

#### **Survey response for Portugal**

OECD database of governance of public research policy

This document contains detailed responses for Portugal 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, <a href="https://doi.org/10.1787/235c9806-en">https://doi.org/10.1787/235c9806-en</a>. 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 <a href="https://stip.oecd.org/resgov">https://stip.oecd.org/resgov</a>.

Contact:

Caroline Paunov, Senior Economist, E-mail: <u>Caroline.Paunov@oecd.org</u>; Martin Borowiecki, Junior Economist, E-mail: <u>Martin.Borowiecki@oecd.org</u>.

### Abbreviations and acronyms

ANI	Agência de Inovação Portuguese Innovation Agency	
A3ES	Agência de Avaliação e Acreditação do Ensino Superior Agency for Assessment and Accreditation of Higher Education	
CNCT	Conselho Nacional de Ciência e Tecnologia National Council for Science and Technology	
CNEI	Conselho Nacional para o Empreendedorismo e Inovação National Council on Entrepreneurship and Innovation	
FCT	Fundação para a Ciência e Tecnologia Foundation for Science and Technology	
IAPMEI	Agência para a Competitividade e Inovação Portuguese Competitiveness and Innovation Agency	
HEIs	Higher Education Institutions	
PRIs	Public Research Institutions	

#### 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
Q.1.1. Who mainly decides on the scientific, sectoral and/or thematic priorities of budget allocations for a) HEIs and b) PRIs?	a) The Ministry of Science, Technology and Higher Education defines priorities for budget allocations for HEIs
c) Which are the main mechanisms in place to decide on scientific, sectoral and/or thematic priorities of national importance, e.g. digital transition, sustainability? Please describe who is involved and who decides on the priorities	b) The Foundation for Science and Technology (FCT) takes decisions on scientific, sectoral and/or thematic priorities of funding of research and innovation for PRIs.
(e.g., government, research and innovation councils, sector-specific platforms including industry and science,	c) Missing answer.
etc.). (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.) 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)?	d) No major changes made.

#### References:

EC/OECD STI Policy Survey 2016 for Portugal. Responses A2, B4 and C6.

European Commission (2016). Rio Country Report 2015: Portugal, p. 18-19. Retrieved from

[http://publications.jrc.ec.europa.eu/repository/bitstream/JRC101210/pt\_cr2015.pdf] (Accessed on 27.09.2016).

### 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 Science, Technology and Higher Education allocates institutional block funds to HEIs and PRIs.
- b) The FCT allocates institutional block funds to HEIs and PRIs. PRIs in Portugal undergo a national evaluation process every 5 or 6 years which is the basis for the allocation of institutional block funding by the national agency FCT.
- c) The FCT, the Portuguese Innovation Agency (ANI), and the Portuguese Competitiveness and Innovation Agency (IAPMEI) provide project-based funding for research and innovation.
- d) In Portugal, HEIs and PRIs are also eligible for additional funding from the European Research Council and the European Commission.
- e) The share of EU funding corresponds to 10% of public R&D funding in Portugal.
- f) Changes over 2005-2016

The share of institutional block funding decreased since the financial crisis 2008. Project-based funding and EU funding constitute the biggest source of finance for research at HEIs and PRIs; a high share of these programmes are allocated by FCT and the EU, i.e. Horizon2020 (EC/OECD STI Policy Survey 2016, response C6).

#### References:

European Commission (2016). Rio Country Report 2015: Portugal, pp. 40-43. Retrieved from [http://publications.jrc.ec.europa.eu/repository/bitstream/JRC101210/pt\_cr2015.pdf] (accessed on 27.09.16).

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

### 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 to f) Institutional block funding of HEIs is not based on performance agreements.

g) Competitive funding by the FCT and European funds are important to finance research at universities.

University funding is allocated based on historical fixed shares and the number of students of each institution (European Commission, 2016). However, the Ministry of Science, Technology and Higher Education aims at establishing a scheme to grant block funding based on institutional performance (European Commission, 2016, p. 40).

h) No major changes made.

