

Survey response for the Slovak Republic

OECD database of governance of public research policy

This document contains detailed responses for the Slovak Republic 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

APVV	Agentúra na podporu výskumu a vývoja Slovak Research and Development Agency
CVTI SR	Centrum vedecko-technických informácií SR Slovak Centre for Scientific and Technical Information
HEIs	Higher Education Institutions
MESRS	Ministerstvo školstva, vedy, výskumu a športu Ministry of Education, Science, Research and Sport
NC SR	National Council for Education, Science, Youth and Sport of the Slovak Republic
NRP	National Reform Programme
OPRI	Operational Programme Research and Innovation
PRIs	Public Research Institutes
RIS3	Innovation Strategy for Smart Specialisation
SAS	Slovenská akadémia vied Slovak Academy of Sciences
SGCSTI	Rada vlády SR pre vedu, techniku a inovácie Slovak Government Council for Science, Technology and Innovations
SIEA	Slovenská inovačná a energetická agentúra Slovak Innovation and Energy Agency
SMEs	Small and medium-sized enterprises
VA	Research Agency, formerly known as Agency for Structural Funds of the European Union (AFSFEU)

Survey of public research policy

Topic 1: Institutions in charge of priority setting, funding and evaluations

Table 1. Questions on institutions in charge of priority setting, funding and evaluations of universities and PRIs

Question	Response
<p>Q.1.1. Who mainly decides on the scientific, sectoral and/or thematic priorities of budget allocations for a) HEIs and b) PRIs?</p>	<p>a and b) The Ministry of Education, Science, Research and Sports (MESRS) decides on scientific, sectoral and/or thematic priorities of budget allocations for HEIs and PRIs.</p>
<p>c) Which are the main mechanisms in place to decide on scientific, sectoral and/or thematic priorities of national importance, e.g. digital transition, sustainability? Please describe who is involved and who decides on the priorities (e.g., government, research and innovation councils, sector-specific platforms including industry and science, etc.).</p> <p><i>(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>c) Besides the MESRS, the Deputy Prime Minister's Office for Investments and Informatization of the Slovak Republic plays a key role for priority setting. It decides the use of European Union funds, among others, for research and innovation. European funding constitutes an important source of research funding in the Slovak Republic.</p> <p>In addition, the Ministry of Health of the Slovak Republic (e.g. R&D in the field of medicine), the Ministry of Agriculture of the Slovak Republic (e.g. R&D in the food and food industry technologies), the Ministry of Defense of the Slovak Republic and the Ministry of the Interior of the Slovak Republic (defense and security research) have a say over policy directions in STI.</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>d) Missing answer.</p>

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) In the Slovak Republic, MESRS allocates institutional funding to HEIs.

b) The Slovak Academy of Sciences (Slovenská akadémia vied, SAS) is the main PRI in the country and allocates funding to research and innovation activities of its institutions. The Academy has its own chapter in the State Budget Law and negotiates budget allocations with the Ministry of Finance.

c) Funding agencies provide funding for research and innovation projects:

- Slovak Centre for Scientific and Technical Information (CVTI SR) - directly managed by the Ministry of Education
- The Slovak Research and Development Agency (APVV) - directly managed by the Ministry of Education
- Research Agency – VA (formerly known as ASFEU) - directly managed by the Ministry of Education. RA is responsible for structural funds in the field of R&D
- Slovak Innovation and Energy Agency (SIEA) directly managed by the Ministry of Economy

d) The European Commission and the European Research Council provide budget for research funding in the Slovak Republic. European Union Structural funds under the Operational Programme Research and Innovation (OPRI) are a major source of finance for research in Slovakia for the period 2014-2020. The importance of funding by the European Commission has highly increased since 2008 (European Commission, 2016, p.24).

e) Missing answer.

f) *Changes over 2005-2016*

In 2015, the Agency for Structural Funds of the European Union (ASFEU) was transformed into the Research Agency.

The National Reform Programme (NRP) from 2015 aims to merge the main funding agencies into one agency. The reason is the high amount of different funding agencies compared to the relatively low amount of national R&D funding (European Commission, 2016, p. 18).

