

## Survey response for the Netherlands

### OECD database of governance of public research policy

This document contains detailed responses for the Netherlands 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

|          |                                                                                                                                     |
|----------|-------------------------------------------------------------------------------------------------------------------------------------|
| AWTI     | Adviesraad voor wetenschap, technologie en innovatie<br>Advisory Council for Science, Technology and Innovation                     |
| Deltares | Nederlands Centrum voor Kustonderzoek<br>Centre for Coastal Research                                                                |
| DLO      | Dienst Landbouwkundig Onderzoek<br>Agricultural Research Service                                                                    |
| EMTO     | Protocol voor de monitoring en evaluatie van de Toegepaste Onderzoeksorganisaties in Nederland                                      |
| GERD     | Gross expenditures on research and development                                                                                      |
| ECN      | Energieonderzoek Centrum Nederland<br>Energy Centre of the Netherlands                                                              |
| HEIs     | Higher Education Institutions                                                                                                       |
| KNAW     | Koninklijke Nederlandse Akademie van Wetenschappen<br>Royal Netherlands Academy of Arts and Sciences                                |
| Marin    | Maritiem Research Instituut Nederland<br>Maritime Research Institute of the Netherlands                                             |
| NLR      | Nederlands Lucht- en Ruimtevaartcentrum<br>National Aerospace Laboratory                                                            |
| NWO      | Nederlandse Organisatie voor Wetenschappelijk Onderzoek<br>Netherlands Organisation for Scientific Research                         |
| OCW      | Ministerie van Onderwijs, Cultuur en Wetenschappen<br>Ministry of Education, Culture and Science                                    |
| PRIs     | Public Research Institutes                                                                                                          |
| R&D      | Research and development                                                                                                            |
| RTO      | Research and Technology Organisation                                                                                                |
| SEP      | Standard Evaluation Protocol                                                                                                        |
| SME      | Small and medium-sized enterprises                                                                                                  |
| TKI      | Top Consortia for Knowledge and Innovation                                                                                          |
| TNO      | Nederlandse Organisatie voor Toegepast-natuurwetenschappelijk Onderzoek<br>Netherlands Organisation for Applied Scientific Research |
| TO2      | Toegepast Onderzoek Organisaties<br>Applied Research Institutions                                                                   |
| ZonMW    | Nederlandse Organisatie voor Gezondheidsonderzoek en Zorginnovatie<br>Netherlands Organisation for Health Research and Development  |

## 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                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
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| <p><b>Q.1.1. Who mainly decides on the scientific, sectoral and/or thematic priorities of budget allocations for a) HEIs and b) PRIs?</b></p> <p>c) Which are the main mechanisms in place to decide on <b>scientific, sectoral and/or thematic priorities of national importance</b>, e.g. digital transition, sustainability? Please describe who is involved and who decides on the priorities (e.g., government, research and innovation councils, sector-specific platforms including industry and science, etc.).</p> <p><i>(This question does not refer to who sets overall science, technology and industry priorities. This is usually done by parliaments and government. The question refers to decisions taken after budgets to different ministries/agencies have been approved. Scientific priorities refer to scientific disciplines, e.g. biotechnology; sectoral priorities refer to industries, e.g. pharmaceuticals; and thematic priorities refer to broader social themes, e.g. digital transition, sustainability, etc.)</i></p> <p>d) From 2005-16, were any significant changes introduced as to how decisions on scientific, sectoral and/or thematic orientation of major programmes are taken (e.g. establishment of agencies that decide on content of programmes)?</p> | <p>a) HEIs receive most funding out of general university funds. HEIs decide how to use their general university funds, i.e. in which thematic priorities to invest. Regarding project-based funding, the Netherlands Organisation for Scientific Research (NWO) is the main funding agency and sets thematic priorities for project-based funding of HEIs (OECD, 2014, p. 147).</p> <p>b) The Ministry of Economic Affairs, the Ministry of Defence, and the Ministry of Infrastructure and Environment fund PRIs and decide which thematic priorities to invest in. Only the NWO directly funds its own research institutes based on a thematic program.</p> <p>In the Netherlands, a distinction is made between PRIs and Research and Technology Organisations (RTOs). NWO and KNAW are referred to as PRIs, while the other research institutes are called RTOs. RTOs include the Netherlands Centre for Coastal Research (Deltares), the Agricultural Research Service (DLO), the Energy Centre of the Netherlands (ECN), the Maritime Research Institute of the Netherlands (Marin), the National Aerospace Laboratory (NLR), and the Netherlands Organisation for Applied Scientific Research (TNO). The TNO is the biggest RTO in terms of budget. There are also a number of dedicated institutes related to a ministry (Rijks Kennisinstituten: i.e. KNMI on weather/climate and RIVM on health), but these are fairly small in terms of budget.</p> <p>c) Missing answer.</p> <p>d) <i>Changes over 2005-16</i><br/>A major reform with regard to national STI priorities were "Top Consortia for Knowledge and Innovation" in 2013. They consist of representatives from the business sector, HEIs, PRIs, and government. Top Consortia prepared "knowledge and innovation agendas" that included suggestions for priorities of public investment in research and innovation and which they submitted to the government for consideration. Based on these agendas, the government selected nine strategic sectors ("top sectors") in 2013 (EC/OECD STI Policy Survey 2016, responses A2 and B2).</p> |

