

## Survey response for Greece

### OECD database of governance of public research policy

This document contains detailed responses for Greece to the survey on governance of public research policy across the OECD. It provides additional background information to the OECD database of governance of public research policy as described in Borowiecki, M. and C. Paunov (2018), "How is research policy across the OECD organised? Insights from a new policy database", *OECD Science, Technology and Industry Policy Papers*, No. 55, OECD Publishing, Paris, <https://doi.org/10.1787/235c9806-en>. The data was compiled by the OECD Working Party on Innovation and Technology Policy (TIP). Data quality was validated by delegates to OECD TIP Working Party the in the period between March 2017 and May 2018. Additional references that were used to fill out the questionnaire are indicated.

The data is made freely available online for download at <https://stip.oecd.org/resgov>.

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## Abbreviations and acronyms

ADIP	Independent Assessment Authority
ESETAK	National Strategy for Research, Technological Development and Innovation
GRST	General Secretariat for Research and Technology
HEIs	Higher Education Institutions
PRIs	Public Research Institutes
RIS3	Research and Innovation Strategies for Smart Specialisation

## Survey of public research policy

### Topic 1: Institutions in charge of priority setting, funding and evaluations

**Table 1. Questions on institutions in charge of priority setting, funding and evaluations of universities and PRIs**

Question	Response
<p><b>Q.1.1. Who mainly decides on the scientific, sectoral and/or thematic priorities of budget allocations for a) HEIs and b) PRIs?</b></p> <p>c) Which are the main mechanisms in place to decide on <b>scientific, sectoral and/or thematic priorities of national importance</b>, e.g. digital transition, sustainability? Please describe who is involved and who decides on the priorities (e.g., government, research and innovation councils, sector-specific platforms including industry and science, etc.).</p> <p><i>(This question does not refer to who sets overall science, technology and industry priorities. This is usually done by parliaments and government. The question refers to decisions taken after budgets to different ministries/agencies have been approved. Scientific priorities refer to scientific disciplines, e.g. biotechnology; sectoral priorities refer to industries, e.g. pharmaceuticals; and thematic priorities refer to broader social themes, e.g. digital transition, sustainability, etc.)</i></p> <p>d) From 2005-16, were any significant changes introduced as to how decisions on scientific, sectoral and/or thematic orientation of major programmes are taken (e.g. establishment of agencies that decide on content of programmes)?</p>	<p>a and b) The Ministry of Education, Research and Religious Affairs decides on the institutional budget allocations for HEIs and PRIs that operate under its auspices. However, their governing boards have the autonomy to decide on their scientific, sectoral and/or thematic priorities. During the crisis period the regular budget covers exclusively the salary of the permanent staff.</p> <p>The General Secretariat for Research and Technology (GSRT), which is part of the Ministry for Education, Research and Religious Affairs, provides project-based funding, through competitive programmes on specific thematic priorities. The Hellenic Foundation for Research and Innovation was created in 2016 (Law 4429/21-10- 2016), in order to support research and innovation activities on the basis of excellence rather than thematic/sectoral criteria.</p> <p>c) The Ministry of Education, Research and Religious Affairs and GSRT, have the leading role in national policy formulation and implementation with regard to STI, including HEIs and PRIs (European Commission, p. 14). The Law on Research, Technological Development and Innovation (L.4310/2014, as mainly amended by Law 4386/2016) establishes that the GSRT decides on the content of R&amp;D policies and programmes.</p> <p>d) In 2015, the position of Alternate Minister for Research and Innovation was created and the Ministry of Education and Religious Affairs was renamed as the Ministry of Education, Research and Religious Affairs. The changes are expected to bring more top-level political guidance to research and innovation in Greece.</p>

**References:**

European Commission (2016), RIO Country Report Greece, Brussels, Joint Research Centre Science for Policy Report EUR 27848 EN, Brussels, p. 14-16, Available at: <https://rio.jrc.ec.europa.eu/en/library/rio-country-report-greece-2015> (accessed 02 March, 2017)

- Q.1.2. Who allocates institutional block funding to a) HEIs and b) PRIs?**  
*(Institutional block funds (or to general university funds) support institutions and are usually transferred directly from the government budget.)*
- a and b) The Ministry of Education, Research and Religion allocates institutional block funding to HEIs and PRIs that operate under its auspices.
- c) Who allocates **project-based funding** of research and/or innovation for HEIs and PRIs?  
*(Project-based funding provides support for research and innovation activities on the basis of competitive bids.)*
- c) GSRT, under the Ministry of Education, Research and Religious Affairs, provides project based competitive funding to HEIs and PRIs. Additional competitive funding is provided by the recently created Hellenic Foundation for Research and Innovation (Law 4429/21-10- 2016).
- d) Is there a transnational body that provides funding to HEIs and PRIs (e.g. the European Research Council)?
- d) HEIs and PRIs in Greece can apply for funding of the European Commission and the European Research Council.
- e) What is the importance of such funding relative to national funding support?
- e) Missing answer.
- f) From 2005-16, were any changes made to way programmes are developed and funding is allocated to HEIs and PRIs (e.g. merger of agencies, devolution of programme management from ministries to agencies)?
- f) No major changes made.