References:

European Commission (2016), Rio Country Report 2015: Slovak Republic, JRC Science for Policy Report EUR 27860 EN, Available at: <https://rio.jrc.ec.europa.eu/en/country-analysis/Slovakia/country-report> (accessed 08 March 2017).

<p>Q.1.3. Do performance contracts determine funding of a HEIs?</p>	<p>a to f) Performance contracts are not in place.</p>
<p><i>Institutional block funds can be partly or wholly distributed based on performance. (Performance contracts define goals agreed between ministry/agency and HEIs/PRIs and link it to future block funding of HEIs and PRIs.)</i></p>	<p>g) University funding is partly performance-based. It is based on number of publications, citations, research grants, and joint projects with industry.</p>
<p>b) What is the share of HEI budget subject to performance contract?</p>	<p>h) Until 2001, HEIs in Slovakia were state organisations whose funding was provided directly from the state budget of the Slovak Republic (SR). This system did not take into account any outputs of the universities and it was based on the expenditure of the previous year. Such a setting did not lead to any improvement in the results of the universities or the need to save costs. Therefore in 2000, the reform programme “Development of Higher Education in Slovakia for the 21st Century” was presented, which also addressed the issue of university funding. The goal was to increase autonomy of HEIs, increase competitive funding elements and accountability of universities. The current funding system for HEIs is based Law Act no. 131/2002 Coll. on the Higher Education, which allocates funding based on the pre-defined criteria, including the number of publications, citations, research grants, and joint projects with industry.</p>
<p>c) Do performance contracts include quantitative indicators for monitoring and evaluation?</p>	<p>In 2017 (Act No. 243/2017 Coll. on a Public Research Institutions), the institutes of the Slovak Academy of Sciences (SAS) were re-structured, allowing them to use funds a variety of References. They are public non-profit organizations. They are legally entitled to carry out business activities, such as start-ups or spin-offs, and use the funds raised from entrepreneurial activities to further R&D progress.</p>
<p>d) What are the main indicators used in performance contracts? Which, if any, performance aside from research and education is set out in performance contracts?</p>	
<p>e) Do HEIs participate in the formulation of main priorities and criteria used in performance contracts?</p>	
<p>f) Do the same priorities and criteria set in performance contracts apply to all HEIs?</p>	
<p>g) Are any other mechanisms in place to allocate funding to HEIs and PRIs?</p>	
<p>h) From 2005-16, were any changes made to funding of HEIs and PRIs?</p>	
<p><i>(In case performance contracts are in place that bind funding of PRIs, please provide information about them.)</i></p>	
<p><i>References:</i></p>	
<p>EC/OECD STI Policy Survey 2016 for Slovak Republic. Responses B13 and C6.</p>	
<p>Q.1.4. Who decides on the following key evaluation criteria of HEIs and PRIs?</p> <p>Who is responsible for setting criteria to use when evaluating performance of a) HEIs? Who is responsible for b) evaluating and c) monitoring HEIs' performance?</p>	<p>a to c) The Accreditation Commission (advisory body of the Government of the Slovak Republic) defines evaluation criteria and are approved by the MESRS (in accordance with the Act no. 131/2002 Coll.). Universities participate in the process of the formulation of evaluation criteria.</p>
<p>Who is responsible for setting criteria to use when evaluating performance of d) PRIs? Who is responsible for e) evaluating and f) monitoring PRIs' performance?</p>	<p>The Slovak Republic has implemented monitoring and review mechanisms for research performance in HEIs which are based on output indicators (EC/OECD STI Policy Survey 2016, responses B13 and C6).</p>
<p>h) From 2005-16, was any institution created for evaluating HEIs and PRIs or were any changes made to criteria applied for evaluations of HEIs and PRIs?</p>	<p>Since 2006, MESRS publishes an annual report on R&D that lists output indicators. However, the report does not include ex-post evaluation tools and impact analysis and there is no defined evaluation framework (EC/OECD STI Policy Survey 2016, response B12).</p>
	<p>d to f) The Slovak Academy of Sciences (SAS) evaluates its institutions independently since 1992 (European Commission, 2016, p.20).</p>
	<p>h) No major changes made.</p>
<p><i>References:</i> Accreditation Commission of the Slovak Republic (2016) Home, webpage, Available at: http://www.akredkom.sk/en/ (accessed: 03.02.2017). EC/OECD STI Policy Survey 2016 for Slovak Republic. Responses B12, B13 and C6. European Commission (2016), Rio Country Report 2015: Slovak Republic, JRC Science for Policy Report EUR 27860 EN, Available at: https://rio.jrc.ec.europa.eu/en/country-analysis/Slovakia/country-report (accessed 08 March 2017).</p>	

