

## Survey response for Spain

### OECD database of governance of public research policy

This document contains detailed responses for Spain 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

AEI	Agencia Estatal de Investigación State Agency for Research
ANECA	Agencia Nacional de Evaluación de la Calidad y Acreditación Quality Assurance and Accreditation Agency
CACTI	Consejo Asesor para la Ciencia, la Tecnología y la Innovación Advisory Board for Science, Technology and Innovation
CNEAI	Comisión Nacional de Evaluación de la Actividad Investigadora National Evaluation Commission of Research Activity
CPCTI	Consejo Política Científica, Tecnológica y de Innovación Council for Scientific, Technological and Innovation Policies
CSIC	Consejo Superior de Investigaciones Científicas National Council for Scientific Research
EECTI	Estrategia Española de Ciencia y Tecnología y de Innovación Spanish Strategy for Science, Technology and Innovation
E2I	Estrategia Estatal de Innovación State Innovation Strategy
ENCYT	Estrategia Nacional de Ciencia y Tecnología National Strategy for Science and Technology
EU	European Union
HEIs	Higher Education Institutions
LOMLOU	Organic Law on Universities 4/2007
LOU	Organic Law on Universities 6/2001
MINECO	Ministerio de Economía, Industria y Competitividad Ministry of Economy, Industry and Competitiveness
PRIs	Public Research Institutes
R&D	Research and Development
RIS-3	Research Innovation Strategies for Smart Specialisation
SEIDI	Secretaría de Estado de Investigación, Desarrollo e Innovación Secretary of State for Research, Development and Innovation
STI	Science, Technology and Innovation

## Survey of public research policy

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

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

Question	Response
<p><b>Q.1.1. Who mainly decides on the scientific, sectoral and/or thematic priorities of budget allocations for a) HEIs and b) PRIs?</b></p> <p>c) Which are the main mechanisms in place to decide on <b>scientific, sectoral and/or thematic priorities of national importance</b>, e.g. digital transition, sustainability? Please describe who is involved and who decides on the priorities (e.g., government, research and innovation councils, sector-specific platforms including industry and science, etc.).</p> <p><i>(This question does not refer to who sets overall science, technology and industry priorities. This is usually done by parliaments and government. The question refers to decisions taken after budgets to different ministries/agencies have been approved. Scientific priorities refer to scientific disciplines, e.g. biotechnology; sectoral priorities refer to industries, e.g. pharmaceuticals; and thematic priorities refer to broader social themes, e.g. digital transition, sustainability, etc.)</i></p> <p>d) From 2005-16, were any significant changes introduced as to how decisions on scientific, sectoral and/or thematic orientation of major programmes are taken (e.g. establishment of agencies that decide on content of programmes)?</p>	<p>a and b) HEIs and PRIs decide themselves. Scientific, sectoral and/or thematic priorities as set out in national STI strategies (State Plans) do not bind their funding.</p> <p>c) The Secretary of State for Research and Innovation (recently under the Ministry of Economy, Industry and Competitiveness, since 2018 its own ministry) agrees and approve jointly with Regional governments the Spanish Strategy for STI. These priorities are implemented using specific instruments; the National Government has the State Plan for STI (every 4 years) to define and develop specific S&amp;T priorities for competitive funding.</p> <p>Until 2018, the Ministry of Economy, Industry and Competitiveness made STI policy but there is also a multilevel governance structure that involves Regional Governments and the research and innovation council that coordinates national and regional level (Consejo de Política Científica, Tecnológica e Innovación – CPCTI). In 2018, the new Ministry for Science and Innovation was established.</p> <p>The council approves the “Spanish Strategy for STI” (2013-2020). Within the national government, policy decision with regard to STI are taken by the Cabinet (or Council of Ministers), but there is a preparatory Committee (Comisión Delegada del Gobierno para Política CTI (CDPCTI) to guarantee the coordination with other Ministries with competencies in STI issues.</p> <p>For specific domains such as the digital agenda, energy or sustainability, sectoral Ministries in charge of the policy domain submit policy proposals to the Council of Ministries for approval.</p> <p>d) No major reforms made.</p>
<p><b>Q.1.2. Who allocates institutional block funding to a) HEIs and b) PRIs?</b></p> <p><i>(Institutional block funds (or to general university funds) support institutions and are usually transferred directly from the government budget.)</i></p> <p>c) Who allocates <b>project-based funding</b> of research and/or innovation for HEIs and PRIs?</p> <p><i>(Project-based funding provides support for research and innovation activities on the basis of competitive bids.)</i></p> <p>d) Is there a transnational body that provides funding to HEIs and PRIs (e.g. the European Research Council)?</p> <p>e) What is the importance of such funding relative to national funding support?</p> <p>f) From 2005-16, were any changes made to way programmes are developed and funding is allocated to HEIs and PRIs (e.g. merger of agencies, devolution of programme management from ministries to agencies)?</p>	<p>a) The Autonomous Communities allocate block funding to public universities.</p> <p>b) The Ministry of Economy and Competitiveness (MINECO) is in charge of institutional block funding for PRIs.</p> <p>c) The State Agency for Research (AEI) is the main source of project-based funding for HEIs and PRIs. The AEI was created in 2015. It is in charge of funding allocations to research programmes (i.e. competitive funding). The establishment of AEI aimed at streamlining and standardising the process of competitive funding allocations and related administrative procedures. The agency is affiliated with MINECO.</p> <p>ISCIII (Institute for Health Carlos III) and CDTI (Centre for Industrial Technological Development) also provide research and innovation grants.</p> <p>d) The European Research Council also provides funding for public research in Spain.</p> <p>e) In 2014, EU funding represented around 20% of investment in competitive research in HEIs and 7% of public R&amp;D investment.</p> <p>f) Establishment of the funding agency AEI.</p>

