of Science and Economics Regional Innovation Strategy for Saxony-Anhalt 2014-2020 (abridged version), 2014, p. 7.

¹⁶ See Interreg Europe, Interreg Europe Programme Manual, 2018 (updated version 5), p. 52ff. .

¹⁷ See Klaus Detterbeck, Framework Document: Based on existing EDP Analyses and Regions' Experiences, 2018 (updated version), p. 10.

Overall goal hierarchy for ESBR

EDST
SWEDEN
BUSINESS REGION

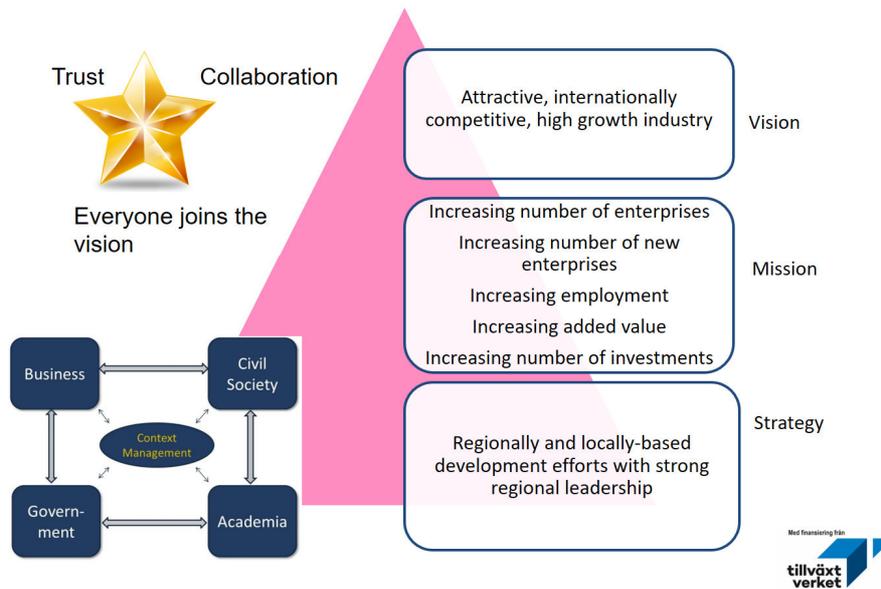


Fig. 2: Representation of the stakeholders in the collaboration model developed by ESBR, excerpt from the PowerPoint presentation by Mattias Flodström from 27.06.2017.

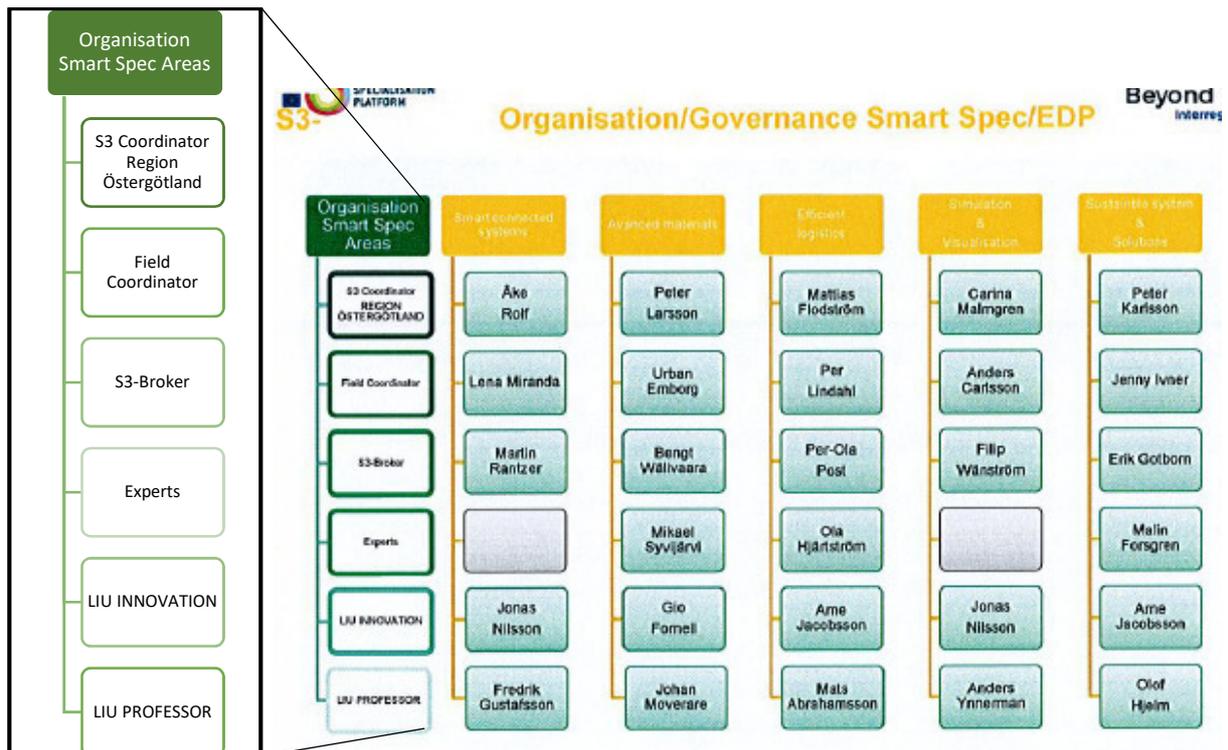


Fig. 3: Representation of the matrix in the collaboration model developed by ESBR, supplemented excerpt from the PowerPoint presentation by Mattias Flodström from 27.06.2017.

In the context of the Action Plan, this Swedish example of good practice provides a starting point and consideration for an action tailored to Saxony-Anhalt. The lead markets currently have specific and divergent structures. Consequently, an analysis of the actual state of these existing structures and the stakeholder constellation within the lead markets is required first. Lead market-specific considerations for the transfer of individual elements of the good practice example will then be derived from these

findings. The aim is to build upon existing structures within Saxony-Anhalt and to transfer individual elements, such as the intended integration of Q4 Helix stakeholders from business, science, politics and civil society, to specific lead markets on the basis of the good practice example.

Steps for the implementation and timeframe

Planned implementation

The planned implementation of Action 1a can be found in the table. The table summarises all of the individual implementation steps and outlines the timeframe.

It should be noted at the outset that the timetable may be subject to change (if necessary).