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?

MESRS established output indicators for monitoring performance of HEIs and PRIs in 2006.

In 2011, the Slovak Government Council for Science, Technology and Innovations (Rada vlády SR pre vedu, techniku a inovácie, SGCSTI) was established as the top government body for research and innovation.

In 2013, the Innovation Strategy for Smart Specialisation (RIS3) was introduced that includes measures to strengthen policy coordination in order to overcome fragmentation of governance (European Commission, 2016, p.7).

In 2014, the EU Operational Programme Research and Innovation (OPRI) was approved by the Slovakian government. It is the major funding source for R&D in the Slovak Republic for the period 2014-2020

In 2015, ASFEU was transformed into the Research Agency. It is envisaged that research funding agencies will be merged into one agency, the Research Agency.

References:

European Commission (2016), Rio Country Report 2015: Slovak Republic, JRC Science for Policy Report EUR 27860 EN, Available at: <https://rio.jrc.ec.europa.eu/en/country-analysis/Slovakia/country-report> (accessed 08 March 2017).

Topic 2: Policy co-ordination mechanisms

Table 2. Questions on research and innovation councils

Question	Response
<p>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?</p> <ul style="list-style-type: none"> – 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 cross-ministry preparation of budgetary allocations)? <p>b) What is the name of the main research and/or innovation Council/Committee?</p> <p>c) Are there any other research Councils/Committees?</p>	<p>a and b) The Slovak Government Council for Research, Development and Innovation (Rada vlády SR pre vedu, techniku a inovácie, SGCSTI) is the main research and innovation council of the Slovak Republic.</p> <p>c) The Parliamentary Committee of the National Council for Education, Science, Youth and Sport (NCSR) is a body which prepares opinions and recommendations for the NCSR.</p> <p>The Accreditation Commission is an advisory body of the Government of the Slovak Republic. It defines evaluation criteria for HEIs and are approved by the MESRS.</p>
<p>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?</p>	<p>SGCSTI coordinates STI policies between different ministries as well as the SAS (European Commission, 2016, p.14). The Council also prepares national strategies for STI. The most important strategic document for STI policies is the Smart Specialisation Strategy, which was introduced by SGCSTI in 2013 (European Commission, 2016, P.23). Further, the Standing Committee of SGCSTI is responsible for the monitoring of outputs, results and impacts of policy measures under the Smart Specialisation Strategy. However, the evaluation of these indicators is operated by the Analytical Department of the Government Office (European Commission, 2016, p.22).</p>
<p><i>References:</i> European Commission (2016), Rio Country Report 2015: Slovak Republic, JRC Science for Policy Report EUR 27860 EN, p. 14, Available at: https://rio.jrc.ec.europa.eu/en/country-analysis/Slovakia/country-report (accessed 08 March 2017).</p>	
<p>Q.2.3. With reference to Q.2.1, who formally participates in the Council? a) Head of State, b) ministers, c) government officials (civil servants and other representatives of ministries, agencies and implementing bodies), d) funding agency representatives, e) local and regional government representatives, f) HEI representatives, g) PRI representatives, h) private sector, i) civil society, and/or j) foreign experts</p>	<p>a to j) The Council has 23 members. Permanent members are: A representative of the Government Office of the Slovak Deputy Prime Minister for Investments and Informatisation; the Minister of Education, Science, Research and Sport; the Minister of Economy; the Minister of Finance; the Minister of Agriculture and Rural Development; the Minister of Health; the Minister of Environment; the Minister of Labour, Social Affairs and Family; the Ministry of Foreign Affairs and European Affairs; a representative of the Nuclear Regulatory Authority of the Slovak Republic; representatives of public research organisations and universities (Slovak Academy of Sciences, Slovak Rector's Conference, Council of Higher Education Institutions, Research and Development Support Agency, Association of Research and Technology Universities, National Agricultural and Food Center), representatives of associations of private non-profit research organisations (Research Institute of Welding - Industrial Institute of Slovakia), representatives from civil society (Union of Slovak Science and Technology Societies; Union of Industrial, Research and Development Organizations; Union of Employers') and representatives from industry (Association of Employers' Associations of the Slovak Republic).</p>

