Guidance for S3 Governance
in the Period 2021-2027

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I. INTRODUCTION AND SCOPE

This report aims to introduce a novel, process-based framework to governance and provide a methodology for mapping the roles of stakeholder groups in each process. This approach can support both the systematic assessment of existing S3 governance systems in terms of completeness and overlaps in the roles and also the design of integrated governance systems for the next programming period.

It does so by first considering in Section II a generalised model for S3 governance that is applicable to all three types of governance systems (decentralised, centralised and hybrid) that have been identified in the context of previous support actions, and by building on existing guidance by the Project Management Institute (2016) provides a taxonomy of key processes to four governance domains and four governance functions.

Section III describes an iterative approach for adapting and fine-tuning the framework in the context of smart specialisation strategies by means of two participatory exercises carried out in the context of workshops organised by the H2020 Support to the horizontal (international) activities the Lagging Regions project, second phase (LAGREG2) project and discusses findings and lessons learnt.

Finally, Section IV provides the conclusions and some recommendations for follow-up.

II. A GENERALISED MODEL FOR S3 GOVERNANCE

In a nutshell, a S3 can be considered as a process to align portfolios, programmes and projects towards the achievement of a set of agreed territorial development objectives. An essential distinction of the portfolios, programmes or projects which are available to the territorial unit for implementing its S3 is the *degree of influence* that the local governance system can have on them. With reference to Figure 1, *local* portfolios, programmes and projects are assumed to be under the direct influence of the S3 governance system and therefore the full range of governance requirements agreed at the territorial level can be applied on them, on top of external governance requirements imposed by donors or by the legal framework. On the other hand, *nonlocal* portfolios, programmes and projects are available to the territorial unit but they adhere to governance systems that cannot be effectively influenced by the territorial unit.

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Scope of S3 Governance

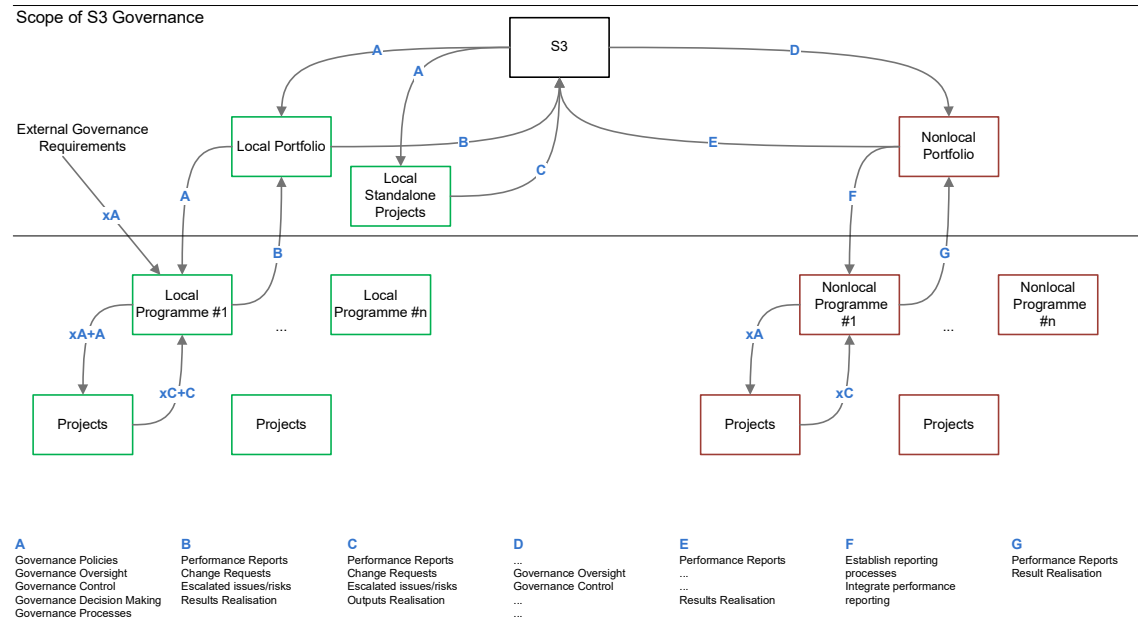| A	B	C	D	E	F	G
Governance Policies	Performance Reports	Performance Reports	...	Performance Reports	Establish reporting processes	Performance Reports
Governance Oversight	Change Requests	Change Requests	Governance Oversight	...	Integrate performance reporting	Result Realisation
Governance Control	Escalated issues/risks	Escalated issues/risks	Governance Control	...		
Governance Decision Making	Results Realisation	Outputs Realisation		Results Realisation		
Governance Processes			...			

FIGURE 1 THE GENERALISED MODEL FOR S3 GOVERNANCE.

It is evident that this distinction has profound implications on both the *design* and the *functioning* of the S3 governance system. Functioning of the S3 governance system includes both governance and management activities. The former are more strategic and focus on oversight and guidance, while the latter are more operational and tactical. In fact, if we consider S3 governance as portfolio management for these two types of portfolios, its functioning may contain more governance activities and fewer management activities relative to programme or project management: portfolio management is a governance mechanism of territorial-level governance used to ensure strategic alignment with territorial objectives.

II.A GOVERNANCE DOMAINS AND FUNCTIONS WITHIN THE MODEL

By following the guidelines proposed by PMI (Project Management Institute, 2016), the governance framework consists of four governance domains, which are complementary groupings of related functions that uniquely characterise and differentiate the processes or activities found in one governance domain from another. A governance structure may actively carry out work within multiple governance domains during the portfolio, program, and project life cycles. These four governance domains, in the context of a S3, are described as follows:

- *Governance Alignment Domain*. Functions and processes to create and maintain an integrated governance framework.

- *Governance Risk Domain*. Functions and processes to identify and resolve threats and opportunities to ensure balance of risk and reward.

- *Governance Performance Domain*. Functions and processes to ensure measurement and evaluation of key performance indicators against parameters and realisation of territorial objectives.

- *Governance Communications Domain*. Functions and processes to disseminate information, engage stakeholders, and ensure change.

Within each of the four governance domains, there are governance functions that categorize critical processes, activities, and tasks that are performed to provide for an organization's portfolios, programs, and projects. These four governance functions are oversight, control, integration, and decision making, which represent a continuing sequence of processes, activities, and tasks that can occur in any direction and may

be repeated throughout the portfolio, program, or project life cycle. They are defined, in the context of a S3, as follows:

- *Oversight function*. The processes and activities that provide guidance, direction, and leadership for portfolios, programs, and projects.

- *Control function*. The processes and activities that provide monitoring, measuring, and reporting for portfolios, programs, and projects.

- *Integration function*. The processes and activities that provide strategic alignment for portfolios, programs, and projects.

- *Decision-making function*. The processes and activities that provide structure and delegations of authority for portfolios, programs, and projects.

II.B KEY PROCESSES

Table 1 reflects the mapping of the four functions into the four governance domains. Each of the key processes is shown in the domain in which most of the process takes place; however, activities may be iterative and span across areas. These are not role specific and pertain to all activities in the governance domains.

TABLE 1 GOVERNANCE-RELATED PROCESSES BY DOMAINS AND FUNCTIONS [BASED ON (PROJECT MANAGEMENT INSTITUTE, 2016)]

Governance Domains	Governance Functions			
	Oversight	*Control*	*Integration*	*Decision-making*
Alignment	• Perform territorial strategic alignment • Establish governing body • Create governance charter • Conduct periodic planning for prioritization and funding • Create portfolio governance management plan • Analyse portfolio, programme and project performance results	• Create governance management plan • Align PPP[1]s with territorial strategic goals • Assess PPP management methodology adherence • Conduct PPP reviews • Identify pipeline, resources, demand and capacity	• Align portfolio, programme and project execution with territorial strategy • Integrate portfolio, programme and project processes • Create integrated roadmap for portfolios, programmes and projects • Align delivery instruments and roadmaps • Create integrated roadmap with strategy execution tasks • Ensure PPP processes are aligned and integrated • Monitor ongoing changes of PPPs • Align framework with governing bodies	• Establish decision-making process • Determine PPP component prioritization criteria and funding • Determine portfolio component prioritization criteria and funding • Perform go/no-go decisions

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[1] PPP: Portfolios, Programmes and Projects.