*References:*

EC/OECD STI Policy Survey 2016 for the Netherlands. Responses A2 and B2.

OECD (2014). Innovation actors in the Netherlands. In OECD Reviews of Innovation Policy: Netherlands, p. 147. 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) The Ministry of Education, Culture and Science allocates institutional funding to HEIs. The only exception is the University of Wageningen, which receives its institutional funds from the Ministry of Economic Affairs.

b) PRIs also receive their funding from Ministries: The Ministry of Economic Affairs, the Ministry of Education, Culture and Science, the Ministry of Defence, and the Ministry of Defence, Ministry of Infrastructure and Environment.

In 2007, there was a funding reform of RTOs. The Ministry of Economic Affairs and the Ministry of Education, Culture and Science introduced thematic funding categories for institutional block funding of PRIs that reflect thematic priorities of the ministries; the institutes themselves cannot move funds between those categories (OECD, 2014, p. 164). After the reforms in 2007, PRIs increased expenditures on strategic research according to priorities as set out by ministries (OECD, 2014, p. 167).

c) The NWO allocates project-based funding for research and innovation activities at HEIs and PRIs (OECD, 2014, p. 147). The Netherlands Organisation for Health Research and Development (ZonMW) distributes project-based funding in the field of health.

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

e) European funding accounts for 10-15% of total national public funding for R&D.

f) *Changes over 2005-16*

The platform Applied Research Institutions (Toegepast Onderzoek Organisaties, TO2) was created to coordinate research activities of the major Dutch PRIs in 2010. The Ministry of Economic Affairs allocates institutional funding to these institutions according to nine strategic sectors (so-called "top sectors"). The new funding arrangements were meant to make the TO2 institutes more receptive to demand for mission-oriented research by the Ministry of Economic Affairs. This funding mechanism is called demand programming and follows the recommendations of the Wijffels Commission (2004). The reform induced increased co-operation between institutes as well as between actors from "top sectors", i.e. industry and HEIs (EC/OECD STI Policy Survey 2016, response B7).

*References:*

EC/OECD STI Policy Survey 2016 for the Netherlands. Responses A2, B2, B7, C4, and H4.

OECD (2014). Innovation actors in the Netherlands. In OECD Reviews of Innovation Policy: Netherlands, p. 119-174. Paris: OECD Publishing.

**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) In 2011, the Strategic Agenda for Higher Education, Research and Science introduced performance agreements between institutions and the OCW. Future funding of universities was made dependent on performance criteria as laid out in those agreements. Since 2012, the OCW has signed performance agreements with universities and universities of applied sciences.

b) 7% of institutional funds of HEIs were made dependent on performance assessment: 5% are allocated based on agreements on targets with regard to quality of education and student's performance. In addition, 2% of the budget depends on initiatives to stress distinctive features of institutions, including research profiles and valorisation of research.

c) Yes.

d) Number of Bachelor and Masters graduates, dropout rate, study duration, study switching, teacher quality, percentages of students in excellence routes, number of PhD graduates, review of strategic plan of universities (development of research focus areas and subject differentiation)

e) Yes. Universities are also required to develop institutional plans as basis for performance contracts (EC/OECD STI Policy Survey 2016, responses C4 and H4).

f) Targets are specific to institutions.

g) Missing answer

h) Performance agreements were introduced in 2011.