Action 1a	Steps towards implementation	'19	'20				'21	
Analysis and review of lead market structures using selected lead markets in Saxony-Anhalt as examples	1 Selection of at least one suitable lead market	II						
	2 Analysis of existing structures within the lead market (actual state analysis)	II						
	3 Practical implementation of the adapted good practice example within the lead market structures		III	IV	I	II	III	
	4 Evaluation and Monitoring			IV	I	II	III	IV

Steps towards implementation

1	2019			2020				2021
Selection of at least one suitable lead market	II							

Quarter II 2019:

Approach	<p>Preliminary analysis</p> <p>Preliminary discussions with the five lead market responsible persons</p> <p>Raising the awareness of those responsible of the involvement of stakeholders according to the Q4 Helix (consideration of the spheres of business, science, politics and civil society)</p> <p>Submission of a proposal for the concrete adoption of the good practice example tailored to Saxony-Anhalt</p>
Output	<p>⇒ Decision: joint identification of suitable lead market(s)</p> <p>⇒ Selection of a variant for the transfer of the good practice example to Saxony-Anhalt</p>

2	2019			2020				2021
Analysis of existing structures within the lead market (actual state analysis)	II							

Quarter II 2019:

Approach	<p>Gain an overview of the current structures in the selected lead market(s)</p> <p>Anonymous evaluation and analysis of the previous participant lists</p> <p>Submission of a proposal for selected indicators</p> <p>Joint definition of indicators</p>
Output	<p>⇒ Identification of governance structures in lead markets</p> <p>⇒ Decision: Selection of the lead market structures chosen for practical implementation, taking into account the Q4 Helix (determination of the area of application)</p>

3	2019		2020				2021
Practical implementation of the adapted good practice example within the lead market structures		III	IV	I	II	III	

Quarter III 2019 – Quarter III 2020:

Approach	<p>Observer role during selected lead market meetings</p> <p>Examination of the practice of the lead market structures derived from the good practice example in Saxony-Anhalt (on the basis of participant lists and interviews)</p> <p>Regular monitoring workshops with the lead market responsible persons and lead market coordinators</p>
Output	<ul style="list-style-type: none"> ⇒ Anonymised participant lists ⇒ If necessary, insights on implementation difficulties due to challenges/barriers ⇒ Monitoring workshops ⇒ If necessary, identification of need for action (change in procedure)

4	2019		2020				2021	
Evaluation and Monitoring			IV	I	II	III	IV	I

Quarter IV 2019 – Quarter I 2021:

Approach	<p>Anonymous evaluation and analysis of the previous participant lists</p> <p>Monitoring:</p> <p style="padding-left: 20px;">Quantitative approach: evaluation of indicators (if necessary, use of further reports and studies)</p> <p style="padding-left: 20px;">Qualitative approach: evaluation of interviews and documents, evaluation of findings from the workshops</p> <p>If necessary, final (cross lead market) workshop</p> <p>Joint conclusion and prospects</p>
Output	<ul style="list-style-type: none"> ⇒ Evaluation results ⇒ If necessary, final (cross lead market) workshop

Stakeholders involved in Action 1a

Please note that the following list does not claim to be complete. It is, therefore, not a conclusive list. Rather, the stakeholders identified as necessary for Action 1a are included in the list on an ongoing basis.

Stakeholders identified so far for Action 1a:

Organisation in the region	Role
Ministry of Economy, Science and Digitalisation of the State of Saxony-Anhalt	Responsible authority for the RIS3 Saxony-Anhalt and lead market work
Monitoring Committee ERDF, ESF and EAFRD 2014-2020	Committee responsible for "effective monitoring of the implementation of the state's overall strategy developed within the framework of the ESF, ERDF, and EAFRD Funds". ¹⁸
Competence Centre to Strengthen the Economic and Social Partners in Saxony-Anhalt (WiSo)	Advisory body
Investitionsbank Saxony-Anhalt	Intermediary
Lead markets: Energy, Engineering and Plant Construction, Resource Efficiency Health and Medicine Mobility and Logistics Chemistry and Bioeconomy Food and Agriculture	Instrument for the implementation, evaluation and monitoring of RIS3 Saxony-Anhalt ¹⁹
Competence Network for Applied and Transfer-Oriented Research (KAT)	Representatives of the KAT as Lead Market Coordinators
Representatives from the cross-sectional fields: Information and Communication Technologies, Nanotechnology and Microtechnology, Creative Industry	Representatives of comprehensive fields of innovation
Science (e.g. universities, non-university institutions)	Stakeholder representatives (component Q4-Helix)
Business	Stakeholder representatives (component Q4-Helix)
Politics	Stakeholder representatives (component Q4-Helix)
Civil society	Stakeholder representatives (component Q4-Helix)
Cluster initiatives, networks, initiatives, associations, EU advice centres	Intermediaries
Ramboll Management Consulting GmbH	Evaluator
Otto von Guericke University Magdeburg	Responsible institution for the Saxony-Anhalt Action Plan as partner in the "Beyond EDP" project

Costs/ funding sources

At present, the need for complementary sources of funding for monitoring purposes is not envisaged.

¹⁸ Quoted from The Sachsen-Anhalt State Portal, Joint Monitoring Committee ERDF, ESF and EAFRD 2014-2020, URL: <https://europa.sachsen-anhalt.de/esi-fonds-in-sachsen-anhalt/ueber-die-europaeischen-struktur-und-investitionsfonds/begleitausschuss/> [last accessed on: 30/01/2019].

¹⁹ See Interreg Europe, RIS3 Saxony-Anhalt, URL: <https://www.interregeurope.eu/beyondedp/news/news-article/1785/ris3-in-saxony-anhalt/> [last accessed on: 30/01/2019].

Action 1b – Monitoring the transregional dimension of lead market work

In sub-Action 1b lead market work is transferred to a supra-regional dimension. This is intended to promote transregional cooperation, improve competitiveness and promote international networking. The lead markets are to play a key role in this context by giving the lead market work of at least one selected lead market a supra-regional character within the framework of cooperation with the Saxony-Anhalt state representation in Brussels.

Objective of Action 1b

Against the background of the EDP understanding (differentiation between various EDP levels) developed in the course of the project and going beyond the regional dimension, the addition of a European component to the lead market work should contribute to improving the EDP management. This will enable a professional exchange with European stakeholders at a transregional level.

Background of Action 1b

Policy context and intended improvement of the policy instrument

Since 1992 the state of Saxony-Anhalt has been represented towards the European Union by the State Representation of Saxony-Anhalt, which serves as a link between the state government and administration in Saxony-Anhalt and the European institutions in Brussels. The responsibilities of the State Representation range from the organisation of events and the implementation of regional interests within the European political context to the presentation of the state of Saxony-Anhalt at European level. In this context, it provides support and assistance.²⁰

The lead markets already outlined under Action 1a form an important part of the RIS3 Saxony-Anhalt. There is the consideration to raise the lead market work to a transregional dimension, as it could contribute to make the economic priorities and thus the regional strengths known beyond the borders of Saxony-Anhalt and the national borders as well as to detect possible partners.

This purpose would in turn support to the optimisation of the EDP management in Saxony-Anhalt. The regional EDP dimension in Saxony-Anhalt will be expanded by initial approaches towards a transregional EDP dimension.

Type of Action

Within the INTERREG programme, three types are distinguished as an expression of an improvement of a policy instrument, which may overlap:²¹

- Type 1: Implementation of new projects
- Type 2: Change in the management of the policy instrument
- Type 3: Change in the strategic focus of policy instruments

In view of the intended expansion of the lead market work (in the sense of opening up the stakeholder process) towards a transregional dimension as a contribution to improving the EDP management, the Type 2 *Change in the management of the policy instrument* will initially be pursued.