Governance Domains	Governance Functions			
	Oversight	*Control*	*Integration*	*Decision-making*
Risk	• Manage internal/external dependencies • Escalate risks to governing body • Establish risk escalation process • Identify internal/external component dependencies	• Create risk management plan • Establish risk escalation process • Conduct portfolio audits • Manage internal/external resource capacity	• Integrate dependency management • Perform impact analysis of proposed changes • Adjust portfolio based on component changes	• Resolve and remediate escalated risks/issues • Resolve and remediate risks/issues
Performance	• Conduct PPP reviews and audits • Create performance management plan	• Establish reporting and control processes • Monitor key performance indicators • Monitor performance regarding outputs and results • Monitor health of portfolio	• Perform integrated performance reporting • Align resource capacity and capability needs across portfolios, programmes and projects • Perform results realization reporting	• Optimise portfolio, programme and project resources • Assess changes to territorial strategy or portfolio, programme and project performance • Determine changes to the portfolio based on performance and strategic changes
Communication	• Communicate key messages to stakeholders • Communicate governance expectations and requirements • Communicate governance process changes	• Create communications management plan • Monitor communication effectiveness • Communicate roles, responsibilities and authorities	• Disseminate communcations • Communicate integrated roadmap • Receive portfolio programme and project reports	• Report decisions made with justification

II.C ROLES AND RESPONSIBILITIES

Once the key processes have been defined as above, a *responsibility assignment matrix* (RAM) can be produced to indicate the bodies within the governance system that are responsible, accountable, consulted, and informed or provide support during their execution. The RAM, also called a RASCI matrix, shows the governance roles assigned and the governance domain action/decision areas. It is used to illustrate the connections between governance action/decision areas and governance roles, thus being a useful communications tool to ensure clear divisions of roles, expectations, and decision-making authorities. A typical RAM for a S3 governance setting will look like the example in Table 2.

TABLE 2 A RESPONSIBILITY ASSIGNMENT MATRIX FOR A TYPICAL S3 GOVERNANCE SETTING.

Stakeholder Group Domain / Process	S3 Steering Committee	S3 Technical Body	S3 Bottom-up bodies	Territorial Managing Authority	Supra-territorial Managing Authority	Other relevant Stakeholders
Alignment						
Process#A1	A	R	CI	CI	CI	CI
…	…	…	…	…	…	…
Risk						
Process#R1	…	…	…	…	…	…
…						
Performance						
Process#P1		RA		S	S	
…		…		…	…	
Communication						
Process#C1	…	…	…	…	…	…
…						

Legend:

A: Accountability; R: Responsibility; S: Support; C: Consulted before decision is made; I: Informed after decision is made

Completing the first column of the RASCI matrix is as simple as copying all the processes listed per domain in Table 1 under the domain headings. In the setting of S3 governance, the same set of processes is applicable both at the regional and at the national levels. On the contrary, the columns of the RASCI matrix, that is the stakeholders involved in governance, can vary a lot depending on the territorial context. In addition to the three structures that are explicitly described in the RIS3 Guide (European Commission, 2012), depending on the institutional context, additional entries can include Managing Authorities at the regional or at the national level, various entities belonging to local or national administration, various types of donors (including the European Commission) and others.

For each process-stakeholder pair, the role of the stakeholder in the process has to be denoted in the respective cell by selecting one of the following valid options:

R: The stakeholder is responsible for executing the process;

A: The stakeholder is accountable for the process outcome;

RA: Both the above;

S: The stakeholder supports the execution of the process;

C: The stakeholder is consulted before or during the execution of the process;

I: The stakeholder is informed of the output of the process;

CI: Both C and I above;

Blank: The stakeholder is not involved in the process.

From the above it is clear that S3 RASCI matrices for different regions or countries will share a common group of functions and at least three stakeholder groups: the S3 Steering Committee, the S3 Technical Team and the S3 Bottom-up Groups. All the other stakeholder groups and also the delegation of responsibilities among stakeholders will vary.

III. APPLYING THE MODEL

III.A PILOT TESTING (THESSALONIKI 13.2.2019)

The model was presented by the author and was pilot-tested during a workshop that took place in Thessaloniki, Greece on 13.2.2019, being organized by JRC in the framework of the project entitled "Support to the Implementation of smart specialisation strategies (RIS3) in Greece". A total of 80 persons representing all 13 Greek Regional and Management Authorities, National Authorities and international experts, were split into three groups and were asked, with the help of a moderator:

(a) Name the key processes that have been executed or are currently active in each of the 5 steps (governance excluded) involved in the design and implementation of a S3 (European Commission, 2012) and classify them into the four governance domains mentioned in Table 1; and

(b) For each of the key processes identified above, fill the RASCI matrix with the actual delegation of responsibilities (de jure or de facto).

As it is thoroughly documented in the workshop report (Metaxas, 2019) an obvious drawback of the exercise was that very ambitious with respect to the time slot of 1.5 h that was allocated to it. However, some actionable results were evident:

- The participants' capacity to understand S3 as a set of interconnected processes and formulate the jobs-to-be-done in designing and running an S3 varies in a considerable manner.

- Risk was the governance domain which was the most unfamiliar to most participants.

- The list of processes should specifically list the interactions between the regional and the national level for all governance domains.

- While mapping responsibilities, the limitations set by legislation to the S3 Steering Committees (RCRI being the acronym in Greek) became evident.

- A clear pattern of ERDF Managing Authorities trying to dis-engage themselves from the S3 process was also evident.

- The process classification adapted from (Project Management Institute, 2016) confused the participants rather than help them.

In the light of these findings, the approach was modified to remove elements that caused confusion and a second iteration was carried out in Madrid on 20.2.2019.

III.B SECOND ITERATION (MADRID 20.2.2019)

For the second iteration, all references to PMI terminology were cleared from the document and an indicative list of S3 governance processes was presented to the participants. The new version of the exercise consisted of three steps as follows:

(a) The participants would discuss the indicative list of processes that need to be carried out for S3 governance and review or amend accordingly. This step would last approximately 15 minutes. A printed list of processes was provided to accelerate the review.

(b) After finalising the list of processes, the participants would fill the RASCI matrix. The minimum requirement was to identify the processes for which the S3 Technical Body is *currently* responsible (R)—i.e. in the current programming period, and the roles of the S3 Technical Body when someone else is Responsible for a process. The idea was to identify the "highest common denominator" for the role of the S3 Technical Body, something that is valid across countries.

(c) The participants would split by country of origin and will keep discussing/filling-up the RASCI table, focussing especially in the last two columns (National level / DG Regio Country-desk) and

on the controversial points emerged in Step 2. During the exercise the rapporteur should record both the points in common and the contradictory points.

The list of S3 governance processes that was presented to the participants consisted of 9 process groups and 59 processes. The changes proposed under the first step of the exercise are shown in Table 3.

TABLE 3 FINALISATION OF THE LIST OF S3 PROCESSES.

Process Group	Process Name	New entry	Re-phrasing of existing entries
Strategy Design	Techno-economic analysis		
	Development and management of an effective EDP		
	Analysis of stakeholders' contributions		
	Definition of S3 priorities		Proposal of S3 priorities
			Definition of vision, strategic objectives and RIS3 priorities
	Identify funding sources		
		Budget planning across priorities	
		Identify synergies with other policies	
	Create governance charter		
	Risk identification and risk management plan.		
		Scheduling an Action Plan	
		Alignment with the review	
Monitoring S3 Strategy	Developing the conceptual model of the monitoring system		
	Developing the methodology to collect the data		
	Develop/Manage the information system for quantitative data collection		
	Develop/Manage the qualitative-data collection process		
	Implement the monitoring process (including writing the monitoring report)		
	Monitor quality of implementation of the monitoring system		
	Escalate risks emerged from the monitoring procesess to governing body		Escalate risks **and opportunities** emerged from the monitoring (and EDP) processes to governing body
	Communication and discussion of monitoring results with quadruple helix		

Process Group	Process Name	New entry	Re-phrasing of existing entries
Development of instruments	Development of instruments within ERDF		Proposal of instruments within ERDF; Identification and development of instruments within ERDF
	Development of instruments outside ERDF		Proposal of instruments outside ERDF
	Convert EDP outputs to Instruments		Convert EDP outputs to proposals for instruments
	Develop integrated action plan for the strategy, associating priorities to instruments		Develop integrated action plan for the strategy, associating priorities to instruments **and funding sources and responsibilities.**
Development of calls	Development of calls within ERDF		
	Development of calls outside ERDF		
	Definition of selection/evaluation criteria within ERDF		
	Definition of selection/evaluation criteria outside ERDF	Stakeholder review of draft call texts	
	Evaluation of calls within ERDF		Evaluation of project proposals within ERDF
	Evaluation of calls outside ERDF		Evaluation of project proposals outside ERDF
	Schedule calls / ERDF		
	Schedule calls / non-ERDF		
	Transformation of EDP input to potential calls through assessment of regulatory frameworks of different funding sources (i.e. ESIF regulations, State Aid, etc.)		
Stakeholder Engagement	Consultation for policy decisions		
	Discussion of monitoring results		
	General management of stakeholders' relationship		
	Information sessions		
	Create Stakeholder Engagement Plan		
	Monitor Stakeholder Engagement		(move this to S3 monitoring group of processes)
	Run EDP cycles		
	Discussion on new opportunities and potential synergies with other regional S3s		
Monitoring ERDF OP	Definition of the monitoring indicators		(Replace ERDF with "Relevant ESIF")
	Creation/management of adequate information system		
	Communication of ERDF Monitoring results		
	Establish reporting		

