

## Survey response for Luxembourg

### OECD database of governance of public research policy

This document contains detailed responses for Luxembourg 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).

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## Abbreviations and acronyms

CRP	Centre de Recherche Publique Public Research Centers
FNR	Fonds National de la Recherche National Research Fund
HEIs	Higher Education Institutions
LIH	Luxembourg Institute of Health
LISER	Luxembourg Institute of Socio-Economic Research
LIST	Luxembourg Institute of Technology
MESR	Ministère de l'Éducation Supérieure et de la Recherche Ministry of Higher Education and Research
PPPs	Public Private Partnerships
PRIs	Public Research Institutes

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## 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.). <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: OECD (2016), OECD Reviews of Innovation Policy: Luxembourg 2016, OECD Publishing, Paris, pp.118-119. DOI: <a href="http://dx.doi.org/10.1787/9789264232297-en">http://dx.doi.org/10.1787/9789264232297-en</a></p>	<p>a and b) The National Research Fund (Fonds National de la Recherche, FNR), a national funding agency, sets thematic, scientific and sectoral priorities with regard to competitive funding.</p> <p>The main funding agency FNR also sets thematic research priorities for project-based funding (competitive funding) for HEIs through its main competitive funding programme CORE.</p> <p>77% of the university budget comes from institutional funding grants that are linked to a performance contract between the Ministry for Higher Education and Research and HEIs. With regard to research being funded by institutional funding, HEIs and the PRIs set their agendas which are not necessarily aligned with FNR priorities.</p> <p>c) There are no formal mechanisms. The FNR's broad priorities were articulated in 2006 following a foresight exercise in 2005/2006.</p> <p>d) <i>Changes over 2005-16</i> No significant changes took place.</p>
<p><b>Q.1.2. Who allocates institutional block funding to a) HEIs and b) PRIs?</b> <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 for Higher Education and Research (MESR) provides block funding to the Public Research Centers (Centre de Recherche Publique, CRPs, representing the three large PRIs) and the University of Luxembourg. Block funding constitutes the main source of income for the University and the CRPs. It is governed by a performance contract between MESR and each institution. FNR provides competitive funding that is focused on a few selected priority thematic areas</p> <p>c) The FNR allocates project and programme-based funding to the University of Luxembourg and the PRIs.</p> <p>d) In Luxembourg, HEIs and PRIs are also eligible for additional funding from the European Research Council and the European Commission (e.g. Horizon 2020).</p> <p>e) Missing answer.</p> <p>f) <i>Changes over 2005-16</i> No significant changes took place.</p>

## References:

OECD (2016), OECD Reviews of Innovation Policy: Luxembourg 2016, OECD Publishing, Paris, pp.112 &135.

DOI: <http://dx.doi.org/10.1787/9789264232297-en>

**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.)*

b) What is the share of HEI budget subject to performance contract?

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) 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.)*

a) Performance contracts determine the block funding of the University of Luxembourg and the PRIs. They were introduced in 2007-2008.

b) Block funding is the main source of funding for HEIs and PRIs. It represented 77% of the University of Luxembourg's revenue in 2013 and 63% of CRPs' revenues in 2013 on average (exact values vary from a PRI to the other).

c) Performance contracts can include three types of objectives and indicators to monitor performance:

- Financial objectives: such as third party funding objectives.
- Output objectives: such as number of publications, number of student and graduates, number of PhD students, number of PhD thesis, number of patents, number of licences, and the number of spin-offs.
- Structural objectives: such as implementation of costs evaluation infrastructures, implementation of the European Charter of Researchers and Code of Conduct for the Recruitment of Researchers, creation of partnerships, and pursuit of certifications.

There are been three cycles of performance contracts since their introduction. Adjustments were made between each cycle but the performance indicators remained mostly unchanged.

d to g) Missing answer.

h) *Changes over 2005-16*

Performance contracts were introduced in 2007/2008. Additional indicators on scientific cooperation between universities and PRIs were added recently.

## References:

OECD (2016), OECD Reviews of Innovation Policy: Luxembourg 2016, OECD Publishing, Paris, pp. 79 & 94; 121-122. DOI: <http://dx.doi.org/10.1787/9789264232297-en>

Ministry of Higher Education and Research (2008), "Présentation et signature d'une convention pluriannuelle avec le Centre de recherche public de la santé", webpage, [www.mesr.public.lu/presse/communiqués/2008/04/convention\\_CRP\\_sante/index.html](http://www.mesr.public.lu/presse/communiqués/2008/04/convention_CRP_sante/index.html) (Accessed on 11 October 2016).

**Q.1.4.** Who decides on the following key **evaluation** criteria of HEIs and PRIs?

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?

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?

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?

a to f) MESR carries out evaluations of the University of Luxembourg and the CRPs.

