

Questionnaire

OECD database of governance of public research policy

This document contains the questionnaire on governance of public research policy. The questionnaire was used to collect information for the OECD database of governance of public research policy. The database and the methods are 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 is made freely available online for download at <https://stip.oecd.org/resgov>.

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Questionnaire

1. Institutions in charge of priority setting, budget allocation and evaluation

Table 1. Questions on institutions in charge of priority setting, budget allocation and evaluation

<i>Institutions in charge of priority setting</i>								
<p>Q.1.1. Who mainly decides on the scientific, sectoral and/or thematic priorities of HEIs and PRIs?</p> <p>* This is also the case when there is no top-down priority setting by ministries or funding agencies and HEIs, PRIs, and research groups apply for research and innovation funding through open calls (e.g. Switzerland, Sweden).</p>	National ministry (e.g. Ministry of Education, Higher Education and Research)	National agency (e.g. Funding Agency for Innovation)	Research and Innovation Council/Committee	Federal state and/or regional ministry (e.g. Bavarian State Ministry of Education and Cultural Affairs, Research and Culture)	Federal state and/or regional agencies (e.g. Research Foundation Flanders FWO)	Institutions themselves* (i.e. institutions decide on programme priorities and the State transfers funds directly to institutions.)	Not applicable	Source:
<i>Check the relevant boxes [multiple responses not possible, check only the main body]</i>								
<p>a) Decisions on scientific, sectoral and/or thematic priorities of budget allocations for HEIs</p> <p>Please provide further information if responses differ for research and innovation programmes.</p>								
a_1) Name of institution(s)								
<p>b) Decisions on scientific, sectoral and/or thematic priorities of budget allocations for PRIs</p>								
b_1) Name of institution(s)								
<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>Scientific priorities</i> refer to scientific disciplines, e.g. biotechnology; <i>Sectoral priorities</i> refer to industries, e.g. pharmaceuticals; <i>Thematic priorities</i> refer to broader social themes, e.g. digital transition, sustainability, etc.</p>			
<p>d) From 2005-17, 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>Please indicate these reform(s)</p>	<p>No changes made</p>	<p>Source:</p>

Institutions in charge of budget allocation

<p>Q.1.2. Who allocates public funding to HEIs and PRIs?</p> <p>Allocations are direct transfers to HEIs and PRIs once the public budget has been approved and transferred to the responsible ministries and/or funding agencies.</p>	<p>National ministry (e.g. Ministry of Education, Higher Education and Research)</p>	<p>National agency (e.g. Funding Agency for Innovation)</p>	<p>Research and Innovation Council/Committee</p>	<p>Federal state and/or regional ministries (e.g. Bavarian State Ministry of Education and Cultural Affairs, Research and Culture)</p>	<p>Federal state and/or regional agencies (e.g. Research Foundation Flanders FWO)</p>	<p>Institutions themselves (i.e. State transfers budget directly to institutions and they are responsible for programme development and budget allocations)</p>	<p>Not applicable</p>	<p>Source:</p>
	<p align="center">Check the relevant boxes [multiple responses not possible, check only the main body]</p>							
<p>a) Institutional block funding for HEIs</p> <p>Institutional block funds (or to general university funds) support institutions and are usually transferred directly from the government budget.</p>								
<p>a_1) Name of institution(s)</p>								
<p>b) Institutional block funding for PRIs</p>								
<p>b_1) Name of institution(s)</p>								

<p>c) Project-based funding of research and/or innovation for HEIs and PRIs</p> <p><i>Project-based funding provides support for research and innovation activities on the basis of competitive bids. Funding for research supports research personnel, basic and applied research activities, research infrastructure and/or equipment. Funding for innovation supports technology development, research commercialisation, technology transfer, research commercialisation, and/or joint R&D between PRIs and industry.</i></p>								
<p>c_1) Name of institution(s)</p>								
<p>d) Is there a transnational body that provides funding to HEIs and PRIs (e.g. the European Research Council)?</p>	Yes	No					Source:	
<p>d_1) Name of transnational body that provides funding to HEIs and PRIs</p>								
<p>e) What is the importance of such funding relative to national funding support? (Share of public R&D funding)</p>								
<p>f) From 2005-17, 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)</p>	<i>Please indicate which reform(s)</i>					<i>No changes made</i>		Source:

<p>Q.1.3. Do performance contracts determine funding of HEIs*?</p> <p>* In case performance contracts are in place that bind funding of PRIs, please provide information about them.</p> <p><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>	Yes			No	Source:
<p>a) Institutional block funding of HEIs?</p>					
<p>b) Share of HEI budget subject to performance contract</p>	Please indicate percentage			No performance contracts exist	Source:
<p>c) Do performance contracts include quantitative indicators for monitoring and evaluation?</p>	Yes		No	No performance contracts exist	Source:
<p>d) Which, if any, performance aside from research and education is set out in performance contracts?</p>	Innovation-related	Socio-economic challenges	Local economy support	No performance contracts exist	Source:
<p>d_1) Please specify which performance indicators...</p>					
<p>e) Do HEIs participate in the formulation of main priorities and criteria used in performance contracts?</p>	Yes		No	No performance contracts exist	Source:
<p>f) Do the same priorities and criteria set in performance contracts apply to all HEIs?</p>	All HEIs		Individual HEIs	No performance contracts exist	Source:
<p>g) Are any other mechanisms in place to allocate funding to HEIs and PRIs? Please specify...</p>					
	Please indicate which reform(s)			No changes made	Source:

h) From 2005-17, were any changes made to funding of HEIs and PRIs?			
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Institutions in charge of evaluation

Q.1.4. Who decides on the following key evaluation criteria of HEIs and PRIs?	National ministry (e.g. Ministry of Education, Higher Education and Research)	National agency (e.g. Funding Agency for Innovation)	Research and Innovation Council/Committee	Federal state and/or regional ministries	Federal states and/or regional agencies (e.g. Research Foundation Flanders (RWO))	Institutions themselves	Others (e.g. external consultancy firms)	Not applicable	Source:
<i>Check (X) the relevant boxes [multiple responses not possible, check only the main body]</i>									
a) Setting criteria to use when evaluating performance of HEIs									
a_1) Name of institution(s)									
b) Evaluating HEIs' performance									
b_1) Name of institution(s)									
c) Monitoring HEIs' performance									
c_1) Name of institution(s)									
d) Setting criteria to use when evaluating performance of PRIs									
d_1) Name of institution(s)									
e) Evaluating PRIs' performance									
e_1) Name of institution(s)									
f) Monitoring PRIs' performance									
f_1) Name of institution(s)									
g) From 2005-17, was any institution created for evaluating HEIs and PRIs or were any changes made to criteria applied for evaluations of HEIs and PRIs?	<i>Please indicate which institutions or reform(s)</i>						<i>No changes made</i>	Source for answer:	
Q.1.5. Which recent reforms to vertical governance structures of HEIs and PRIs were particularly important?									

Comments

- a) In case of multiple levels being responsible for the above listed policy-making decisions, indicate which institutions have higher responsibilities than others, e.g., final decision making power or veto power?
- b) Please indicate if any of the answers above are difficult to provide and, if so, why (e.g. because governance is shared by several institutions).
- c) Please indicate if different Federal States/regions within a country have their own vertical governance arrangements and how these differ.
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2. Co-ordination of policy

Table 2. Questions on co-ordination of policy

<i>Research and Innovation Councils</i>			
Q.2.1. Research and Innovation Councils/Committees	Yes	No	Source:
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 <ul style="list-style-type: none"> ▪ provide <u>policy advice</u> (i.e. produce reports); ▪ and/or oversee <u>policy evaluation</u>; ▪ and/or <u>coordinate policy areas</u> relevant to public research (e.g. across ministries and agencies); ▪ and/or <u>set policy priorities</u> (i.e. strategy development, policy guidelines); ▪ and/or <u>joint policy planning</u> (e.g. joint cross-ministry preparation of budgetary allocations)? 			
b) What is the name of the <u>main</u> research and/or innovation Council/Committee?	Name of institution(s)		No such body/bodies exist(s)
c) Are there any other research Councils/Committees?			
Q.2.2. With reference to Q.2.1.b., does the Council's mandate explicitly include...	Yes	No	Source:
	<i>Please check (X) the relevant boxes</i>		
a) Policy coordination (e.g. coordinating inter-governmental activities and policy domains)			
b) Preparation of strategic priorities			
c) Decision-making on budgetary allocations			

d) Evaluation of policies' implementation (including their enforcement)				
e) Provision of policy advice				
Q.2.3. With reference to Q.2.1.b., who formally participates in the Council?	Yes	No	No such body/bodies exist(s)	Source:
	<i>Please check (X) the relevant boxes</i>			
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				
j) Foreign experts				
Q.2.4. With reference to Q.2.1.b., does the Council have ...	Yes	No	No such body/bodies exist(s)	Source:
a) Its own staff?				
a_1) If so, please indicate number of staff...				
b) Its own budget?				
b_1) If so, please indicate amount of annual budget available...				
c) From 2005-17, were any changes 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?	<i>Please indicate which reform(s)</i>	<i>No changes to Council made</i>	Source:	