Insights gained from the project and basis of the action

The "Beyond EDP" project served as an inspiration to the extent that a common understanding of EDP beyond the regional dimension has developed. In particular, the findings of Taskforce 1 "EDP management during the implementation phase of RIS3" and the discussions within the joint workshops

²⁰ See State Chancellery and Ministry of Culture Saxony-Anhalt, Representation of the State of Saxony-Anhalt to the European Union in Brussels, URL: <https://europa.sachsen-anhalt.de/europapolitik/landesvertretung-in-bruessel/> [last accessed on: 06/02/2019].

²¹ See Interreg Europe, Interreg Europe Programme Manual, 2018 (updated version 5), p. 52ff.

with the other Taskforces highlighted various EDP levels. Particular attention was paid to the idea of adding a transregional EDP dimension to the regional dimension.²²

At the third Taskforce 1 meeting in Magdeburg, the project partners presented an example of transregional cooperation between the Netherlands and Eastern Romania. This was a cooperation in the form of interrelated initiatives based on principles of smart specialisation, constituting the result of an EDP process. These initiatives aim to identify new potential for specialisation and to establish and link value chains.²³

Following the idea of transregional cooperation, the challenge is to transfer this transregional dimension to the Saxony-Anhalt context in the initial steps.

As far as the RIS3 Saxony-Anhalt is concerned, the first transregional step was done in November 2017 for the cross-sectoral field Creative Industry. The integration of the European component is to be increasingly transferred to the lead markets. The cornerstone for this was an event organised in the Representation of Saxony-Anhalt in Brussels in 2018 related to the lead market "Chemistry and Bioeconomy".²⁴

The transfer relates to the lead market work in the form of a professional exchange with European stakeholders. The lead market work receives a European component with the help of the Representation of Saxony-Anhalt in Brussels, being crucial for the realisation of these purposes.

Further lead markets are to follow this example of an initial move towards a transregional dimension. Thus, supporting the addition of the European component to the lead market work constitutes an action tailored to Saxony-Anhalt within the framework of the Action Plan.

²² See Taskforce 1 Minutes: Taskforce 1-Meeting 1: 22.03.2017 in Valladolid (ES), Taskforce 1-Meeting 2: 13.09.2017 in Lodz (PL), Taskforce 1-Meeting 3: 07.03.2018 in Magdeburg (DE).

²³ See Taskforce 1 Minutes, Taskforce 1 Meeting 3: 07.03.2018 in Magdeburg (DE); request to Luc Hulsman (email from 22.05.2018).

²⁴ See State Chancellery and Ministry of Culture Saxony-Anhalt, Representation of the State of Saxony-Anhalt in Brussels: Events Review, URL: <https://europa.sachsen-anhalt.de/europapolitik/landesvertretung-in-bruessel/veranstaltungen/rueckblick/> [last accessed on: 06/02/2019].

Steps for the implementation and timeframe

Planned implementation

The planned implementation of Action 1b can be found in the table. The table summarises all of the individual implementation steps and outlines the timeframe.

It should be noted at the outset that the timetable may be subject to change (if necessary).

Action 1b	Steps towards implementation	'19			'20				'21
Monitoring the transregional dimension of lead market work	1 Preliminary analysis (analysis of the current situation) and explanation regarding the selection of at least one suitable lead market	II							
	2 Practical implementation support: Adding a European component to the lead market work	II	III	IV	I	II	III	IV	
	3 Evaluation and Monitoring	II	III	IV	I	II	III	IV	I

Steps towards implementation

1	2019			2020				2021
Preliminary analysis (analysis of the current situation) and explanation regarding the selection of at least one suitable lead market	II							

Quarter II 2019:

Approach	<p>Preliminary analysis (analysis of the current situation)</p> <p>Preliminary discussions with the five lead market responsible persons</p> <ul style="list-style-type: none"> Transfer of previous experiences from former transregional approaches Raising the awareness of lead market responsible persons for the transregional dimension in the EDP context Transfer of previous experiences from the project partners Explanation regarding the selection of the lead markets and approach <p>Joint definition of indicators</p>
Output	<ul style="list-style-type: none"> ⇒ Identification of existing governance structures regarding a transregional dimension ⇒ Explanation regarding the selection of the lead markets and approach

2	2019			2020				2021
Practical implementation support: Adding a European component to the lead market work	II	III	IV	I	II	III	IV	

Quarter II 2019 – Quarter IV 2020:

Approach	Involvement in the preparation of the events in Brussels (including mobilisation of support from EU advice centres in Saxony-Anhalt) Conducting interviews on site Dissemination of questionnaires/ feedback forms
Output	⇒ Participant lists ⇒ Findings ⇒ Interview results ⇒ Questionnaire / feedback results

3	2019			2020				2021
Evaluation and Monitoring	II	III	IV	I	II	III	IV	I

Quarter II 2019 – Quarter I 2021:

Approach	Anonymous evaluation and analysis of the participant lists Monitoring: Quantitative approach: evaluation of indicators Qualitative approach: evaluation of interviews and documents, evaluation of findings deriving from the events
Output	⇒ Evaluation results

Stakeholders involved in Action 1b

Please note that the following list does not claim to be complete. It is, therefore, not a conclusive list. Rather, the stakeholders identified as necessary for Action 1a are included in the list on an ongoing basis.

Stakeholders identified so far for Action 1b:

Organisation in the region	Role
Ministry of Economy, Science and Digitalisation of the State of Saxony-Anhalt	Responsible authority for the RIS3 Saxony-Anhalt and lead market work
State Chancellery and Ministry of Culture of the State of Saxony-Anhalt	Institution responsible for the Representation of Saxony-Anhalt to the EU
Representation of the State of Saxony-Anhalt to the European Union in Brussels	Department of the State Chancellery and Ministry of Culture of the State of Saxony-Anhalt
Investitionsbank Saxony-Anhalt	Intermediary
Lead markets: Energy, Engineering and Plant Construction, Resource Efficiency Health and Medicine Mobility and Logistics Chemistry and Bioeconomy Food and Agriculture	Instrument for the implementation, evaluation and monitoring of RIS3 Saxony-Anhalt
Representatives from the cross-sectional fields: Information and Communication Technologies, Nanotechnology and Microtechnology, Creative Industry	Representatives of comprehensive fields of innovation
Science (e.g. universities, non-university institutions)	Stakeholder representatives (component Q4-Helix)
Business	Stakeholder representatives (component Q4-Helix)
Politics	Stakeholder representatives (component Q4-Helix)
Civil society	Stakeholder representatives (component Q4-Helix)
Cluster initiatives, networks, initiatives, associations, EU advice centres	Intermediaries
Otto von Guericke University Magdeburg	Responsible institution for the Saxony-Anhalt Action Plan as partner in the "Beyond EDP" project

Costs/ funding sources

At present, the need for complementary sources of funding for monitoring purposes is not envisaged.

Action 1c – Submitting proposals for possible solutions for dealing with previously untapped innovation potential in Saxony-Anhalt

Action 1c deals with the question of what to do with ideas which, although related to the Regional Innovation Strategy, are not covered, for example, by the current ERDF and ESF Operational Programmes in Saxony-Anhalt or other regional/national funding programmes. To this end, the Regional Action Plan identifies a number of possible solutions. In addition, it highlights possible awareness-raising measures with regard to the interlinking of European Structural and Investment Funds and resources from other European funding instruments. Moreover, the Action Plan is intended as a means of establishing a dialogue between science and business dedicated to lead market-related topics.