#### References:

European Commission (2016). Rio Country Report 2015: Portugal, p 40. Retrieved from [http://publications.irc.ec.europa.eu/repository/bitstream/JRC101210/pt\_cr2015.pdf] (Accessed on 27.09.16).

OECD STI Policy survey 2016 for Portugal. Responses C6.

### **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) The Ministry of Science, Technology and Higher Education sets criteria for evaluations of HEIs.

b and c) The Agency for Assessment and Accreditation of Higher Education (A3ES) evaluates and monitors performance of HEIs.

d to f) The FCT defines criteria for evaluations of PRIs and also conducts the evaluations. An exception was in 2013, when the European Science Foundation carried out an evaluation of PRIs.

PRIs in Portugal undergo a national evaluation process every 5 or 6 years which is the basis for the allocation of institutional block funding by the national agency FCT.

h) Changes over 2005-2016

Following the OECD Review in 2007, the legal status of HEIs was changed and a new agency, dedicated to the evaluation of the teaching function of the HEIs (A3ES) was created. There have been some changes made to criteria applied for evaluation of PRIs.

**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 Agency for Assessment and Accreditation of Higher Education (A3ES) was created in 2007.

#### **Topic 2: Policy co-ordination mechanisms**

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

#### Question Response

# **Q.2.1.** a) Is there a **Research and Innovation Council**, i.e. non-temporary public body that takes decisions concerning HEI and PRI policy, and that has explicit mandates by law or in its statutes to either?

- provide policy advice (i.e. produce reports);
- and/or oversee policy evaluation;
- and/or coordinate policy areas relevant to public research (e.g. across ministries and agencies);
- and/or set policy priorities (i.e. strategy development, policy guidelines);
- and/or joint policy planning (e.g. joint crossministry preparation of budgetary allocations)?
- b) What is the name of the main research and/or innovation Council/Committee? Are there any other research Councils/Committees?
- c) Are there any other research Councils/Committees?

a and b) The National Council for Science and Technology (CNCT) was established in 2012. It provides advice in the definition of strategic priority areas and sectors and well as the across ministries.

In addition, the National Council on Entrepreneurship and Innovation (CNEI) was established in 2012 to provide advice regarding innovation and research policies (EC/OECD STI Policy Survey 2016, responses A2 and B4).

Although enacted in Law, the CNCT and the CNEI have been effectively inactive since 2015. These were previously in place for only a few years, with the function of policy advice only.

New legislation to change the Council mandate and operations is currently under preparation.

c) The FCT Scientific Councils provide the FCT Board with strategic advice and recommendations on developing, implementing and modifying science and technology support programmes. https://www.fct.pt/conselhos\_cientificos/

There is also the Coordinating Council for Higher Education (CCES) established in 2009 (Decreto Regulamentar n.º 15/2009, de 31 de agosto).

#### References:

EC/OECD STI Policy Survey 2016 for Portugal. Response B2.

Presidência do Conselho de Ministros, Resolução Do Conselho De Ministros N.º 45/2012. Diário da República, N. 86/2012. Retrieved from <a href="http://www.igfse.pt/upload/docs/2012/RCMn%C2%BA45\_2012.pdf">http://www.igfse.pt/upload/docs/2012/RCMn%C2%BA45\_2012.pdf</a> (accessed on 9.10.2016). Presidência do Conselho de Ministros, Resolução do Conselho de Ministros N. 14/2012 Diário da República, N. 30/2012. Retrieved from <a href="http://www.portugal.gov.pt/media/584711/rcm\_cnct.pdf">http://www.portugal.gov.pt/media/584711/rcm\_cnct.pdf</a> (accessed on 9.10.2016)

**Q.2.2.** With reference to Q.2.1, does the Council's **mandate** explicitly include a) policy coordination; b) preparation of strategic priorities; c) decision-making on budgetary allocations; d) evaluation of policies' implementation (including their enforcement); e) and provision of policy advice?

a to e) The CNCT and the CNEI provided policy advice.

#### References:

EC/OECD STI Policy Survey 2016 for Portugal. Response B4.

