

# Summary Report on RIS<sup>3</sup> implementation status in Greece

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## I. INTRODUCTION

This report was commissioned by the Institute for Prospective Technological Studies (IPTS) of the European Commission's Joint Research Centre (JRC) in the framework of the “Support to RIS3 Implementation in selected Lagging Regions” project that has been launched in 2016. One of the main goals of the project is to contribute to further refinement of the RIS3 model and advancing understanding of implementation issues of smart specialisation by codifying hands-on experience in different contexts.

The report summarises the current situation in terms of implementation of RIS3 in Greece, by taking stock of activities on RIS3 in each of the 13 Greek regions and of the national RIS3 respectively. Apart from the obvious objective of revealing state of implementation in Greek regions, the report is aiming at the development and implementation of a cross-learning approach to RIS3 key issues among Greek regions.

The RIS3 in Greece was developed following a hybrid model both at national and at regional level (13 regional plus 1 national smart specialisation strategies). All partial strategies have been approved by the European Commission and the ESIF funds are distributed between national and regional operational programmes (larger share of funding is being managed at the national level). At the national level all Calls for Proposals (CfPs) are financed by the Operational Programme “Competitiveness, Entrepreneurship & Innovation” (EPANEK) and the role for planning, issuing CfPs, management of selected projects and monitoring has been assigned to General Secretariat of Research & Technology (GSRT) for Thematic Objective 1. At the regional level the respective financial instrument is the Regional Operational Programme (ROP) and CfPs are issued by the regional Management Authorities (MA).

## II. METHODOLOGY

The report is drafted based on a three stages process:

- a) A questionnaire was sent via the Coordination Network for Smart Specialisation Strategy<sup>1</sup> to the 13 representatives of the respective regional MA and the GSRT (for national RIS3). The questionnaire was divided into 5 sections, 4 of which deal with key implementation issues of RIS3 (namely EDP, governance, activation degree and monitoring) and one separate section where the participants were invited to assess the main barriers to the more effective implementation of the regional and the national RIS3.

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<sup>1</sup> The Network has been established by the Ministry of Finance, Development and Tourism in February 2016.

- b) After the questionnaires were returned, a short interview with the respondents was arranged. During the interview, clarifications were given and more details on the specific sections were discussed on a structured manner.
- c) Data from the two aforementioned stages were processed and results were evaluated and reported in this paper.

In the next sections of the report, results on the 5 sections are presented. The Appendix contains a synopsis of the data collected from every region and from GSRT as far as the implementation of the national RIS3 is concerned.

### III. PRESENTATION OF MAIN FINDINGS

#### III.1 EDP

Entrepreneurial Discovery Process (EDP) has been adopted and appreciated by all Greek regions. Six of them used some form of EDP during the development stage of regional RIS3. Most of them used evidence-based methods such as SWOT, studies on scientific/technological/economic trends, competence and actors mappings, stakeholders' surveys, etc. On the other hand all of them implemented participatory models of EDP, like working groups, thematic platforms, e-tools, etc. in the action planning stage of RIS3. In this way they gave the opportunity to the participants (representing all strands of the quadruple helix) to be exposed on key innovations in the value chain of the selected sectors at the regional level and at the same time to stimulate idea generation for business development.

The extent of the application of EDP during planning and implementation stage of RIS3 is mapped in the following table.

**Table 1: EDP level of deployment in regional context (number of responses)**

<i>Q: To what extent have you used EDP during planning and implementing RIS3?</i>	Extensively	Enough	Average	Not much	Not at all
Priority setting	5	5	1	2	0
Definition of RIS3 policy tools	4	4	1	3	1
Generation of ideas / projects	7	3	3	0	0
Defining results indicators and supporting monitoring and implementation of RIS3	0	1	8	1	3
Participation to the implementation level of the smart specialisation strategy	3	6	3	1	0

Regions that used EDP in the stage of RIS3 drafting have exploited the tool for priority setting. Most of the regions that used EDP in the action planning stage of RIS3 took valuable feedback for the demand on possible policy tools and complete projects by regional stakeholders.

At the national level, GSRT used extensively the EDP in both stages; a thorough process was developed leading to the creation of 8 thematic platforms, which came up with key elements of the national RIS3

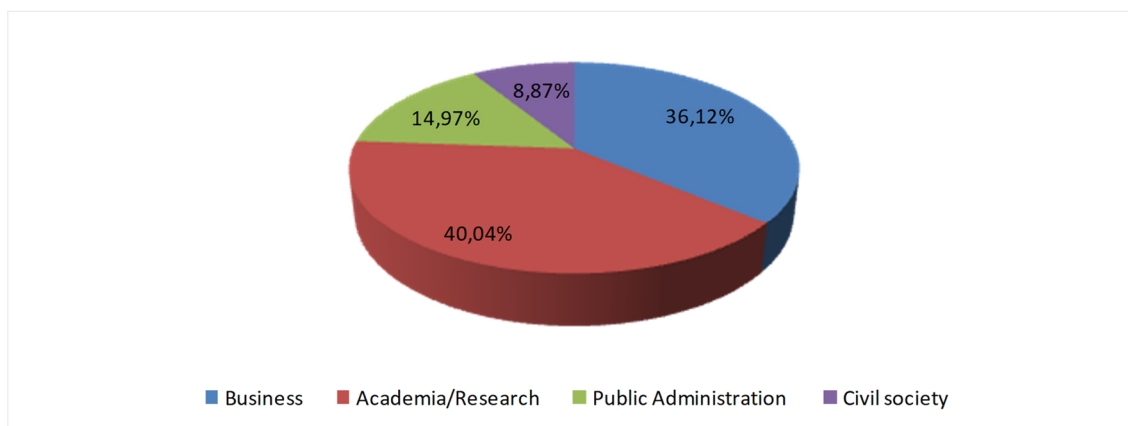
(thematic priorities, policy tools, grand projects, etc.). GSRT also created respective steering groups to follow the dynamics of the process.

The main means that were utilized by Greek regions were: working and/or focus groups (all 13 regions), open consultation platforms and platforms for collecting ideas/projects on selected priority sectors (9 regions). Estimations on the actual outputs of regional and national EDP were given by the respondents.

**Table 2: Key statistics of the EDP deployment**

	Regions (total)	Regions (average)	National/GSRT
Number of meetings/workshops	169	13	40
Number of platforms	17	1.31	8
Participants	5,074	390.31	850

Representation of the quadruple helix varies among regions. Aggregation of the respondents' estimations shows that there is a balance between business and academic sector.



**Chart 1: Stakeholders distribution of regional EDP (average)**

Participation of the business sector is considered to be adequate (in some regions over 50% of total). On the other hand, civil society was underrepresented. Having in mind that agrifood and tourism are the most common regional strategic priorities, the role of organisations that are interested in issues of food, environment and culture is important and such societal organisations should have been more active in the EDP events.

The same distribution of the quadruple helix actors has been reported by GSRT; business 35%, academia 40%, public administration 15% and civil society 10%.

In qualitative terms, contribution of each stakeholder party has been assessed also.

**Table 3: Contribution of the quadruple helix representatives**

<i>Q: How would you comment on the contribution of the quadruple helix representatives?</i>	Major influence	Moderate influence	Neutral	Little influence	No influence
Business and industry	5	5	1	2	0
Academic-Research community	4	4	1	3	1

<i>Q: How would you comment on the contribution of the quadruple helix representatives?</i>	Major influence	Moderate influence	Neutral	Little influence	No influence
Public Administration	7	3	3	0	0
Civil Society	0	1	8	1	3

Civil society's influence on the process was rather low.

In conclusion:

- EDP is considered as of great importance for the development of the smart specialisation strategy.
- Its findings were used in a great degree as key inputs for the completion of policy tools and typologies of actions for Thematic Objectives 1-3.
- Stakeholder engagement was a demanding process in terms of time and cost, with certain pitfalls mainly due to the geographic distance as well as local constraints (motivation, trust issues, etc.) regarding the nature of the process.
- The thematic teams included all types of key actors of the quadruple helix but, in general, civil society was underrepresented.
- The EDP required regional authorities to provide a dedicated management and to act as platforms to enable, sustain and guide stakeholders' participation across the policy-making process.
- Due to EDP, a momentum has been created that the regional authorities should build on for designing and facilitating bottom-up governance structures that include all key stakeholders in generating ideas, building networks and collaborations and translating these into concrete policy measures and even research and business strategies action plans.

### III.2 GOVERNANCE

All 13 regions have designed governance structures organised in two or three levels:

- i. The decision making or strategic level has the tasks of overseeing the whole RIS3 governance and communicating with the political level (Regional Council and Governor). The strategic level has the responsibility to plan and evaluate the implementation of the strategy and to propose to the Regional Council key policy issues in order to be taken into account before taking the respective decisions or actions.
- ii. The executive level has the responsibility of management, coordination and monitoring of the action plan of the smart specialisation strategy.
- iii. The stakeholders' engagement level which comprises by autonomous, self-organised and self-governed informal groups, representing all stakeholders of the quadruple helix, and tasked with assisting the executive level in running the EDP process in a dynamic way.