Research performing institutions as well as other public agencies (FNR, Luxinnovation) are subject to evaluations. The evaluation of the University of Luxembourg is carried out by MESR every four year at the university level. The CRPs are evaluated at the level of research units. FNR also carries out evaluation of its own programmes.

h) *Changes over 2005-16*

No significant changes took place.

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*References:*

OECD (2016), OECD Reviews of Innovation Policy: Luxembourg 2016, OECD Publishing, Paris, p.136.

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**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?

Changes made to the funding and programme development practices in the past decade include the introduction of performance contracts between the MESR, HEIs and PRIs in 2007-2008, the creation of the CORE funding scheme with thematic and scientific priorities in 2008, and an expansion of the FNR programme portfolio. After 2007, the FNR has been widening its programme portfolio to include programmes aimed at fostering internationalisation, as well as measure to support Public Private Partnerships (PPPs).

*References:*

OECD (2016), OECD Reviews of Innovation Policy: Luxembourg 2016, OECD Publishing, Paris, p. 79. DOI:

<http://dx.doi.org/10.1787/9789264232297-en>

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## 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>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> OECD (2016), OECD Reviews of Innovation Policy: Luxembourg 2016, OECD Publishing, Paris, p.13, pp.122-123. DOI: <a href="http://dx.doi.org/10.1787/9789264232297-en">http://dx.doi.org/10.1787/9789264232297-en</a></p>	<p>a and b) There is a formal research and innovation council - Superior Committee for Research and Innovation - but it has not met recently. The Superior Committee for Research and Innovation was created in 2008. Its role is to support the development of national research and innovation policies and advise the government in implementing such policies. It does not have a decision-taking function.</p> <p>c) There is a research performers' consortium called 3LIU. The 3LIU consortium includes the University of Luxembourg, the Luxembourg Institute of Technology (LIST), the Luxembourg Institute of Health (LIH), and the Luxembourg Institute of Socio-Economic Research (LISER).</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><i>References:</i> OECD (2016), OECD Reviews of Innovation Policy: Luxembourg 2016, OECD Publishing, Paris, pp.13; 122-123. DOI: <a href="http://dx.doi.org/10.1787/9789264232297-en">http://dx.doi.org/10.1787/9789264232297-en</a></p>	<p>a to e) The Superior Committee for Research and Innovation mandate includes contributing to the formulating and developing of national research and innovation policies and advising the government on policy implementation. In practice, its impacts have been limited and its role has not been clear (OECD, 2016).</p>
<p><b>Q.2.3.</b> With reference to Q.2.1, <b>who formally participates</b> 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><i>References:</i> OECD (2016), OECD Reviews of Innovation Policy: Luxembourg 2016, OECD Publishing, Paris, pp.122-123. DOI: <a href="http://dx.doi.org/10.1787/9789264232297-en">http://dx.doi.org/10.1787/9789264232297-en</a></p>	<p>a to j) The Committee is co-chaired by two ministers: the Minister of Higher Education and Research and the Minister of the Economy and Foreign Trade. Its members include private sector representatives, scientists and civil-society representative (typically with international experience).</p>
<p><b>Q.2.4.</b> With reference to Q.2.1.b., does the Council have its own a) <b>staff</b> and/or its own b) <b>budget</b>? If so, please indicate the number of staff and the amount of annual budget available.</p> <p>c) From 2005-16, were any <b>reforms</b> 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?</p>	<p>a and b) The Council does not have its own staff or budget.</p> <p>c) <i>Changes over 2005-16</i> The Superior Committee for Research and Innovation was created in 2008. However, it has not met recently.</p>