*References:*

*European Commission (2016), RIO Country Report Greece, Brussels, Joint Research Centre Science for Policy Report EUR 27848 EN, Brussels, p. 14-16, Available at: <https://rio.jrc.ec.europa.eu/en/library/rio-country-report-greece-2015> (accessed 02 March, 2017).*

- Q.1.3. Do performance contracts determine funding of a) HEIs?**  
*Institutional block funds can be partly or wholly distributed based on performance. (Performance contracts define goals agreed between ministry/agency and HEIs/PRIs and link it to future block funding of HEIs and PRIs.)*
- a to f) Following the Law 4009/2011 on Higher Education (2011), institutional funding is allocated based on performance criteria set in multi annual programming agreements (performance agreements) between HEIs and the Ministry of Education, Research and Religion. It is envisaged that quantitative indicators are revised every four years between universities and the Ministry in accordance with national STI priorities (EC/OECD STI Policy Survey 2016 for Greece, responses C4 and H4).
- b) What is the share of HEI budget subject to performance contract?
- According to Law 4009/2011, performance agreements do not determine the regular budget for HEIs but potential additional funding. HEIs participate in the formulation of criteria used in performance agreements. Law 4310/2014, as amended by Law 4386/2016, foresees the formulation of Action Plans by the Governing Boards of PRIs, following the national STI priorities, that does not affect their institutional block funding. Accordingly, performance agreements between PRIs and GSRT might be conducted but they have not been put into practice so far. Performance agreements, when implemented, are expected to cover part of the operating costs of PRIs in accordance with the terms of a relevant program agreement, the distinction of their activities into economic and non - economic, as well as the existing institutional framework for State Aid and Competition rules.
- c) Do performance contracts include quantitative indicators for monitoring and evaluation?
- d) What are the main indicators used in performance contracts? Which, if any, performance aside from research and education is set out in performance contracts?
- e) Do HEIs participate in the formulation of main priorities and criteria used in performance contracts?
- f) Do the same priorities and criteria set in performance contracts apply to all HEIs?
- g) Missing answer.
- g) Are any other mechanisms in place to allocate funding to HEIs and PRIs?
- h) From 2005-16, were any changes made to funding of HEIs and PRIs?  
*(In case performance contracts are in place that bind funding of PRIs, please provide information about them.)*
- h) No major changes made.

*References:*

*EC/OECD STI Policy Survey 2016 for Greece. Responses C4 and H4.*

<p><b>Q.1.4.</b> Who decides on the following key <b>evaluation</b> criteria of HEIs and PRIs?</p>	<p>a to c) The Ministry of Education, Research and Religious Affairs decides on evaluation criteria of HEIs. HEIs participate in the formulation of those evaluation criteria. The Independent Assessment Authority (ADIP) evaluates and monitors HEI performance.</p>
<p>Who is responsible for setting criteria to use when evaluating performance of a) HEIs? Who is responsible for b) evaluating and c) monitoring HEIs' performance?</p>	<p>d to f) Regarding PRIs, the GSRT at the Ministry of Education, Research and Religion supervises performance evaluations of PRIs which are conducted by independent international experts every 5 years. Evaluation outcomes do not affect PRI funding.</p>
<p>Who is responsible for setting criteria to use when evaluating performance of d) PRIs? Who is responsible for e) evaluating and f) monitoring PRIs' performance?</p>	<p>h) Higher education reform was conducted in 2011. HEIs were granted autonomy in exchange for external performance evaluation by the Independent Assessment Authority (ADIP). It is envisaged that quantitative performance indicators are revised every four years between universities and the Ministry in accordance with national STI priorities.</p>
<p>h) From 2005-16, was any institution created for evaluating HEIs and PRIs or were any changes made to criteria applied for evaluations of HEIs and PRIs?</p>	<p>The first evaluation of PRIs under the auspices of GSRT was conducted in the 90s and the legal provision for evaluation of PRIs was first introduced by Law 2919/2001, Art. 23A. Evaluations take place every five years by committees of 5-7 international external evaluators. GSRT defines performance criteria used for those evaluations and supervises the evaluations. However, the evaluation outcomes in principle do not determine PRI funding (EC/OECD STI Policy Survey 2016 for Greece, responses C4).</p>