Process Group	Process Name	New entry	Re-phrasing of existing entries
	requirements		
	Map ERDF monitoring to S3 monitoring		(unclear what map means)
			Replace 'map' with 'feed in'
Mid-Term Evaluation of S3	Setting a midterm timetable (Identifying milestones and risk assessment). Initiating/managing the Mid-Term evaluation of S3 (this includes the technical management in the case of an external evaluator) Defining the evaluation questions Develop evaluation strategy/methods Carrying out the evaluation		
	Communicating the evaluation results to stakeholders Escalate risks emerged from the evaluation results		Escalate **recommendations** emerged from the evaluation results
			Escalate risks **and opportunities** emerged from evaluation results
Strategy Review	Assessment of S3 implementation	Review of instruments and policy mix	(overlapping with monitoring)
	Updated analysis of regional positioning/impact analysis of proposed changes Narrowing-down/Review of priorities Inclusion of new priorities		(merge with next) (merge with previous)
	Mobilisation of stakeholders		
Synergies with other policies	Coordination of complementary calls/investment Information sessions		
	Coordination of monitoring processes Support for stakeholders to obtain H2020 funds in S3 relevant areas Map other policies monitoring to S3 monitoring Development of a timeline. Synchronisation of regional, national and EU calls		(Replace 'map' with 'feed in')

As seen from Table 3, the initial list of processes captures rather well the jobs-to-be-done for designing and implementing a S3. The single issue that has been suggested for revision by two groups of participants was to "propose" instead of "develop" new instruments; this seems to be consistent with the fact that in many cases, instruments are developed by OPs supporting S3s and not vice versa. Moreover, the new entries seem to clarify rather than complement the list.

The author received on 7.3.2019 a more radical suggestion for restructuring and minimising the list of S3 processes by Asterios Chatziparadeisis (GSRT, GR). For the record, this is included in Table 4 in the

Appendix.

FIGURE 2 THE COMMON DENOMINATOR OF THE RESPONSIBILITIES DELEGATED TO THE S3 TECHNICAL BODY.

As shown in Figure 2 and reported in detail by the rapporteurs, the "common denominator" of the responsibilities delegated to the S3 Technical Body in the current programming period came-up without any major differences in all four working tables: the S3 Technical Body is Responsible for executing all groups of processes except Development of Calls (where it should be consulted), Monitoring the ERDF(/ESF) OP (where it should be informed) and establishing Synergies with Other Policies.

Due to time constraints, the issue of co-ordinating national and regional activities was thorough in two of the four working tables where Italy and Spain were represented. The main conclusions are summarised as follows:

- The national level should provide some coordination on the monitoring of S3 at the regional level. At least, some data collection should be provided at national level in order to harmonise the monitoring process across regions in terms of design, data collection, reporting and use of outputs for policy learning.

- Following the positive experience of the Spanish IDI Network, it was proposed that national level should provide a space for peer-exchange and learning across regions.

- Peer-learning groups might not provide enough support for regions. For example, it was considered that some protocols for sending S3 regional strategies or collecting mid-term reviews might have reduced uncertainty at regional level. Opening a "help desk" or "quality control" mechanism might help regions to sort it out additional doubts/concerns.

- The identification of national founding sources and co-funding mechanisms should be considered at national level. The complementarity of the delivery instruments should also be addressed at the national level.

- Mainly in hybrid settings, much more attention should be given to the coordination of the EDP at the regional and the national level.

- It was also proposed to include some measures to support less developed regions to participate in EU initiatives.

- At European level, it was discussed the need to provide methodological guidance for the different tasks in advance.

III.C FOLLOW-UP: S3 GOVERNANCE IN THE NEXT PROGRAMMING PERIOD 2021-2027

The third iteration of the adaptation of the framework to S3 governance had to do with the specification of the ideal governance structure for the next programming period. After the participants familiarized with the application of the RASCI matrix in Madrid, they were asked to complete a new RASCI matrix by thinking about the ideal delegation of tasks among stakeholders.

The initial process names were used with the addition of a new process group entitled "National/Regional Collaboration" that consisted of 11 new processes as follows:

- Coordination of regional monitoring process

- Providing a space for peer-exchange and learning among regions

- Providing a structure for inter-regional coordination

- Providing a structure for inter-regional/country-region support

- Providing broker skills, capacities, expertise.

- Identification of resources for national support

- Advising in the development of instruments and calls

- Actions to support less favourite regions to participate in EU initiatives

- Coordination of evaluation/Revision/S3

- Provide guidelines on National/Regional coordination

- Coordination of complementary calls/investment.

The full list of processes and their ProcessIDs that have been used for creating the visualisations that follow are given in Table 5 in the

Appendix.

Eight stakeholder groups were introduced, namely:

1. The S3 Technical Body (X1S3TB)

2. The S3 Strategic Level (X2S3SC)

3. The S3 Bottom-up Group (X3S3BU)

4. The ERDF Managing Authority at the Regional Level (X4MARG)

5. The ERDF Managing Authority at the National Level (X5MANA)

6. Other bodies responsible for complementary policies (X6OTHB)

7. Other bodies at the national levels (X7NALV)

8. The DG REGIO Country Desk (X8REGIO)

Participants were instructed to consider the top three bodies in the list at the geographical level they belong to. If replying from a national perspective, the columns "S3 technical body", "S3 strategic level" and "Bottom-up body" should refer to national-level bodies and the stakeholder group "National Level" could be ignored. If replying from a regional perspective, the columns "S3 technical body", "S3 strategic level" and "Bottom-up body" should refer to regional-level bodies and the stakeholder group "National Level" should be specified. Other bodies responsible for complementary policies should also be specified in all cases.

The survey was launched on 26.2.2019 and by the deadline of 17.3.2019 17 responses were collected, 4 by national authorities (GR, BG, HR and RO) and 13 from regional authorities (RO: 8; GR:2; IT;2; ES:1).

Figure 3 and Figure 4 present the voting results for the stakeholder groups that have been characterized as "Responsible and Accountable" or "Responsible" per function, as voted by all 17 responders or the 13 responders representing regions, respectively.

It is clear that in the ideal S3 governance structure, the S3 Technical Body (X1S3TB) is considered as responsible or responsible/accountable for the process groups that are directly related with the S3 process as a whole, namely A: Strategy Design, B: Monitoring the S3 Strategy, E: Stakeholder Engagement, H: Mid-term Evaluation of S3 and I: Strategy Review.

Within process group C: Development of Instruments the responders consider that the S3 Technical Group should be responsible only for converting EDP outputs into proposals for instruments (C-DI03) and developing the integrated action plan for the strategy, associating priorities to instruments (C-DI04). The roles of developing instruments, therefore, should be the responsibility of either Managing Authorities or Other Bodies Responsible for Complementary Policies.

Within process group D: Development of Calls, the responsibilities belong either to the Managing Authorities or, depending on the institutional context, to other bodies beyond the core of S3 (ministries, agencies, and others which can be collectively called as "donors"). Transformation of EDP input to potential calls through assessment of regulatory frameworks of different funding sources (i.e. ESIF regulations, State Aid, etc.), i.e. process D-DC09, is the only process within this group that received less that 50% of the votes but close to this.

As expected, monitoring the OPs (process groups F and G) is the responsibility of the respective Managing Authorities, with the S3 Technical Body being responsible only for integrating monitoring results of the Regional OP, if any, in the S3 monitoring system (F-MR04). This suggests that the responders expect Managing Authorities at the National Level (or other relevant bodies that have responsibility for monitoring polices at the national level) should provide ready to use monitoring results to S3 Technical Bodies.

Within process group J: Synergies with Other Policies, the S3 Technical Body should be responsible for feeding-in monitoring information into the S3 monitoring system (J-SP03 & 05) and engage in soft actions to promote participation of stakeholders in the territory (J-SP02 & 04). Coordination of complementary calls and call scheduling is the responsibility of Managing Authorities (or "donors" in general).

Finally, within process group K: National/Regional Coordination, the S3 Technical Body should be primarily responsible for coordination of evaluation/Revision/S3 (K-NR09), coordination of regional monitoring process (K-NR01) and providing a space for peer-exchange and learning among regions (K-NR02). Although these results are consistent both overall and within the regional votes, there might be a misunderstanding of the actual context of the questions. All other processes in this group are the responsibility of authorities at the national level. The DG Regio Country Desk appears as responsible with a considerable number of votes in three processes of this group, namely Identification of resources for national support, Advising in the development of instruments and calls and Actions to support less favourite regions to participate in EU initiatives (K-NR06, 07 and 08).