<i>STI Strategy or Plan</i>							
Q.2.5. National STI strategies.		Yes		No		Source :	
a) Is there a national non-sectoral STI strategy or plan?							
b) What is the name of the <u>main</u> national STI strategy or plan?		<i>Name of STI strategy</i>		<i>No such strategy exists</i>			
Q.2.6. Does the national STI strategy or plan address any of the following priorities? Specify if another more dedicated strategy (e.g. a specific plan) covers these topics? Please refer to the <u>main</u> STI strategy. If additional strategies address the following issues, please provide further information on them.		<i>Please check (X) the relevant boxes</i>		<i>There is no such strategic framework</i>		Source :	
a) Specific themes and/or societal challenges (e.g. Industry 4.0; “green innovation”; health; environment; demographic change and wellbeing; efficient energy; climate action)							
a_1) Which of the following themes and/or societal challenges are addressed?	Demographic change (i.e. ageing populations, etc.)	Digital economy (e.g. big data, digitalisation, industry 4.0)	Green economy (e.g. natural resources, 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)	Source :
	<i>Please check (X) the relevant boxes</i>						
a_2) Please specify which priorities ...							
b) Specific scientific research, technologies and economic fields (e.g. ICT; nanotechnologies; biotechnology)							
b_1) Which of the following scientific research, technologies and economic fields are addressed?	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. big data, digital platforms, data privacy)	Nanotechnology and advanced manufacturing (e.g. robotics, autonomous systems)	Source :	
	<i>Please check (X) the relevant boxes</i>						
							<i>No such strategy exists</i>

b_2) Please specify which priorities ...							
c) Specific Federal States/regions (e.g. smart specialisation strategies)							
c_1) Please specify which priorities...							
d) Supranational or transnational objectives set by transnational institutions (for instance related to European Horizon 2020)							
d_1) Please specify which priorities ...							
e) Quantitative targets for monitoring and evaluation (e.g. setting as targets a certain level of R&D spending for public research etc.)							
f) From 2005-17, was any STI strategy introduced or were any changes made existing STI strategies?		Please indicate which reform(s)		No changes to strategic frameworks		Source :	
Q.2.7. What reforms to policy co-ordination regarding STI strategies and plans have had particular impact on public research policy?							
Inter-agency programming and role of agencies and ministries							
Q.2.8. Does inter-agency joint programming contribute to the co-ordination of HEI and PRI policy?		Yes		No		Source:	
<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>							
Q.2.9.a) Is co-ordination within the mandate of agencies? What tasks are performed that help co-ordination? Please specify.							
b) From 2005-17, 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?		Please indicate reform(s)		No changes made		Source:	
Q.2.10. What reforms of the institutional context have had impacts on public research policy?							

Comments:

a) In the event of differences in the way the above listed co-ordination activities target public/private HEIs and PRIs, please indicate these differences.

b) Please indicate if any of the above answers are difficult to provide and, if so, why.

3. Stakeholders consultation and institutional autonomy

Table 3. Questions on stakeholder consultation

<i>Participation in councils and university boards</i>						
Q.3.1. Do stakeholders participate as formal members in the following key consultation processes?	<i>Private sector</i>	<i>Civil society (citizens/ NGOs/ foundations)</i>	<i>HEIs / PRIs and/or their associations</i>	<i>Foreign experts</i>	<i>No formal consultation</i>	Source:
a) Research and Innovation Councils: (i.e. Formal membership as provided by statutes of Council)						
a_1) Please specify the type of stakeholder e.g. for private sector the name and whether it is a large enterprise, small and medium enterprise, industry association or other...						
b) Council/governing boards of HEIs (i.e. Formal membership of <u>external</u> stakeholders as provided by statutes of HEIs)						

b_1) Please specify the type of stakeholder e.g. for private sector the name and whether it is a large enterprise, small and medium enterprise, industry association or other...				
Online public consultations and temporary stakeholder consultation processes				
Q.3.2.a) Are there online consultation platforms in place to request inputs regarding HEI and PRI policy?	Yes	No	Not applicable	Source:
b) Which aspects do these online platforms address? Please provide examples, e.g. open data, open science.				
c) From 2005-17, were any reforms made to widen inclusion of stakeholders and/or to improve consultations, including online platforms?	Please indicate which reform(s)	No changes made	Source:	
Q.3.3. Which reforms to consultation processes have proven particularly important?				