The main findings from the questionnaires and the interviews concerning the first level or governance are the following:

- During the RIS3 drafting stage (or later) some regions established informal Councils for Research and Innovation following the RIS3 guide. They did so by considering the importance of the planning process and the specific task needed collective expertise from all stakeholder groups.
- Later on, following the provisions of Law 4310/2014, they had to form a (mandatory) Regional Council for Research and Innovation (RCRI) comprising of 7 members from which 3 came from academic/research community. The members had to be selected through a specific process based on an open call of interest.
- The establishment of the RCRI led to the first discontinuity in the structures that worked on the preparation of the initial strategy and the first EDP. Typically they could exist, but they had lost the right to communicate with the central government structure of the national RIS3.
- Almost 1.5 years later, a new law (L. 4386/2016) stated that existing RCRI had to be replaced by new ones comprising of 11 members from which 6 came from academic/research community. Again the members had to be selected with specific process based on an open call of interest.
- As it was expected, this change resulted in new delays and frustration to regional authorities which had to implement the same process again. Moreover it is easy to notice that in the new composition of the RCRI the academic community holds the majority while business influence is downgraded.
- Comparing the mandate of the initial (informal) councils and the ones that were regulated by law, the latter do not cover all prerequisites by the RIS3 guide for the strategic level of governance. Therefore, the organizational structures that were imposed by law cannot deal with the full range of responsibilities prescribed by the RIS3 guide.

Regarding the executive level, main findings are the following:

- From day one of the planning stage, all Greek regional authorities delegated to the respective MAs the whole project. This resulted in the lack of ownership of the RIS3 strategy and a gap in understanding of what is the role of RIS3 for their regions' growth. Furthermore, they had the misconception that all is about the planning of a typical OP, therefore since the MA possess the know-how of drafting an OP they would have no problem in repeating a well-known task.
- It became obvious that MAs cannot cope with all aspects of implementation of the RIS3. There is no doubt that they can contribute to the preparation and publishing of CfPs and to a degree to the monitoring of the implementation, but there are many organizational, skill and resource gaps that have to be bridged for MAs to become fully integrated management units.
- This critical need for enrichment the structural parts of the management level of the governance is not yet fully realized by regional authorities with the exception of very few (for instance Crete). This is another obstacle for taking the governance structure from design to an operational stage.

Finally stakeholders' thematic groups that were brought together and proved valuable for setting priorities, policy tools and potential projects, have not been utilized since the EDP exercise, because of the absence of facilitators to keep running the process.

The key stages of the current situation regarding regional governance structures are aggregated in the following table.

**Table 4: Degree of RIS3 Governance deployment (Y=Yes, N=No)<sup>2</sup>**

	Central Macedonia	Eastern Macedonia-Thrace	Epirus	Thessaly	Western Greece	North Aegean	Crete	Western Macedonia	Ionian Islands	Peloponnese	Attica	South Aegean	Central Greece
The structure is designed/described	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
RCRI is operational	N	N	Y	N	Y	Y	Y	N	N	Y	Y	Y	N
Suitable staff has been appointed to all levels of governance structure	N	N	Y	Y	N	N	Y	N	N	N	N	N	Y
The structure is fully operational	N	N	Y	N	Y	N	Y	N	N	N	N	N	N

Only 3 regions consider that their governance structure is fully operational. The implementation aspects that are highly influenced by the governance structures of the specific regions are exposed in the following table.

**Table 5: Governance structure involvement (Y=Yes, N=No)**

	Epirus	Western Greece	Crete
Project selection in funding programmes	Y	N	Y
Structural and legislative changes aiming at the improvement of RIS3 implementation environment	N	Y	Y
Continuous/dynamic implementation of EDP	Y	Y	Y
Monitoring and evaluation of RIS3	Y	Y	Y
Formation of a framework suitable for networking and collaboration with other Greek and/or EU regions	N	Y	Y
Updating of RIS3 priorities	Y	Y	Y

In conclusion we could argue that the absence of regional RIS3 coordination units for more than 2 years has dismantled (progressively) the “social capital” that was generated with effort through the EDP. Stakeholder groups showed that they believed in the process as a tool for designing regional development policies. Momentum created during the initial planning stage has been already lost and it will be hard for regional authorities to mobilize society again when it will be necessary.

The national RIS3 governance structure is formed as a three-tier model, namely:

- the decision-making level,
- the executive level and
- the delivery level.

All different bodies or units engaged in the system are plotted in Figure 1. They all are 100% staffed and current structure is fully operational.

<sup>2</sup> Orange for the less developed regions, green for the transition ones and blue for the more developed regions according to EU typology.

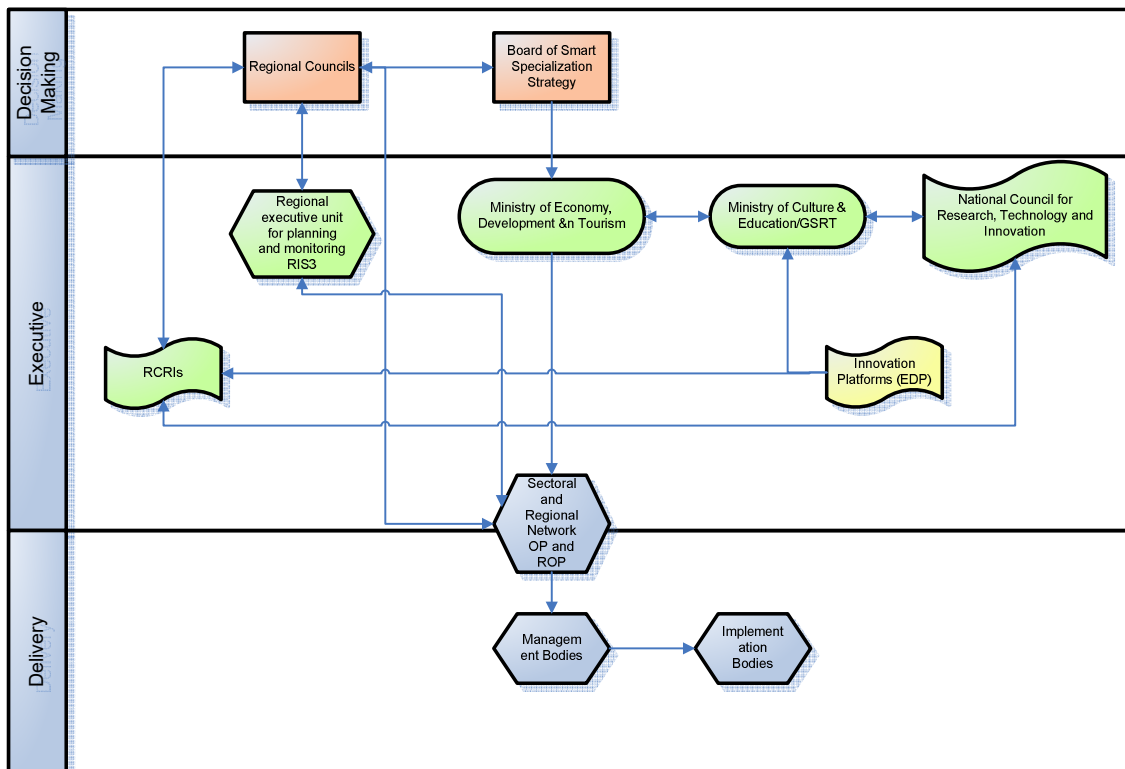


Figure 1: Governance Structure of National RIS3

### III.3 RIS3 ACTIVATION

Although regional and national RIS3 describe actions that contribute to Thematic Objectives (TO) 1-4, currently only actions that belong to TO1<sup>3</sup> have been activated in ROPs and OP Competitiveness Entrepreneurship and Innovation (EPANEK). Therefore, for uniformity reasons all data presented in the following tables/figures are associated exclusively to TO1. The three main stages of activation include:

- i. the Call of Proposal issued by the responsible regional or national Authority;
- ii. the issue of the selected beneficiaries' list;
- iii. the contracted projects' list.

Appendix contains more analytical data of RIS3 activation per region.

Accumulation of activation of TO1 in regional and national level is presented in the following table.

Table 6: Synopsis of RIS3 activation in regional and national level

	Regional	National
Total public funding (M€)	142.05	1,050.00
CfPs public funding (M€)	28.30	411.00

<sup>3</sup> TO1: Strengthening research, technological development and innovation.

	Regional	National
Activation rate <sup>1</sup> (CfPs to total)	19.92%	39.14%
Selected projects(M€)	13.01	101.10
Activation rate <sup>2</sup> (selected projects to total)	9.16%	9.63%

Regional total budget for TO1 is only 13.53% of the respective national and CfPs published by ROPs is less than half of that this ratio. This could be explained by the fact that 2 out of 6 of the national CfPs accumulate for 329 M€, but there are some other major issues regarding the lifecycle of a typical CfP that will be analyzed later in this section.

It is also important that by the end of September 2017 there are not any “legal commitments” (contracted projects) by any of the regional or national OPs for RIS3 projects.

Distribution of published CfPs between the two common Investment Priorities (IP) of TO1 was the next aspect that has been examined (1a<sup>4</sup> and 1b<sup>5</sup>). Within the national level, support to SMEs for RTDI or collaborative research projects (1b) surpasses research infrastructure projects whereas in regional level the opposite situation is recorded.

**Table 7: Distribution of TO1 investment priorities (published CfPs)**

	Regional	National
Investment priority 1a (M€)	15,40	105,00
% of total CfPs	54,41%	25,55%
Investment priority 1b (M€)	12,90	306,00
% of total CfPs	45,59%	74,45%

Greek regions preferred to issue CfPs supporting research infrastructures mainly in order to activate HEIs and other knowledge providers to serve the respective demand by SMEs but also because it was easier for them to manage the different stages of preparation (less bureaucracy) and the small number of potential applications. On the other hand (at national level) mainly because of the “Research-Create-Innovate” call (256 M€) there is a clear advantage of supporting actions to SMEs towards RTDI projects over research infrastructures.