*References:*

*EC/OECD STI Policy Survey 2016 for Greece. Responses C4 and H4.*

<p><b>Q.1.5.</b> Which <b>recent reforms</b> to institutions that are in charge of priority setting, budget allocations, and evaluations of HEIs and PRIs were particularly important?</p>	<p>Higher education reforms (Laws 4009/2011; 4076/2012; 4115/2013) introduced performance agreements between 2011 and 2013. HEIs were granted autonomy in exchange for external performance evaluation by ADIP. Moreover, external stakeholder participation was introduced in university councils (EC/OECD STI Policy Survey 2016 for Greece, responses C4 and H4).</p>
<p></p>	<p>Following reforms in 2012, PRIs were merged and the number of research institutes decreased from 56 to 31 in 2016. New governance procedures will be introduced in PRIs that should link funding to performance agreements (EC/OECD STI Policy Survey 2016 for Greece, responses C4).</p>

*References:*

*EC/OECD STI Policy Survey 2016 for Greece. Responses C4 and H4.*

## Topic 2: Policy co-ordination mechanisms

**Table 2. Questions on research and innovation councils**

Question	Response
<p><b>Q.2.1. a) Is there a <b>Research and Innovation Council</b>, i.e. non-temporary public body that takes decisions concerning HEI and PRI policy, and that has explicit mandates by law or in its statutes to either?</b></p> <ul style="list-style-type: none"> <li>– provide policy advice (i.e. produce reports);</li> <li>– and/or oversee policy evaluation;</li> <li>– and/or coordinate policy areas relevant to public research (e.g. across ministries and agencies);</li> <li>– and/or set policy priorities (i.e. strategy development, policy guidelines);</li> <li>– and/or joint policy planning (e.g. joint cross-ministry preparation of budgetary allocations)?</li> </ul> <p>b) What is the name of the main research and/or innovation Council/Committee? Are there any other research Councils/Committees?</p> <p>c) Are there any other research Councils/Committees?</p>	<p>a and b) Traditionally, the National Council for Research and Innovation is the main consultative body supporting the Minister and the Secretary General for Research and Technology on RTDI policy and related issues. It was established by Law 1514/1984 and was subject to several amendments concerning its composition and selection procedures, the last ones put into force by Law 4386/2016.</p> <p>c) The Smart Specialisation Strategy Board was established in 2015 in order to approve and monitor the implementation of the National RIS3 Strategy for Programming Period 2014-20. Law 4310/2014, as amended by Law 4386/2016, provides also for the establishment of 13 Regional Councils for Research and Innovation. Several Regions have already established Regional Councils; in others the relevant selection procedures of the Councils' members are ongoing. Finally, Law 4009/2011 (Art. 8) provides for the establishment of Councils in HEIs. The Councils consist of 11 to 15 internal and external members, according to the number of full professors of the HEI. Their main mandate is to establish the strategic priorities and missions of the HEI and to supervise its operation.</p> <p>In 2015, the Smart Specialisation Strategy Board was established under the Ministry of Economy, Infrastructure, Marine and Tourism. The Council proposes STI policies with regard to the Smart Specialisation Strategy, monitors the strategy's implementation and proposes revisions to the strategy to the Ministers of Economy, Development and Tourism and the Minister of Education, Research and Religious Affairs (Ministry of Economy and Development, 2016).</p> <p>Other research and innovation councils are the National Council for Research and Technology (NCRT) and the National Council for Research, Technology Development and Innovation (NCRTDI).</p> <p>NCRT is an advisory body composed of representatives from science and foreign experts (Diaspora Greeks). The NCRT proposes guidelines in the area of research and technology policy, assesses candidacies for directorship appointments in PRIs, and provides ad hoc recommendations to the Ministry of Education, Research and Religious Affairs. The Ministry of Education, Research and Religion nominates the members of NCRT for a three-year period. The mandate of NCRT members was extended in May 2015 (EC/OECD STI Policy Survey 2016 for Greece, response B4).</p>

NCRTDI is an advisory body that was set up in 2013 and includes representatives from academia and industry; it provides advice on policy strategies with regard to STI coordinates between government agencies responsible for STI (EC/OECD STI Policy Survey 2016 for Greece, response B4). Currently it is not operational.

Moreover, thirteen Regional Research and Innovation Councils are about to be created (L.4310/2014). In some regions they are already established and operational. They play a major role in the implementation and revision of the thirteen regional Smart Specialisation strategies. They will also cooperate with the GSRT in formulation of STI strategies and provide platforms for collaboration with regional stakeholders (EC/OECD STI Policy Survey 2016 for Greece, response B4).