The roles assigned per process to the eight bodies considered in this survey are presented in Figures 5-12 in the

Appendix.
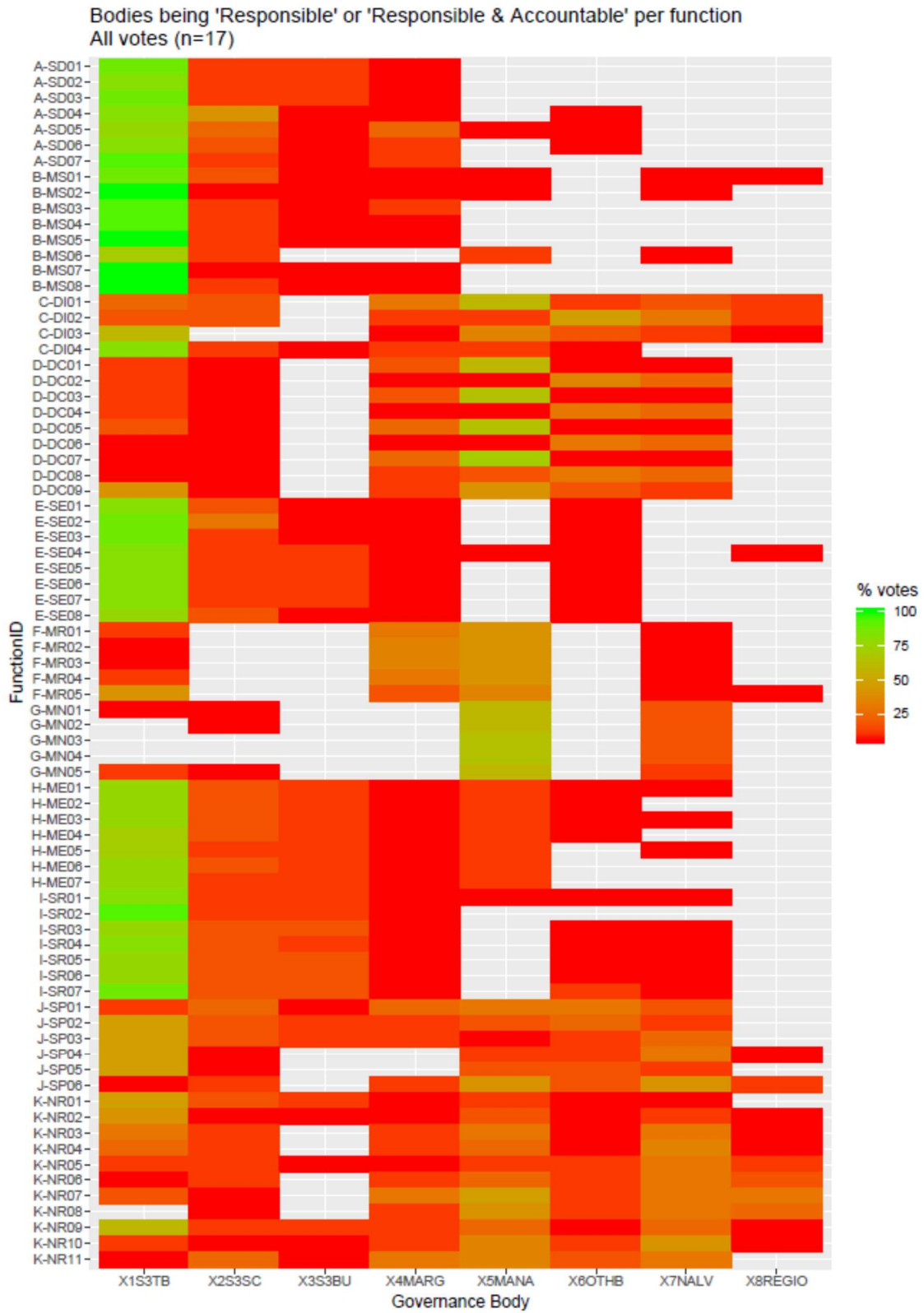
FIGURE 3 BODIES BEING CHARACTERISED AS "RESPONSIBLE AND ACCOUNTABLE" OR "RESPONSIBLE" PER PROCESS (ALL VOTES)
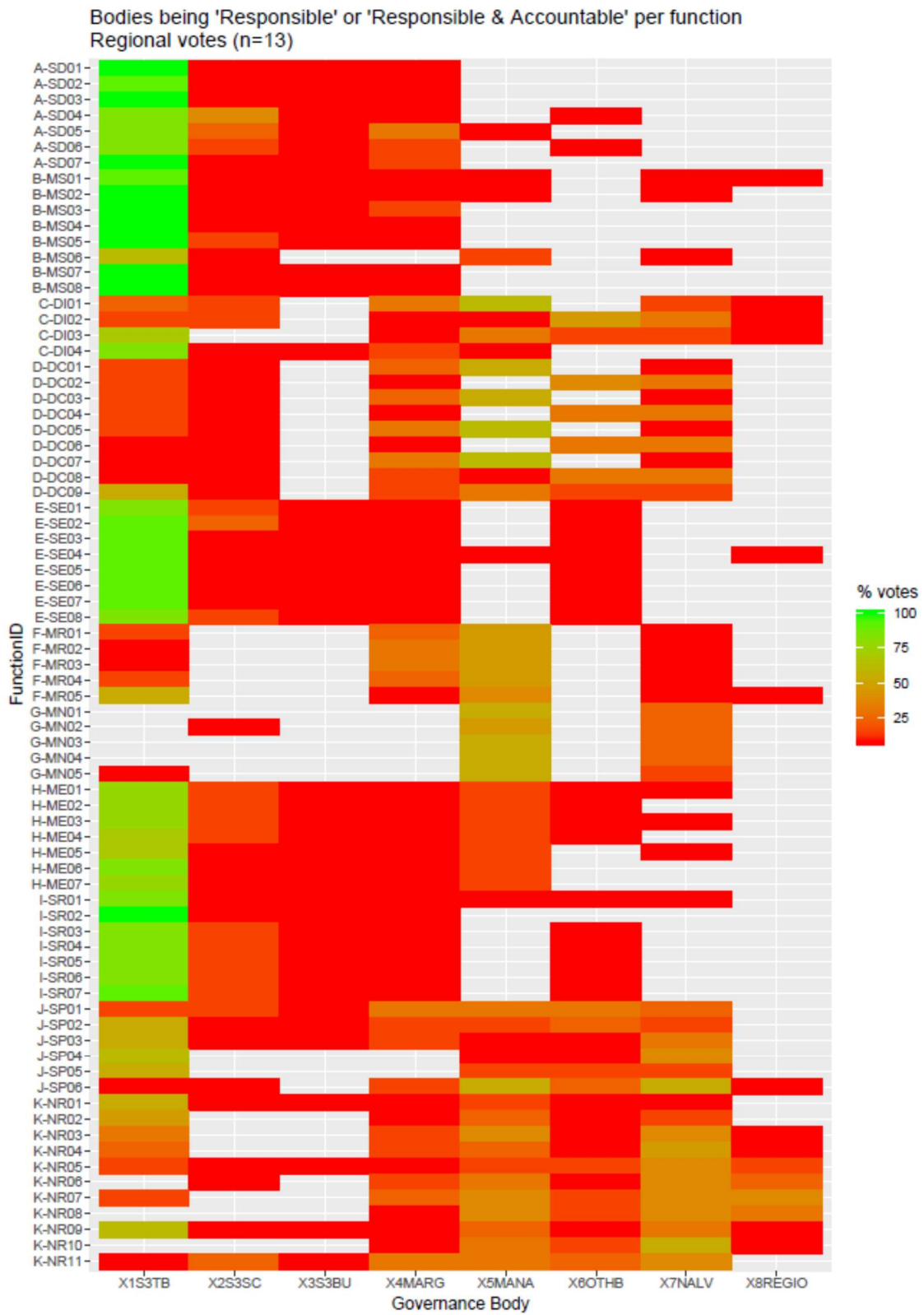
Figure 4 Bodies Being Characterised as "Responsible and Accountable" or "Responsible" per Process (Regional Votes)

IV. CONCLUSIONS

This report was the first step in addressing S3 governance in a systematic way. Building on concepts developed by practitioners in portfolio, programme and project management it presented a framework for classifying governance processes and mapping responsibilities across the pool of governance bodies engaged in a S3.

For the first time we have a concrete understanding of which are the functions of the "competent regional/national institution or body responsible for the management of the smart specialisation strategy", which is one of the seven fulfilment criteria of the enabling condition related to S3s in the proposed regulations for the new programming period.

We have also for the first time some evidence to indicate where overlaps of responsibility in S3-related governance processes will occur, and this can be helpful in addressing them by planning accordingly and modifying the regulatory framework at all levels (European, National and Regional, when appropriate).

Moreover, the approach has identified some areas that require collaboration among stakeholders at various levels, without being conclusive on which governance body must have the lead in managing them.

There are two major limitations in the approach followed so far:

- First, although considerable effort has been put in developing the process list that was used for the Madrid workshop and the follow-up survey, we are not sure that this list is complete. Some omissions are obvious such as budget allocation among priorities, developing budget baselines and running the S3 ex post evaluation. Therefore, the list presented in Table 5 in the Appendix will require a careful review, both theory- and practice-driven.