<sup>4</sup> IP 1a: Enhancing research and innovation (R&I) infrastructure and capacities to develop R&I excellence, and promoting centres of competence, in particular those of European interest.

<sup>5</sup> IP 1b: Promoting business investment in R&I, developing links and synergies between enterprises, research and development centres and the higher education sector, in particular promoting investment in product and service development, technology transfer, social innovation, eco-innovation, public service applications, demand stimulation, networking, clusters and open innovation through smart specialisation, and supporting technological and applied research, pilot lines, early product validation actions, advanced manufacturing capabilities and first production, in particular in key enabling technologies and diffusion of general purpose technologies

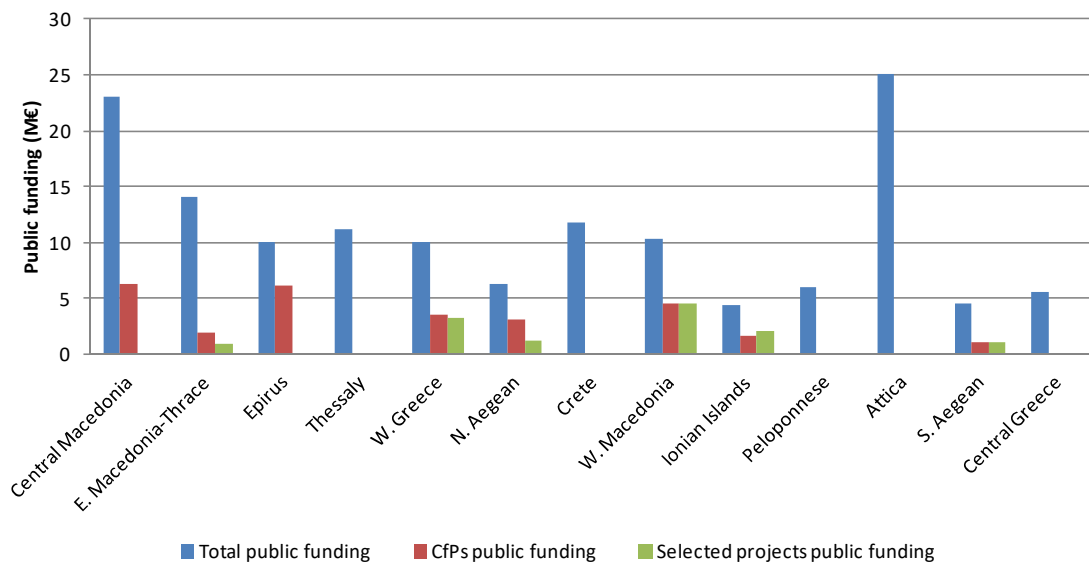


The only policy tools that were used so far within 1b CfPs included (a) collaborative research projects and (b) grants to SMEs for RTDI investments.

**Table 8: Policy tools used within Investment Priority 1b (published CfPs)**

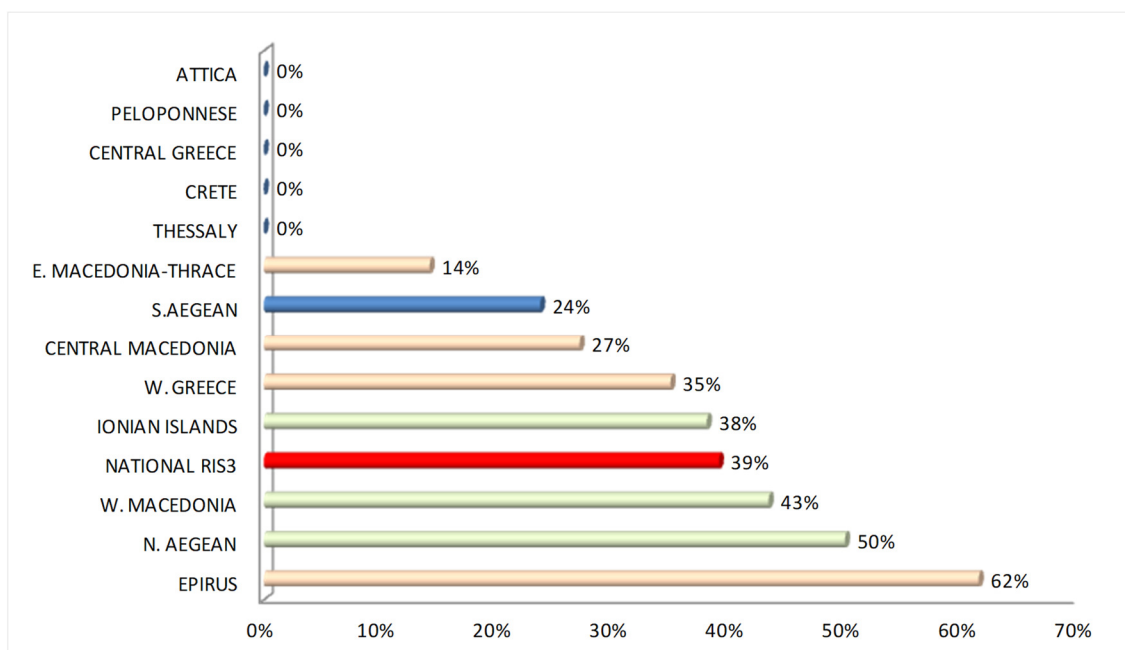
	Regional	National
Collaborative research projects (M€)	8.15	271.00
% on total 1b	63.18%	88.56%
Grants to SMEs for RTDI investments (M€)	4.75	35.00
% on total 1b	36.82%	11.44%

The activation status of RIS3 actions within TO1 is illustrated in Chart 2.



**Chart 2: Activation status of RIS3 in Greek regions**

8 out of 13 regions have issued at least one CfP so far. Activation rate (CfPs to budget for TO1) is presented in the next chart.



**Chart 3: Activation rate at regional and national level**

4/5 of the less developed regions (orange bar), 3/5 of the transition regions (green bar) and 1/3 more developed region (blue bar) have activated TO1. 3 regions have marked higher activation rate than the national one (red colour).

12/13 regions that have already drafted at least one call (even if it is not yet published) have ranked the main factors that were taken into account while designing the call (1: not at all – 5: absolutely).

**Table 9: Main factors for the design of the CfPs (Regional: average of 12 regions, National: GSRT)**

<i>Q: The main factors taken into consideration for the design of the CfPs:</i>	Regional	National
are fully matched to the priorities as they are described in the initial RIS <sub>3</sub> strategy document	4.75	5
were adapted gradually to the RIS <sub>3</sub> strategic priorities	3.09	1
were based in a high degree on the EDP results	4.50	5
tried to cover the gaps from similar CfPs by national Programmes	1.92	1

It is very important that CfPs are based on the fundamentals of the strategy and the “demand” side of the quadruple helix as it was expressed within the EDP exercises (both at regional and national level). However we would expect that regions would investigate more intensively to identify if (and when) a regional priority is not covered by a national one and try to cover the gap by issuing a regional call.

It was mentioned previously that there are issues regarding the lifecycle of a typical CfP that posed high obstacles thus delayed RIS<sub>3</sub> activation. The typical steps for issuing a call within IP 1b include:

- 1) The preparation of the draft of the call (internally).
- 2) Cooperation with the State Aid bureau at the Ministry of Economy, Development and Tourism.

- 3) Cooperation with the MA of RTDI projects (GSRT).
- 4) Development of an electronic version of the CFP into the Information System of State Aid by the Management Organisation Unit of Development Programmes (Ministry of Economy, Development & Tourism). The specific application manages all stages of the call.

All regional MAs reported problems and delays. In the beginning they found different issues that have to be resolved at steps 2-3 and especially with step 4. Gradually they have built the necessary expertise to cope with the first 3 steps but it seems there is a serious bottleneck with step 4 due to lack of human resources.

Another issue that is asking for quick reaction is the way the selected projects will be managed from start (contract) to end (final payment). So far regional MAs are taking care of the specific task with own resources, but this cannot be sustained when numerous CFPs will be activated. This issue calls either for the collaboration with regional units that have the resources and expertise to manage ERDF projects or subcontracting external Intermediary Management Bodies. The latter would be a logic solution but would also need to be paid by the Technical Assistance budget.

