

## Survey response for Iceland

### OECD database of governance of public research policy

This document contains detailed responses for Iceland 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>.

*Contact:*

Caroline Paunov, Senior Economist, E-mail: [Caroline.Paunov@oecd.org](mailto:Caroline.Paunov@oecd.org);

Martin Borowiecki, Junior Economist, E-mail: [Martin.Borowiecki@oecd.org](mailto:Martin.Borowiecki@oecd.org).

---

## Abbreviations and acronyms

HEIs	Higher Education Institutions
IRF	Icelandic Research Fund
PRIs	Public Research Institutes
STPC	Science and Technology Policy Council

## 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>References: EC/OECD STI Policy Survey 2016 for Iceland. Responses A2 and B1. Science and Technology Policy Council [Webpage]. Retrieved from <a href="https://eng.forsaetisraduneyti.is/science-and-technology-policy-council/funds/">https://eng.forsaetisraduneyti.is/science-and-technology-policy-council/funds/</a>, accessed 04.01.2017.</p>	<p>a and b) The Science and Technology Policy Council (STPC) sets national priorities for STI that bind budget allocations for HEIs and PRIs.</p> <p>c) Missing answer.</p> <p>d) No major reforms made.</p>

<p><b>Q.1.2.</b> Who allocates <b>institutional block funding</b> to a) HEIs and b) PRIs? <i>(Institutional block funds (or to general university funds) support institutions and are usually transferred directly from the government budget.)</i></p> <p>c) Who allocates <b>project-based funding</b> of research and/or innovation for HEIs and PRIs? <i>(Project-based funding provides support for research and innovation activities on the basis of competitive bids.)</i></p> <p>d) Is there a transnational body that provides funding to HEIs and PRIs (e.g. the European Research Council)?</p> <p>e) What is the importance of such funding relative to national funding support?</p> <p>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)?</p>	<p>a and b) The Ministry of Education, Science and Culture allocates funding to public and private HEIs.</p> <p>c) The (Icelandic Research Fund) IRF is Iceland's main funding agency for competitive funding; it provides research grants according to the general priorities of the STPC.</p> <p>d) HEIs in Iceland can apply for funding from the European Research Council.</p> <p>e) Missing answer</p> <p>f) No major reforms made.</p>
<p><i>References:</i> European Commission (2016), RIO Country Report Greece, Brussels, Joint Research Centre Science for Policy Report EUR 27848 EN, Brussels, p. 12, Available at: <a href="https://rio.jrc.ec.europa.eu/en/library/rio-country-report-greece-2015">https://rio.jrc.ec.europa.eu/en/library/rio-country-report-greece-2015</a> (accessed 03 March, 2017). Rannis (2017), Icelandic Research Fund, webpage, Available at: <a href="https://en.rannis.is/funding/research/icelandic-research-fund/nr/527">https://en.rannis.is/funding/research/icelandic-research-fund/nr/527</a> (accessed 04.01.2017)</p>	
<p><b>Q.1.3.</b> Do <b>performance contracts</b> 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?  <i>(In case performance contracts are in place that bind funding of PRIs, please provide information about them.)</i></p>	<p>a) There are no performance contracts in place that determine funding of HEIs in Iceland.</p> <p>Questions b) to f) do not apply because performance contracts are not in place.</p> <p>g) In Iceland, universities receive their funds according to a formula that considers the number of degrees obtained and the number of student enrolled.</p> <p>h) No major reforms made.</p>
<p><i>References:</i> Estermann, T., Nokkala, T., and Steinell, M. (2015). University Autonomy in Europe II The Scorecard. 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.</p>	

<p><b>Q.1.4.</b> Who decides on the following key <b>evaluation</b> criteria of HEIs and PRIs?</p>	a to h) Missing answer.
<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><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>	No major reforms made.