- Second, the bias of the participants in the results. The participants in the Madrid workshop and the responders to the survey that followed are mostly members of de facto S3 Technical Bodies. This may have strengthened the anticipated role of S3TB while reducing the role of other groups of stakeholders. For example, the survey results suggest that the roles of the first and the third levels of S3 governance as suggested in the RIS3 guide are weaker than originally planned (see the green boxes in Figure 6 and Figure 7, respectively).

Finally, closing the cycle and classifying the processes into the taxonomy provided by the Project Management Institute would enable the reuse or the adaptation of international standards in the context of S3 Governance, such as the 4th edition of the Standard for Portfolio Management of 2017 which is also an American National Standard (ANSI/PMI 08-003-2017).

ACKNOWLEDGEMENTS

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APPENDIX

TABLE 4 A PROPOSAL FOR REDUCING THE NUMBER OF PROCESSES.

Strategy Design	Techno-economic analysis, studies
	Assessment of previews policies
	SWOT analysis
	Mobilisation of stakeholders
	Development and management of an effective EDP
	Analysis of stakeholders' contributions
	Interaction - Coordination National - Regional RIS3
	synergies / coordination with other policies
	Definition of S3 visions, objectives, priorities
	Definition of indicators
	Definition of Instruments (Collaborative research, clusters, VCs etc)
	Identify funding sources
	Create governace charter
	Risk identification and risk management plan
	Endorsement of RIS3 strategy
	Information sessions
	Continuous EDP process and reajustment of RIS3
Implementation	Definition of **Implementation Institutions** (MA, IBoM etc)
	Developing the MIS for the management of the Calls and the implementation
	Definitions of calls (ERDF and non ERDF)
	Definition of selection/evaluation criteria
	Publication of the calls - Information sessions
	Evaluation of calls
	Schedule of calls / Coordination National - Regional RIS3s
Monitoring S3 Strategy	Developing the conceptual model of the monitoring system
	Defining the instruments for the monitoring (studies, indicators etc)
	Defining monitoring indicators
	Develop/Manage the qualitative-data collection process
	Implement the monitoring process (including writing the monitoring report)
	Communication and discussion of monitoring results with quadruple helix
	Using the monitoring results for reajusting the S3
Mid-Term evaluation of S3	Develop an evaluation strategy (policy mix / instruments)
	Defining the evaluation questions
	Initiating/managing the Mid-Term evaluation of S3 (by external evaluator)
	Communicating the evaluation results to stakeholders
	Use the evaluation for the revision of priorities (policy mix - instruments)
	Evaluation of non RIS3 actions
	Inclusion of new priorities

Final Evaluation of S3	Develop an final evaluation / assessment model
	Defining indicators
	Initiating/managing the final evaluation of S3 (by external evaluator)
	Publishing the evaluation results
	Use the evaluation for a new S3

TABLE 5 PROCESS GROUPS, IDS AND NAMES AS USED IN THE FOLLOW-UP SURVEY.

Process Group	Process ID	Process Name
A Strategy Design	A-SD01	Techno-economic analysis
	A-SD02	Development and management of an effective EDP
	A-SD03	Analysis of stakeholders' contributions
	A-SD04	Definition of S3 visions, objectives, priorities
	A-SD05	Identify funding sources
	A-SD06	Create governace charter
	A-SD07	Risk identification and risk management plan.
B Monitoring S3 Strategy	B-MS01	Developing the conceptual model of the monitoring system
	B-MS02	Developing the methodology to collect the data
	B-MS03	Develop/Manage the information system for quantiative data collection
	B-MS04	Develop/Manage the qualitative-data collection process
	B-MS05	Implement the monitoring process (including writing the monitoring report)
	B-MS06	Monitor quality of implementation of the monitoring system
	B-MS07	Escalate risks and opportunities emerged from the monitoring procesess to governing body
	B-MS08	Communication and discussion of monitoring results with quadruple helix
C Development of Instruments	C-DI01	Development of instruments within ERDF
	C-DI02	Development of instruments outside ERDF
	C-DI03	Convert EDP outputs into proposals for Instruments
	C-DI04	Develop integrated action plan for the strategy, associating priorities to instruments
D Development of Calls	D-DC01	Development of calls within ERDF
	D-DC02	Development of calls outside ERDF
	D-DC03	Definition of selection/evaluation criteria within ERDF
	D-DC04	Definition of selection/evaluation criteria outside ERDF
	D-DC05	Evaluation of calls within ERDF
	D-DC06	Evaluation of calls outside ERDF
	D-DC07	Schedule calls / ERDF
	D-DC08	Schedule calls / non-ERDF
	D-DC09	Transformation of EDP input to potential calls through assessment of regulatory frameworks of different funding sources (i.e. ESIF regulations, State Aid, etc.)
E Stakeholder Engagement	E-SE01	Consultation for policy decisions
	E-SE02	Discussion of monitoring results
	E-SE03	General management of stakeholders' relationship
	E-SE04	Information sessions
	E-SE05	Create Stakeholder Engagement Plan
	E-SE06	Monitor Stakeholder Engagement
	E-SE07	Run EDP cycles
	E-SE08	Discussion on new opportunities and potential synergies with other regional S3s
F Monitoring Regional OP	F-MR01	Definition of the monitoring indicators
	F-MR02	Creation/management of adequate information system
	F-MR03	Communication of ERDF Monitoring results
	F-MR04	Establish reporting requirements
	F-MR05	Map ERDF monitoring to S3 monitoring
G Monitoring National OP	G-MN01	Definition of the monitoring indicators
	G-MN02	Creation/management of adequate information system
	G-MN03	Communication of ERDF Monitoring results