**References:**

EC/OECD STI Policy Survey 2016 for the Netherlands. Responses C4 and H4.

**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 c) HEIs must carry out a self-evaluation and an external review every six years according to the Standard Evaluation Protocol (SEP). The SEP is designed in co-operation between the Dutch Rector Conference, the NWO and the KNAW and is applied to HEIs, NOW and KNAW. Since 2015, a new SEP for the period 2015-2021 is in place.

Performance criteria are set out in performance agreements between the institutions and the OCW. These agreements apply to 7% of the university budget. An independent Review Committee evaluates performance agreements. The Review Committee was established in 2012 in accordance with the Strategic Agenda for Higher Education, Research and Science that introduced performance agreements between the Ministry and HEIs (EC/OECD STI Policy Survey 2016, response C4 and H4). OCW takes into account the evaluations made by Review Committee to adjust performance agreements between the ministry and HEIs.

d to f) PRIs are themselves monitoring their performance according to the SEP and a protocol specifically developed for TO2 institutes (Protocol voor de monitoring en evaluatie van de Toegepaste Onderzoeksorganisaties in Nederland, EMTO protocol) (EC/OECD STI Policy Survey 2016, response B12). The two protocols were developed in 2015. The SEP requires that evaluations have to be conducted by international panels of experts using the assessment criteria and procedures as set out by the SEP 2015-21.

h) Performance agreements for HEIs introduced in 2011; establishment of independent Review Committee for HEIs (2012); Standard Evaluation Protocol for HEIs and PRIs (2015)

*References:*

EC/OECD STI Policy Survey 2016 for the Netherlands. Response C4, B12 and H4.

**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?**

The Strategic Agenda for Higher Education, Research and Science (2011) introduced performance agreements for HEIs. Since 2012, performance agreements are signed between OCW and HEIs (responses A2 and B2). OCW takes into account the evaluations made by the newly established independent Review Committee (2012) to adjust performance agreements between the ministry and HEIs (EC/OECD STI Policy Survey 2016, responses C4 and H4). See also response to question 1.3.

Beyond performance agreements that cover 7% of HEIs future budgets, the institutions must carry out a self-evaluation and an external review every six years according to the Standard Evaluation Protocol (SEP). This also applies to of PRIs (EC/OECD STI Policy Survey 2016, response B12).

*References:*

EC/OECD STI Policy Survey 2016 for the Netherlands. Responses A2, B2, B7, B12, C4, and H4.