## Topic 2: Policy co-ordination mechanisms

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

Question	Response
<p><b>Q.2.1.</b> 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?</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>a and b) The Science and Technology Policy Council (STPC) is the main research and innovation council. STPC is responsible for setting public policy in matters of science and technology in Iceland, i.e. formulation of policy strategies. The Council sets the official science and technology policy for a three to four-year period. It was established in 2003.</p> <p>c) There are no other research councils in place.</p>
<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><i>References:</i> EC/OECD STI Policy Survey 2016 for Iceland. Responses A2 and B1. Science and Technology Policy Council [Webpage]. Retrieved from <a href="https://eng.forsaetisraduneyti.is/science-and-technology-policy-council/funds/">https://eng.forsaetisraduneyti.is/science-and-technology-policy-council/funds/</a>, accessed 04.01.2017.</p>	
<p><b>Q.2.2.</b> With reference to Q.2.1, does the Council's <b>mandate</b> 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>a to e) The STPC is responsible for the formulation of policy strategies and co-ordination of research policy between government actors and stakeholders from academia and industry. The council's deliberations are prepared by its working committees, the Science Board and the Technology Board. The council meets four times a year, but the implementation of the council's policy is undertaken by ministries.</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

a to j) The STPC is an inter-ministerial council, headed by the Prime Minister. In addition to the Prime Minister, the Ministers of Finance and Economic Affairs; Education, Science and Culture; Health; and Industries, Business Development and Innovation have a permanent seat. The Council also includes independent experts from academia, the private sector, and civil society.

The Prime Minister appoints two members to the Council. The other members of the Science and Technology Policy Council are nominated by:

- Rectors' Conference of Higher Education Institutions (4 members);
- Icelandic Confederation of Labour (2);
- SA-Business Iceland (2);
- Minister of Education, Science and Culture (2);
- Minister of Industries, Business Development and Innovation (2);
- And Minister of Health (1).

**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) Missing answer.

c) No major reforms made.

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?

*References:*

EC/OECD STI Policy Survey 2016 for Iceland. Responses A2 and B1.

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? b) What is the name of the main national STI strategy or plan?</p>	<p>a and b) The Science and Technology Policy and Action Plan 2014–2016 is the main STI strategy in Iceland. It was passed by the STPC in 2013 (EC/OECD STI Policy Survey 2016, responses B1).</p>
<p><i>References:</i> EC/OECD STI Policy Survey 2016 for Iceland. Response B1.</p>	
<p><b>Q.2.6.</b> Does the national STI strategy or plan address any of the following priorities? 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? – 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) b) Specific <b>scientific disciplines</b> and <b>technologies</b> (e.g. ICT; nanotechnologies; biotechnology) - 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. artificial intelligence, digital platforms, data privacy) – Nanotechnology and advanced manufacturing (e.g. robotics, autonomous systems) c) Specific <b>regions</b> (e.g. smart specialisation strategies) d) <b>Supranational</b> or transnational objectives set by transnational institutions (for instance related to European Horizon 2020) 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.) f) From 2005-16, was any STI strategy introduced or were any changes made existing STI strategies?</p>	<p>a and b) The Science and Technology Policy and Action Plan 2014–2016 does not address specific societal challenges or scientific research, technologies and economic fields.</p> <p>d and d) The Science and Technology Policy and Action Plan 2014–2016 does not address specific regions or transnational objectives.</p> <p>e) The Science and Technology Policy and Action Plan 2014–2016 includes quantitative targets for evaluation and monitoring. The main quantitative target is to increase R&amp;D expenditures to 3% of GDP by 2016 (EC/OECD STI Policy Survey 2016, responses B1).</p> <p>f) No major reforms made.</p>
<p><i>References:</i> EC/OECD STI Policy Survey 2016 for Iceland. Response B1.</p>	
<p><b>Q.2.7.</b> What <b>reforms</b> to policy co-ordination regarding STI strategies and plans have had particular impact on public research policy?</p>	<p>No major reforms made.</p>

**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><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>References: EC/OECD STI Policy Survey 2016 for Iceland. Response B6.</p>	<p>In the EC/OECD STI Policy Survey 2016, Iceland stated that inter-agency programming is in place.</p>
<p><b>Q.2.9.</b> a) Is co-ordination within the <b>mandate of agencies</b>?</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) Missing answer.</p> <p>b) No major reforms made.</p>
<p><b>Q.2.10.</b> What <b>reforms</b> of the institutional context have had impacts on public research policy?</p>	<p>No major reforms made.</p>