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><i>References:</i></p>	<p>a and b) Several priority lists and strategies have been developed by ministries, agencies and organisations but there is no fully fledged national STI strategy.</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?</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</b> and <b>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) 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><i>References:</i> OECD (2016), OECD Reviews of Innovation Policy: Luxembourg 2016, OECD Publishing, Paris, p.119. DOI: <a href="http://dx.doi.org/10.1787/9789264232297-en">http://dx.doi.org/10.1787/9789264232297-en</a> Alexander, S. and M. Slavcheva (2016), RIO Country Report 2015: Luxembourg, European Union, p.19. DOI:10.2791/31538 Ministry of the Economy (2014), Luxembourg Strategy for Smart Specialisation, Ministry of the Economy, p.24. <a href="https://rio.jrc.ec.europa.eu/en/file/8303/download?token=ixLRB53k">https://rio.jrc.ec.europa.eu/en/file/8303/download?token=ixLRB53k</a></p>	<p>a) There is no main STI strategy. However, the National Reform Programme Luxembourg 2020 identifies the following areas of Smart Specialisation (no order of preference): industry, eco-technologies, logistics, health technologies and ICT.</p> <p>b) The Luxembourg Strategy for Smart Specialisation (2014) and the National Reform Programme 2020 (that is submitted to the European Commission annually) set sectoral priorities.</p> <p>c) No specific regions addressed.</p> <p>d) Supranational objectives are also part of the national agenda through Luxembourg’s participation in the Horizon 2020 Programme.</p> <p>e) The government has set the quantitative target for expenditures on research and development (R&amp;D) as a share of GDP to reach a level between 2.3 % and 2.6 % by 2020, whereas public expenditures on R&amp;D should reach between 0.7 % and 0.8 % of GDP by the same date.</p> <p>f) Missing answer.</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>Missing answer.</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>	Missing answer.
<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><i>References:</i>            OECD (2016), OECD Reviews of Innovation Policy: Luxembourg 2016, OECD Publishing, Paris, p. 122.            DOI: <a href="http://dx.doi.org/10.1787/9789264232297-en">http://dx.doi.org/10.1787/9789264232297-en</a></p>	<p>a) Missing answer.</p> <p>b) The Inter-ministerial Coordination Committee aiming to coordinate the innovation policy and related activities of the Ministry for Higher Education and Research and Ministry of the Economy is no longer active.</p>
<p><b>Q.2.10.</b> What <b>reforms</b> of the institutional context have had impacts on public research policy?</p>	Missing answer.



### 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>b)</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 Superior Committee for Research and Innovation includes private sector representatives, scientists and civil-society representatives. However, it has not met recently.</p> <p>b) The Conseil de Gouvernance (Governance Council) of the University of Luxembourg decides on the institution's policies and strategic orientations. It is composed of seven members among which four are holding or have held in the past an academic position. It is supported by the Conseil Universitaire (Academic Council) composed of representatives from the University's faculties and multi-disciplinary research centres.</p> <p>The boards (Conseil d'Administration/ Board of Directors) of the three CRPs feature representatives from private sectors organisations.</p>
<p><i>References:</i>            OECD (2016), OECD Reviews of Innovation Policy: Luxembourg 2016, OECD Publishing, Paris, pp.115; 122-123. DOI: <a href="http://dx.doi.org/10.1787/9789264232297-en">http://dx.doi.org/10.1787/9789264232297-en</a>            University of Luxembourg (2016), "Governance", <a href="http://www.fr.uni.lu/universite/presentation/gouvernance">http://www.fr.uni.lu/universite/presentation/gouvernance</a> (Accessed on 12 October 2016)            Luxembourg Institute of Health (N.D.), "Boards", <a href="http://www.lih.lu/page/boards">www.lih.lu/page/boards</a> (Accessed on 13 October 2016)            Luxembourg Institute of Science and Technology (N.D.), "Organisation", <a href="http://www.list.lu/fr/a-propos-de-list/organisation/">www.list.lu/fr/a-propos-de-list/organisation/</a> (Accessed on 13 October 2016)            Luxembourg Institute of Socio Economic Research (N.D.), "Administration", <a href="http://www.liser.lu/?type=module&amp;id=171">www.liser.lu/?type=module&amp;id=171</a> (Accessed on 13 October 2016)</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>b)</b> Which aspects do these online platforms address (e.g. e.g. open data, open science)?</p> <p><b>c)</b> 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) Missing answer.</p> <p>c) The FNR organised a foresight exercise to identify its policy priorities in 2005/2006. In the foresight exercise, domestic and foreign experts from academia, industry and civil society participated.</p>
<p><b>Q.3.3.</b> Which <b>reforms</b> to consultation processes have proven particularly important?</p>	<p>Missing answer.</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?</p> <p><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></p> <p><i>Institutions themselves: If HEIs are entirely free to use their block grants.)</i></p>	<p>a) There is no restriction on the internal allocation to the different activities of the university in the block grant. However, the performance contracts signed with the Ministry of Higher Education and Research can earmark specific amounts for specific uses.</p> <p>For Example, the performance contract for the University of Luxembourg 2014-2017 earmarks specific amounts for setting up specific interdisciplinary/thematic centres and for post-graduate General Medicine education.</p> <p>b) The 2014 Law on CRPs fixes their status as autonomous public legal entities with financial and administrative autonomy.</p>
<p><i>References:</i></p> <p>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).</p> <p>Estermann, T., Nokkala, T., and Steinel, M. (2015). University Autonomy in Europe II The Scorecard. Brussels: European University Association, p. 30-31. 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>Estermann, T., T. Nokkala, and M. Steinel (2011), University Autonomy in Europe II The Scorecard, European University Association, pp.38; 41-42.</p> <p>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>Ministry of Higher Education and Research and University of Luxembourg (2014), Contrat d'Établissement Pluriannuel révisé entre l'État et l'Université du Luxembourg, 2014-2017, p.7. <a href="http://www.fr.uni.lu/content/download/90291/1102629/file/Contrat%20pluriannuel%20r%C3%A9vis%C3%A9%202014%20-%202017.pdf">http://www.fr.uni.lu/content/download/90291/1102629/file/Contrat%20pluriannuel%20r%C3%A9vis%C3%A9%202014%20-%202017.pdf</a> (Accessed on 12 October 2016).</p> <p>OECD (2016), OECD Reviews of Innovation Policy: Luxembourg 2016, OECD Publishing, Paris, p.88.</p> <p>DOI: <a href="http://dx.doi.org/10.1787/9789264232297-en">http://dx.doi.org/10.1787/9789264232297-en</a></p> <p>Service Central de la Législation du Luxembourg, Loi du 03.12.2014: Organisation des Centres de Recherche Publics, <a href="https://www.liser.lu/doc_viewer.cfm?tmp=166">https://www.liser.lu/doc_viewer.cfm?tmp=166</a> (accessed on 13 october 2016)</p>	