Presidência do Conselho de Ministros, Resolução Do Conselho De Ministros N.º 45/2012. Diário da República, N. 86/2012. Retrieved from <a href="http://www.iqfse.pt/upload/docs/2012/RCMn%C2%BA45">http://www.iqfse.pt/upload/docs/2012/RCMn%C2%BA45</a> 2012.pdf (accessed on 9.10.2016).

Q.2.3. With reference to Q.2.1, who formally participates in the Council? a) Head of State, b) ministers, c) government officials (civil servants and other representatives of ministries, agencies and implementing bodies), d) funding agency representatives, e) local and regional government representatives, f) HEI representatives, g) PRI representatives, h) private sector, i) civil society, and/or j) foreign experts

a to j) National Council for Science and Technology
Ministers, HEIs and PRIs representatives as well as
representatives from the business sector participated as
members. Although not formally defined as members in the
statutes of the council, members of the CNCT were from HEIs
and PRIs

National Council on Entrepreneurship and Innovation
Ministers, government officials, representatives of funding
agencies, HEIs and PRIs representatives as well as
representatives from the business sector participated as
members. Although not formally defined as members in the
statutes of the council, members of the CNEI were from the
private sector, civil society and HEIs/PRIs.

#### References:

EC/OECD STI Policy Survey 2016 for Portugal. Response B4.

Presidência do Conselho de Ministros, Resolução Do Conselho De Ministros N.º 45/2012. Diário da República, N. 86/2012. Retrieved from <a href="http://www.igfse.pt/upload/docs/2012/RCMn%C2%BA45">http://www.igfse.pt/upload/docs/2012/RCMn%C2%BA45</a> 2012.pdf (accessed on 9.10.2016).

Presidência do Conselho de Ministros, Resolução do Conselho de Ministros N. 14/2012 Diário da República, N. 30/2012. Retrieved from <a href="http://www.portugal.gov.pt/media/584711/rcm\_cnct.pdf">http://www.portugal.gov.pt/media/584711/rcm\_cnct.pdf</a> (accessed on 9.10.2016)

**Q.2.4.** With reference to Q.2.1.b., does the Council have its own a) **staff** and/or its own b) **budget**? If so, please indicate the number of staff and the amount of annual budget available.

a and b) The Councils did not have their own staff and budget.

c) From 2005-16, were any **reforms** made to the mandate of the Council, its functions, the composition of the Council, the budget and/or the Council's secretariat? Was the Council created during the time period?

c) The CNEI was established in 2009. The CNCT was established in 2012.

#### References

EC/OECD STI Policy Survey 2016 for Portugal. Response B4.

Presidência do Conselho de Ministros, Resolução Do Conselho De Ministros N.º 45/2012. Diário da República, N. 86/2012. Retrieved from <a href="http://www.igfse.pt/upload/docs/2012/RCMn%C2%BA45\_2012.pdf">http://www.igfse.pt/upload/docs/2012/RCMn%C2%BA45\_2012.pdf</a> (accessed on 9.10.2016).

Presidência do Conselho de Ministros, Resolução do Conselho de Ministros N. 14/2012 Diário da República, N. 30/2012. Retrieved from <a href="http://www.portugal.gov.pt/media/584711/rcm\_cnct.pdf">http://www.portugal.gov.pt/media/584711/rcm\_cnct.pdf</a> (accessed on 9.10.2016)

#### Table 3. Questions on national STI strategies

#### Question Response

### Q.2.5. a) Is there a national non-sectoral STI strategy or plan?

b) What is the name of the main national STI strategy or plan?

a and b) The National Research and Innovation Strategy for a Smart Specialization and the National Plan for Science and Technology (2017-2020) are the main national STI strategy in Portugal (EC/OECD STI Policy Survey 2016 for Portugal, Response B1).

The National Research and Innovation Strategy for Smart Specialization pre-defines the scientific and thematic scope of Joint Activities Programme funding under the EU Operational Programmes since 2015 (EC/OECD STI Policy Survey 2016, Response C6). It was formulated in 2013 by a working group involving, among others, the former Ministry for Education, the Portuguese Innovation Agency (ANI), FCT, and the Portuguese Competitiveness and Innovation Agency (IAPMEI).