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.

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?

a) The SGCSTI does not have its own staff. Until 2016, the function of the SGCSTI's Secretariat was fulfilled by the Department of Science and Technology of the Ministry of Education, Youth and Sports. Since 2016, the office of the Vice-President of the Government of the Slovak Republic for Investment and Informatisation serves as the Secretariat of the SGCSTI. Membership in SGCSTI is honorary.

b) The SGCSTI does not have its own budget. It is financed by the Ministry of Education, Science, Research and Sport and the Office of the Deputy Prime Minister of the Slovak Republic for Investment and Informatisation, which also provides technical support for the SGCSTI.

c) SGCSTI was established in 2011. In 2013, it held its first meeting to develop the Research and Innovation Strategy for Smart Specialisation.

Table 3. Questions on national STI strategies

Question	Response
<p>Q.2.5. a) Is there a national non-sectoral STI strategy or plan?</p> <p>b) What is the name of the main national STI strategy or plan?</p>	<p>a and b) The Research and Innovation Strategy for Smart Specialisation (RIS3) is the main STI strategy in the Slovak Republic. RIS3 was introduced in 2013 by the SGCSTI. RIS3 is the main strategic plan for STI policies for the period 2014-2020 and the first policy document integrating research and innovation policies in the Slovak Republic.</p>
<p>Q.2.6. Does the national STI strategy or plan address any of the following priorities?</p> <p>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?</p> <ul style="list-style-type: none"> - 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) <p>b) Specific scientific disciplines and technologies (e.g. ICT; nanotechnologies; biotechnology) - Which of the following scientific research, technologies and economic fields are addressed?</p> <ul style="list-style-type: none"> - 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) <p>c) Specific regions (e.g. smart specialisation strategies)</p> <p>d) Supranational or transnational objectives set by transnational institutions (for instance related to European Horizon 2020)</p> <p>e) Quantitative targets for monitoring and evaluation (e.g. setting as targets a certain level of R&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) RIS3 defines societal challenges that Slovakia aims to solve via international co-operation within the European Research Area (ERA). These challenges include (without order of preference) the digital transformation of the economy, demographic change, youth unemployment, inclusive society, sustainable energy and environment</p> <p>b) RIS3 aims to support prospective sectors of economic specialisation and related research themes. These include (without order of preference): 1) Automotive and mechanical engineering industries; 2) consumer electronics and electrical equipment; 3) information and communication technologies and services; and 4) production and processing of iron and steel. Furthermore, 'prospective areas of specialisation' are listed including a) automation, robotics and digital technology; b) processing and increasing the value of light metals and their alloys; c) production and processing of plastics; d) creative industry; and e) increasing the value of domestic raw material base.</p> <p>c) RIS3 does address specific regional clusters via its Slovak Technology Leadership Platforms. The Platforms bring together business with HEIs and PRIs to strengthen (a) the technological and research capacities of enterprises, (b) provide better access to existing research infrastructures in the public sector, (c) increase the research potential of top Slovak science teams, and (d) support economic specialisation of the Slovak Republic in foreign trade.</p> <p>d) RIS3 also aims for increased international co-operation in STI and improved participation in the European Horizon 2020 programme.</p> <p>e) Missing answer.</p> <p>f) Missing answer.</p>
<p>Q.2.7. What reforms to policy co-ordination regarding STI strategies and plans have had particular impact on public research policy?</p>	<p>SGCSTI was established in 2011; the Research and Innovation Strategy for Smart Specialisation (RIS3) was introduced in 2013</p>