### III.4 MONITORING

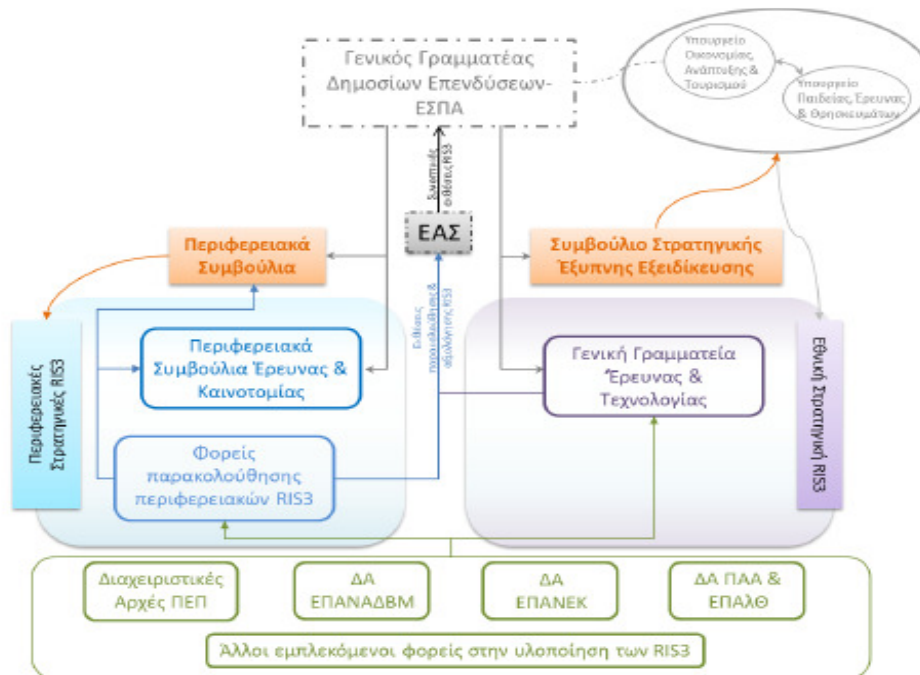
It is already mentioned in the introduction that RIS3 in Greece was developed following a hybrid model both at national and regional level (13 regional plus 1 national smart specialisation strategies). Each strategy had to include a separate section on Monitoring & Evaluation with references of the principles of the monitoring system that would be developed in the implementation stage. Such principles include the basic structure, the core team, the indicators (output and result indicators) that would be applied, sources of data and timeframe of periodic report. Especially for the indicators they had to follow the respective logic of intervention for the regional priorities.

In early 2017, the Special Service for Strategy Planning & Evaluation<sup>6</sup> (SSPE) issued a paper to regional MAs analysing the principles of the national and regional monitoring and evaluation system for RIS3 consisting of:

- a monitoring methodology which includes a set of appropriate indicators to provide information on the strategic choices and policy mix of RIS3 strategies,
- an evaluation methodology which assesses the accuracy of the strategic choices made, the planning and the respective policy mix and measures the efficiency, the effectiveness and the impact of the implemented RIS3 strategies,
- a mechanism which includes the bodies responsible for monitoring and evaluating the RIS3, the process and the evaluation reports (see Figure 2) and
- the timeframe for the drafting and submitting the above-mentioned reports.

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<sup>6</sup> A unit that belongs to the Ministry of Economy, Development and Tourism



**Figure 2: RIS3 national Monitoring & Evaluation System**

The paper addresses some interesting points regarding regional RIS3 monitoring systems:

- 1) The basis for the monitoring of a RIS3 strategy is the intervention logic, as developed in the context of the preparation of the strategy, hence result indicators will be monitored against strategic priorities and output indicators will be monitored in association to actions comprising policy mix.
- 2) Given that national RIS3 is funded by EPANEK and regional RIS3 by ROPs, monitoring systems for RIS3 include those result indicators found in most OPs, as they are the most representative to monitor changes caused by the implementation of the strategy.
- 3) All regions should use a predetermined set of result indicators (6 indicators) in order to have a homogenous monitoring system (in national level). Furthermore, in order to achieve comparison of performance at EU level, a set of indicators found in the Innovation Union Scoreboard should be used. These indicators are divided into those which are available at national and at those who are available at regional level (11 indicators at regional level).
- 4) If a regional monitoring system would not use one or more of the predetermined indicators, detailed justification of the exclusion of the indicator(s) should be given to SSPE.

The timing of the specific paper (almost 2 years after the approval of regional RIS3) and the mandatory adoption of the given result indicators are important factors that affected the current status of the regional monitoring systems both in time lag and context.

**Table 10: Current status of regional RIS3 monitoring systems (Y=Yes, N=No)<sup>7</sup>**

	Central Macedonia	Eastern Macedonia-Thrace	Epirus	Thessaly	Western Greece	North Aegean	Crete	Western Macedonia	Ionian Islands	Peloponnese	Attica	South Aegean	Central Greece
Methodology and functions of the Monitoring System have been developed	Y	Y	Y	N	Y	N	Y	Y	Y	Y	Y	Y	Y
Output and result indicators have been defined	Y	Y	Y	Y	Y	N	Y	Y	Y	Y	Y	Y	Y
Indicators are in line with the RIS3 intervention logic	Y	Y	Y	Y	Y	N/A	Y	Y	Y	Y	Y	Y	Y
Data sources for the calculation of the indicators have been defined	Y	Y	Y	N	Y	N/A	Y	Y	Y	Y	N	Y	Y
The core unit that will be responsible for the monitoring is formed	Y	Y	Y	N	N	N	Y	N	N	N	N	N	N
Communication/dissemination mechanisms for monitoring results have been identified/selected	Y	Y	N	N	Y	N	Y	Y	Y	Y	N	N	Y

- 12 regions indicated that they have defined output and result indicators that they are in line with the intervention logic of the strategy. However, 5 of them stated that they will use the result indicators that they used for their ROP and 7 that they will follow the SSPE paper. The issue of how they will be able to manage to fit a set of indicators in the existing intervention logic without any change remains to be proved.
- Another important aspect is the establishment of the core team that will be responsible for the monitoring system; only 4 regions have a positive answer to the specific question which leads back to the readiness state of the governance structure.
- Finally 7 regions have stated that they are willing to use external experts to support their monitoring system.

In conclusion, there is limited evidence to suggest that any of the regional monitoring systems is operational. Taking into account the hybrid model of RIS3 development in Greece and the distribution of TO1 funding between the national and the regional level, one would expect the national RIS3 monitoring system have been implemented earlier than the regional ones and that the know-how developed in the process would have been shared with the regions. This did not happen. Furthermore, considering that there are neither coordination bodies (RCRIs) at the regional level, nor active monitoring teams in place, it is hard to have monitoring results capable for informing policy learning in time for the interim evaluation which is due Q1 2018.

<sup>7</sup> Orange for the less developed regions, green for the transition ones and blue for the more developed regions according to EU typology.

### III.5 PERCEIVED BARRIERS

In the final section of the survey, regional and national authorities were asked to assess issues that (so far) tend to be barriers to the more effective implementation of the regional and the national RIS3. There was a predefined list of 10 key aspects and the respondents rated them according to the difficulty they faced dealing with them to a scale of 1 (not so difficult) to 5 (high barrier). The final rank is presented in the following table. For comparison reasons the score for the same issue is given by the GSRT representative (national level).

**Table 11: Major factors that pose barriers to RIS3 implementation**

Reported Factors	Regional level	National level
Delays or other problems for the implementation of RIS3 governance structure	4.231	2
Poor coordination between regional bodies that are responsible for planning and implementing RIS3 and the respective national ones	3.833	2
Insufficient exploitation of the benefits that come from EU initiatives (publications, conferences, networking and collaborative actions, etc.)	3.818	3
Low level of mobilization of stakeholders for the exploitation of other funding instruments except ROPs/Ops	3.727	3
Lack of human resources and/or know-how for designing and implementing RIS3 monitoring system	3.538	2
Difficulty of attracting critical mass of representatives of the quadruple helix during EDP	3.385	1
Lack of know-how for interregional co-operation (within Greece and/or EU regions)	3.273	3
Difficulties in adapting CfPs within the framework of private and public investments	2.917	3
Overlaps between regional and national RIS3 strategic priorities	2.385	2
"Competition" to other EU initiatives (HORIZON, etc.)	2.250	2

On the other hand it was asked to the respondents to mention good practices that should be discussed among peer regions and might be adopted in the future. The recorded good practices are associated to the EDP and governance structure.

Reported case	Region
Establishment of a sustainable and effective EDP by the organisation of a series of EDP Focus Groups for idea generation and Project Development Labs (PDLs) which aimed at further refining ideas from the EDP focus groups and taking them closer towards imple-	Eastern Macedonia-Thrace

Reported case	Region
mentation, identifying funding opportunities and action plans for policy. The specific methodology was developed in the EP Preparatory Action run by the JRC-IPTS	
Use of an electronic platform for the submission, classification and initial evaluation of ideas/projects from stakeholders during EDP	Crete, Thessaly
Governance structure with the Regional Authority being in total control of RIS3 implementation. All relevant units and departments of the Region are delegated to different governance levels resulting to enough resources to run the whole structure	Crete

#### IV. CONCLUSIONS

The framework within which regional and national authorities in Greece have designed RIS3 has evolved significantly since its beginning. Having a deadline to face (the submission of the OPs and ROPs) national and regional authorities tried to cope with the new concepts that the smart specialisation approach contains. Immediately after the drafting of their strategy, regions have been found in an uncomfortable state to put in motion those concepts, which were not just theoretical approaches but real life cases. Furthermore for some of them they had no previous experience. The result is that more than 2 years after the approval of the regional and national RIS3 by the European Commission they are facing difficulties in RIS3 implementation in an effective way. More specifically:

- 1) The Entrepreneurial Discovery Process was implemented by all regions in different time frames and formats and it was appreciated generally as a very powerful mechanism for the completion of the design of policy tools, for the validation of strategic priorities and for the demand estimation of the potential projects and funding of selected economic sectors. EDP also proved that regional authorities should provide a dedicated core team that could enable, sustain and guide stakeholders' participation at a high level of representation and outputs generation.
- 2) RIS3 governance should reflect the shared vision of regional strategies and integrate the more dynamic elements of the quadruple helix. Because of the delays of the establishment of the RCRI and the reluctance of Regional Authorities to be actively engaged, most of the units of the designed governance schemes are understaffed resulting to a non operational status of RIS3 governance. The absence of regional RIS3 coordination units for more than 2 years has dismantled (progressively) the "social capital" that was generated with effort through the EDP. Momentum created during the initial planning stage has been already lost and it will be hard for regional authorities to mobilize society again when it will be necessary.
- 3) There is limited evidence that a RIS3 monitoring system has been activated in Greek regions. Taking into account the hybrid setting of RIS3 in Greece, the Monitoring System ought to be fully developed in national level with breaking down all of its components regionally. This applies especially for output and result indicators. Regions on the other hand need to assess if the "regionalized" indicators fit to their RIS3 intervention logic and add indicators that capture the region's RIS3 intervention logic for the regional priorities and do not overlap with the national ones.
- 4) The activation of RIS3 so far is characterized by no absorption; the survey recorded only published and/or active calls by 8 of the 13 regions, with no legal commitments. Delays due to com-

pliance of the CfPs with the new State Aid rules and obligatory development of an electronic management platform for each CfP have been reported by all regions. This made MAs skeptical about their future CfPs especially under TO3. As a result MAs are now in favor of issuing generic calls instead of specialized ones in order to avoid bureaucratic burden. If this happens then the whole concept of specialisation will be canceled.