## 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><br/>Advisory Council for Science, Technology and Innovation (2016). About Us [Webpage]. Retrieved from <a href="http://english.awti.nl/about-us">http://english.awti.nl/about-us</a>, accessed 04.10.2016.</p> | <p>a and b) The Advisory Council for Science, Technology and Innovation is the main research and innovation council (AWTI).</p> <p>c) There are no other research and innovation councils in place.</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 Advisory Council for Science, Technology and Innovation is responsible for the provision of policy advice to the government and the parliament on national and international policies with respect to science, technology and innovation.</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>a to j) Representatives from HEIS, PRIs, and the private sector formally participate in the Council.</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) In 2017, the Council had its own staff of 11 full time personnel and a budget of around EUR 1.3 Million.</p> <p>c) In 2010, AWTI's mandate was broadened to include innovation and energy policies.</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?</p> <p>b) What is the name of the main national STI strategy or plan?</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | <p>A and b) The Dutch STI strategy "To the Top" centres on enterprise policy. It was passed in 2013 and updated in 2013 (strategic document "Working together for renewal") (EC/OECD STI Policy Survey 2016, responses A2 and B2). Moreover, the "Strategic Agenda for Higher Education, Research and Science" (2015) (for higher education); National Research Vision (2014) and National Research Agenda (2015) (for research) were passed in 2014/2015 (EC/OECD STI Policy Survey 2016, responses C4 and H4).</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| <p><i>References:</i><br/>EC/OECD STI Policy Survey 2016 for the Netherlands. Responses A2, B2, C4 and H4.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| <p><b>Q.2.6.</b> Does the national STI strategy or plan address any of the following priorities?</p> <p>a) Specific themes and/or <b>societal challenges</b> (e.g. Industry 4.0; "green innovation"; health; environment; demographic change and wellbeing; efficient energy; climate action) - Which of the following themes and/or societal challenges are addressed?</p> <ul style="list-style-type: none"> <li>– Demographic change (i.e. ageing populations, etc.)</li> <li>– Digital economy (e.g. big data, digitalisation, industry 4.0)</li> <li>– Green economy (e.g. natural reReferences, energy, environment, climate change)</li> <li>– Health (e.g. Bioeconomy, life science)</li> <li>– Mobility (e.g. transport, smart integrated transport systems, e-mobility)</li> <li>– Smart cities (e.g. sustainable urban systems urban development)</li> </ul> <p>b) Specific <b>scientific disciplines and technologies</b> (e.g. ICT; nanotechnologies; biotechnology) - Which of the following scientific research, technologies and economic fields are addressed?</p> <ul style="list-style-type: none"> <li>– Agriculture and agricultural technologies</li> <li>– Energy and energy technologies (e.g. energy storage, environmental technologies)</li> <li>– Health and life sciences (e.g. biotechnology, medical technologies)</li> <li>– ICT (e.g. artificial intelligence, digital platforms, data privacy)</li> <li>– Nanotechnology and advanced manufacturing (e.g. robotics, autonomous systems)</li> </ul> <p>c) Specific <b>regions</b> (e.g. smart specialisation strategies)</p> <p>d) <b>Supranational</b> or transnational objectives set by transnational institutions (for instance related to European Horizon 2020)</p> <p>e) <b>Quantitative targets</b> for monitoring and evaluation (e.g. setting as targets a certain level of R&amp;D spending for public research etc.)</p> <p>f) From 2005-16, was any STI strategy introduced or were any changes made existing STI strategies?</p> | <p>a and b) The Dutch STI strategy "To the Top" addresses the following themes and, research fields and technologies (no order of preference): Chemicals; energy (including sustainable energy); high tech systems and materials (including nanotechnology, aerospace, automotive, and ICT); agriculture and food; horticulture and propagation materials; life sciences and health; logistics; creative industries; and water (including maritime industries and water management).</p> <p>The National Research Agenda covers 25 industries and technologies: <a href="http://www.wetenschapsagenda.nl/uitkomsten-routeworkshops/">http://www.wetenschapsagenda.nl/uitkomsten-routeworkshops/</a>. The Smart Industry Action Plan covers a number of ICT-technologies to be adopted in manufacturing.</p> <p>c) In terms of specific regions, a number of Smart Specialisation Strategies exist in the Netherlands (EC/OECD STI Policy Survey 2016, responses A2 and B2).</p> <p>d) No transnational objectives set.</p> <p>e) Quantitative targets are included.</p> <p>f) Enterprise Policy "To the Top" (2013); "Strategic Agenda for Higher Education, Research and Science" (2015) replaced previous version (on higher education); National Research Vision (2014) / National Research Agenda (2015) (on research)</p> |



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| <i>References:</i><br>EC/OECD STI Policy Survey 2016 for the Netherlands. Responses A2, B2, C4, C6 and H4.                                         |                                                                                                                                                                                                                                                                                                                                                                 |
| <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? | Enterprise Policy "To the Top" (2013): This sector oriented approach replaced regional policy "Pieken in de Delta" and Societal Innovation Agenda's<br><br>"Strategic Agenda for Higher Education, Research and Science "(2015) replaced previous version (on higher education); National Research Vison (2014) / National Research Agenda (2015) (on research) |
| <i>References:</i><br>EC/OECD STI Policy Survey 2016 for the Netherlands. Responses A2, B2, C4, C6 and H4.                                         |                                                                                                                                                                                                                                                                                                                                                                 |

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

| Question                                                                                                                                                                                                                                                                                                                                                           | Response                                                                                                                                                              |
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| <b>Q.2.8.</b> Does <b>inter-agency joint programming</b> contribute to the co-ordination of HEI and PRI policy?<br><br><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> | Inter-agency programming involving the NOW and the ZonMW is in place.                                                                                                 |
| <i>References:</i><br>EC/OECD STI Policy Survey 2016 for the Netherlands. Response B6.<br>OECD (2014). Innovation actors in the Netherlands. In OECD Reviews of Innovation Policy: Netherlands. Paris: OECD Publishing.                                                                                                                                            |                                                                                                                                                                       |
| <b>Q.2.9.</b> a) Is co-ordination within the <b>mandate of agencies</b> ?<br><br>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?                                                                     | a) Co-ordination is within the mandate of the NWO.<br><br>b) There were no major changes to the mandates of agencies tasked with regards to inter-agency programming. |
| <b>Q.2.10.</b> What <b>reforms</b> of the institutional context have had impacts on public research policy?                                                                                                                                                                                                                                                        | Missing answer.                                                                                                                                                       |