*References:*

*EC/OECD STI Policy Survey 2016 for Greece. Response B4.*

*Ministry of Economy and Development (2016). Research and Innovation Strategies for Smart Specialisation (RIS3) [Webpage]. Retrieved from <https://www.espa.gr/en/pages/staticRIS3.aspx>, accessed 21.12.2016.*

**Q.2.2.** With reference to Q.2.1, does the Council's **mandate** explicitly include a) policy coordination; b) preparation of strategic priorities; c) decision-making on budgetary allocations; d) evaluation of policies' implementation (including their enforcement); e) and provision of policy advice?

a to e) NCRT is an advisory body involved in the establishment, monitoring and revision of national STI priorities, the enforcement of cooperation/ links between research, education, business and civil society, the STI activities' funding and several other relevant issues.

The Smart Specialisation Strategy Board's mandate includes policy coordination, preparation of strategic priorities, evaluation of policies' implementation, and the provision of policy advice. GSRT prepares and submits the relevant proposals to the Board.

The Smart Specialisation Board proposes STI policies with regard to the Smart Specialisation Strategy, monitors the strategy's implementation and proposes revisions to the strategy to the Ministers of Economy, Development and Tourism and the Minister of Education, Research and Religious Affairs. It serves as a platform for exchange for different ministers with STI agendas.

*References:*

*EC/OECD STI Policy Survey 2016 for Greece. Response B4.*

*Ministry of Economy and Development (2016). Research and Innovation Strategies for Smart Specialisation (RIS3) [Webpage]. Retrieved from <https://www.espa.gr/en/pages/staticRIS3.aspx>, accessed 21.12.2016.*

**Q.2.3.** With reference to Q.2.1, **who formally participates** in the Council? a) Head of State, b) ministers, c) government officials (civil servants and other representatives of ministries, agencies and implementing bodies), d) funding agency representatives, e) local and regional government representatives, f) HEI representatives, g) PRI representatives, h) private sector, i) civil society, and/or j) foreign experts

a to j) The Smart Specialisation Strategy Board consists of representatives of ministries (Secretary General level) directly involved in the design and implementation of RIS3, notably the Ministry of Economy and Development (former Ministry of Economy, Infrastructure, Marine and Tourism), the Ministry of Education, Research and Religious Affairs, the Ministry of Environment and Energy, and the Ministry of Labour, Social Insurance and Social Solidarity. It also includes representatives from Greek Regions. Other central government and regional-level agencies may be invited to participate on invitation of the Board coordinator.

As regards the NCRI, it consists of seventeen (17) members, distinguished for their training and experience in the field of RTD, coming from the research, academic and business sector of the country or abroad:

- The Chair
- The Vice-Chair
- 11 members, specialists in key areas of RTDI
- 2 members from the productive business sector, holders of a postgraduate degree, with experience in designing and implementing research / development programs and have the capacity of a senior executive or industry.
- 2 members of the Regional Research and Innovation Councils

Only the above mentioned members, after their official appointment, formally participate in the Council sessions. The Alternate Minister, responsible for Research and Innovation, and the Secretary General for Research and Technology are invited out of courtesy but do not have a voting right and have to leave before the official beginning of any session.

*References:*

*Ministry of Economy and Development (2016). Research and Innovation Strategies for Smart Specialisation (RIS3) [Webpage]. Retrieved from <https://www.espa.gr/en/pages/staticRIS3.aspx>, accessed 21.12.2016.*

**Q.2.4.** With reference to Q.2.1.b., does the Council have its own a) **staff** and/or its own b) **budget**? If so, please indicate the number of staff and the amount of annual budget available.

a and b) The Smart Specialisation Strategy Board is supported by a Secretariat consisting from high officials from the National Coordination Authority of the Partnership Agreement 2014-20, the Ministry of Economy and Development and GSRT.

c) From 2005-16, were any **reforms** made to the mandate of the Council, its functions, the composition of the Council, the budget and/or the Council's secretariat? Was the Council created during the time period?

As for NCRI, there is only a secretary and a deputy secretary and no regular budget. Certain budget provisions for travel, accommodation and hosting expenses do exist.

c) The mandate of NCRI has not changed significantly over these years, but its composition has varied considerably. There has been a Council of this type since the 80s. The Smart Specialisation Strategy Board was established in 2015.

*References:*

*EC/OECD STI Policy Survey 2016 for Greece. Response B4.*

*Ministry of Economy and Development (2016). Research and Innovation Strategies for Smart Specialisation (RIS3) [Webpage]. Retrieved from <https://www.espa.gr/en/pages/staticRIS3.aspx>, accessed 21.12.2016.*