Objective of Action 1c

Action 1c shows how the innovation potential in Saxony-Anhalt can be further exploited. To this end, the Regional Action Plan outlines various proposed solutions to contribute towards improving the EDP management. For this purpose, existing structures will be used and recombined.

Background of Action 1c

Policy context and intended improvement of the policy instrument

The possibilities for funding innovative ideas and thus making use of EU, national and regional funding instruments are manifold and are complemented by private funding. There is a wide range of different instruments from public and private donors at different levels.²⁵ Saxony-Anhalt's funding policy is based in particular on the Regional Innovation Strategy.²⁶

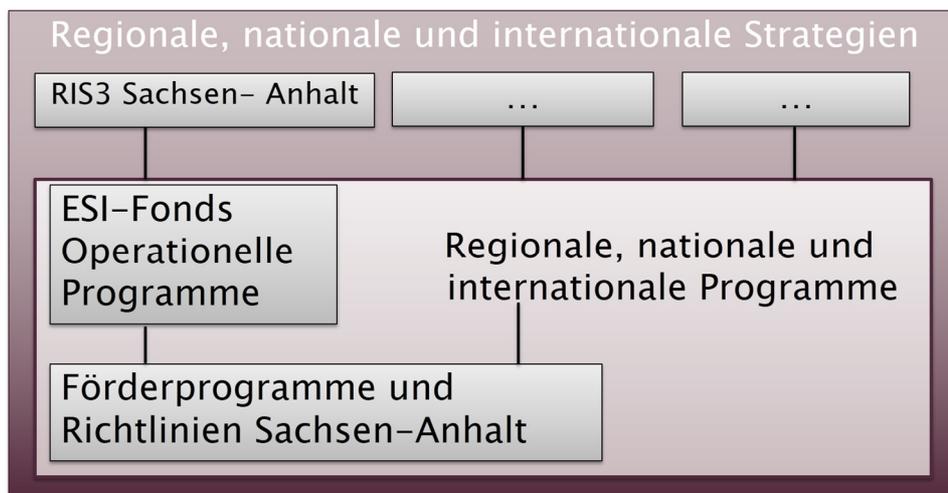


Fig. 4: Classification of the RIS3 Saxony-Anhalt in the context of the cross-level funding policy, proprietary presentation.

Nevertheless, the question arises as to what to do with ideas which, although related to RIS3 Saxony-Anhalt, are not covered by the current ERDF and ESF Operational Programmes in Saxony-Anhalt or other regional/national funding programmes (see Figure 4). This question is metaphorically described as a "blind spot".

Developing a joint approach for innovative project ideas falling under the "blind spot" with reference to RIS3 Saxony-Anhalt, would in turn contribute towards the optimisation of the EDP management in Saxony-Anhalt for the following reasons:

²⁵ See Federal Ministry of Education and Research, Research Funding, URL: <https://www.research-in-germany.org/de/forschungsfoerderung.html> [last accessed on: 07/02/2019].

²⁶ See Saxony-Anhalt Ministry of Science and Economics Regional Innovation Strategy for Saxony-Anhalt 2014-2020 (abridged version), 2014, p. 7.

- By avoiding the exclusion of project ideas, the exploitation of the existing innovation potential is ensured.
- Considerations for the use of alternative funding possibilities could be taken into account.
- It would ensure that the innovative project ideas (which could not be financed so far) are bundled and made visible, and that a communication platform is created.

In addition, the Regional Innovation Strategy for Saxony-Anhalt envisages placing the co-financed funding system based on the ESI funds in the regional, national and EU-wide context. This is to be ensured in the form of a coordinated deployment of funds, which in turn is made possible by the "complementarity of EU Structural and Investment Funds and other EU funding instruments"^{27,28}

SMEs should also be given special consideration when exploiting the regional's innovation potential, as Saxony-Anhalt's economic structure is dominated by them.²⁹ Accordingly, a targeted exchange between science and business should take place by supplementing existing "Business Roundtables" events with lead market specific topics. The idea is to test them as a new discussion format involving stakeholders from the economic and science sectors.

Type of Action

Within the INTERREG programme, three types are distinguished as an expression of an improvement of a policy instrument, which may overlap:³⁰

- Type 1: Implementation of new projects
- Type 2: Change in the management of the policy instrument
- Type 3: Change in the strategic focus of policy instruments

In view of the objective of avoiding unused innovation potential in Saxony-Anhalt, the endeavour for the complementarity between EU Structural and Investment Funds and other EU funding instruments and the envisaged dialogue between science and business, Type 2 *Change in the management of the policy instrument* will initially be pursued as a contribution to improving the EDP management.

Insights gained from the project and basis of the action

During the project meeting in Extremadura (ES) in October 2018, the RIS3 governance system practised in the Extremadura region and linked to the Regional Innovation Strategy was taken into account in accentuating the EDP implementation phase (see Figure 5).

A review of the system reveals that the RIS is implemented in an institutionalised manner. Here the distinction between a strategic, management-related and operative level with corresponding responsible bodies and working groups whose fields of activity are defined in the governance system is made visible.

²⁷ Quoted from Saxony-Anhalt Ministry of Science and Economics Regional Innovation Strategy for Saxony-Anhalt 2014-2020, 2014, p. 47.

²⁸ See Saxony-Anhalt Ministry of Science and Economics Regional Innovation Strategy for Saxony-Anhalt 2014-2020, 2014, p. 47.

²⁹ See Interreg application, B.2.9 Policy instrument 9, 2016, p. 32; Saxony-Anhalt Ministry of Science and Economics Regional Innovation Strategy for Saxony-Anhalt 2014-2020, 2014, p. 15.

³⁰ See Interreg Europe, Interreg Europe Programme Manual, 2018 (updated version 5), p. 52ff.

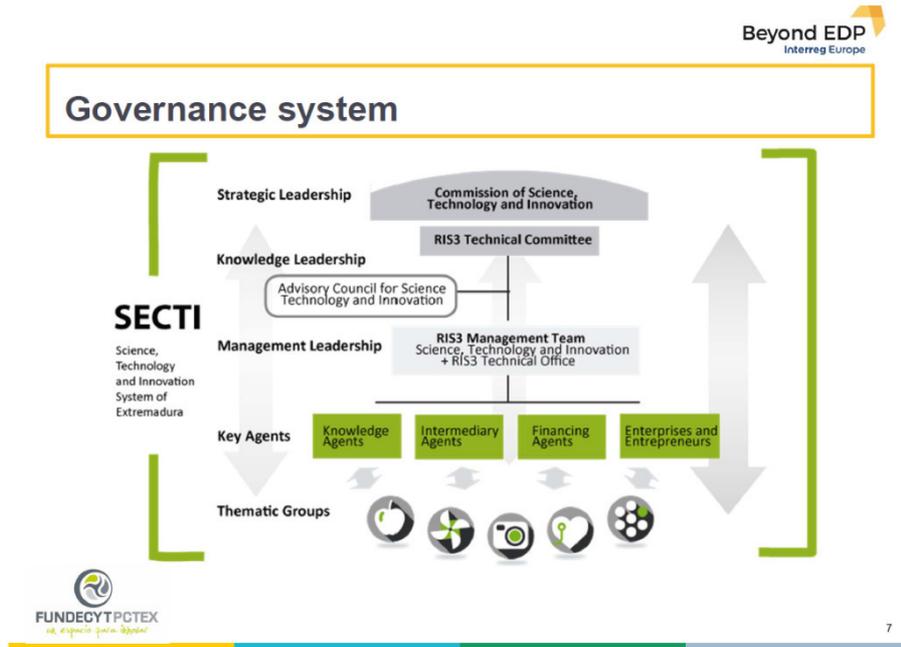


Fig. 5: Overview of the RIS3 Governance System in Extremadura (ES). Excerpt from the PowerPoint presentation by Montse Hernandez on 02.10.2018.