It is obvious that Greek regions with low capacity in R&I strategy-making in the periphery of the EU, faced significant challenges to adapt to the new procedures and approaches. The final section of the survey revealed numerous obstacles that MAs have faced (and are facing) during implementation of RIS3. Knowledge transfer regarding the most important aspects of implementation might prove useful to resolve current problems within RIS3 implementation context. The thematic workshops that are going to be organised by the JRC-IPTS in the framework of the “Support to RIS3 Implementation in selected Lagging Regions” project, will provide useful technical support for improving the quality of the regional RIS3 and its successful implementation in many ways.



## APPENDIX I - Presentation per Region

## CENTRAL MACEDONIA

SECTION	FINDINGS
EDP	EDP was used mainly for defining RIS3 policy tools and generation of ideas/projects. EDP was implemented through 30 meetings/workshops and an e-platform for public consultation. More than 300 representatives took part in the process: business 55%, academia 40% and public administration 5%. Overall positive contribution from representatives, especially from business sector and public administration. EDP is considered important for the development of the smart specialisation strategy. Its findings were used in a great degree as key inputs for the setting of typologies of actions for TO 1-3.
GOVERNANCE	Governance structure is a three-tier model. At the strategic level the Regional Council for Research and Innovation (RCRI) is not yet formed. The core of the operational level is a recently formed unit "Support of Innovation and Entrepreneurship in RCM". The unit is partly staffed. The bottom level is comprised by the thematic groups or platforms that have not been utilized since the EDP exercise. Overall the structure is not fully operational at the moment.
ACTIVATION DEGREE	Total public funds for RIS3 are 80M€. TO1 accounts for 23M€ from which 27.17% is allocated to one active CfP. No projects selected so far. For the design of the specific CfP, MA took into consideration the regional RIS3 priorities. In the meantime drafting of additional CfPs is on track. There are considerations for the use of an external Intermediary Management Authority, especially for actions under TO3.
MONITORING	Methodology and functions of the Monitoring System have been developed. Output and result indicators have been defined and used in the ROP as well. They are in line with the RIS3 intervention logic. Data sources for the calculation of the indicators have been defined. The core unit that will be responsible for the monitoring has been formed. Communication/dissemination mechanisms for monitoring results have been identified/selected.
MAIN ISSUES	Poor coordination between regional bodies which are responsible for planning and implementing RIS3 and the respective national ones. Lack of know-how for interregional co-operation (within Greece and/or EU regions). Difficulty of attracting critical mass of representatives of the quadruple helix during EDP.

Table 12: Published Calls – Region of Central Macedonia

#	Call for Proposal	Investment priority	Policy Tool	Total Budget (public funds)	Submitted projects (public funds)	Selected projects (public funds)	Number of applications
1	Enhancing public research and innovation (R&I) infrastructure supporting regional RIS3 priorities	1a	Research infra-structures	6.25 M €	Still active	N/A	N/A

## EASTERN MACEDONIA-THRACE

SECTION	FINDINGS
EDP	<p>EDP was introduced and developed with the support of a European Parliament Preparatory Action in the Region run by the JRC-IPTS. The methodology which was developed and tested served as a pilot for several Greek regions.</p> <p>EDP was implemented through 10 meetings/workshops, an e-platform for public consultation and 7 thematic groups dedicated to respective strategic priorities.</p> <p>More than 600 representatives took part in the process: business 35%, academia 25%, public administration 25% and civil society 15%.</p> <p>Overall positive contribution from representatives, minor contribution from civil society representatives.</p> <p>EDP is considered important for the development of the action plan of the initial RIS3 strategic framework. It provided with evidence on the demand for policy tools.</p> <p>It also created a feedback loop for critical issues, like policy, state aid, HR mobility and monitoring.</p>
GOVERNANCE	<p>Governance structure is a three-tier model.</p> <p>At the strategic level the RCRI has been formed recently but it remains practically idle.</p> <p>The core of the operational level is also underdeveloped.</p> <p>The bottom level is comprised by the thematic groups or platforms that have not been utilized since the EDP exercise.</p> <p>Overall the structure is not fully operational at the moment.</p>
ACTIVATION DEGREE	<p>Total public funds for RIS3 are 70M€.</p> <p>TO1 accounts for 14.01M€ from which 14.28% is allocated to one published CFP. Selected projects so far accumulate for 6.92% of the budget, hence lower than the budget of the specific call. No contracts with beneficiaries have been signed.</p> <p>For the design of the specific and the expected CFPs, Management Authority took into consideration the regional RIS3 priorities and the EDP.</p> <p>In the meantime drafting of additional CFPs is on track. They refer to grants to SMEs for RTDI investments within the sectors of marbles, electronic equipment, dairy &amp; meat products and wine with a total budget of 11M€ public funds.</p> <p>For the expected CFP there are considerations to subcontract the technical and the financial control of the selected projects by utilizing two different pools of experts: a scientific group and a group of chartered accountants that will undertake the specific tasks, especially for actions under TO3.</p>
MONITORING	<p>Methodology and functions of the Monitoring System have been developed.</p> <p>Output and result indicators have been defined and used in the ROP as well. They are in line with the RIS3 intervention logic.</p> <p>Effort is put to be matched with the predetermined set of indicators given by the GSRT.</p> <p>Data sources for the calculation of the indicators have been defined.</p> <p>The core unit that will be responsible for the monitoring has been formed.</p> <p>Communication/dissemination mechanisms for monitoring results have been identified/selected.</p>
MAIN ISSUES	<p>Delays or other problems for the implementation of RIS3 governance structure.</p> <p>Difficulty of attracting critical mass of representatives of the quadruple helix during EDP.</p> <p>Overlaps between regional and national RIS3 strategic priorities.</p> <p>Poor coordination between regional bodies which are responsible for planning and implementing RIS3 and the respective national ones.</p>

Table 13: Published Calls – Region of Eastern Macedonia-Thrace

#	Call for Proposal	Investment priority	Policy Tool	Total Budget (public funds)	Submitted projects (public funds)	Selected projects (public funds)	Number of applications
1	Enhancing innovative projects within the sectors of chemicals and polymers	1b	Grants to SMEs for RTDI investments	2 M€	3.15 M€	0.97 M€	11

## EPIRUS

SECTION	FINDINGS
EDP	EDP was used mainly for defining policy tools for RIS3 and generation of ideas/projects. EDP was implemented exclusively through 4 meetings/workshops. Around 300 representatives took part in the process: business 45%, academia 25% and public administration 30%. Overall positive contribution from representatives, minor contribution from civil society. EDP is considered important for mobilizing actors, especially from business community. It provided with evidence on the demand for policy tools and priorities as expressed by the triple helix (no active participation on behalf of the civil society).
GOVERNANCE	Governance structure is a three-tier model. At the strategic level the RCRI has been formed since spring of 2017. The core of the operational level is staffed only by MA. The bottom level is comprised by the thematic groups that have not been utilized since the EDP exercise. Overall the structure is not fully operational at the moment.
ACTIVATION DEGREE	Total public funds for RIS3 are 42.7M€. TO1 accounts for 10M€ from which 61.5% is allocated to one active CfP. No projects selected so far. For the design of the specific CfP, Management Authority took into consideration the regional RIS3 priorities. In the meantime drafting of additional CfPs is on track under investment priority 3a. To cover management of the forthcoming CfPs, the Directorate of Planning & Development has been assigned most of the tasks associated with the management cycle of the submitted and selected projects. MA will provide special technical guidance.
MONITORING	Methodology and functions of the Monitoring System have been developed. Output and result indicators have been defined and used in the ROP as well. They are in line with the RIS3 intervention logic. Data sources for the calculation of the indicators have been defined. The core unit that will be responsible for the monitoring has been formed. Communication/dissemination mechanisms for monitoring results have not been identified/selected.
MAIN ISSUES	Overlaps between regional and national RIS3 strategic priorities. Poor coordination between regional bodies which are responsible for planning and implementing RIS3 and the respective national ones. Insufficient exploitation of the benefits that come from EU initiatives (publications, conferences, networking and collaborative actions, etc.).