#### References:

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

- **Q.2.6.** Does the national STI strategy or plan address any of the following priorities?
- a) Specific themes and/or **societal challenges** (e.g. Industry 4.0; "green innovation"; health; environment; demographic change and wellbeing; efficient energy; climate action) Which of the following themes and/or societal challenges are addressed?
  - Demographic change (i.e. ageing populations, etc.)
  - Digital economy (e.g. big data, digitalisation, industry 4.0)
  - Green economy (e.g. natural reReferences, energy, environment, climate change)
  - Health (e.g. Bioeconomy, life science)
  - Mobility (e.g. transport, smart integrated transport systems, e-mobility)
  - Smart cities (e.g. sustainable urban systems urban development)
- b) Specific scientific disciplines and technologies (e.g. ICT; nanotechnologies; biotechnology) Which of the following scientific research, technologies and economic fields are addressed?
  - Agriculture and agricultural technologies
  - Energy and energy technologies (e.g. energy storage, environmental technologies)
  - Health and life sciences (e.g. biotechnology, medical technologies)
  - ICT (e.g. artificial intelligence, digital platforms, data privacy)
  - Nanotechnology and advanced manufacturing (e.g. robotics, autonomous systems)
- c) Specific **regions** (e.g. smart specialisation strategies) d) **Supranational** or transnational objectives set by transnational institutions (for instance related to European Horizon 2020)
- e) **Quantitative targets** for monitoring and evaluation (e.g. setting as targets a certain level of R&D spending for public research etc.)
- f) From 2005-16, was any STI strategy introduced or were any changes made existing STI strategies?

a and b) The National Research and Innovation Strategy for a Smart Specialization addresses demographic change, the digital economy, sustainable growth, health, mobility, and smart cities.

With regard to selected scientific research, technologies and economic fields, it focuses on (no order of preference) energy, ICTs, materials and raw-materials; manufacturing technologies and product Industries; automotive, aeronautics & space; and transports, mobility & logistics.

- c) Regional Smart Specialisation Strategies are in place for the regions Norte, Centro, Lisboa, Alentejo, Algarve, Madeira, and Açores. There is a thematic alignment in the priority setting at national and regional level.
- d) The National Research and Innovation Strategy For Smart Specialization (2014) considers the EU priorities as a relevant selection factor.
- e) The National Research and Innovation Strategy for a Smart Specialization includes a host of indicators for monitoring performance. These include R&D spending as share of GDP, the number of doctorate graduates, private investment in R&D, the number of top-cited scientific publications, the number of Increase patents, and the number of researchers in enterprises, among other things.
- f) Changes over 2005-2016

The National Research and Innovation Strategy for Smart Specialization was formulated in 2013 and the National Plan for Science and Technology was passed in 2017.

References:

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

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

The National Research and Innovation Strategy for Smart Specialization and the National Plan for Science and Technology

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

Question	Response
<b>Q.2.8.</b> Does <b>inter-agency joint programming</b> contribute to the co-ordination of HEI and PRI policy?	Inter-agency programming is in place.
(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.)	
<b>Q.2.9.</b> a) Is co-ordination within the <b>mandate of agencies</b> ?	a) Agencies have the mandate for coordination.
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?	b) There is stronger coordination between national agencies (FCT, ANI) and regional development agencies after the partnership agreement with the EU on structural funds in 2014.
<b>Q.2.10.</b> What <b>reforms</b> of the institutional context have had impacts on public research policy?	The Smart Specialisation strategy process led to better coordination between ministries, national agencies and regional agencies.
	The partnership agreement with the EU regarding the implementation of structural funds policies (2014) led to a stronger involvement of Portuguese regions in public research policy.