In the context of the Action Plan, this is a starting point for a reflection tailored to Saxony-Anhalt. For this purpose, the complex governance system model will be broken down to the concept of a strategic, management-related and operative level and transferred to the conditions in Saxony-Anhalt. On this basis, starting points for the discussions on ideas and suggestions for possible solutions for dealing with hitherto untapped innovation potentials in Saxony-Anhalt should emerge.

Steps for the implementation and timeframe

Planned implementation

The planned implementation of Action 1c can be found in the table. The table summarises all of the individual implementation steps and outlines the timeframe.

It should be noted at the outset that the timetable may be subject to change (if necessary).

Action 1c	Steps towards implementation	'19		'20				'21
Submitting proposals for possible solutions for dealing with previously untapped innovation potentials in Saxony-Anhalt	1 Preliminary analysis (analysis of the current situation)	II	III					
	2 Open dialogues – Submitting proposals for possible solutions and obtaining feedback; Workshop to consider the complementarity of Structural and Investment Funds and other EU funding instruments; Discussion format: "Business Roundtables" events			IV	I	II	III.	
	3 Monitoring			IV	I	II	III.	IV
								I

Steps towards implementation

1	2019			2020				2021
Preliminary analysis (analysis of the current situation)	II	III						

Quarter II 2019 – Quarter III 2019:

Approach	Preliminary analysis (analysis of the current situation) Transfer the idea of outlining a RIS3 governance system model to the Saxony-Anhalt context Preliminary discussions with relevant stakeholders
Output	⇒ Submission of proposals: Draft of a RIS3 Saxony-Anhalt governance system model ⇒ Findings from the consultation of relevant stakeholders

2	2019		2020				2021
Open dialogues – Submitting proposals for possible solutions and obtaining feedback; Workshop to consider the complementarity of Structural and Investment Funds and other EU funding instruments; Discussion format: "Business Roundtable" events			IV	I	II	III.	

Quarter IV 2019 – Quarter III 2020:

Approach	Conducting open dialogues → Submission of proposals: Avoiding the exclusion of project ideas Exploring alternative funding opportunities Ideas for the creation of a communication platform Highlighting the advisory services offered by the "Joint EU Cooperation Advisory Initiative" consisting of the following EU advisory institutions of Saxony-Anhalt: EU Academic Network, Enterprise Europe Network and EU Service Agency Implementation of the workshop on the complementarity of EU Structural and Investment Funds and other EU funding instruments with the involvement of external expertise Testing the "Business Roundtable" events as a new discussion format for a dialogue between science and business
Output	Definition of indicators ⇒ Open dialogues ⇒ Proposals for the use of regional innovation potentials ⇒ Feedback on the proposals ⇒ Workshop ⇒ "Business Roundtable" events

3	2019		2020				2021	
Monitoring			IV	I	II	III	IV	I

Quarter IV 2019 – Quarter I 2021:

Approach	<p>Monitoring:</p> <p>Quantitative approach: Evaluation of indicators</p> <p>Qualitative approach: Evaluation of the findings from the open dialogues and workshop</p> <p>Review of the draft of a RIS3 governance system model in the Saxony-Anhalt context</p>
Output	<ul style="list-style-type: none"> ⇒ Evaluation results ⇒ Evaluation workshops (if required)

Stakeholders involved in Action 1c

Please note that the following list does not claim to be complete. It is, therefore, not a conclusive list. Rather, the stakeholders identified as necessary for Action 1c are included in the list on an ongoing basis.

Stakeholders identified so far for Action 1c:

Organisation in the region	Role
Ministry of Finance of the State of Saxony-Anhalt	Managing Authority ERDF/ESF
Ministry of Economy, Science and Digitalisation of the State of Saxony-Anhalt	Responsible authority for the RIS3 Saxony-Anhalt and lead market work
RIS3 Office management of the Regional Innovation Strategy Saxony-Anhalt	Responsible authority in relation to RIS3 Saxony-Anhalt
Investitionsbank Saxony-Anhalt	Intermediary
Administration Office Saxony-Anhalt	Intermediary
Lead markets: Energy, Engineering and Plant Construction, Resource Efficiency Health and Medicine Mobility and Logistics Chemistry and Bioeconomy Food and Agriculture	Instrument for the implementation, evaluation and monitoring of RIS3 Saxony-Anhalt
Representatives from the cross-sectional fields: Information and Communication Technologies, Nanotechnology and Microtechnology, Creative Industry	Representatives of comprehensive fields of innovation
Science (e.g. universities, non-university institutions)	Stakeholder representatives (component Q4-Helix)
Business	Stakeholder representatives (component Q4-Helix)
Politics	Stakeholder representatives (component Q4-Helix)
Civil society	Stakeholder representatives (component Q4-Helix)
Cluster initiatives, networks, initiatives, associations, transfer offices and bodies, Joint EU Cooperation Advisory Initiative	Intermediaries
Otto von Guericke University Magdeburg	Responsible institution for the Saxony-Anhalt Action Plan as partner in the "Beyond EDP" project

Costs/ funding sources

At present, the need for complementary sources of funding for monitoring purposes is not envisaged.

2 Action 2 – Identification of possibilities for the implementation of RIS3 Saxony-Anhalt in rural areas based on the LEADER/CLLD approach

By means of the second action, the Action Plan pursues the identification of starting points for the implementation of RIS3 Saxony-Anhalt in rural areas on the basis of the LEADER/CLLD approach. It is based on the LEADER/CLLD approach, as a tool to support the actions undertaken by the local population, which is well established in Saxony-Anhalt. The refined "Smart LEADER/CLLD" approach combines a new methodology to promote technical and non-technical innovations (e.g. social innovations) and project ideas for local development. Importantly, this advanced methodology is based on the concept of smart specialisation and takes account of a new model of territorial governance.

Objective of Action 2

Against the background of smart specialisation, the aim is to use the Smart LEADER/CLLD approach to create starting points for an open, interactive stakeholder process at local level, taking into account the Q4 Helix and thus involving business, science, politics and civil society. This action addresses the multi-level idea in the context of EDP management with a focus on the local level and thus contributes to the improvement of the EDP management.

