

Survey response for France

OECD database of governance of public research policy

This document contains detailed responses for France 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

AFD	Agence Française de Développement French Development Agency
ANDRA	Agence nationale pour la gestion des déchets radioactifs French Agency for Nuclear Waste Treatment
ANR	Agence National de la Recherche The French National Research Agency
CNESER	Le Conseil national de l'enseignement supérieur et de la recherche National Council for Higher Education and Research
CNRS	Centre National de la Recherche Scientifique National Center for Scientific Research
CNU	Conseil National des Universités National Council of Universities
COMUES	Communautés d'Universités et Etablissements Associations of Universities and Higher Education Institutions
CSR	Conseil Stratégique de la Recherche Strategic Research Council
DGRI	Direction Générale de la Recherche et de l'Innovation Directorate General for Research and Innovation
HCERES	Haut Conseil de l'Evaluation de la Recherche et de l'Enseignement Supérieur High Council for the Evaluation of Research and Higher Education
HEIs	Higher Education Institutions
LRU	Loi relative aux Responsabilités des Universités Freedom and Responsibilities for Universities Act
MESR	Ministère de l'Education Nationale, de l'Enseignement Supérieur et de la Recherche Ministry of Higher Education and Research
PIA	Programme d'Investissements d'Avenir Investments for the Future Programme
PRES	Pôles de recherche et d'enseignement supérieur Centres for Research and Higher Education
PRIs	Public Research Institutes
SMEs	Small and medium-sized enterprises
SNR	Stratégie National de Recherche French National Research Strategy
SYMPA	Système de Répartition des Moyens à la Performance et à l'Activité

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>Q.1.1. Who mainly decides on the scientific, sectoral and/or thematic priorities of budget allocations for a) HEIs and b) PRIs?</p> <p>c) Which are the main mechanisms in place to decide on scientific, sectoral and/or thematic priorities of national importance, 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) In France, the Strategic Research Council decides on scientific, sectoral and/or thematic priorities of public funding of research and innovation for HEIs, while PRIs (i.e. the National Center for Scientific Research, Centre National de la Recherche Scientifique CNRS) themselves decide on priorities of project-based funding of research and/or innovation.</p> <p>c) Setting national STI priorities between 2012 and 2015:</p> <ul style="list-style-type: none"> - The MESR organised public consultation rounds (so-called Assises nationales de l'enseignement supérieur et de la recherche) where more than 20,000 representatives from HEIs, business, local municipalities, and civil society took part between July and November 2012. - The discussion outcomes of the roundtables informed recommendations of the MESR on reforms of higher education and research. One of the recommendations called for the creation of a national STI strategy and a Strategic Research Council (Conseil Stratégique de la Recherche, CSR). - In 2013, the Strategic Research Council (Conseil Stratégique de la Recherche, CSR) was established by the French Prime Minister. The Council is responsible for setting policy priorities and evaluations of policy implementation - Between 2013 and 2015, the national STI strategy was developed under the supervision of the Directorate General for Research and Innovation (Direction générale de la recherche et de l'innovation, DGRI) under the MESR. The strategic process involved several Ministries, stakeholders from HEIs and PRIs, the private sector, local industry clusters, and civil society. Their joint work informed recommendations of the Strategic Research Council on national STI priorities. - In 2015, the MESR published the national STI strategy (l'Agenda stratégique pour la recherche, le transfert et l'innovation France Europe 2020) that identifies societal challenges that require joint research between HEIs, PRIs and industry. <p>d) <i>Changes over 2005-2016</i></p> <p>In 2013, the Strategic Research Council was established to define national research priorities that are included in performance agreements between the Ministry of Higher Education and Research and HEIs (EC/OECD STI Policy Survey 2016, response B4); the priorities as set out by the Council also define the scientific and thematic scope of public calls for projects by the French National Research Agency (Agence National de la Recherche, ANR) (EC/OECD STI Policy Survey 2016, response C5).</p>

References:

EC/OECD STI Policy Survey 2016 for France. Responses B4 and C5.

OECD (2014). *Governance of research and innovation policies in France*. In *OECD Reviews of Innovation Policy: France*, p. 268. Paris: OECD Publishing.

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.)