Comments: Indicate if any of the answers above is difficult to provide and, if so, why this is the case.

Table 4. Questions on institutional autonomy

Budget autonomy						
	National level (e.g. Ministry of National Education, Higher Education and Research; Funding Agency for Innovation)	Federal states and/or regional level (e.g. Bavarian State Ministry of Education and Cultural Affairs, Research and Culture)	Institutions themselves (e.g. governing body/council of HEIs/PRIIs)	Others (e.g. departments within HEIs)	Not applicable	Source:
Q.3.4.a) Who decides about allocations of institutional block funding for teaching, research and innovation activities in HEIs? 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						

<p>also applies if the ministry pre-allocates budgets for universities to cost items, and HEIs are unable to distribute their funds between these.</p> <p><i>Institutions themselves:</i> If HEIs are entirely free to use their block grants.</p>						
<p>b) Who decides about allocations of institutional block funding for teaching, research and innovation activities in PRIs?</p>						
Human resources and autonomy						
<p>Q.3.5.a) Who decides about recruitment of academic staff in HEIs?</p> <p><i>National/regional level:</i> 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.</p> <p><i>Institutions themselves:</i> 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.</p>						
<p>b) Who decides about recruitment of academic staff in PRIs?</p>						
<p>c) Who decides about salaries of academic staff in HEIs?</p> <p><i>National/regional level:</i> 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.</p> <p><i>Institutions themselves:</i> If HEIs are free to set salaries, except minimum wage.</p>						
<p>d) Who decides about salaries of academic staff in PRIs?</p>						

<p>e) Who decides about reassignments and promotions of academic staff in HEIs?</p> <p><i>National/regional level:</i> 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.</p> <p><i>Institutions themselves:</i> If HEIs can promote and reassign staff freely.</p>						
<p>f) Who decides about reassignments and promotions of academic staff in PRIs?</p>						
Industry relations and autonomy						
<p>Q.3.6.a) Who decides about the creation of academic departments (such as research centres in specific fields) and functional units (e.g. technology transfer offices) in HEIs?</p> <p><i>National/regional level:</i> 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.</p> <p><i>Institutions themselves:</i> If HEIs are free to determine internal structures, including the opening, closure, restructuring of departments, faculties, technology offices, etc.</p>						
<p>b) Who decides about the creation of academic departments (such as research centres in specific fields) and functional units (e.g. technology transfer offices) in PRIs?</p>						

<p>c) Who decides about the creation of legal entities and industry partnerships in HEIs?</p> <p><i>National/regional level:</i> 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.</p> <p><i>Institutions themselves:</i> If HEIs are free to create non-profit organisations, for-profit spin-offs, joint R&D, etc.</p>					
<p>d) Who decides about the creation of legal entities and industry partnerships in PRIs?</p>					
<p>Q.3.7.a) Who earns what share of revenues stemming from IP (patents, trademarks, design rights, etc.) created from publicly funded research in HEIs?</p>	<p><i>Please indicate the relative percentage (confirm that the percentages add up to 100%)</i></p>	<p><i>HEIs set their own schemes</i></p>	<p>Source:</p>		
<p><i>HEI</i></p>					
<p><i>Research unit / laboratory within HEI</i></p>					
<p><i>Researchers</i></p>					
<p><i>Other</i></p>					
<p>b) Who earns what share of revenues stemming from IP (patents, trademarks, design rights, etc.) created from publicly funded research in PRIs?</p>	<p><i>Please indicate the relative percentage (confirm that the percentages add up to 100%)</i></p>	<p><i>PRIs set schemes themselves</i></p>	<p>Source:</p>		
<p><i>PRI</i></p>					
<p><i>Research unit / laboratory within PRI</i></p>					
<p><i>Researchers</i></p>					
<p><i>Other</i></p>					
<p>c) From 2005-17, were any reforms introduced that affected the institutional autonomy of HEIs and PRIs?</p>	<p><i>Please indicate which reform(s)</i></p>	<p><i>No changes made</i></p>	<p>Source:</p>		
<p>Q.3.8. Which reforms to institutional autonomy have been important to enhance the impacts of public research?</p>					

Comments: Indicate if any of the answers above are difficult to provide and, if so, why. Please describe how much scope HEIs/PRIs themselves have with regard to defining these conditions.