**Q.3.5.** Who decides about **recruitment** of academic staff at a) HEIs and b) PRIs?

*(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.*

*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.)*

Who decides about **salaries** of academic staff at c) HEIs and d) PRIs?

*(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.*

*Institutions themselves: If HEIs are free to set salaries, except minimum wage.)*

Who decides about **reassignments** and **promotions** of academic staff at e) HEIs and f) PRIs?

*(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.*

*Institutions themselves: If HEIs can promote and reassign staff freely.)*

**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.)*

a) The University of Luxembourg is largely free to recruit its academic staff (Estermann et al., 2011, p. 38). However, the performance contract for the University of Luxembourg for 2014-2017 mentions some recruitment objectives (joint recruitments with CRPs). The contract also limits the costs of structural personnel to 66% of regular state funding.

b) The CRPs can freely recruit academic staff. The 2014 Law on the Organisation of Public Research Centres states that researchers are recruited through public offers, with the conditions of recruitment fixed by the PRI's rules and regulations.

c and d) In general, the university and the CPRs set the salary of senior administrative staff freely and administrative staff can be promoted freely. Salary band exist for some staff in the University of Luxembourg.

e and f) Academic staff can only be promoted if there is an open post at a higher level.

a) The University cannot create or restructure faculties and departments freely as they are cited by names in the law. Modifications require amending the law.

b) The creation of internal structures is decided by the Board of the PRIs.

c) The University is free to create for profit and not-for-profit legal entities.

d) The CRPs can create spin-offs. A new law on CRPs in 2014 emphasizes the role of valorisation of CRPs, in particular spin-off creation.

*References:*

Estermann, T., T. Nokkala, and M. Steinel (2011), *University Autonomy in Europe II The Scorecard*, European University Association, p.23-24.

OECD (2016), *OECD Reviews of Innovation Policy: Luxembourg 2016*, OECD Publishing, Paris, pp.88; 91. DOI: <http://dx.doi.org/10.1787/9789264232297-en>

**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) The gross revenues generated from the commercial exploitation of a patent owned by the University of Luxembourg are equally shared between the University of Luxembourg and the researchers. The University provides administrative and legal support to researchers for commercialisation.

b) Products of research conducted at CRPs are the property of the CRPs unless a different agreement has been made. In case of collaboration with outside entities, an agreement determines the repartition of revenues from intellectual property.

c) In 2007/2008, a system of performance contracts was introduced for HEIs and PRIs.

In 2014, a new law reinforcing the autonomy of PRIs was introduced. It strengthens the institutional autonomy of PRIs and increases the powers of PRIs executives.

Background information

Luxembourg has developed a comprehensive system of performance contracts following the recommendations of the 2007 OECD Review of Innovation Policy of Luxembourg.

*References:*

OECD (2016), *OECD Reviews of Innovation Policy: Luxembourg 2016*, OECD Publishing, Paris, p.88. DOI: <http://dx.doi.org/10.1787/9789264232297-en>

Service Central de la Législation du Luxembourg, Loi du 03.12.2014: Organisation des Centres de Recherche Publics, [https://www.liser.lu/doc\\_viewer.cfm?tmp=166](https://www.liser.lu/doc_viewer.cfm?tmp=166) (accessed on 13 October 2016).

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

In 2007/2008, a system of performance contracts was introduced for HEIs and PRIs. A law reinforcing the autonomy of CRPs was also passed in 2014.

*References:*

OECD (2016), *OECD Reviews of Innovation Policy: Luxembourg 2016*, OECD Publishing, Paris, pp.88; 121. DOI: <http://dx.doi.org/10.1787/9789264232297-en>