Table 14: Published Calls – Region of Epirus

#	Call for Proposal	Investment priority	Policy Tool	Total Budget (public funds)	Submitted projects (public funds)	Selected projects (public funds)	Number of applications
1	Enhancing innovative collaborative projects within the sectors of agrifood, creative industry, ICT and biotechnology	1b	Collaborative research projects	6.15 M €	Still active	N/A	N/A

## THESSALY

SECTION	FINDINGS
EDP	<p>EDP was implemented during the formation of the RIS3 strategy via thematic working groups. It was also intensively implemented for generation of ideas/projects which contributed to shaping the regional RIS3 action plan.</p> <p>Means used for EDP include 5 meetings/workshops and an e-platform for submission of ideas/projects after the conclusion of the working groups (more than 700 ideas/projects were submitted).</p> <p>810 representatives took part in the process: business 41%, academia 42%, public administration 10% and civil society 7%. Very positive contribution from business sector and academia/research sector, rather minor contribution from civil society and public administration.</p> <p>EDP was piloted in the beginning with great concern, but its success led the Region to consider it as a very powerful tool for communication and co-operation.</p> <p>It provided MA with evidence on the needs for possible actions and policy tools that influenced the planning stage of the CfPs.</p>
GOVERNANCE	<p>Governance structure is a three-tier model.</p> <p>At the strategic level the RCRI has not been formed.</p> <p>The core of the operational level is the "Autonomous Office for RIS3" until RIEC will decide for a different unit for the specific mandate.</p> <p>The bottom level is comprised by the thematic platforms that have not been utilized since the EDP exercise.</p> <p>Overall the structure is not fully operational at the moment.</p>
ACTIVATION DEGREE	<p>Total public funds for RIS3 are 61.9M€.</p> <p>TO1 accounts for 11.25M€.</p> <p>No CfPs have been issued until now.</p> <p>Drafting of CfPs will be based on the results of EDP.</p> <p>There are considerations for the use of an external Intermediary Management Authority, especially for actions under TO3.</p>
MONITORING	<p>Methodology and functions of the Monitoring System have not been designed.</p> <p>Output and result indicators have been defined and follow the proposed set of indicators by GSRT.</p> <p>Matching of the result indicators with RIS3 intervention logic has to be done.</p> <p>Data sources for the calculation of the indicators have not been defined.</p> <p>The core unit that will be responsible for the monitoring has not been formed.</p> <p>Communication/dissemination mechanisms for monitoring results have not been identified/selected.</p>
MAIN ISSUES	<p>Delays or other problems for the implementation of RIS3 governance structure.</p> <p>Lack of human resources and/or know-how for designing and implementing of the monitoring system.</p>

## WESTERN GREECE

SECTION	FINDINGS
EDP	<p>EDP was used mainly for defining policy tools for RIS<sub>3</sub> and generation of ideas/projects. EDP was implemented through 13 meetings/workshops and 4 thematic platforms (microelectronics, advanced materials, ICT and energy).</p> <p>Around 550 representatives took part in the process: business 30%, academia 65% and the rest distributed between public administration and civil society.</p> <p>Very positive contribution from academia/research community, lower than expected from business and minor contribution from public administration and civil society.</p> <p>Meetings are considered important for mobilizing actors. However thematic platforms are considered more effective for defining projects, especially collaborative ones.</p>
GOVERNANCE	<p>Governance structure is a three-tier model.</p> <p>At the strategic level the RCRI has been formed and actively engaged in the governance structure.</p> <p>The core of the operational level is partially staffed by the Managing Authority.</p> <p>The bottom level is comprised by the thematic working groups.</p> <p>Overall the structure is operational and dealing with all key aspects of RIS<sub>3</sub> implementation except the choice of CfPs. This remains a responsibility of the MA.</p>
ACTIVATION DEGREE	<p>TO1 accounts for 10M€ from which 35% is allocated to two published CfPs. Selected projects accumulate for 32% of the budget. No contracts with beneficiaries have been signed.</p> <p>For the design of the two CfPs, MA took into consideration the regional RIS<sub>3</sub> priorities.</p> <p>The Region was one of the very first Greek regions to issue a call under investment priority 1b and faced a long period of delay due to low level of readiness of national bodies (legal and regulative framework, state aid information system, etc.)</p>
MONITORING	<p>Methodology and functions of the Monitoring System have been developed.</p> <p>Output and result indicators have been defined and are in line with the predetermined indicators by GSRT. They are in line with the RIS<sub>3</sub> intervention logic.</p> <p>Data sources for the calculation of the indicators have been defined.</p> <p>The core unit that will be responsible for the monitoring has not been formed.</p> <p>Communication/dissemination mechanisms for monitoring results have been identified/selected.</p>
MAIN ISSUES	<p>Delays or other problems for the implementation of RIS<sub>3</sub> governance structure.</p> <p>Lack of human resources and/or know-how for designing and implementing of the monitoring system.</p> <p>Poor coordination between regional bodies which are responsible for planning and implementing RIS<sub>3</sub> and the respective national ones.</p> <p>Lack of know-how for interregional co-operation (within Greece and/or EU regions).</p>

Table 15: Published Calls – Region of Western Greece

#	Call for Proposal	Investment priority	Policy Tool	Total Budget (public funds)	Submitted projects (public funds)	Selected projects (public funds)	Number of applications
1	Enhancing innovative collaborative projects within the sectors of microelectronics and advanced materials	1b	Collaborative research projects	2 M €	7.34 M €	2.07 M €	42
2	Promotion of transnational research projects for SMEs	1b	Grants to SMEs for RTDI investments	1.5 M €	1.21 M €	1.13 M €	6

## NORTH AEGEAN

SECTION	FINDINGS
EDP	EDP was implemented during the formation of the RIS3 strategy via thematic working groups and for shaping ideas/projects during the action planning process. EDP was implemented through 6 meetings/workshops and 1 thematic platform (agrifood and creative tourism). Around 250 representatives took part in the process: business 10%, academia 85% and public administration 5%. Very poor contribution from business. Rather a research-driven EDP approach. Despite that EDP was acknowledged as a useful tool for constructive idea generation, it was not planned adequately.
GOVERNANCE	Governance structure is not present at the moment. It is considered to be a three-tier model. At the strategic level the RCRI has been formed recently. The core of the operational level is partially staffed by the Managing Authority. The bottom level is comprised by the thematic working groups.
ACTIVATION DEGREE	Total public funds for RIS3 are 40M€. TO1 accounts for 6.25M€ from which 50% is allocated to two published CfPs. Selected projects accumulate for 20% of the budget. No contracts with beneficiaries have been signed. For the design of the two CfPs, Management Authority took into account the regional RIS3 priorities. There are considerations for the use of an external Intermediary Management Authority, especially for actions under TO3.
MONITORING	The Region has not developed any of the components of the RIS3 monitoring system.
MAIN ISSUES	Delays or other problems for the implementation of RIS3 governance structure. Difficulties in adapting CfPs within the framework of private and public investments. Poor coordination between regional bodies which are responsible for planning and implementing RIS3 and the respective national ones. Lack of know-how for interregional co-operation (within Greece and/or EU regions). Insufficient exploitation of the benefits that come from EU initiatives (publications, conferences, networking and collaborative actions, etc).

Table 16: Published Calls – Region of North Aegean

#	Call for Proposal	Investment priority	Policy Tool	Total Budget (public funds)	Submitted projects (public funds)	Selected projects (public funds)	Number of applications
1	Enhancing public research and innovation (R&I) infrastructure matching the regional strategic priorities of RIS3	1a	Research infra-structures	1.875 M €	Still Active	N/A	N/A
2	Promotion of transnational research projects for SMEs especially within the sectors of agrifood and tourism	1b	Grants to SMEs for RTDI investments	1.25 M €	1.275 M €	1.25 M €	2

## CRETE

SECTION	FINDINGS
EDP	<p>EDP was used mainly for defining policy tools for RIS<sub>3</sub> and generation of ideas/projects. It is also used as a tool for the implementation of the smart specialisation strategy.</p> <p>EDP was implemented through 60 meetings/workshops and 3 thematic platforms (environment, tourism, and agrifood).</p> <p>Around 800 representatives took part in the process: business 30%, academia 40%, public administration 10% and civil society 20%.</p> <p>An e-platform was also developed for submission of ideas/projects after the conclusion of the working groups.</p> <p>Very positive contribution generally from all stakeholder groups, a little bit lower from civil society.</p> <p>EDP structure constitutes a very powerful tool for consultation, aggregation of ideas and opinions and a catalyst for open collaboration between industry and research/academic community.</p>
GOVERNANCE	<p>Governance structure is a three-tier model. At all levels a full integration of all units of Regional Authority has been accomplished.</p> <p>At the strategic level the RCRI has been formed and actively engaged in the governance structure.</p> <p>The core of the operational level is run by the Regional Directorate of Planning &amp; Development.</p> <p>The bottom level is comprised by the thematic working groups facilitated by staff from respective units of the Region.</p> <p>Overall the structure is operational and dealing with all main aspects of RIS<sub>3</sub> implementation.</p>
ACTIVATION DEGREE	<p>Total public funds for RIS<sub>3</sub> are 59.05M€.</p> <p>TO1 accounts for 11.72M€.</p> <p>Although having a very coherent governance structure and implementing a thorough EDP, the Region has not issued any CFPs yet. However they have prepared the following calls:</p> <ol style="list-style-type: none"> <li>1. Small-scale demonstration research projects with direct effect on business applications within the 4 thematic priorities of RIS<sub>3</sub> (IP 1b, total public funding 1.5M€).</li> <li>2. Collaborative research projects within the thematic priorities of tourism, agrifood and knowledge management (IP 1b, total public funding 8.5M€).</li> <li>3. Collaborative research projects within the thematic priority of environment (IP 4f, total public funding 2M€).</li> <li>4. Development of ICT applications for creative culture and tourism (IP 2c, total public funding 4M€).</li> </ol> <p>#1 and #4 are public investments, therefore it is not necessary to go through the Information System of State Aid and it is expected to be issued soon. For #2-3 it is expected to follow all necessary steps described in section III.3.</p>
MONITORING	<p>Methodology and functions of the Monitoring System have been initially developed.</p> <p>Output and result indicators have been defined and matching the ones used in ROP as well. They are in line with the RIS<sub>3</sub> intervention logic.</p> <p>Data sources for the calculation of the indicators have been defined.</p> <p>The core unit that will be responsible for the monitoring has been formed.</p> <p>Communication/dissemination mechanisms for monitoring results have been identified/selected.</p>
MAIN ISSUES	<p>Low level of mobilization of stakeholders for the exploitation of other funding instruments except ROPs/OPs.</p> <p>Poor coordination between regional bodies which are responsible for planning and implementing RIS<sub>3</sub> and the respective national ones.</p> <p>Insufficient exploitation of the benefits that come from EU initiatives (publications, conferences, networking and collaborative actions, etc).</p>