Background of Action 2

Policy context and intended improvement

LEADER (Liaison Entre Actions de Développement de l'Économie Rurale), translated: Link between actions for the development of the rural economy) is a "methodological approach to regional development in which local stakeholders exploit a region's inherent development potential", which has been applied since 1991.^{31,32}

The special feature of this instrument for the development of rural areas is that it contains guidelines on the procedure (how) rather than the content of the measures (what) undertaken by action groups working in partnership at local level.³³

As an instrument introduced since the funding period 2014-2020, CLLD (Community Led-Local Development)³⁴ is based on the LEADER concept. It expands the repertoire of local support activities to facilitate development at the local level.³⁵

According to Art. 32 EU (VO) No. 1303/2013, CLLD actions can be financed by various European Structural and Investment Funds.³⁶

With regard to Saxony-Anhalt, EAFRD-funded local development actions operated by the local population are defined as LEADER projects (more precisely, "LEADER local development")³⁷ with CLLD in particular "(...) referring to the application of the LEADER method to the ERDF and ESF funds, which will be supported by the European Commission for the first time within the funding period 2014-2020 and Saxony-Anhalt will be the only [German] state to apply it".³⁸ The CLLD approach has been implemented in the ERDF and ESF in Saxony-Anhalt since 2017.³⁹

³¹ Quoted from LEADER and CLLD Directive, redacted by MF Decree from the MF, 12. 10. 2016 – 46840 (MBI. LSA. 2016, p. 577), as amended by MF Decree, 30.11.2017 (MBI. LSA 2017, p. 781), p. 44.

³² See European Commission, Fact Sheet. The LEADER approach. A basic guide, 2006, p. 5.

³³ See European Commission, Fact Sheet. The LEADER approach. A basic guide, 2006, p. 8.

³⁴ See LEADER and CLLD Directive, MF Circular, 12. 10. 2016 – 46840 (MBI. LSA. 2016, p. 577), as amended by MF Decree, 30.11.2017 (MBI. LSA 2017, p. 781), p. 44.

³⁵ See European Commission, Local development actions driven by the local population, 2014, URL:https://ec.europa.eu/regional_policy/sources/docgener/informat/2014/community_de.pdf [last accessed on: 30.01.19]; Regulation (EU) No. 1303/2013, 17.12.2013, OJ EU No. L 347, 20.12.2013, Art. 32-35.

³⁶ See Regulation (EU) No. 1303/2013, 17.12.2013, OJ EU No. L 347, 20.12.2013, p. 355.

³⁷ See Regulation (EU) No. 1303/2013, 17.12.2013, OJ EU No. L 347, 20.12.2013, p. 355; Directive LEADER and CLLD, MF Circular, 12. 10. 2016 – 46840 (MBI. LSA. 2016, p. 577), as amended by MF Decree, 30.11.2017 (MBI. LSA 2017, p. 781), p. 4.

³⁸ Quoted from State Portal Saxony-Anhalt, LEADER and CLLD in Saxony-Anhalt 2014-2020: Glossary, URL: <https://leader.sachsen-anhalt.de/service/glossar/> [last accessed on: 30/01/2019].

³⁹ See Torsten Kroll, PowerPoint presentation: CLLD in Saxony-Anhalt, 06.03.2018, Slide 9.

The local development support approach involves the development, approval and implementation of development strategies by Local Action Groups.⁴⁰ Local Action Groups are characterised by the following features:⁴¹

- Bottom-up as well as local territorial approach
- Willingness of local stakeholders to cooperate and form partnerships
- Integrated and multisector actions
- Cooperation
- Innovation
- Networking

The objective is to encourage local public and private socio-economic stakeholders to exploit the development potential of their rural and urban areas over the long term, whereby innovative and sustainable strategies should be applied.⁴² The Local Action Groups are essential for local development.

Analogous to the regional level, this raises the question of how sustainable governance structures can be established or improved to create an open, continuous and interactive bottom-up stakeholder process at the local level (involving enterprises).

The overarching objective is to raise the awareness of selected Local Action Groups to the various EDP levels (shifting the focus from the regional to the local level). Furthermore, these local stakeholders should identify themselves as being part of the RIS3. In this way, the action creates awareness of RIS3 at the local level and encourages self-reflection with regard to the local stakeholder constellation. This can lead to a review of the stakeholder constellation. This in turn would contribute to the optimisation of the EDP management in Saxony-Anhalt.

Type of Action:

Within the INTERREG programme, three types are distinguished as an expression of an improvement of a policy instrument, which may overlap:⁴³

Type 1: Implementation of new projects

Type 2: Change in the management of the policy instrument

Type 3: Change in the strategic focus of policy instruments

In view of the envisaged aim of optimising the governance structures of the Local Action Groups at the local level in Saxony-Anhalt as a contribution to improving the (local) EDP management, Type 2 *Change in the management of the policy instrument* will initially be pursued.

Insights gained from the project and basis of the action

The framework document on a common EDP understanding was developed at the beginning of the joint project work and represents the starting point for this action. Against the background of the Q4 helix, the approach outlined in the document requires the involvement and interaction of a wide range of stakeholders from different fields such as business, science, politics and civil society.⁴⁴

The "Beyond EDP" project serves as an inspiration for possible optimisation approaches to contribute towards improving the EDP management and in particular to transferring EDP management to the local level.

⁴⁰ See Regulation (EU) No. 1303/2013, 17.12.2013, OJ EU No. L 347, 20.12.2013, p. 356.

⁴¹ See LEADER and CLLD Directive, MF Circular, 12. 10. 2016 – 46840 (MBI. LSA. 2016, p. 577), as amended by MF Decree, 30.11.2017 (MBI. LSA 2017, p. 781), p. 3.

⁴² See LEADER and CLLD Directive, MF Circular, 12. 10. 2016 – 46840 (MBI. LSA. 2016, p. 577), as amended by MF Decree, 30.11.2017 (MBI. LSA 2017, p. 781), p. 4.

⁴³ See Interreg Europe, Interreg Europe Programme Manual, 2018 (updated version 5), p. 52ff. .

⁴⁴ See Klaus Deterbeck, Framework Document: Based on existing EDP Analyses and Regions' Experiences, 2018 (updated version), p. 10.

Participation in the project provided insights into the good practice example of "Smart LEADER" in the Extremadura region (ES). In this methodological proposal, the well-known LEADER approach is supplemented by (1) the concept of smart specialisation and (2) new governance elements.⁴⁵

(1) The concept of smart specialisation is introduced by local stakeholders identifying the strengths specific to the area within the (local) EDP. Thus, it is a part of the already defined regional priorities that are reflected in the RIS3 (see Figure 6). The idea of smart specialisation, therefore, serves as a theoretical framework encompassing the regional and rural levels.⁴⁶

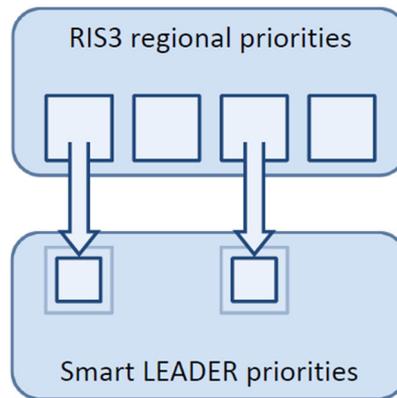


Fig. 6: Transfer of relevant regional RIS3 priorities to the local context within the framework of the Smart LEADER approach. Excerpt from the PowerPoint presentation by Joaquin Lopez Munoz, 02.10.2018, Slide 17.