### Topic 3: Stakeholders consultation and institutional autonomy

**Table 5. Questions on stakeholder consultation**

| Question                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | Response                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
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| <p><b>Q.3.1. a) Do the following stakeholders participate as formal members in <b>Research and Innovation Councils</b>? (i.e. Formal membership as provided by statutes of Council)</b></p> <ul style="list-style-type: none"> <li>– Private Sector</li> <li>– Civil society (citizens/ NGOs/ foundations)</li> <li>– HEIs/PRIs and/or their associations</li> </ul> <p>b) Do stakeholders participate as formal members in <b>council/governing boards of HEIs</b>? (i.e. Formal membership as provided by statutes of Council)</p> <ul style="list-style-type: none"> <li>– Private Sector</li> <li>– Civil society (citizens/ NGOs/ foundations)</li> </ul> <p><i>References:</i><br/>EC/OECD STI Policy Survey 2016 for the Netherlands. Responses A2 and B2.</p> | <p>a) The Advisory Council for Science, Technology and Innovation has representation of stakeholders from HEIs, PRIs and industry.</p> <p>b) Stakeholder participation in governing bodies of HEIs includes representatives from the private sector, academia and civil society.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| <p><b>Q.3.2. a) Are there <b>online consultation</b> platforms in place to request inputs regarding HEI and PRI policy? b) Which aspects do these online platforms address (e.g. e.g. open data, open science)?</b></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><br/>EC/OECD STI Policy Survey 2016 for the Netherlands. Response C4, C6 and H4.</p>                                                                                                                                                                                                                                                                                       | <p>a and b) The Dutch Strategic Agenda for Higher Education, Research and Science (2015) and National Research Agenda (2015) were developed through a process of public consultation including HEIs, PRIs, industry and civil society. Everybody in the Netherlands could submit questions for science through an online platform. In total, 11,700 questions were submitted for the Strategic Agenda for Higher Education, Research and Science (EC/OECD STI Policy Survey 2016, responses C4, C6 and H4).</p> <p>c) Representatives from the private sector and HEIs/PRIs participate in the formulation of national STI priorities through other mechanisms than council membership. They inform scientific, sectoral and/or thematic priorities through public consultation as well as through membership in "Top Consortia for Knowledge and Innovation". For instance, based on a public consultation process in 2013, the Dutch government selected nine strategic sectors (EC/OECD STI Policy Survey 2016, responses A2 and B2). "Top Consortia for Knowledge and Innovation" that consist of representatives from HEIs, PRIs, and industry, allocate funds for research and innovation activities to projects under the top sectors.</p> |

**Q.3.3.** Which reforms to consultation processes have proven particularly important?

Public consultations informed National Research Agenda (2015). In 2015, the “Knowledge Coalition” consisting of Dutch HEIs, PRIs and industry organised an online consultation to inform the Dutch National Research Agenda. Citizens could submit questions that they would like Dutch research to address. The initiative featured prominently in the media and around 11,700 questions were submitted in 2015.

The results of the consultation were used to formulate priority areas of the National Research Agenda: Co-ordinated by the Royal Netherlands Academy for Arts and Sciences (KNAW), five academic juries assessed and categorised the questions. This resulted in 140 major scientific areas covering the full spectrum of science: man, environment and economy (green); individual and society (orange); disease and health (red); technology and society (blue); and origins of life and matter (purple). The questions were further categorised into 25 thematic clusters of interrelated issues called “routes”. An example of a cluster of questions is the “Sustainable production of safe and healthy food”, which addresses the challenge of feeding over nine billion people by 2050. Research performing organisations had the opportunity to directly contact the individual(s) or organisation(s) that posed the question in order to collaborate or develop ideas further. The objective of this exercise was to inform policy about public demand for public research.

Workshops were organised until the first half of 2015 around the 25 “routes” in order to explore opportunities for collaboration across disciplines and sectors and possibilities for promising research. The workshops were attended by a total of between 2 000 and 3000 individuals, including researchers as well as other interested parties. The challenges were to identify dimensions of one or more complex issues within a thematic question cluster, identify partners to cooperate to address these complex issues, and define the solutions and innovations they should seek to develop. The results of this process were presented in a “Portfolio for Research and Innovation”. The Knowledge Coalition then developed an investment agenda on this basis which was presented to the government on 15 September 2016.