**Table 3. Questions on national STI strategies**

Question	Response
<p><b>Q.2.5.</b> a) Is there a national non-sectoral <b>STI strategy</b> or plan?</p> <p>b) What is the name of the main national STI strategy or plan?</p>	<p>a and b) The National Research and Innovation Strategy for Smart Specialization 2014-2020 (RIS3) is the main STI strategy in Greece.</p>
<p><i>References:</i> EC/OECD STI Policy Survey 2016 for Greece. Response A2.</p>	
<p><b>Q.2.6.</b> Does the national STI strategy or plan address any of the following priorities?</p> <p>a) Specific themes and/or <b>societal challenges</b> (e.g. Industry 4.0; “green innovation”; health; environment; demographic change and wellbeing; efficient energy; climate action) - Which of the following themes and/or societal challenges are addressed?</p> <ul style="list-style-type: none"> <li>– Demographic change (i.e. ageing populations, etc.)</li> <li>– Digital economy (e.g. big data, digitalisation, industry 4.0)</li> <li>– Green economy (e.g. natural reReferences, energy, environment, climate change)</li> <li>– Health (e.g. Bioeconomy, life science)</li> <li>– Mobility (e.g. transport, smart integrated transport systems, e-mobility)</li> <li>– Smart cities (e.g. sustainable urban systems urban development)</li> </ul> <p>b) Specific <b>scientific disciplines and technologies</b> (e.g. ICT; nanotechnologies; biotechnology) - Which of the following scientific research, technologies and economic fields are addressed?</p> <ul style="list-style-type: none"> <li>– Agriculture and agricultural technologies</li> <li>– Energy and energy technologies (e.g. energy storage, environmental technologies)</li> <li>– Health and life sciences (e.g. biotechnology, medical technologies)</li> <li>– ICT (e.g. artificial intelligence, digital platforms, data privacy)</li> <li>– Nanotechnology and advanced manufacturing (e.g. robotics, autonomous systems)</li> </ul> <p>c) Specific <b>regions</b> (e.g. smart specialisation strategies)</p> <p>d) <b>Supranational</b> or transnational objectives set by transnational institutions (for instance related to European Horizon 2020)</p> <p>e) <b>Quantitative targets</b> for monitoring and evaluation (e.g. setting as targets a certain level of R&amp;D spending for public research etc.)</p> <p>f) From 2005-16, was any STI strategy introduced or were any changes made existing STI strategies?</p>	<p>a and b) RIS3 addresses the following societal challenges and scientific research, technology and economic fields:</p> <ul style="list-style-type: none"> <li>• Agro-food;</li> <li>• Health and Pharmaceuticals;</li> <li>• ICT;</li> <li>• Energy;</li> <li>• Environment and sustainability;</li> <li>• Transport and logistics;</li> <li>• Materials and construction;</li> <li>• Culture, tourism, and creative industries.</li> </ul> <p>c and d) There are also thirteen regional Smart Specialisation strategies. Objectives are set at the national and regional levels; European priorities are also taken on board.</p> <p>e) RIS3 includes the quantitative target to raise R&amp;D expenditures to 1.2% of GDP by 2020.</p> <p>f) Moreover, Law 4310/2014, as amended by Law 4386/2016, foresees the formulation of a National Strategy for Research, Technological Development and Innovation (ESETAK) which has not been adopted yet. Currently, RIS3 is the main national strategy for RTDI, dictating the allocation of ESIF funds. ESETAK will be a broader national strategy including support for curiosity driven research, participation to international research organizations etc.</p>
<p><i>References:</i> EC/OECD STI Policy Survey 2016 for Greece. Response A2.</p>	

<p><b>Q.2.7.</b> What reforms to policy co-ordination regarding STI strategies and plans have had particular impact on public research policy?</p>	<p>The National RIS3 was formulated by GSRT, submitted and approved by the National Smart Specialization Board and formally adopted in 2015 as an inter-ministerial decision of the Minister of Economy and the Alternate Minister for Research. For the first time a High Level national Coordination Board for RTDI, involving 13 Secretaries General and a representative of the Greek regions has an active role in adopting and monitoring the national research and innovation strategy. Moreover, a RIS3 Network consisting of representatives of the Ministries involved in the national RIS3, as well as representatives of the 13 Regions of the country has been established in order to coordinate the implementation of the national and regional strategies and to explore synergies and complementarities.</p>
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**Table 4. Questions on inter-agency programming and role of agencies**