(2) The local stakeholders constellation used in the methodological proposal should also correspond to the Q4 Helix model and complement the Local Action Group governance model and contribute to co-participation, co-responsibility and co-leadership (see Figure 7). The so-called "knowledge agents" act as (external) knowledge mediators and the Local Action Groups are primarily intended to serve as catalysts.⁴⁷

⁴⁵ See Joaquin Lopez Munoz, PowerPoint presentation: Good Practice: Smart LEADER, 02.10.2018.

⁴⁶ See Joaquin Lopez Munoz, PowerPoint presentation: Good Practice: Smart LEADER, 02.10.2018, Slide 17.

⁴⁷ See Martina Pertoldi, Mariangeles Muriel Gonzales, Joaquin Lopez Munoz, PowerPoint Presentation: Smart LEADER: Challenging Smart Specialisation in the scope of Rural Development, 29-30.09.2016, Slide 14, URL: https://3ffah3bhjub3knerv1hneul-wpengine.netdna-ssl.com/wp-content/uploads/2018/07/Pertoldi_SmarLEADER_final.pdf [last accessed on: 30/01/2019].

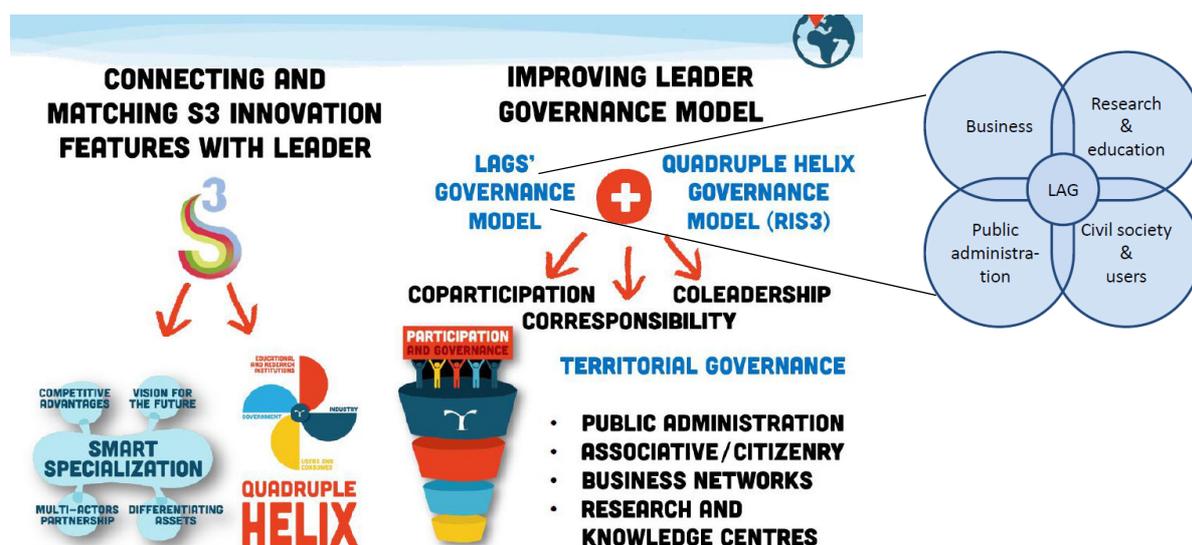


Fig. 7: Extension of the LEADER governance model by the Q4 Helix Governance model in the context of the Smart LEADER approach, excerpt from the PowerPoint presentation by Martina Pertoldi, Mariangeles Muriel Gonzales, Joaquin Lopez Munoz, 29-30.09.2016, Slide 14 supplemented by the excerpt from the PowerPoint presentation by Joaquin Lopez Munoz, 02.10.2018, Slide 18.

The insights of Taskforce 1 "EDP management during the implementation phase of RIS3" as well as the joint workshops of other Taskforces can also be consulted. Notably different levels and their significance for the EDP received attention: from the transregional to the regional to the local level. Special regard was paid to the local level as the basis for EDP efforts and, consequently, the transfer of the EDP from the regional level to the local level is mentioned in Action 2.

By transferring this good practice example, aiming at the promotion of innovation in rural areas (see Figure 8),⁴⁸ and the findings of the Taskforce's work in Saxony-Anhalt, the LEADER/CLLD approach may offer possibilities for adaptation.

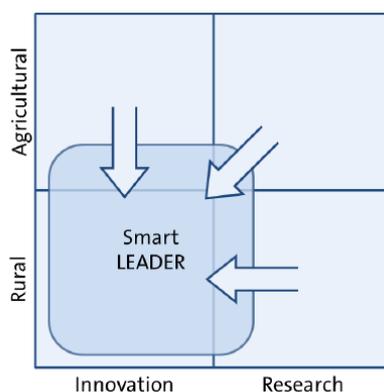


Fig. 8: Classification of the Smart LEADER approach with regard to its scope. Excerpt from the PowerPoint presentation by Martina Pertoldi, Mariangeles Muriel Gonzales, Joaquin Lopez Munoz, 29-30.09.2016, Slide 16.

The LEADER/CLLD method focuses on local development in rural and urban areas and thus on the local level and goes beyond the development of rural areas aimed at in Smart LEADER.⁴⁹

⁴⁸ See Joaquin Lopez Munoz, PowerPoint presentation: Good Practice: Smart LEADER, 02.10.2018, Slide 16.

⁴⁹ See LEADER and CLLD Directive, MF Circular, 12. 10. 2016 – 46840 (MBI. LSA. 2016, p. 577), as amended by MF Decree, 30.11.2017 (MBI. LSA 2017, p. 781), p. 4.

Therefore, the "Smart LEADER/CLLD" approach tailored for Saxony-Anhalt is being pursued as an initial approach for exploring possibilities relating to the application of selected elements of the Smart LEADER methodology. Conversely, the concept of smart specialisation in the EDP is taken up at the local level. In addition, the stakeholder constellation of the Local Action Groups could find inspiration according to the methodological proposal comprising the Q4 Helix model and, when required, opened up to (external) knowledge mediators.

Steps for the implementation and timeframe

Planned implementation

The planned implementation of Action 2 can be found in the table. The table summarises all of the individual implementation steps and outlines the timeframe.

It should be noted at the outset that the timetable may be subject to change (if necessary).