Another mechanism to strengthen stakeholder involvement were the “Top Consortia for Knowledge and Innovation” (TKI) in 2013. The TKIs more or less replaced the Innovation Platform (2003-2010). This platform (chaired by the MP) provided direction to research and innovation policy. Top Consortia that consist of representatives from the business sector, HEIs, PRIs, and government were tasked with the allocation of project funds to individual projects under nine top sectors. Since the reforms, public funding for R&D projects has been concentrated in these sectors. Business is required to finance at least 40% of R&D expenditures in exchange for access to public research infrastructure (EC/OECD STI Policy Survey 2016, responses A2 and B2). The Dutch funding agencies dedicate a substantial part of their budgets to research related to the nine economic top sectors (EC/OECD STI Policy Survey 2016, response C4).

*References:*

EC/OECD STI Policy Survey 2016 for the Netherlands. Responses A2, B2, C4, C6 and H4.

**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?<br/> <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><br/> <i>Institutions themselves: If HEIs are entirely free to use their block grants.)</i></p> <p>References:<br/>           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).<br/>           EC/OECD STI Policy Survey 2016 for the Netherlands. Responses B7 and C4.<br/>           Estermann, T., Nokkala, T., and Steinel, 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.<br/>           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>a) HEIs are free to use their institutional funding and can move it between teaching, research and innovation activities.</p> <p>b) NOW and KNAW are free to use their institutional funding and can move it between thematic categories.</p> <p>The Ministry of Economic Affairs, the Ministry of Education, Culture and Science, the Ministry of Defence, and the Ministry of Defence, and Ministry of Infrastructure and Environment allocate institutional block funding directly to RTOs since reforms in 2007. They are not free to move their funds across broadly defined thematic categories.</p> |
| <p><b>Q.3.5.</b> Who decides about <b>recruitment</b> of academic staff at a) HEIs and b) PRIs?<br/> <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><br/> <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>a to f) Recruitment and promotions of academic staff is decided by the HEIs and PRIs themselves while salary bands are negotiated with other parties at the national level.</p>                                                                                                                                                                                                                                                                                                                                                                                                                            |
| <p>Who decides about <b>salaries</b> of academic staff at c) HEIs and d) PRIs?<br/> <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><br/> <i>Institutions themselves: If HEIs are free to set salaries, except minimum wage.)</i></p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| <p>Who decides about <b>reassignments</b> and <b>promotions</b> of academic staff at e) HEIs and f) PRIs?<br/> <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><br/> <i>Institutions themselves: If HEIs can promote and reassign staff freely.)</i></p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |

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

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

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

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

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

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

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

- HEI
- Research unit / laboratory within HEI
- Researchers

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

a to d) HEIs and PRIs themselves decide about internal academic structures and the creation of legal entities (spin-offs) and joint R&D partnership with industry.

a) According to the Collective Labour Agreement of Dutch universities, a researcher who creates a possibly patentable invention is obliged to report this and to transfer these rights to the university if so requested. When the university makes use of these rights, the researcher is entitled to fair reimbursement (EC/OECD STI Policy Survey 2016, response F5). A number of institutions introduced the 1/3 policy – 1/3 of the profit for the researcher, 1/3 for the TTO and 1/3 for the faculty, e.g. TU Delft (2015).

b) PRIs decide themselves about the revenue schemes. Researchers can claim an equitable remuneration from commercialisation of IP (Collective Labour Agreement for Research Institutes, 2015).

c) Performance agreements were introduced in 2011.

*References:*

Collective Labour Agreement for Research Institutes (2015). Retrieved from <http://www.fom.nl/live/attachment.db;jsessionid=C073D84257C92A92D955C22D6EF84C407304190>, accessed 04.09.2016. EC/OECD STI Policy Survey 2016 for the Netherlands. Response F5.

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

Reforms in 2011 saw the introduction of performance agreements between HEIs and the OCW (EC/OECD STI Policy Survey 2016, responses C4 and H4).

*References:*

EC/OECD STI Policy Survey 2016 for the Netherlands. Responses B7, C4 and H4.