Question	Response
<p><b>Q.2.8.</b> Does <b>inter-agency joint programming</b> contribute to the co-ordination of HEI and PRI policy?</p>	<p>Interagency coordination is operational at the level of formulation, implementation and monitoring of the national RIS3. RIS3 priorities guided the formulation of the National Multiannual Budgeting Plan for Research Infrastructures, which is a robust policy and funding instrument for the support of HEIs and PRIs networks of research and innovation infrastructures. Identification of the thematic content of RTDI actions funded by EFRD in order to steer business – academia collaborations is also based on RIS3 priorities</p>
<p><i>(Inter-agency joint programming refers to formal arrangements that result in joint action by implementing agencies, such as e.g. sectoral funding programmes or other joint policy instrument initiatives between funding agencies.)</i></p>	
<p><i>References:</i> <i>EC/OECD STI Policy Survey 2016 for Greece. Response B6.</i></p>	
<p><b>Q.2.9. a)</b> Is co-ordination within the <b>mandate of agencies</b>?</p>	<p>a) According to Law 4310/2014 as amended by Law 4386/2016, a Scientific Contact Point will be nominated in the different Ministries in order to ensure coordination with GSRT and the Ministry of Education, Research and Religious Affairs. However, the appointment of the above contact points is still pending.</p>
<p>b) From 2005-16, were any changes made to the mandates of agencies tasked with regards to inter-agency programming? Were new agencies created with the task to coordinate programming during the time period?</p>	
<p>b) The establishment and activation of the National Smart Specialization Board was the main achievement regarding inter-agency coordination for RTDI. The Board is foreseen in the Governance scheme of the national RIS3.</p>	
<p><b>Q.2.10.</b> What reforms of the institutional context have had impacts on public research policy?</p>	<p>Law 4310/2014 as amended by Law 4386/2016; Ministerial Decision for the adoption of RIS3 2014-20; Establishment in 2016 (Law 4429/21-10- 2016) of the Hellenic Foundation for Research and Innovation, funded through a Contract Agreement between the Hellenic Republic and the European Investment Bank, signed in 15.07.2016. The Foundation's budget is EUR 240 million for a 3-year period, covering curiosity driven research projects, doctoral and post-doctoral fellowships, research infrastructures, as well as support to innovative start-ups.</p>

### Topic 3: Stakeholders consultation and institutional autonomy

**Table 5. Questions on stakeholder consultation**

Question	Response
<p><b>Q.3.1. a) Do the following stakeholders participate as formal members in <b>Research and Innovation Councils</b>?</b> (i.e. <i>Formal membership as provided by statutes of Council</i>)</p> <ul style="list-style-type: none"> <li>- Private Sector</li> <li>- Civil society (citizens/ NGOs/ foundations)</li> <li>- HEIs/PRIs and/or their associations</li> </ul> <p>b) Do stakeholders participate as formal members in <b>council/governing boards of HEIs</b>? (i.e. <i>Formal membership as provided by statutes of Council</i>)</p> <ul style="list-style-type: none"> <li>- Private Sector</li> <li>- Civil society (citizens/ NGOs/ foundations)</li> </ul>	<p>a) As regards the NCRI, it consists of seventeen (17) members, distinguished for their training and experience in the field of RTD, coming from the research, academic and business sector of the country or abroad:</p> <ul style="list-style-type: none"> <li>- The Chair</li> <li>- The Vice-Chair</li> <li>- 11 members, specialists in key areas of RTDI</li> <li>- 2 members from the productive business sector, holders of a postgraduate degree, with experience in designing and implementing research / development programs and have the capacity of a senior executive or industry.</li> <li>- 2 members of the Regional Research and Innovation Councils</li> </ul> <p>The Smart Specialisation Strategy Board consists of representatives of ministries (at the level of General Secretaries) directly involved in the design and implementation of RIS3, notably the Ministry of Economy, Infrastructure, Marine and Tourism, the Ministry of Education-Research and Religious Affairs, the Ministry of Environment and Energy, and the Ministry of Labour, Social Insurance and Social Solidarity. It also includes representatives from Greek Regions. Other central government and regional-level agencies may be invited to participate on invitation of the Board coordinator (EC/OECD STI Policy Survey 2016, response B4).</p> <p>b) Higher education reforms (Laws 4009/2011; 4076/2012; 4115/2013) introduced external stakeholder participation in university councils (EC/OECD STI Policy Survey 2016 for Greece, responses C4 and H4). The Council of the University of Patras, for instance, includes academia as external members (professors from Boston University School of Medicine, University of Minnesota, Minneapolis, and University of Leipzig, among others). The Council of the Aristotle University of Thessaloniki also includes academics from foreign institutions (University of Cambridge, Ohio State University, University of Dortmund, University of Southern California, and University of Tennessee).</p>

*References:*

Aristotle University of Thessaloniki (2017), *Composition of the Council, website, Available at: [https://www.auth.gr/council/en/index\\_en.htm](https://www.auth.gr/council/en/index_en.htm)* (accessed 03 March 2017).

EC/OECD STI Policy Survey 2016 for Greece. Responses B4, C4 and H4.