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.)

d) Is there a transnational body that provides funding to HEIs and PRIs (e.g. the European Research Council)?

e) What is the importance of such funding relative to national funding support?

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)?

a and b) The Ministry of Higher Education and Research (MESR) allocates institutional funding to HEIs while PRIs themselves allocate institutional funds to research and innovation activities. The CNRS (the main PRI in France) receive their budget and allocate funds to research and innovation activities themselves (OECD, 2014, p. 124).

c) With regard to project-based funding, a national funding agency (Agence Nationale de la Recherche, ANR) develops programmes supporting research and innovation at HEIs and PRIs and allocates budget to them.

After the establishment of ANR, the role of competitive funding of research at HEIs has steadily increased since 2005 (11% in 2013). All funding through the ANR is allocated on a competitive basis (around EUR 2 billion in 2014). In parallel, the share of generic competitive programme funding allocated by the ANR has increased between 2010 and 2016 from 30% to over 50%. In that sense, funding at HEIs has become more competitive but institutions are also more flexible in the allocation of their research funds. Programme funding of the ANR has to be linked to a societal challenge as set out in the National Research Strategy from 2015 (EC/OECD STI Policy Survey 2016, **response C6**).

d) In France, HEIs and PRIs are eligible for additional funding from the European Research Council and the European Commission.

e) European funding corresponds to 4% of public funding for HEIs. It amounts to 25% of public competitive funding.

f) The ANR was established in 2006 as a result of reforms to the public research funding system in France (EC/OECD STI Policy Survey 2016, **response C6**). Before 2006, MESR developed programmes and allocated budgets to research and innovation activities at HEIs and PRIs. The response to question 1.2.e changed accordingly from the national ministry level to the national agency level.

References:

EC/OECD STI Policy Survey 2016 for France. Response C6.

OECD (2014). *Public research in France*. In *OECD Reviews of Innovation Policy: France*, p. 124. Paris: OECD Publishing.

<p>Q.1.3. Do performance contracts determine funding of a HEIs? <i>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.)</i></p> <p>b) What is the share of HEI budget subject to performance contract?</p> <p>c) Do performance contracts include quantitative indicators for monitoring and evaluation?</p> <p>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?</p> <p>e) Do HEIs participate in the formulation of main priorities and criteria used in performance contracts?</p> <p>f) Do the same priorities and criteria set in performance contracts apply to all HEIs?</p> <p>g) Are any other mechanisms in place to allocate funding to HEIs and PRIs?</p> <p>h) From 2005-16, were any changes made to funding of HEIs and PRIs?</p> <p><i>(In case performance contracts are in place that bind funding of PRIs, please provide information about them.)</i></p>	<p>a) Performance contracts (contrat d'objectifs et de performance) between MESR and HEIs are in place since 2015.</p> <p>b) The performance contracts do not bind funding of HEIs.</p> <p>c) They include indicators for monitoring performance of HEIs.</p> <p>d) The indicators vary from university to university. They mostly cover research and education targets, such as e.g. the number of scientific publications published in international journals and the number of doctorates, but also participation in national and European research infrastructures, local economic impacts, international scientific collaboration with developing countries, commercialisation of research outcomes, knowledge transfer, and innovation.</p> <p>e) HEIs participate in the formulation of main priorities used in performance contracts.</p> <p>f) Priorities and criteria do not apply to all HEIs.</p> <p>g) Institutional block funding covers around 60-90% of HEIs and PRIs costs. Other References of university funding are European funds, industry and project-based funding. Regarding the latter, the Investment for the Future Programme (le Programme d'investissements d'avenir, PIA) is a new programme that provides research grants to HEIs via open, competitive calls. The programme started in 2010 with a budget of EUR 22 billion EUR. Additional EUR 8.9 billion were added to the programme's budget between 2014 and 2017. In comparison, the entire university budget was EUR 14 billion in 2017.</p> <p>h) Performance contracts were introduced in 2015.</p>
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References:

OECD (2014). Public research in France. In OECD Reviews of Innovation Policy: France, p. 140. Paris: OECD Publishing.