| Process Group	Process ID	Process Name
	G-MN04	Establish reporting requirements
	G-MN05	Map ERDF monitoring to S3 monitoring
H Mid-term evaluation of S3	H-ME01	Setting a midterm timetable (Identifying milestones and risk assessment).
	H-ME02	Initiating/managing the Mid-Term evaluation of S3 (this includes the technical management in the case of an external evaluator)
	H-ME03	Defining the evaluation questions
	H-ME04	Develop evaluation strategy/methods
	H-ME05	Carrying out the evaluation
	H-ME06	Communicating the evaluation results to stakeholders
	H-ME07	Escalate risks emerged from the evaluation results
I Strategy Review	I-SR01	Assessment of S3 implementation
	I-SR02	Updated analysis of regional positioning/impact analysis of proposed changes
	I-SR03	Revision of priorities
	I-SR04	Review of instruments and policy mix
	I-SR05	Narrowing-down/Review of priorities
	I-SR06	Inclusion of new priorities
	I-SR07	Mobilisation of stakeholders
J Synergies with other Policies	J-SP01	Coordination of complementary calls/investment
	J-SP02	Information sessions
	J-SP03	Coordination of monitoring processes
	J-SP04	Support for stakeholders to obtain H2020 funds in S3 relevant areas
	J-SP05	Map other policies monitoring to S3 monitoring
	J-SP06	Development of a timeline. Synchronisation of regional, national and EU calls
K National-Regional Coordination	K-NR01	Coordination of regional monitoring process
	K-NR02	Providing a space for peer-exchange and learning among region
	K-NR03	Providing a structure for inter-regional coordination
	K-NR04	Providing a structure for inter-regional/country-region support
	K-NR05	Providing broker skills, capacities, expertise.
	K-NR06	Identification of resources for national support
	K-NR07	Advising in the development of instruments and calls
	K-NR08	Actions to support less favourite regions to participate in EU initiatives
	K-NR09	Coordination of evaluation/Revision/S3
	K-NR10	Provide guidelines on National/Regional cooordination
	K-NR11	Coordination of complementary calls/investment
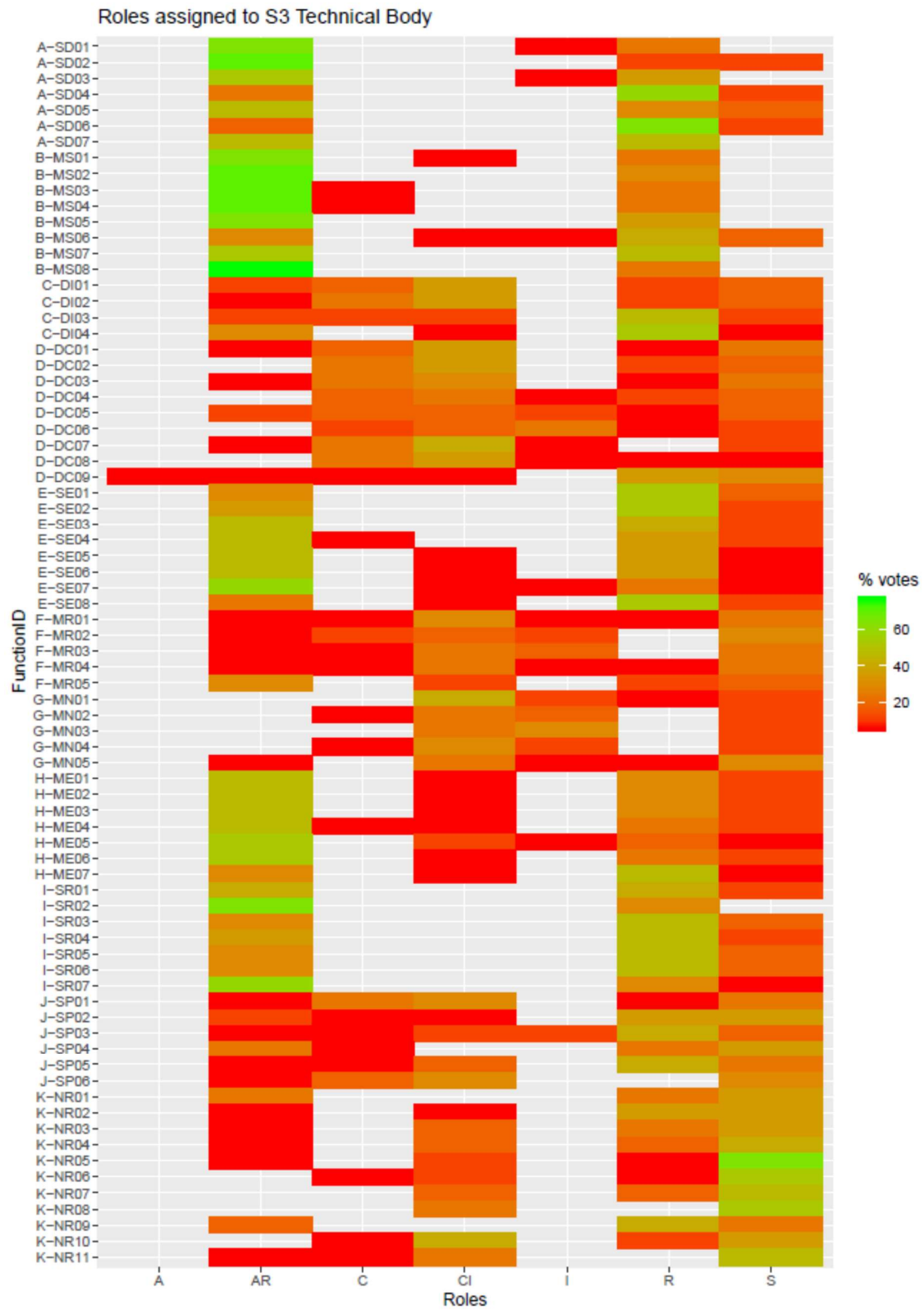
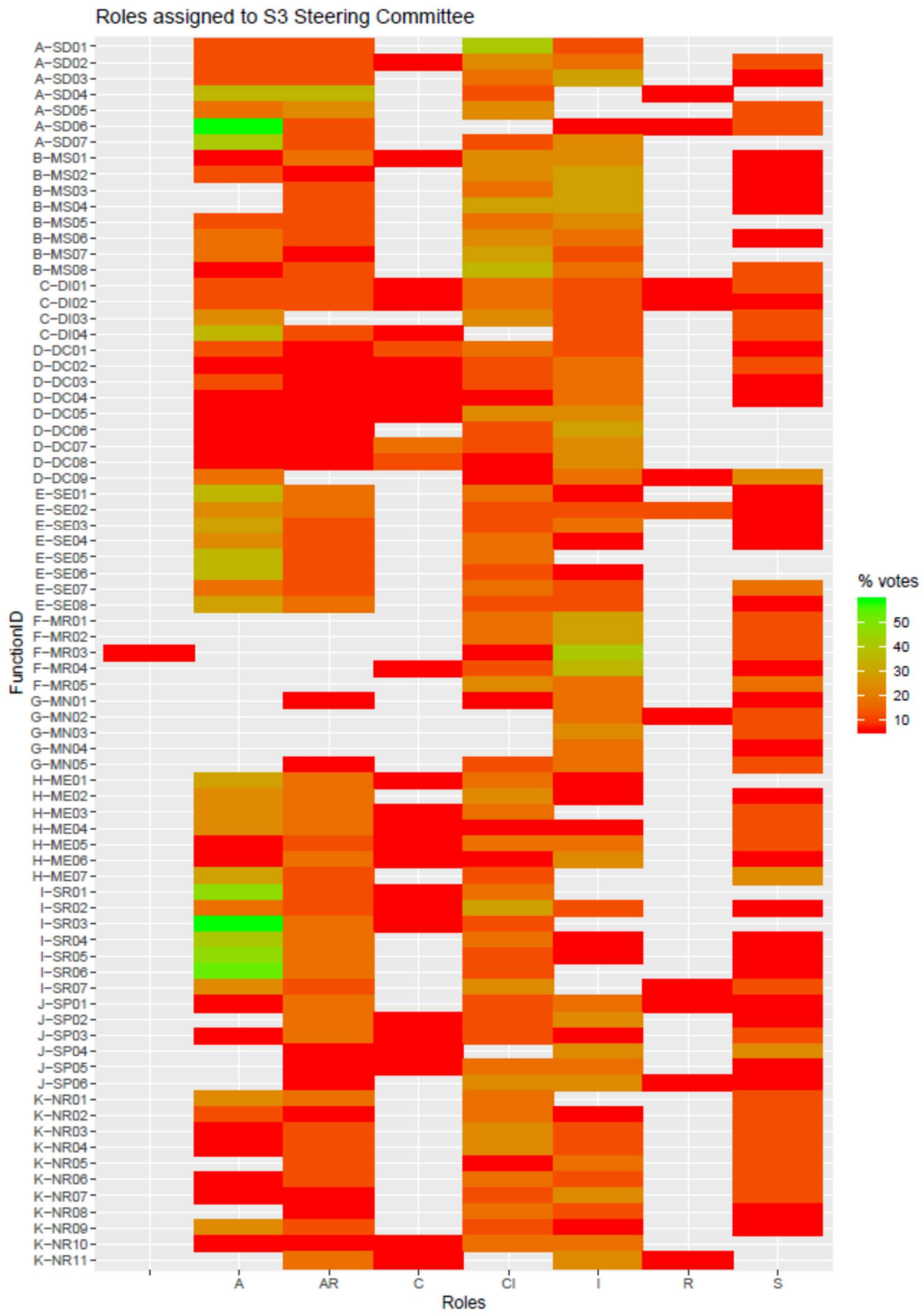FIGURE 5 ROLES PER PROCESS ASSIGNED TO S3 TECHNICAL BODY (ALL VOTES)

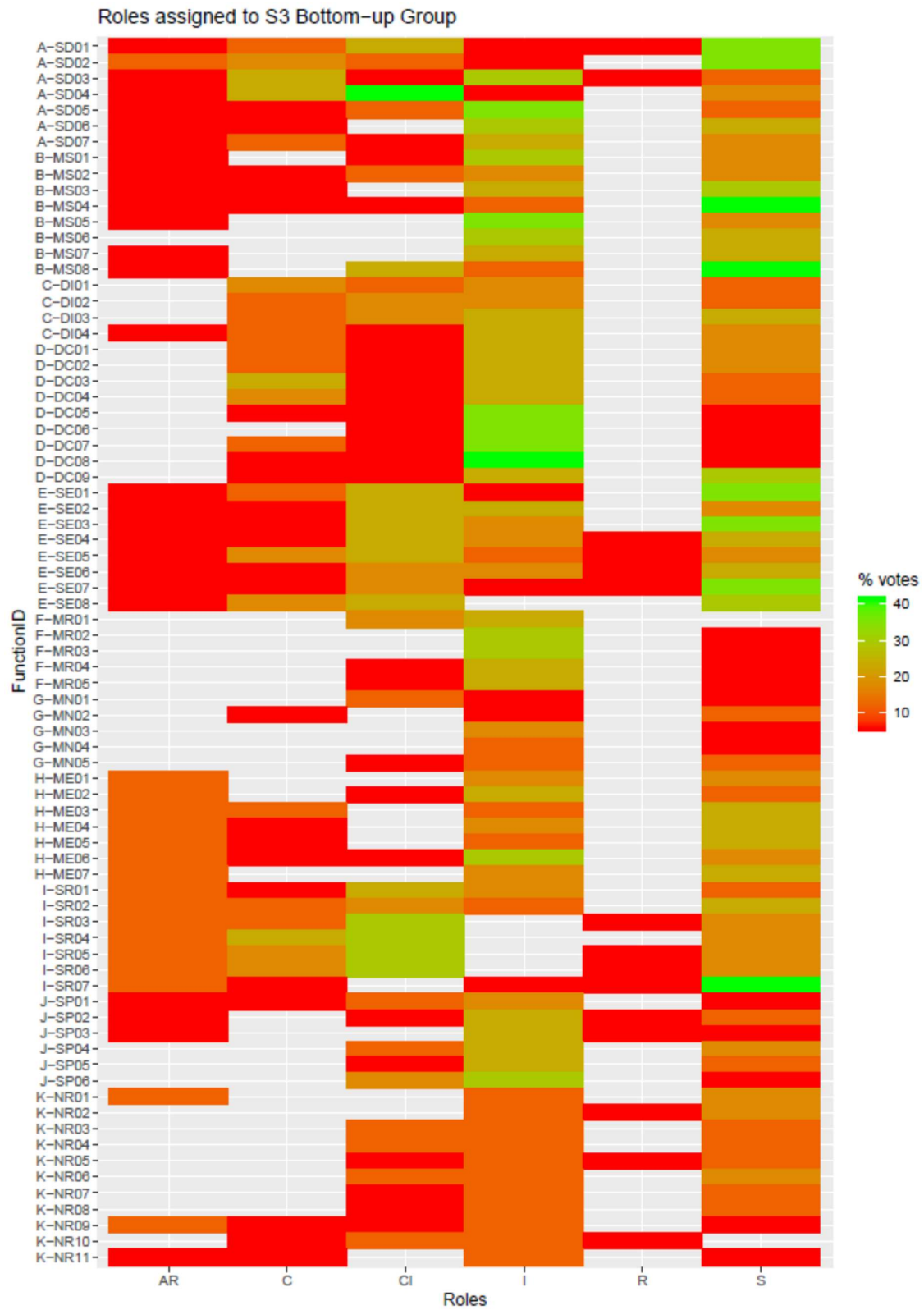FIGURE 6 ROLES PER PROCESS ASSIGNED TO S3 STRATEGY GROUP (ALL VOTES)