Action 2	Steps towards implementation	'19		'20				'21
Identification of possibilities for the implementation of RIS3 Saxony-Anhalt in rural areas based on the LEADER/CLLD approach	1 Preliminary analysis (analysis of the current situation)	II	III					
	2 Awareness raising of selected Local Action Groups for the adapted Smart LEADER/CLLD methodological proposal			IV	I	II		
	3 Evaluation			IV	I	II	III	IV I

Steps towards implementation

1	2019			2020			2021
Preliminary analysis (analysis of the current situation)	II	III					

Quarter II 2019 – Quarter III 2019:

Approach	<p>Preliminary analysis</p> <p>Preliminary discussions with the stakeholders involved (representative of the Managing Authority ERDF/ESF and EAFRD)</p> <p>Awareness-raising of stakeholders for the involvement of (external) stakeholders according to the Q4 Helix (involvement of business, science, politics and civil society)</p> <p>Submission of a proposal for the concrete adoption of the good practice example tailored to Saxony-Anhalt.</p>
Output	<ul style="list-style-type: none"> ⇒ Identification of the governance structures ⇒ Selection of a variant for the application of the adapted good practice example with regard to the stakeholder composition of Local Action Groups

2	2019			2020			2021
Awareness raising of selected Local Action Groups for the adapted Smart LEADER/CLLD methodological proposal			IV	I	II		

Quarter IV 2019 – Quarter II 2020:

Approach	<p>Announcement of the purposes to Local Action Groups by the Managing Authorities</p> <p>Preliminary discussions with selected Local Action Groups coordinated by Managing Authorities</p> <p>Analysis and review of the previous Local Action Group stakeholder constellation</p> <p>Workshop with selected Local Action Groups</p> <p>Awareness-raising of stakeholders for the:</p> <ul style="list-style-type: none"> (1) Regional Innovation Strategy Saxony-Anhalt (RIS3 Saxony-Anhalt) (2) Involvement of (external) stakeholders according to the Q4 Helix <p>Joint consideration of the implementation of the agreed variant for the application of the adapted good practice example with regard to the stakeholder composition of the Local Action Groups</p>
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Output	<p>Definition of selected indicators</p> <ul style="list-style-type: none"> ⇒ Decision: Identification of appropriate Local Action Groups for the purpose ⇒ Workshops with Local Action Groups ⇒ Decision: Identification of need for action and, if necessary, joint considerations on implementation
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3	2019		2020				2021	
Evaluation			IV	I	II	III.	IV	I

Quarter IV 2019 – Quarter I 2021:

Approach	<p>Anonymised evaluation and analysis of the previous participant lists and those of Local Action Groups in Phase 2 of the EU project.</p> <p>Quantitative approach: translation of the findings into indicators</p> <p>Qualitative approach: conducting and evaluation of interviews</p> <p>If necessary (depending on successful implementation): workshop for other Local Action Groups and initiation of further approaches</p>
Output	<ul style="list-style-type: none"> ⇒ Evaluation results ⇒ If necessary, final workshop (for other Local Action Groups) ⇒ If necessary, further considerations

Stakeholders involved in Action 2

Please note that the following list does not claim to be complete. It is, therefore, not a conclusive list. Rather, the stakeholders identified as necessary for Action 2 are included in the list on an ongoing basis.

Stakeholders identified so far for measure 2:

Organisation in the region	Role
Ministry of Finance of the State of Saxony-Anhalt	Managing Authority EAFRD
Ministry of Finance of the State of Saxony-Anhalt	Managing Authority ERDF/ESF
Ministry of Economy, Science and Digitisation of the State of Saxony-Anhalt	Responsible authority for the RIS3 Saxony-Anhalt and lead market work
Ministry of the Environment, Agriculture and Energy of the State of Saxony-Anhalt	Responsible authority for the promotion of regional rural development in Saxony-Anhalt
State Chancellery and Ministry of Culture of the State of Saxony-Anhalt	Standard setters for the Cultural Heritage ERDF Directive
Investitionsbank Saxony-Anhalt	Intermediary
EU Service Agency Saxony-Anhalt	Intermediary
Administration Office Saxony-Anhalt	Intermediary
Office for Agriculture, Land Consolidation and Forestry	Intermediary
Lead markets	Intermediaries
Local action groups	Intermediaries
Science (e.g. universities, non-university institutions)	Stakeholder representatives (component Q4-Helix)
Business	Stakeholder representatives (component Q4-Helix)
Politics (regional, local)	Stakeholder representatives (component Q4-Helix)
Civil society	Stakeholder representatives (component Q4-Helix)
Cluster initiatives, networks, initiatives, associations, Joint EU Cooperation Advisory Initiative	Intermediaries
Otto von Guericke University Magdeburg	Responsible institution for the Saxony-Anhalt Action Plan as partner in the "Beyond EDP" project

Costs / funding sources

At present, the need for complementary sources of funding for monitoring purposes is not envisaged.

3 Actions at a glance

Actions	Steps towards implementation	'19				'20				'21
1a Analysis and review of lead market structures using selected lead markets in Saxony-Anhalt as examples	1 Selection of at least one suitable lead market	II								
	2 Analysis of existing structures in the lead market (actual state analysis)	II								
	3 Practical implementation of the adapted good practice example within the lead market structures		III	IV	I	II	III			
	4 Evaluation and Monitoring			IV	I	II	III	IV	I	
1b Monitoring the transregional dimension of lead market work	1 Preliminary analysis (analysis of the current situation) and explanation regarding the selection of at least one suitable lead market	II								
	2 Practical implementation support: Adding a European component to the lead market work	II	III	IV	I	II	III	IV		
	3 Evaluation and Monitoring	II	III	IV	I	II	III	IV	I	
1c Submitting proposals for possible solutions for dealing with previously untapped innovation potential in Saxony-Anhalt	1 Preliminary analysis (analysis of the current situation)	II	III							
	2 Open dialogue Workshop on complementarity of EU funding instruments Discussion format: "Business Roundtable" events			IV	I	II	III			
	3 Monitoring			IV	I	II	III	IV	I	
2 Identification of possibilities for the implementation of RIS3 Saxony-Anhalt in rural areas based on the LEADER/CLLD approach	1 Preliminary analysis (analysis of the current situation)	II	III							
	2 Awareness raising of selected Local Action Groups for the adapted Smart LEADER/CLLD methodological proposal			IV	I	II				
	3 Evaluation			IV	I	II	III	IV	I	

Part 4: Political Endorsement

On behalf of the Managing Authority ERDF/ESF,

I fully approve the contents of the present Action Plan, developed by the Otto von Guericke University Magdeburg as a product of the Beyond EDP first phase of exchange and learning.

As representative of the above mentioned institution, I hereby express the commitment to support the envisaged objectives and actions to be carried out in this Action Plan within the institution's respective capabilities during the Beyond EDP project's next phase.

Date: 29.03.2019

Signature of the relevant organisation: *Thorsten Kroll*

Stamp of the organisation (if available): Ministerium der Finanzen des Landes Sachsen-Anhalt, Editharing 40, 39108 Magdeburg

On behalf of the Ministry of Economy, Science and Digitalisation, Line 22

I fully approve the contents of the present Action Plan, developed by the Otto von Guericke University Magdeburg as a product of the Beyond EDP first phase of exchange and learning.

As representative of the above mentioned institution, I hereby express the commitment to support the envisaged objectives and actions to be carried out in this Action Plan within the institution's respective capabilities during the Beyond EDP project's next phase.

Date: 29.03.2019

Signature of the relevant organisation: *J. A. Neul*

Stamp of the organisation (if available): Ministerium für Wirtschaft, Wissenschaft und Digitalisierung des Landes Sachsen-Anhalt, Abteilung 2, Hasselbachstraße 4, 39104 Magdeburg, Tel.: 0391 / 5 67-42 98/ -42 97, Fax: 0391 / 5 67 -44 50