<p>Q.1.4. Who decides on the following key evaluation criteria of HEIs and PRIs?</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>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) 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>a) MESR sets criteria for evaluations of HEIs.</p> <p>b and c) The High Council for the Evaluation of Research and Higher Education (HCERES) conducts evaluations of HEIs.</p> <p>d to f) PRIs are responsible for their evaluations.</p> <p>h) HCERES was established in 2013.</p>
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EC/OECD STI Policy Survey 2016 for France. Response B13.

OECD (2014). Governance of research and innovation policies in France. In OECD Reviews of Innovation Policy: France, p. 268. Paris: OECD Publishing.

Q.1.5. Which **recent reforms** to institutions that are in charge of priority setting, budget allocations, and evaluations of HEIs and PRIs were particularly important?

- University reforms in 2007 increased autonomy of universities with regard to human resource policy and industry relations
- Since university reforms in 2013 (Law on Higher Education and Research), Associations of Universities and Higher Education Institutions COMUES were created. These are clusters of HEIs and PRIs that were formed based on their geographical proximity to each other. Policy rewards mergers of HEIs and the creation of regional university clusters in order to support research excellence and HEIs' specialisation according to their research strengths.
- The establishment of independent agencies: ANR in 2006,
- The formulation of performance criteria for HEIs by the Ministry of Higher Education and Research since 2015

References:

EC/OECD STI Policy Survey 2016 for France. Responses B4, B13, C5 and C6.

OECD (2014). Public research in France. In OECD Reviews of Innovation Policy: France, p. 142-143. Paris: OECD Publishing.

Topic 2: Policy co-ordination mechanisms

Table 2. Questions on research and innovation councils

Question	Response
<p>Q.2.1. a) Is there a Research and Innovation Council, 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?</p> <ul style="list-style-type: none"> – provide policy advice (i.e. produce reports); – and/or oversee policy evaluation; – and/or coordinate policy areas relevant to public research (e.g. across ministries and agencies); – and/or set policy priorities (i.e. strategy development, policy guidelines); – and/or joint policy planning (e.g. joint cross-ministry preparation of budgetary allocations)? <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) The Strategic Research Council is the main research and innovation council. It was established in 2013.</p> <p>c) The National Council for Higher Education and Research (CNESER) is an advisory council. The council, composed of 100 elected and appointed members, ensures the representation of the actors of higher education and research. Among them, the academic world occupies a prominent place, but civil society actors (associations and companies) also participate in the opinions given on research and higher education policies initiated by the State.</p>
<p>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?</p> <p>References: <i>EC/OECD STI Policy Survey 2016 for France. Response B4.</i> <i>Ministry of Higher Education and Research (2016). Strategic Research Council [Webpage]. Retrieved from http://www.enseignementsup-recherche.gouv.fr/pid25366/acces-thematique.html?theme=369&subtheme=370, accessed 27.09.2016.</i></p>	<p>a to e) The Strategic Research Council's mandate includes the preparation of strategic priority setting and policy co-ordination across the government. It makes proposals to the Government with regard to national STI strategies and monitors their implementation (EC/OECD STI Policy Survey 2016, response B4).</p>
<p>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</p> <p>References: <i>Ministry of Higher Education and Research (2016). Strategic Research Council [Webpage]. Retrieved from http://www.enseignementsup-recherche.gouv.fr/pid25366/acces-thematique.html?theme=369&subtheme=370, accessed 27.09.2016.</i></p>	<p>a to j) The Prime Minister, ministers, government officials, HEI and PRI representatives, private sector, civil society and foreign experts. The composition of the Council is defined by law. It consists of French and foreign scientific experts from academia, and representatives from the French Parliament and French regions.</p> <p>The Council is administered by the Prime Minister and the MESR. The work of the Strategic Research Council is prepared by a steering committee which is in charge of the preparation of the elements of programme to be implemented to address societal challenges as identified by the National Research Strategy (SNR). This steering committee consists of main research actors, including PRIs, HEIs, business, foreign experts, regional representatives, and parliamentarians.</p>

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.

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?

a and b) The Council does not have its own staff and budget. The MESR covers its operational costs.

c) The Strategic Research Council was established in 2013. It replaced the High Council for Science and Technology and the Higher Council for Research and Technology that were dissolved. Since its establishment in 2013, the Council has drafted the National Research Strategy (2015) to support the concentration of public research funding in selected areas of strategic interest.