FIGURE 7 ROLES PER PROCESS ASSIGNED TO S3 BOTTOM-UP GROUP (ALL VOTES)
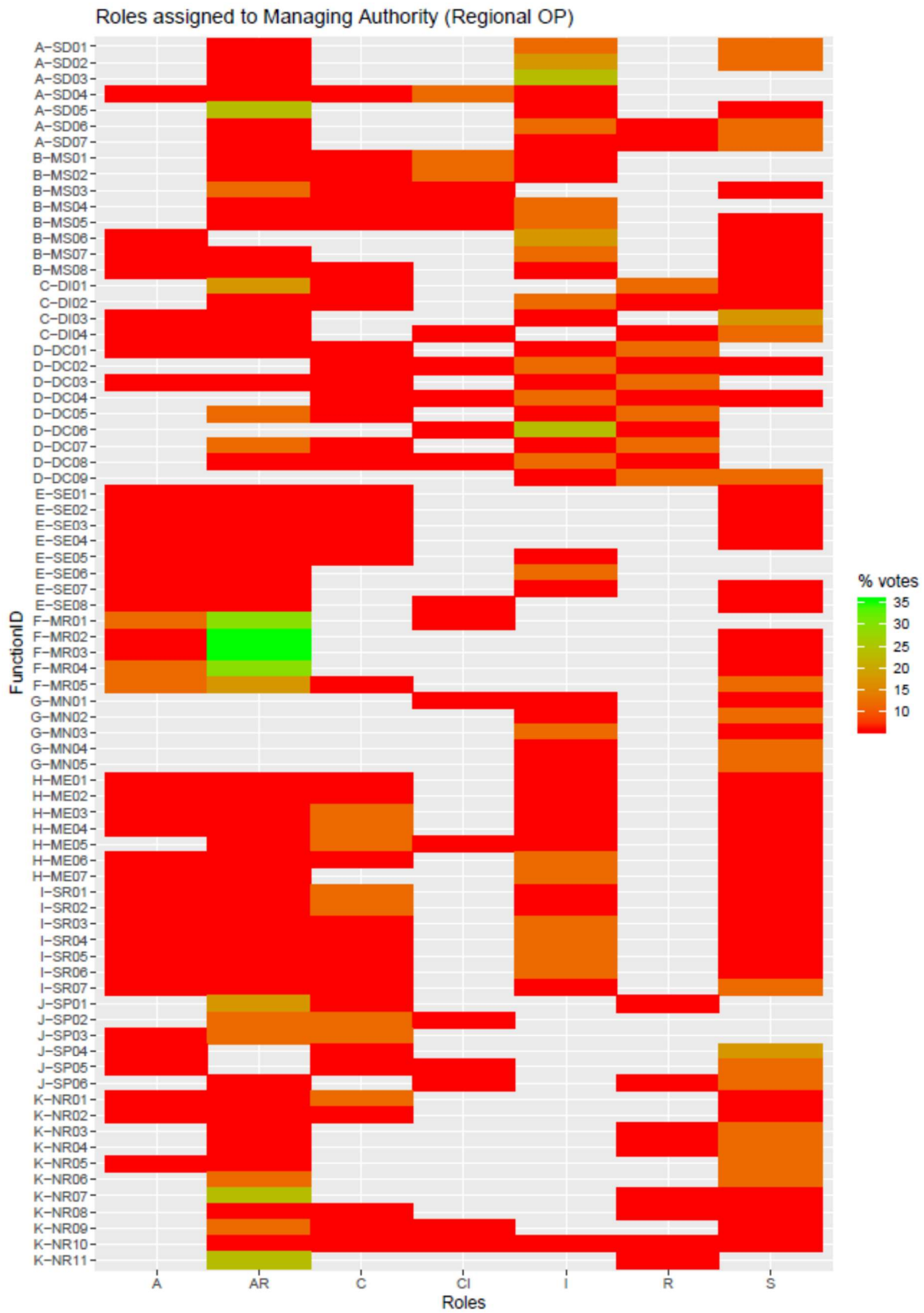
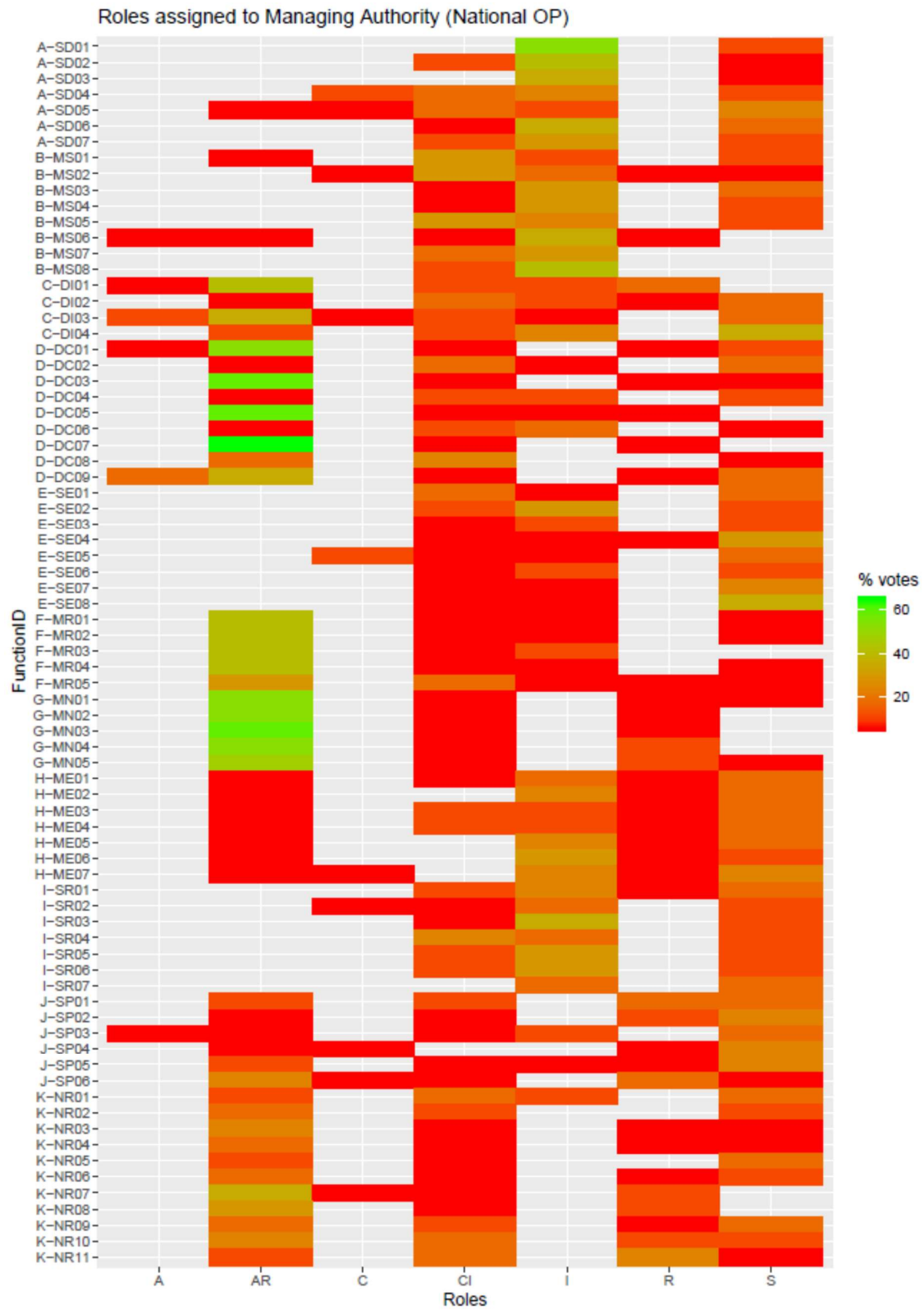FIGURE 8 ROLES PER PROCESS ASSIGNED TO THE MANAGING AUTHORITY OF REGIONAL OP (ALL VOTES)