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

Question	Response
<p>Q.2.8. Does inter-agency joint programming contribute to the co-ordination of HEI and PRI policy?</p> <p><i>(Inter-agency joint programming refers to formal arrangements that result in joint action by implementing agencies, such as e.g. sectoral funding programmes or other joint policy instrument initiatives between funding agencies.)</i></p>	<p>No, inter-agency programming is not in place. There is no formally appointed body to coordinate between research agencies.</p>
<p>Q.2.9. a) Is co-ordination within the mandate of agencies?</p> <p>b) From 2005-16, were any changes made to the mandates of agencies tasked with regards to inter-agency programming? Were new agencies created with the task to coordinate programming during the time period?</p>	<p>a) There is no official co-ordination between the different research agencies (APVV, VA, SIEA and Ministry of Education, Science, Research and Sport of the Slovak Republic - State Research and Development Programs, Incentives for R&D). The individual activities of the agencies must align with the priorities of the RIS3 strategy.</p> <p>b) No major changes made.</p>
<p>Q.2.10. What reforms of the institutional context have had impacts on public research policy?</p>	<p>In 2005, the organisation of public research policy was fundamentally changed with the Law Act no.172/2005 Coll. on the Organization of State Support for Research and Development. The Law established the Ministry of Education, Science, Research and Sport and the Agency for the Support of Research and Development (APVV). The Agency for the Support of Research and Development was Slovakia's funding agency.</p> <p>In 2015, The EU Structural Funds Agency (ASFEU) was established. It is in charge of European funds for research and innovation.</p> <p>Since 2007, the Slovak Innovation and Energy Agency (SIEA) has been carrying out support for innovation in accordance with the RIS3 Strategy of the Slovak Republic.</p>

Topic 3: Stakeholders consultation and institutional autonomy

Table 5. Questions on stakeholder consultation

Question	Response
<p>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)</p> <ul style="list-style-type: none"> – Private Sector – Civil society (citizens/ NGOs/ foundations) – HEIs/PRIIs and/or their associations <p>b) Do stakeholders participate as formal members in council/governing boards of HEIs? (i.e. Formal membership as provided by statutes of Council)</p> <ul style="list-style-type: none"> – Private Sector – Civil society (citizens/ NGOs/ foundations) 	<p>a) Members of the research and innovation council SGCSTI include representatives from industry (Association of Employers' Associations as represented by the President of the large enterprise Matador Holding and the Employers' Union as represented by the Vice President of the large enterprise U.S Steel Košice), and the Association of Industrial Research and Development Organizations as represented by the Director General of the Electrotechnical Research and Design Institute. The Council also includes representatives from non-profit research institutions, including a representative of the Welding Research Institute - Industrial Institute of the Slovak Republic, and the State Agricultural and Food Research Institution are represented by the Director General of the National Agricultural and Food Center.</p> <p>b) Members of the governing board of the Slovak Technical University include representatives from the business sector, e.g. a representative of the Building Industry Union, and a representative of First Welding, a private non-profit research institute. Member also include representatives from foreign business from foreign universities.</p> <p>Members of the governing board of the Comenius University in Bratislava include the Chairman of the Bratislava Self-Governing Region, a representative of the Ministry of Education, Science, Research and Sport, and representatives of business entities including the large enterprises ESET and Slovnaft.</p> <p>Members of the governing board of the Alexander Dubček University of Trenčín include the Chairman of the Trenčín Self-governing Region, the President of the Engineering Industry Association, and representatives from small- and medium sized enterprises.</p>
<p>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)?</p> <p>c) From 2005-16, were any reforms made to widen inclusion of stakeholders and/or to improve consultations, including online platforms?</p>	<p>a and b) On-line consultation platforms are in place such as e.g. www.slov-lex.sk. The portal collects comments on legislation submitted to the National Council of the Slovak Republic.</p> <p>c) The creation of the online portal www.slov-lex.sk.</p>
<p>Q.3.3. Which reforms to consultation processes have proven particularly important?</p>	<p>A step towards widening stakeholder engagement was the creation of the online portal www.slov-lex.sk.</p>