Table 3. Questions on national STI strategies

Question	Response
<p>Q.2.5. a) Is there a national non-sectoral STI strategy 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 Strategy (La Stratégie Nationale de Recherche, SNR) is the main STI strategy in France. It was passed in 2015 by the Nation Research Council (EC/OECD STI Policy Survey 2016, responses B1).</p>
<p><i>References:</i> EC/OECD STI Policy Survey 2016 for France. Response B1.</p>	
<p>Q.2.6. Does the national STI strategy or plan address any of the following priorities?</p> <p>a) Specific themes and/or societal challenges (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"> – Demographic change (i.e. ageing populations, etc.) – Digital economy (e.g. big data, digitalisation, industry 4.0) – Green economy (e.g. natural reReferences, energy, environment, climate change) – Health (e.g. Bioeconomy, life science) – Mobility (e.g. transport, smart integrated transport systems, e-mobility) – Smart cities (e.g. sustainable urban systems urban development) <p>b) Specific scientific disciplines and technologies (e.g. ICT; nanotechnologies; biotechnology) - Which of the following scientific research, technologies and economic fields are addressed?</p> <ul style="list-style-type: none"> – Agriculture and agricultural technologies – Energy and energy technologies (e.g. energy storage, environmental technologies) – Health and life sciences (e.g. biotechnology, medical technologies) – ICT (e.g. artificial intelligence, digital platforms, data privacy) – Nanotechnology and advanced manufacturing (e.g. robotics, autonomous systems) <p>c) Specific regions (e.g. smart specialisation strategies)</p> <p>d) Supranational or transnational objectives set by transnational institutions (for instance related to European Horizon 2020)</p> <p>e) Quantitative targets for monitoring and evaluation (e.g. setting as targets a certain level of R&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) The National Research Strategy addresses ten societal challenges making reference to Horizon 2020 (no order of preference): 1) Management of reReferences and adaptation to climate change (including eco- and biotechnologies); 2) clean, safe and efficient energy (including energy system, energy efficiency, fossil carbon substitutes); 3) industrial renewal (including the digital economy, green industry, human-centred manufacturing procedures, and design of new materials, sensors and instrumentation); 4) health and wellbeing; 5) food security and demographic challenge; 6) sustainable cities and transports; 7) information and communication society (e.g. development of 5G network infrastructure, big data and man-machine collaboration); 8) innovative, integrative and adaptive societies (e.g. exploitation of data to understand the societies and the development of social, cultural and educational innovations); 9) space (including telecommunication, navigation, defence and security); and 10) freedom and security of European territory, citizens and resident.</p> <p>b) Further, the National Research Strategy identifies five action programmes that refer to specific scientific, economic and thematic fields: 1) Big data (e.g. analysis of non-structured data); earth system (e.g. development of disruptive technologies for the observation infrastructure and processing of associated data); synthetic biology; technology transfer from health innovation; and human culture (e.g. large data infrastructures on the study of human culture and behaviour). Beyond the National Research Strategy, the strategic document Innovation 2030 (2013) identifies sectoral and scientific priorities: i) Recycling of rare metals; ii) marine reReferences (including metals and desalination of seawater); iii) plant proteins and plant chemistry; iv) personalised medicine; v) the silver economy; vi) big data; and vii) public security and protection against threats. Moreover, the strategy “A New Deal for Innovation” was presented in November 2013 by the MESR and the Ministry of Industrial Recovery. It aims to establish a better framework for intellectual property management to ease technology transfer between science and industry (i.e. sovereign fund for industrial property), and to support the creation of joint public research-SMEs laboratories.</p>

c) With regard to specific regions, a number of Smart Specialisation Strategies are in place for most French regions. In 2012, the government published the Guide for the Preparation of French Regions' Smart Specialisation Strategies (2012). Finally, the strategic document "A New Deal For Innovation" (2013) includes specific regional policies. It aims to strengthen the public investment bank Bpifrance (Nova Plan) in order to support the growth of innovative SMEs to the benefit of regional development. The focus is laid on the following sectors and technologies: Digital industry, health, environment, and IP protection (including the establishment of a sovereign fund for IP in order to support emerging industries).

d) The strategy defines STI priorities and makes reference to the European framework Horizon2020 (EC/OECD STI Policy Survey 2016, **responses B1**).

e) The National Research Strategy does not include quantitative targets.

f) The National Research Strategy was introduced in 2015.