University of Patras (2017), *Composition of the University Council, website, available at: <http://www.upatras.gr/en/council>* (accessed 0 March 2017)

<p><b>Q.3.2.</b> a) Are there <b>online consultation</b> platforms in place to request inputs regarding HEI and PRI policy? b) Which aspects do these online platforms address (e.g. e.g. open data, open science)?</p> <p>c) From 2005-16, were any reforms made to widen inclusion of stakeholders and/or to improve consultations, including online platforms?</p>	<p>a and b) At the national level, GSRT implemented an entrepreneurial discovery process, in order to identify the RIS3 thematic priorities. In this context, 8 consultation platforms have been established in the following sectors:</p> <ul style="list-style-type: none"> <li>– Agro-food;</li> <li>– Health and Pharmaceuticals;</li> <li>– ICT;</li> <li>– Energy;</li> <li>– Environment and sustainability;</li> <li>– Transport and logistics;</li> <li>– Materials and construction;</li> <li>– Culture, tourism, and creative industries.</li> </ul>
<p><b>Q.3.3.</b> Which <b>reforms</b> to consultation processes have proven particularly important?</p>	<p>In the above platforms participated stakeholders from the business sector as well as from HEIs and PRIs. They provided input for the formulation of the thematic content of the main national RTDI programmes addressing business academia cooperation, as well as for specific programmes in fields of top priority (e.g. Aquaculture, Industrial Materials and Cultural Heritage).</p> <p>Consultation platforms are also established at the regional level, in order to identify regional priorities.</p> <p>c) The entrepreneurial discovery process, involving stakeholders from the whole innovation ecosystem of the country, has been adopted as the main instrument for the formulation and revision of the RIS3 strategy. It includes both physical and virtual consultation platforms.</p> <p>RIS3 consultation platforms were important for public consultations.</p> <p>The operational model of the RIS3 consultation platforms involves a Coordinator, with the appropriate scientific background, as well as a Steering Group consisting of a limited number of prominent experts in the thematic sector of the platform. The Steering Group formulates proposals for specific thematic priorities that are submitted to the platforms' plenary sessions and subject also to on line open consultation. Input is elaborated by the Steering Group according to a set of priority selection criteria, which are communicated to the participants well in advance. Finally, priorities are included in the RTDI calls issued under ERDF funding.</p>

**Table 6. Questions on autonomy of universities and PRIs**

Question	Response
<p><b>Q.3.4.</b> Who decides about <b>allocations of institutional block funding</b> for teaching, research and innovation activities at a) HEIs and b) PRIs?  <i>(National/regional level: If HEIs face national constraints on using block funds, i.e. funds cannot be moved between categories such as teaching, research, infrastructure, operational costs, etc. This option also applies if the ministry pre-allocates budgets for universities to cost items, and HEIs are unable to distribute their funds between these.</i>  <i>Institutions themselves: If HEIs are entirely free to use their block grants.)</i></p> <p>References:  Data on institutional autonomy is based on a survey conducted by the European University Association between 2010 and 2011 across 26 European countries. The answers were provided by Secretaries General of national rectors' conferences and can be found in the report by the European University Association (Estermann et al., 2015).  Estermann, T., Nokkala, T., and Steinel, M. (2015). <i>University Autonomy in Europe II The Scorecard</i>. Brussels: European University Association. Retrieved from <a href="http://www.eua.be/Libraries/publications/University_Autonomy_in_Europe_II_-_The_Scorecard.pdf?sfvrsn=2">http://www.eua.be/Libraries/publications/University_Autonomy_in_Europe_II_-_The_Scorecard.pdf?sfvrsn=2</a>, accessed 19.09.2016.  European University Association (2016). <i>University Autonomy in Europe (Webpage)</i>. Retrieved from <a href="http://www.university-autonomy.eu/">http://www.university-autonomy.eu/</a>, accessed 19.09.2016.</p>	<p>a and b) The Ministry of Education, Research and Religion, decides about allocations of institutional block funding to internal teaching, research and innovation activities of HEIs and PRIs.</p> <p>The ministry pre-allocates university funding to cost items and/or activities. Institutions are unable to move those funds between categories, or may only do so within strict limitations.</p>
<p><b>Q.3.5.</b> Who decides about <b>recruitment</b> of academic staff at a) HEIs and b) PRIs?  <i>(National/regional level: If recruitment needs to be confirmed by an external national/regional authority; if the number of posts is regulated by an external authority; or if candidates require prior accreditation. This option also applies if there are national/regional laws or guidelines regarding the selection procedure or basic qualifications for senior academic staff.</i>  <i>Institutions themselves: If HEIs are free to hire academic staff. This option also applies to cases where laws or guidelines require the institutions to publish open positions or the composition of the selection committees which are not a constraint on the hiring decision itself.)</i></p> <p>Who decides about <b>salaries</b> of academic staff at c) HEIs and d) PRIs?  <i>(National/regional level: If salary bands are negotiated with other parties, if national civil servant or public sector status/law applies; or if external authority sets salary bands.</i>  <i>Institutions themselves: If HEIs are free to set salaries, except minimum wage.)</i></p>	<p>a and b) Opening of new positions and hiring of academic staff in HEIs and PRIs is decided by their governing bodies (Senate and Governing Board) respectively; however the relevant budget has to be approved in advance by the Ministry of Education, Research and Religious Affairs and the Ministry of Finance. Recruitment and promotion of academic staff (evaluation of candidatures) is delegated to specific evaluation committees.</p> <p>c and d) Salaries are regulated at the national level (Law 3205/2003).</p> <p>e and f) Specific regulations for public-sector employees, including academic staff in HEIs and PRIs, apply to salaries, including promotions. HEIs and PRIs have the autonomy to decide on the number and level of posts for senior academic staff; however the relevant budget has to be approved by the ministry. Permanent administrative staff is recruited in a country-wide competition for all public services.</p>
<p>Who decides about <b>reassignments and promotions</b> of academic staff at e) HEIs and f) PRIs?  <i>(National/regional level: If promotions are only possible in case of an open post at a higher level; if a promotion committee whose composition is regulated by law has to approve the promotion; if there are requirements on minimum years of service in academia; if automatic promotions apply after certain years in office, or if there are promotion quotas.</i>  <i>Institutions themselves: If HEIs can promote and reassign staff freely.)</i></p>	