### Topic 3: Stakeholders consultation and institutional autonomy

**Table 5. Questions on stakeholder consultation**

Question	Response
<p><b>Q.3.1. a)</b> Do the following stakeholders participate as formal members in <b>Research and Innovation Councils</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/PRI 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) The STPC includes external stakeholders from academia, the private sector, and civil society, notably representatives of the Rectors' Conference of Higher Education Institutions, the Icelandic Confederation of Labour, SA–Business Iceland, and the Confederation of Icelandic Employers.</p> <p>b) The University of Iceland includes external stakeholders from small and medium-sized business (Sjá Ltd, Promens, Vík Law Firm), large business (Síminn), the city council, and civil society (National Museum of Iceland).</p>
<p><i>References:</i>            Science and Technology Policy Council [Webpage]. Retrieved from <a href="https://eng.forsaetisraduneyti.is/science-and-technology-policy-council/current-council/">https://eng.forsaetisraduneyti.is/science-and-technology-policy-council/current-council/</a>, accessed 04.01.2017.            University of Iceland (2017), Configuration of the university Council, website, Available at: <a href="http://english.hi.is/university/configuration_of_the_university_council">http://english.hi.is/university/configuration_of_the_university_council</a> (accessed 03 March, 2017).</p>	
<p><b>Q.3.2. a)</b> 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) Missing answer.</p> <p>b) No major reforms made.</p>
<p><b>Q.3.3.</b> Which <b>reforms</b> to consultation processes have proven particularly important?</p>	<p>No major reforms made.</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 Steinell, M. (2015). University Autonomy in Europe II The Scorecard. 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). University Autonomy in Europe (Webpage). Retrieved from <a href="http://www.university-autonomy.eu/">http://www.university-autonomy.eu/</a>, accessed 19.09.2016.</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>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> <p>References:</p>	<p>a) The Ministry of Education, Science and Culture allocates funds to HEIs. HEIs cannot move funding between broad categories (i.e. teaching and research) that set by the Ministry.</p> <p>b) Missing answer.</p> <p>a, c and e) Universities are free to recruit their own academic staff. Salary bands are negotiated in collective bargaining agreements, but universities freely decide on recruitment procedures and promotions.</p> <p>b, d and f) Missing answer.</p>

<p><b>Q.3.6.</b> Who decides about the <b>creation of academic departments</b> (such as research centres in specific fields) and functional units (e.g. <b>technology transfer offices</b>) at a) HEIs and b) PRIs?</p> <p><i>(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.</i></p> <p><i>Institutions themselves: If HEIs are free to determine internal structures, including the opening, closure, restructuring of departments, faculties, technology offices, etc.)</i></p>	<p>a and c) The university council can decide on the establishment of academic units (e.g. departments) and internal structures (e.g. technology transfer offices). Regarding spin-offs and joint ventures with industry, universities can only create entities whose scope of activity complies with the mission of the university. The consent of the Ministry of Education and Research is necessary.</p> <p>b and d) Missing answer.</p>
<p>Who decides about the creation of legal entities (e.g. <b>spin-offs</b>) and <b>industry partnerships</b> at c) HEIs and d) PRIs?</p> <p><i>(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&amp;D, etc.</i></p> <p><i>Institutions themselves: If HEIs are free to create non-profit organisations, for-profit spin-offs, joint R&amp;D, etc.)</i></p>	
References:	
<p><b>Q.3.7.</b> Who earns what <b>share of revenues</b> stemming from IP (patents, trademarks, design rights, etc.) created from publicly funded research at a) HEIs and b) PRIs?</p> <ul style="list-style-type: none"> <li>- HEI</li> <li>- Research unit / laboratory within HEI</li> <li>- Researchers</li> </ul>	<p>a and b) Missing answer.</p> <p>c) No major reforms made.</p>
<p>c) From 2005-16, were any reforms introduced that affected the institutional autonomy of HEIs and PRIs?</p>	
<p><b>Q.3.8.</b> Which <b>reforms</b> to institutional autonomy have been important to enhance the impacts of public research?</p>	<p>No major reforms made.</p>