References:

EC/OECD STI Policy Survey 2016 for France. Response B1.

Q.2.7. What **reforms** to policy co-ordination regarding STI strategies and plans have had particular impact on public research policy?

- The establishment of the ANR in 2005
- The adoption of the national research strategy in 2015 and of the national research infrastructure strategy in 2008 and its update in 2012/2016
- The creation of the Investment in the Future Programme PIA in 2010
- Performance contracts between MESR and HEIs groups as well as with PRIs

References:

EC/OECD STI Policy Survey 2016 for France. Responses B1, B4 and C6.

Table 4. Questions on inter-agency programming and role of agencies

Question	Response
<p>Q.2.8. Does inter-agency joint programming contribute to the co-ordination of HEI and PRI policy?</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>There are several inter-agency programmes in place. The ANR is mainly involved in joint programmes, for instance, in 25 joint programmes with the Research Foundation for Aeronautics and Space (la Fondation de Recherche pour l'Aéronautique et l'Espace), a joint programme with the French Development Agency (l'Agence française de développement, AFD), and a joint programme with the French Agency for Nuclear Waste Treatment (l'Agence nationale pour la gestion des déchets radioactifs, ANDRA).</p>
<p>Q.2.9. a) Is co-ordination within the mandate of agencies?</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>a) The ANR has the mandate to coordinate between agencies and ministries.</p> <p>b) The ANR was created in 2005.</p>
<p>Q.2.10. What reforms of the institutional context have had impacts on public research policy?</p>	<p>The creation of ANR is 2005. Since 2010, the ANR is responsible for the allocation of project-based funding of the Pia programme to HEIs and PRIs.</p>

Topic 3: Stakeholders consultation and institutional autonomy

Table 5. Questions on stakeholder consultation

Question	Response
<p>Q.3.1. a) Do the following stakeholders participate as formal members in Research and Innovation Councils? <i>(i.e. Formal membership as provided by statutes of Council)</i></p> <ul style="list-style-type: none"> – Private Sector – Civil society (citizens/ NGOs/ foundations) – HEIs/PRIs and/or their associations <p>b) Do stakeholders participate as formal members in council/governing boards of HEIs? <i>(i.e. Formal membership as provided by statutes of Council)</i></p> <ul style="list-style-type: none"> – Private Sector – Civil society (citizens/ NGOs/ foundations) 	<p>a) The Prime Minister, ministers, government officials, HEI and PRI representatives, private sector, civil society and foreign experts are formal members of the Strategic Research Council.</p> <p>b) The governing boards of HEIs (conseils d'administration) include representatives from the private sector and civil society as well as representatives from regional and local authorities.</p>
<p>Q.3.2. a) Are there online consultation 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><i>References:</i> <i>Ministry of Higher Education and Research (2016). National Research Strategy [Webpage]. Retrieved from http://www.enseignementsup-recherche.gouv.fr/cid78747/processus-d-elaboration-de-la-strategie-nationale-de-recherche.html, accessed 27.09.2016.</i></p>	<p>a and b) During the elaboration of the National Research Strategy in 2012-2015, there was a process of online public consultation that was open to all citizens.</p> <p>c) The Strategic Research Council was established in 2013.</p>
<p>Q.3.3. Which reforms to consultation processes have proven particularly important?</p>	<p>Missing answer.</p>