## WESTERN MACEDONIA

SECTION	FINDINGS
EDP	<p>EDP was used mainly for defining strategic priorities for RIS3 and generation of ideas/projects. It was implemented after the strategy was drafted.</p> <p>EDP was implemented through 3 thematic meetings/workshops and 10 closed technical meetings.</p> <p>259 representatives took part in the process: business 20%, academia 30%, public administration 40% and civil society representatives 10%.</p> <p>Overall positive contribution from representatives, especially from academic and research sector.</p> <p>EDP is considered important for the development of the smart specialisation strategy. It ought to be a rather dynamic process throughout RIS3 lifecycle.</p>
GOVERNANCE	<p>Governance structure is a three-tier model.</p> <p>At the strategic level the RCRI has just been established.</p> <p>The middle level has a supportive/executive role. Recent efforts have been made to integrate other units of the regional authorities in the operations of RIS3 implementation. Staffing of middle level is yet to be concluded.</p> <p>The bottom level is comprised by the thematic groups and is going to be supported by the Regional Unit for Development and Entrepreneurship.</p> <p>Overall the structure is not operational at the moment.</p>
ACTIVATION DEGREE	<p>Total public funds for RIS3 are 58M€.</p> <p>TO1 accounts for 10.36M€ from which 43.44% is allocated to one published CfP under investment priority 1a.</p> <p>There is another CfP regarding supporting SMEs for RTDI projects within the sectors of agrifood, winery and fur articles.</p> <p>For the design of the CfPs, Management Authority took into consideration the regional RIS3 priorities.</p>
MONITORING	<p>Methodology and functions of the Monitoring System have been developed.</p> <p>Output and result indicators have been defined and used in the ROP as well. They are in line with the RIS3 intervention logic.</p> <p>Data sources for the calculation of the indicators have been defined.</p> <p>The core unit that will be responsible for the monitoring has not been formed.</p> <p>Communication/dissemination mechanisms for monitoring results have been identified/selected.</p>
MAIN ISSUES	<p>Delays or other problems for the implementation of RIS3 governance structure.</p> <p>Poor coordination between regional bodies which are responsible for planning and implementing RIS3 and the respective national ones.</p> <p>Lack of human resources and/or know-how for designing and implementing of the monitoring system.</p> <p>Difficulty of attracting critical mass of representatives of the quadruple helix during EDP.</p>

Table 17: Published Calls – Region of Western Macedonia

#	Call for Proposal	Investment priority	Policy Tool	Total Budget (public funds)	Submitted projects (public funds)	Selected projects (public funds)	Number of applications
1	Enhancing existing and/or creation of new research infrastructure supporting regional RIS3 priorities	1a	Research infra-structures	4.5 M €	4.5 M €	4.5 M €	1

## IONIAN ISLANDS

SECTION	FINDINGS
EDP	<p>EDP was implemented during the formation of the RIS3 strategy via thematic working groups and for shaping ideas/projects during the action planning process.</p> <p>EDP was implemented through 15 meetings/workshops and 1 platform for submitting ideas/projects.</p> <p>Around 460 representatives took part in the process: business 40%, academia 40%, public administration 5% and civil society 15%.</p> <p>Very poor contribution from business administration. Good balance regarding business and academia/researchers.</p> <p>Despite that EDP was an unknown process it proved to be very important for the understanding of key elements of RIS3 among regional stakeholders which responded in a positive way.</p>
GOVERNANCE	<p>Governance structure is planned to be a three-tier model.</p> <p>At the strategic level the RCRI has not been formed.</p> <p>The core of the operational level is partially staffed by the Managing Authority.</p> <p>The bottom level is comprised by the thematic working groups. Facilitators are yet to be appointed.</p>
ACTIVATION DEGREE	<p>Total public funds for RIS3 are 45.04M€.</p> <p>TO1 accounts for 4.46M€ from which 38.12% is allocated to one published Cfp. Selected projects accumulate for 45.22% of the budget. No contracts with beneficiaries have been signed.</p> <p>For the design of the all CfPs, Management Authority took into consideration the regional RIS3 priorities and the outputs of the EDP.</p>
MONITORING	<p>Methodology and functions of the Monitoring System have been developed.</p> <p>Output and result indicators have been defined and matching the predetermined indicators by GSRT. They are in line with the RIS3 intervention logic.</p> <p>Data sources for the calculation of the indicators have been defined.</p> <p>The core unit that will be responsible for the monitoring has not been formed.</p> <p>Communication/dissemination mechanisms for monitoring results have been identified/selected.</p>
MAIN ISSUES	<p>Delays or other problems for the implementation of RIS3 governance structure.</p> <p>Low level of mobilization of stakeholders for the exploitation of other funding instruments except ROPs/OPs.</p> <p>Lack of know-how for interregional co-operation (within Greece and/or EU regions).</p> <p>Insufficient exploitation of the benefits that come from EU initiatives (publications, conferences, networking and collaborative actions, etc).</p>

**Table 18: Published Calls – Region of Ionian Islands**

#	Call for Proposal	Investment priority	Policy Tool	Total Budget (public funds)	Submitted projects (public funds)	Selected projects (public funds)	Number of applications
1	Enhancing public research and innovation (R&I) infrastructure that serves the needs of the agri-food sector	1a	Research infra-structures	1.7 M€	2.32 M€	2.02 M€	12

## PELOPONNESE

SECTION	FINDINGS
EDP	<p>EDP was used mainly for defining RIS3 strategic priorities during drafting of the strategy and generation of ideas/projects during development phase of the action plan.</p> <p>EDP was implemented through 8 meetings/workshops and an e-platform for submission of ideas/projects.</p> <p>Around 285 representatives took part in the process: business 80%, academia 15% and public administration 5%.</p> <p>Overall positive contribution from representatives, especially from the business sector.</p> <p>EDP was initially piloted with some degree of reluctance, especially on behalf of the academics/researchers. Gradually participation grew higher and led to useful results for the design of the CfPs.</p>
GOVERNANCE	<p>Governance structure is a two-tier model.</p> <p>At the strategic level the RCRI is formed.</p> <p>The core of the executive level is the "Centre for Technology and Innovation Transfer". The study that will define its structure and operational model is yet to be concluded.</p> <p>Overall the structure is not fully operational at the moment.</p>
ACTIVATION DEGREE	<p>Total public funds for RIS3 are 25M€.</p> <p>TO1 accounts for 6M€. No CfPs have been issued yet.</p> <p>However there are two CfPs under IP 1b (total public funding is 2.5M€) and one under IP 2b (grants to touristic SMEs for investments in ICT) with total public funding of 1M€ that are waiting either approval by the State Aid bureau or application development within the State Aid Information System.</p> <p>For the design of the specific CfP, Management Authority took into consideration the results of the EDP exercise.</p>
MONITORING	<p>Methodology and functions of the Monitoring System have been developed.</p> <p>Output and result indicators have been defined matching proposed set of indicators by GSRT. They are in line with the RIS3 intervention logic.</p> <p>Data sources for the calculation of the indicators have been defined.</p> <p>The core unit that will be responsible for the monitoring has not been formed.</p> <p>Communication/dissemination mechanisms for monitoring results have been identified/selected.</p>
MAIN ISSUES	<p>Delays or other problems for the implementation of RIS3 governance structure.</p> <p>Poor coordination between regional bodies that are responsible for planning and implementing RIS3 and the respective national ones.</p>