#### Topic 3: Stakeholders consultation and institutional autonomy

#### Table 5. Questions on stakeholder consultation

Question Response

**Q.3.1.** a) Do the following stakeholders participate as formal members in **Research and Innovation Councils**? (i.e. Formal membership as provided by statutes of Council)

- Private Sector
- Civil society (citizens/ NGOs/ foundations)
- HEIs/PRIs and/or their associations

### b) Do stakeholders participate as formal members in **council/governing boards of HEIs**?

(i.e. Formal membership as provided by statutes of Council)

- Private Sector
- Civil society (citizens/ NGOs/ foundations)

**Q.3.2.** a) Are there **online consultation** platforms in place to request inputs regarding HEI and PRI policy? b) Which aspects do these online platforms address (e.g. e.g. open data, open science)?

c) From 2005-16, were any reforms made to widen inclusion of stakeholders and/or to improve consultations, including online platforms?

a) National Council for Science and Technology

Members of the CNCT were from HEIs and PRIs although
they were not formally defined as members in the statutes of
the council.

National Council on Entrepreneurship and Innovation
Members of the CNEI were from the private sector, civil
society and HEIs/PRIs although they were not formally defined
as members in the statutes of the council.

b) The General Council of HEIs is made up of at least 30% of external members who act individually and not as representatives of their institutions or enterprise. They are mostly from the private sector and civil society.

a and b) There are no online platforms for public consultation in place.

c) Changes over 2005-2016
University reforms (2007): After the reforms, external stakeholders from civil society and the private sector became part of governing boards of HEIs. However, the law does not specify if the external members of the governing council have to come from the private sector or civil society.

#### References:

EC/OECD STI Policy Survey 2016 for Portugal. Response H4.

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

University reforms in 2007

#### Table 6. Questions on autonomy of universities and PRIs

#### Question

## **Q.3.4.**Who decides about **allocations of institutional block funding** for teaching, research and innovation activities at a) HEIs and b) PRIs?

(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.

<u>Institutions themselves</u>: If HEIs are entirely free to use their block grants.)

#### Response

- a) HEIs are free to allocate funding internally if they have the status of a foundation.
- b) PRIs in Portugal undergo an evaluation process every 5/6 years which is the basis for the allocation of institutional block funding by the national agency FCT. PRIs are free to use the funds for running expenses, human reReferences, equipment, etc. according to the approved budget but with flexible rules.

#### References:

Data on institutional autonomy is based on a survey conducted by the European University Association between 2010 and 2011 across 26 European countries. The answers were provided by Secretaries General of national rectors' conferences and can be found in the report by the European University Association (Estermann et al., 2015).

European University Association (2011) University Autonomy in Europe II The Scorecar, p. 43. 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 on 19.09.2016).

### **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?

(<u>National/regional level</u>: 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.

<u>Institutions themselves</u>: 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.

<u>Institutions themselves</u>: If HEIs can promote and reassign staff freely.)

a and b) HEIs and PRIs decide about recruitment of academic

c and d) HEIs and PRIs decide about salaries of academic staff

e and f) HEIs and PRIs decide about reassignments and promotions of academic staff.

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.

<u>Institutions themselves</u>: 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. **spinoffs**) 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.

<u>Institutions themselves</u>: 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?

- HFI
- Research unit / laboratory within HEI
- Researchers
- c) From 2005-16, were any reforms introduced that affected the institutional autonomy of HEIs and PRIs?

 ${\bf a}$  and  ${\bf b})$  HEIs and PRIs set revenue schemes themselves.

a and b) HEIs and PRIs decide about the creation of academic

c and d) HEIs and PRIs decide about the creation of functional

units (e.g. technology transfer offices) and spin-offs.

c) Changes over 2005-2016

departments.

The 2007 university reforms increased universities' autonomy. If they fulfil certain criteria – for example, at least half of their funding should be from third party funding (grants, industry and EU funding) – public universities can apply for the legal status of foundation. By adopting this status, universities have higher flexibility in financial management, human reReferences management, and industry relations.

#### References:

EC/OECD STI Policy Survey 2016 for Portugal. Response H4.

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

University autonomy reforms in 2007 increased their over financial management and human reReferences, and their engagement with civil society and industry.

#### References:

EC/OECD STI Policy Survey 2016 for Portugal. Response H4.