Table 6. Questions on autonomy of universities and PRIs

Question	Response
<p>Q.3.4. Who decides about allocations of institutional block funding 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 http://www.eua.be/Libraries/publications/University_Autonomy_in_Europe_II_-_The_Scorecard.pdf?sfvrsn=2, accessed 19.09.2016. European University Association (2016). <i>University Autonomy in Europe (Webpage)</i>. Retrieved from http://www.university-autonomy.eu/, accessed 19.09.2016.</p>	<p>a) The MESR allocates block funding to HEIs according to broad categories (i.e. personnel, operational costs, infrastructure, and equipment). HEIs cannot move funding between those categories.</p> <p>b) PRIs are free to allocate public funds internally to research and innovation activities.</p>
<p>Q.3.5. Who decides about recruitment 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 salaries 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>Who decides about reassignments and promotions 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>	<p>a) HEIs face constraints when recruiting academic staff. A candidate who wants to be recruited as professor or assistant professor must be cleared by the French National Council of Universities (CNU).</p> <p>Each year, the ministry of higher education, research and innovation publishes the number of vacant positions of assistant professors and professors, after having obtained the agreement of the budget controller. Full professors are nominated by decree of the President of the French Republic. Assistant professors are nominated by the Ministry of Higher Education, Research and Innovation. Full professors and other teaching researchers from outside France don't need to be cleared by the CNU to be recruited by a French university.</p> <p>University reforms in 2007 gave universities more autonomy over human reReferences. Universities may freely negotiate temporary contracts and salaries of staff under temporary contracts.</p> <p>b) PRIs are free to hire academic staff. Since 2002, research scientists and research directors are recruited, nominated and managed by the public research organism president, chairman or chief executive officer of the PRIs. The nature and the number of vacancies are regulated by the PRIs themselves.</p> <p>c and d) Salary bands are set at the national level. Since university reforms in 2007, universities can pay bonuses to academic staff to attract talent.</p> <p>e) HEIs do not decide themselves about promotions of academic staff. The CNU is a national authority in charge of distributing a quota of promotions among universities.</p> <p>f) PRIs decide about promotions of academic staff.</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.)

References:

OECD (2014). *Public research in France. In OECD Reviews of Innovation Policy: France, p. 129. Paris: OECD Publishing.*

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 to d) HEIs and PRIs decide about the creation of academic departments, functional units (e.g. technology transfer offices), industry collaboration and legal entities (e.g. spin-offs).

HEIs are free to create non-profit and for-profit organisations as well as joint R&D units themselves since 2011. Joint research units between HEIs and PRIs have increased: In 2000, the 88% of all CNRS institutes were under joint PRI-university supervision. This share increased to 95% in 2012 as a result for reforms increasing autonomy of HEIs and PRIs to form joint R&D and teaching (OECD, 2014, p. 129).

a and b) At HEIs, the researchers receive 50% of revenues while HEIs and the research unit share 50% of revenues. At PRIs, researchers receive a share of 50%.

The French Code of Intellectual Property establishes that 50% of the revenues from IP should be allocated to inventors. The PRI should decide on the allocation of the remaining revenues between the laboratory/research unit that provided the necessary facilities for the researchers to develop the invention, and the PRI itself.

c) *Changes over 2005-2016*

- Establishment of associations of HEIs and PRIs or so-called Centers for Research and Higher Education (pôles de recherche et d'enseignement supérieur, PRES) in 2006. PRES aimed at the creation of critical mass and synergies.
- University autonomy reforms in 2007;
- The 2013 Law on Higher Education and Research discontinued the PRES; they have been largely replaced by the new Associations of Universities and Higher Education Institutions COMUES (Communautés d'Universités et Etablissements), see also <http://www.enseignementsup-recherche.gouv.fr/cid81469/www.enseignementsup-recherche.gouv.fr/cid81469/22-juillet-2013-22-juillet-2014-ce-que-change-la-loi-relative-a-l-enseignement-superieur-et-a-la-recherche.html#loi-universites>.

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Code de la Propriété Intellectuelle (Article R611-14). Retrieved from <https://www.legifrance.gouv.fr/affichCode.do?cidTexte=LEGITEXT000006069414>, accessed 29.09.2016.

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- Q.3.8.** Which reforms to institutional autonomy have been important to enhance the impacts of public research?
- University reforms in 2007 increased autonomy of universities with regard to human resource policy and industry relations
 - Since university reforms in 2013 (Law on Higher Education and Research), Associations of Universities and Higher Education Institutions COMUES were created. These are clusters of HEIs and PRIs that were formed based on their geographical proximity to each other. Policy rewards mergers of HEIs and the creation of regional university clusters in order to support research excellence and HEIs' specialisation according to their research strengths.
 - The MESR negotiate performance contracts between MESR and HEIs groups as well as with PRIs in 2015

References:

EC/OECD STI Policy Survey 2016 for France. Responses B14, C4, and H4.

OECD (2014). Public research in France. In OECD Reviews of Innovation Policy: France, p. 138-139. Paris: OECD Publishing.