FIGURE 9 ROLES PER PROCESS ASSIGNED TO MANAGING AUTHORITY OF THE NATIONAL OP (ALL VOTES)

FIGURE 10 ROLES PER PROCESS ASSIGNED TO OTHER BODIES RESPONSIBLE FOR COMPLEMENTARY POLICIES (ALL VOTES)
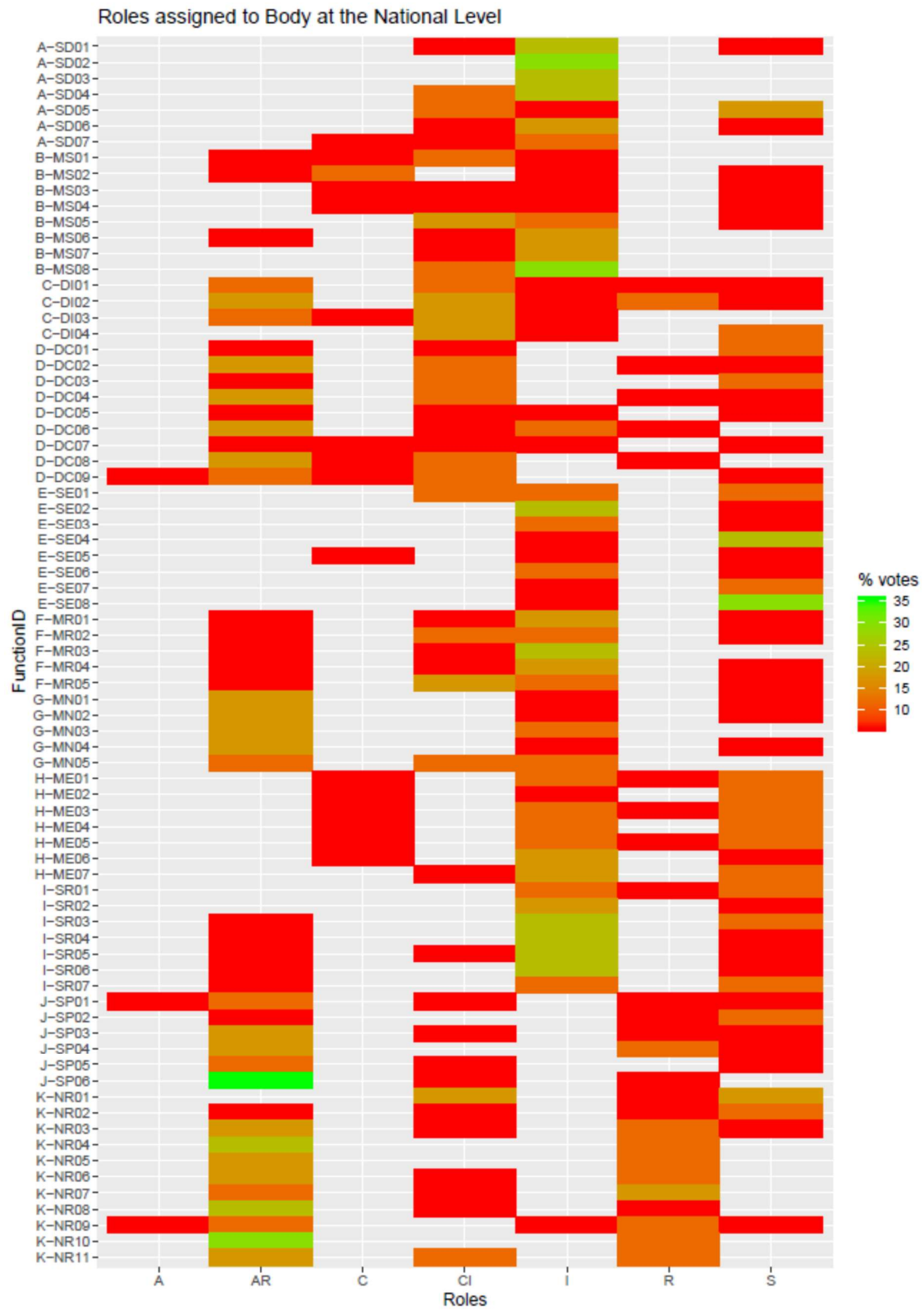
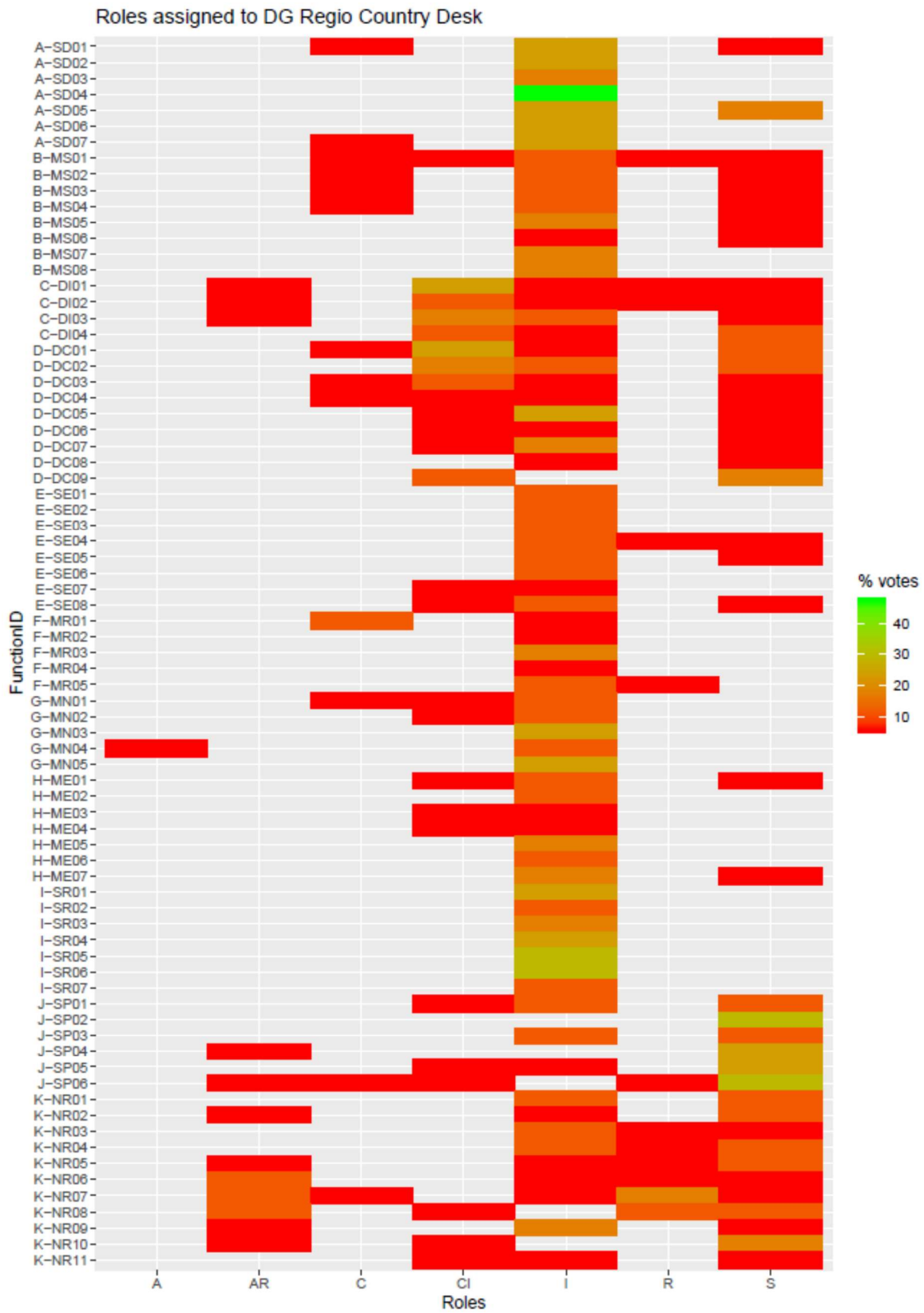FIGURE 11 ROLES PER PROCESS ASSIGNED TO BODIES AT THE NATIONAL LEVEL (ALL VOTES)

FIGURE 12 ROLES PER PROCESS ASSIGNED TO THE DG REGIO COUNTRY DESK (ALL VOTES).