*References:*

Chamber of Deputies (2001), Organic Law on Universities, p.2, [www.aneca.es/eng/content/download/11821/152194/file/lou\\_eng.pdf](http://www.aneca.es/eng/content/download/11821/152194/file/lou_eng.pdf) (accessed on 8 November 2016).

EC/OECD STI Policy Survey 2016 for Spain, Response C5.

Government of Spain (2015), "Real Decreto 1067/2015, de 27 de noviembre, por el que se crea la Agencia Estatal de Investigación y se aprueba su Estatuto", Boletín Oficial del Estado Núm. 285 Sábado 28 de noviembre de 2015, [www.boe.es/boe/dias/2015/11/28/pdfs/BOE-A-2015-12889.pdf](http://www.boe.es/boe/dias/2015/11/28/pdfs/BOE-A-2015-12889.pdf) (accessed on 8 November 2016).

**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.)*

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

Who is responsible for setting criteria to use when evaluating performance of a) HEIs? Who is responsible for b) evaluating and c) monitoring HEIs' performance?

Who is responsible for setting criteria to use when evaluating performance of d) PRIs? Who is responsible for e) evaluating and f) monitoring PRIs' performance?

h) From 2005-16, was any institution created for evaluating HEIs and PRIs or were any changes made to criteria applied for evaluations of HEIs and PRIs?

a to f) Performance contracts are not in place.

g) Some PRIs usually have "Action Plans". They include conditional funding based on pre-defined targets, notably revenues from research contract agreements, number of publication, patents, etc. Specific funding can also be related to internationalisation.

h) The institutional arrangements for funding HEI and PRIs have been stable for the last ten years, despite the effect of the fiscal consolidation and cuts to public investment after 2010.

a to c) There are no performance evaluation reviews of HEIs as such. Some regions have contract agreements between Regional Governments and HEIs that include performance elements and indicators.

HEIs themselves evaluate and monitor their performance. The Quality Assurance and Accreditation Agency (ANECA) (2001) and regional quality assessment agencies certify professors and degrees and do not evaluate or assess performance of institutions. ANECA is responsible of a) study programme accreditation and b) accreditation of academic staff for hiring and promotions. Regional evaluation agencies (there are on 10 regional agencies out of 17 regions) undertake the same activities as ANECA, but for their regional HEIs.

d to f) Evaluations of PRIs are common. PRIs themselves set up the main criteria for evaluating specific R&D units or activities and to decide the way in which the potential evaluations are implemented.

h) No major reforms made.