## ATTICA

SECTION	FINDINGS
EDP	<p>EDP was used after the initial RIS<sub>3</sub> was developed. It supported mainly the specialisation of the action plan. EDP was implemented through 4 meetings/workshops and 3 thematic platforms associated to the strategic priorities (tourism and culture, environment, agrifood).</p> <p>Around 250 representatives took part in the process: business 10%, academia 50%, public administration 25% and civil society 15%.</p> <p>Very poor contribution by the business sector.</p> <p>EDP did not have the results that were anticipated. It was hard to mobilize the business sector, therefore idea generation and collaboration with the academic/research sector was not feasible.</p>
GOVERNANCE	<p>Governance structure is a two-tier model.</p> <p>At the strategic level the RCRI is formed.</p> <p>The core of the executive level is the "Centre of Innovation of Attica Region". The specific structure has not been established yet. In order to have flexible procedures it will be organized and run by the Regional Development Fund of Attica.</p> <p>Overall the structure is not fully operational at the moment.</p>
ACTIVATION DEGREE	<p>Total public funds for TO<sub>1</sub> are 25M€.</p> <p>No CfPs have been issued yet.</p> <p>However there are three CfPs under IP 1b relevant to the 3 strategic priorities that have been forwarded for development to the State Aid Information System.</p> <p>For the design of the specific CfP, Management Authority took into consideration the results of initial strategic framework enriched with the results of the EDP exercise.</p>
MONITORING	<p>Methodology and functions of the Monitoring System have been developed.</p> <p>Output and result indicators have been defined matching the proposed set of indicators by GSRT. They are in line with the RIS<sub>3</sub> intervention logic.</p> <p>Data sources for the calculation of the indicators have not been defined.</p> <p>The core unit that will be responsible for the monitoring has not been formed.</p> <p>Communication/dissemination mechanisms for monitoring results have not been identified/selected.</p>
MAIN ISSUES	<p>Difficulty of attracting critical mass of representatives of the quadruple helix during EDP.</p> <p>Difficulties in adapting CfPs within the framework of private and public investments.</p> <p>Delays or other problems for the implementation of RIS<sub>3</sub> governance structure.</p> <p>Lack of human resources and/or know-how for designing and implementing RIS<sub>3</sub> monitoring system.</p>

## SOUTHERN AEGEAN

SECTION	FINDINGS
EDP	EDP was used mainly for defining RIS3 strategic priorities during drafting of the strategy and generation of ideas/projects during development phase of the action plan. EDP was implemented through 6 meetings/workshops and 2 e-applications. The first aimed at public consultation and the second for submission of ideas during the development of the RIS3 action plan. Only 60 representatives took part in the process: business 20%, academia 20% and public administration 60%. Low figures are attributed mainly to geographic constraints of the region and different "micro-culture" that exists in every island. Overall not positive contribution from representatives.
GOVERNANCE	Governance structure is a two-tier model. At the strategic level RCRI has been formed since late 2016. The core of the operational level is staffed only by MA. The thematic groups are not operational. Overall the structure is not fully operational at the moment.
ACTIVATION DEGREE	Total public funds for RIS3 are 22M€. TO1 accounts for 4.5M€ from which 23.78% is allocated to one published CfP. For the design of the specific CfP, Management Authority took into consideration the regional RIS3 priorities. In the meantime drafting of an additional CfPs has been concluded. It refers on the development of ICT applications for cultural tourism (IP 2c, total public funding 1.7M€).
MONITORING	Methodology and functions of the Monitoring System have been developed. Output and result indicators have been defined and used in the ROP as well. They are in line with the RIS3 intervention logic. Data sources for the calculation of the indicators have been defined. The core unit that will be responsible for the monitoring is not yet formed. Communication/dissemination mechanisms for monitoring results have not been identified/selected.
MAIN ISSUES	Difficulty of attracting critical mass of representatives of the quadruple helix during EDP. Delays or other problems for the implementation of RIS3 governance structure. Lack of human resources and/or know-how for designing and implementing RIS3 monitoring system. Low level of mobilization of stakeholders for the exploitation of other funding instruments except ROPs/OPs. Lack of know-how for interregional co-operation (within Greece and/or EU regions).

Table 19: Published Calls – Region of Southern Aegean

#	Call for Proposal	Investment priority	Policy Tool	Total Budget (public funds)	Submitted projects (public funds)	Selected projects (public funds)	Number of applications
1	Enhancing public research and innovation (R&I) infrastructure supporting regional RIS3 priorities	1a	Research infra-structures	1.07 M €	Still active	N/A	N/A

## CENTRAL GREECE

SECTION	FINDINGS
EDP	<p>EDP was used mainly for generation of ideas/projects during development phase of the action plan. EDP was implemented through 5 meetings/workshops. Around 150 representatives took part in the process: business 40%, academia 10% and public administration 50%. Overall positive contribution from representatives, especially from the business sector. Academic/research sector was not as involved as it was anticipated. EDP was acknowledged as a useful tool for constructive idea generation and it resulted to new ways of consultation with stakeholders.</p>
GOVERNANCE	<p>Governance structure is a three-tier model. At the strategic level the RCRI is recently formed. The core of the operational level is run by the Regional Directorate of Planning &amp; Development and is supported by the “Centre for Regional and Local Innovation”. The bottom level is comprised by the thematic working groups and will be facilitated by staff from respective units of the Region. Overall the structure is not fully operational at the moment.</p>
ACTIVATION DEGREE	<p>Total public funds for RIS3 are 15M€. TO1 accounts for 5,5M€. No CfPs have been issued yet. However there are two CfPs under IP 1b (total public funding is 3,5M€) that are waiting either approval by the State Aid bureau or application development within the State Aid Information System. For the design of the specific CfP, MA took into consideration the regional RIS3 priorities and made some adjustments based on the findings of the EDP.</p>
MONITORING	<p>Methodology and functions of the Monitoring System have been developed. Output and result indicators have been defined matching proposed set of indicators by GSRT. They are in line with the RIS3 intervention logic. Data sources for the calculation of the indicators have been defined. The core unit that will be responsible for the monitoring has not been formed. Communication/dissemination mechanisms for monitoring results have been identified/selected.</p>
MAIN ISSUES	<p>Delays or other problems for the implementation of RIS3 governance structure. Difficulties in adapting CfPs within the framework of private and public investments Poor coordination between regional bodies which are responsible for planning and implementing RIS3 and the respective national ones.</p>

## NATIONAL LEVEL (EPANEK/GSRT)

SECTION	FINDINGS
EDP	<p>GSRT used extensively EDP in both stages of planning the national strategy and the respective action plan; a thorough process was developed leading to the creation of 8 thematic platforms that came up with key elements of the national RIS3 (thematic priorities, policy tools, grand projects, etc.).</p> <p>GSRT also created respective steering groups to follow the dynamics of the process.</p> <p>EDP was implemented through 40 meetings/workshops and 8 thematic platforms dedicated to respective strategic priorities. More than 850 representatives took part in the process (allocation of the second part of the process: business 35%, academia 40%, public administration 15% and civil society 10%).</p> <p>Overall positive contribution from representatives.</p> <p>EDP is considered very important for the development of the strategy and the action plan as well. It mobilized numerous bodies of the industrial, research and civil society segments.</p>
GOVERNANCE	<p>Governance structure is a three-tier model.</p> <p>At the decision making level (strategic level) the Board of Smart Specialization Strategy has been formed and collaborates with the regional councils.</p> <p>The executive level consists of several bodies. Its heart remains the Innovation Platforms.</p> <p>The bottom level is comprised by the Sectoral and Regional Network OP and ROPs and Management and Implementation Bodies.</p> <p>Overall the structure is fully operational at the national level.</p>
ACTIVATION DEGREE	<p>Total public funds for TO1 are 1,050M€.</p> <p>39.14% is allocated to 6 published CfPs. Selected projects so far accumulate for 9.63% of the budget. No contracts with beneficiaries have been signed.</p> <p>For the design of the specific and the expected CfPs, national RIS3 priorities and the EDP results have taken into account.</p> <p>For the management of the contracted projects an Intermediary Management Body within the Ministry of Education and Culture will be used.</p>
MONITORING	<p>Methodology and functions of the Monitoring System have been developed.</p> <p>Output and result indicators have been defined and used in the ROP as well. They are in line with the RIS3 intervention logic.</p> <p>Data sources for the calculation of the indicators have been defined.</p> <p>The core unit that will be responsible for the monitoring has been formed.</p> <p>Communication/dissemination mechanisms for monitoring results have been identified/selected.</p>
MAIN ISSUES	<p>Difficulties in adapting CfPs within the framework of private and public investments.</p> <p>Low level of mobilization of stakeholders for the exploitation of other funding instruments except ROPs/OPs.</p> <p>Lack of know-how for interregional co-operation (within Greece and/or EU regions).</p> <p>Insufficient exploitation of the benefits that come from EU initiatives (publications, conferences, networking and collaborative actions, etc.).</p>

Table 20: Published Calls – EPANEK/GSRT

#	Call for Proposal	Investment priority	Policy Tool	Total Budget (public funds)	Submitted projects (public funds)	Selected projects (public funds)	Number of applications
1	"Research, Create, Innovate"	1b	Grants to SMEs for RTDI investments  Collaborative research projects	256 M€	1,395 M€	Evaluation stage	2,426

#	Call for Proposal	Investment priority	Policy Tool	Total Budget (public funds)	Submitted projects (public funds)	Selected projects (public funds)	Number of applications
2	Support for the Research and Innovation Infrastructures (National Roadmap of Research Infrastructures)	1a	Research Infrastructure	73 M€	79.52 M€	64.60 M€	20
3	Transnational bilateral cooperation (Germany, Russia, Israel)	1b	Grants to SMEs for RTDI investments  Collaborative research projects	15.5 M€	73.20 M€	Evaluation stage	203
4	ERANETS	1b	Collaborative research projects	4.5 M€	5 M€	4.5 M€	32
5	"KRIPIS"	1a	Research Infrastructure	32 M€	33 M€	32 M€	31
6	Specialised actions within the sectors of fishery, industrial materials, open innovation and culture	1b	Collaborative research projects	30 M€	Active	N/A	N/A