**Q.3.6.** Who decides about the **creation of academic departments** (such as research centres in specific fields) and functional units (e.g. **technology transfer offices**) at a) HEIs and b) PRIs?

*(National/regional level: If there are national guidelines or laws on the competencies, names, or governing bodies of internal structures, such as departments or if prior accreditation is required for the opening, closure, restructuring of departments, faculties, technology offices, etc.)*

*Institutions themselves: If HEIs are free to determine internal structures, including the opening, closure, restructuring of departments, faculties, technology offices, etc.)*

Who decides about the creation of legal entities (e.g. **spin-offs**) and **industry partnerships** at c) HEIs and d) PRIs?

*(National/regional level: If there are restrictions on legal entities, including opening, closure, and restructuring thereof; if restrictions apply on profit and scope of activity of non-profit organisations, for-profit spin-offs, joint R&D, etc.)*

*Institutions themselves: If HEIs are free to create non-profit organisations, for-profit spin-offs, joint R&D, etc.)*

**Q.3.7.** Who earns what **share of revenues** stemming from IP (patents, trademarks, design rights, etc.) created from publicly funded research at a) HEIs and b) PRIs?

- HEI
- Research unit / laboratory within HEI
- Researchers

c) From 2005-16, were any reforms introduced that affected the institutional autonomy of HEIs and PRIs?

a and b) The Ministry of Education, Research and Religion decides about internal academic structures at HEIs and PRIs.

c and d) HEIs and PRIs are free to decide on the creation of spin offs, licencing and joint R&D partnership with industry.

As provided by Article 21 of the 4310/2014, amended by Law 4386/2016, the creation of new legal entities with any legal form and organizational structure, such as thematic networks of advanced research, spin off, knowledge-intensive enterprises, business clusters and science and technology parks with research, technological objectives is foreseen for public research bodies. However, academic spin offs are created in the forms of anonymous, limited liability or private capital companies.

a and b) HEIs and PRIs set revenue schemes themselves.

Sharing of IPR revenues is not regulated by legislation. IPR provisions are included in the Internal Regulations of the PRIs/ HEIs and specify the share of revenues of inventors, licencing agreements etc., in accordance to Laws 2121/1993, 1733/1987 and the European State Aid Regulations.

c) Between 2011 and 2013, HEIs were granted greater autonomy in exchange for external performance evaluation by ADIP. Law 4009/2011 provides also for greater autonomy through the Statutes of HEIs put into force by Presidential Decrees. However, these provisions are not operational yet.

References:

*EC/OECD STI Policy Survey 2016 for Greece. Responses C4 and H4.*

**Q.3.8.** Which **reforms** to institutional autonomy have been important to enhance the impacts of public research?

Higher education reforms (Laws 4009/2011; 4076/2012; 4115/2013) introduced performance agreements between 2011 and 2013. HEIs were granted autonomy in exchange for external performance evaluation by ADIP. Institutional funding is allocated based on performance criteria set in multi annual programming agreements between HEIs and the Ministry of Education, Research and Religion. It is envisaged that quantitative indicators are revised every four years between universities and the Ministry in accordance with national STI priorities. Moreover, external stakeholder participation was introduced in university councils (EC/OECD STI Policy Survey 2016 for Greece, responses C4 and H4).

Following reforms in 2012, PRIs were merged and their number decreased from 56 to 31 in 2016. New governance procedures will be introduced in PRIs that should link funding to performance agreements. (EC/OECD STI Policy Survey 2016 for Greece, responses C4).

References:

*EC/OECD STI Policy Survey 2016 for Greece. Responses C4 and H4.*