Table 6. Questions on autonomy of universities and PRIs

Question	Response
<p>Q.3.4. Who decides about allocations of institutional block funding for teaching, research and innovation activities at a) HEIs and b) PRIs?</p> <p><i>(National/regional level: If HEIs face national constraints on using block funds, i.e. funds cannot be moved between categories such as teaching, research, infrastructure, operational costs, etc. This option also applies if the ministry pre-allocates budgets for universities to cost items, and HEIs are unable to distribute their funds between these.</i></p> <p><i>Institutions themselves: If HEIs are entirely free to use their block grants.)</i></p> <p>References:</p> <p>Data on institutional autonomy is based on a survey conducted by the European University Association between 2010 and 2011 across 26 European countries. The answers were provided by Secretaries General of national rectors' conferences and can be found in the report by the European University Association (Estermann et al., 2015).</p> <p>Estermann, T., Nokkala, T., and Steinle, M. (2015). University Autonomy in Europe II The Scorecard. Brussels: European University Association. Retrieved from http://www.eua.be/Libraries/publications/University_Autonomy_in_Europe_II_-_The_Scorecard.pdf?sfvrsn=2, accessed 19.09.2016.</p> <p>European Commission (2016), Rio Country Report 2015: Slovak Republic, JRC Science for Policy Report EUR 27860 EN, p. 8, Available at: https://rio.jrc.ec.europa.eu/en/country-analysis/Slovakia/country-report (accessed 08 March 2017).</p> <p>European University Association (2016). University Autonomy in Europe (Webpage). Retrieved from http://www.university-autonomy.eu/, accessed 19.09.2016.</p>	<p>a) Institutional block funding for HEIs is allocated by MESRS. HEIs cannot move funds between pre-defined budget items.</p> <p>b) SAS negotiates its budget with the Ministry of Finance and allocates itself funding to research and innovation activities of its institutes.</p>
<p>Q.3.5. Who decides about recruitment of academic staff at a) HEIs and b) PRIs?</p> <p><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></p> <p><i>Institutions themselves: If HEIs are free to hire academic staff. This option also applies to cases where laws or guidelines require the institutions to publish open positions or the composition of the selection committees which are not a constraint on the hiring decision itself.)</i></p> <p>Who decides about salaries of academic staff at c) HEIs and d) PRIs?</p> <p><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></p> <p><i>Institutions themselves: If HEIs are free to set salaries, except minimum wage.)</i></p> <p>Who decides about reassignments and promotions of academic staff at e) HEIs and f) PRIs?</p> <p><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></p> <p><i>Institutions themselves: If HEIs can promote and reassign staff freely.)</i></p>	<p>a and b) HEIs and PRIs decide independently about recruitment and promotions of academic staff.</p> <p>c and d) Salaries of academic staff in HEIs and PRIs are regulated at the national level. Academic staff of PRIs and HEIs constitute for civil servants, for which salary levels are regulated at the national level (European Commission, 2016, p.52).</p> <p>e and f) HEIs and PRIs decide independently about reassignment of academic staff.</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.)

References:

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?

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

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

A and b) HEIs and PRIs set their own revenue schemes.

c) Missing answer.

In 2002, institutional autonomy of universities was established by Act No. 131/2002 Coll. on Higher Education Institutions.

In 2017 (Act No. 243/2017 Coll. on a Public Research Institutions), the institutes of the Slovak Academy of Sciences (SAS) were re-structured, allowing them to use funds a variety of References. They are public non-profit organizations. They are legally entitled to carry out business activities, such as start-ups or spin-offs, and use the funds raised from entrepreneurial activities to further R&D progress.