**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?

In 2015, the Agencia Estatal de Investigación (AEI) (Research Funding Agency) was created to manage competitive funding calls.

## 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> EC/OECD STI Policy Survey 2016 for Spain. Response B4, B7.</p>	<p>a and b) The Council for Scientific, Technological and Innovation Policies (Consejo Política Científica, Tecnológica y de Innovación, CPCTI) is the main research and innovation council in Spain.</p> <p>CPCTI was created in 2012 by the Science, Technology and Innovation Act 14/2011. It has an advisory body, the Advisory Board for Science, Technology and Innovation (Consejo Asesor para la Ciencia, la Tecnología y la Innovación, CACTI) created by the same Act.</p> <p>c) Missing answer.</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 tasks of the CPCTI explicitly include advice, policy coordination between the national government and the Autonomous Communities and STI strategic agenda setting. CPCTI formulates proposals for national STI strategies in coordination with MINECO, promotes joint actions between the national and regional administrations, informs and reports to national and regional governments. Its advisory body proposes modifications to the Spanish national STI Strategy and advises the Government on RTDI issues.</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) The CPCTI is composed of 13 Ministers from the State and Regional Ministers of Higher Education and Research and Innovation from the 17 Autonomous Governments. The ministers from the State included are: the Minister of Economy and Competitiveness (President) and the Ministers of: Defence, Education, Culture and Sport, Foreign Affairs and Cooperation, Treasury and Public Administration, Internal Affairs, Public Works, Industry, Energy and Tourism, Agriculture, Food and Environmental Affairs and Health, Social Services and Equality. In order to improve effectiveness the Council has created an Executive Commission at the Director Generals' level. Its advisory board CACTI has 15 members (among which two-thirds are from the research community). It has members from the academia (universities and PRIs), business sector representatives including the national confederation of Small and Medium Enterprises (SMEs), and representatives of trade unions.</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>The Council does not have its own budget. The Secretary of State of Research, Development and Innovation covers its operating costs.</p> <p>c) CPCTI was created in 2012. It replaced a similar body that existed under the previous legal arrangements.</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>The main STI strategy is the Spanish Strategy for Science, Technology and Innovation 2013-2020 (Estrategia Española de Ciencia y Tecnología y de Innovación 2013-2020, EECTI).</p> <p>The strategy follows the Science, Technology and Innovation Act (Law 14/2011 dated June 1st 2011, entered into force in December 2011). There is also an implementation plan, the National (State) Plan for Scientific and Technological Research and Innovation 2017-2020 (Plan Estatal de Investigación Científica y Técnica y de Innovación 2017 - 2020). Annual programmes and grants are based on these plans.</p>
<p><i>References:</i> EC/OECD STI Policy Survey 2016 for Spain. Response B1.</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) The National (State) Plan for Scientific and Technological Research and Innovation 2017-2020 has the following priorities:</p> <ul style="list-style-type: none"> <li>• Health, demographic change and social welfare;</li> <li>• Food safety and quality; sustainable agriculture and sustainability of natural reReferences; marine and maritime research;</li> <li>• Safe, efficient and clean energy;</li> <li>• Sustainable, smart and integrated transport;</li> <li>• Climate change and efficient action in the use of reReferences and raw materials;</li> <li>• Social changes and innovations;</li> <li>• Digital society and economy;</li> <li>• Safety, society, protection and defence.</li> </ul> <p>b) The Plan also targets key technologies and scientific disciplines, including 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. big data, digital platforms, data privacy), and nanotechnology and advanced manufacturing (e.g. robotics, autonomous systems).</p> <p>c) A priority of the National (State) Plan for Scientific and Technological Research and Innovation 2017-2020 is “regional smart specialisation” with the development of specific strategies for each region (Autonomous Communities). They aim to create synergies between national RDI policies and regional smart specialization strategies at the scale of Autonomous Communities (regions), focusing on competitive advantages. This is also linked to the implementation of “smart cities” objective of the “social challenges” goals of the plan.</p> <p>d) The Spanish Strategy of Science, Technology and Innovation 2013-2020 includes supra-national objectives: It contains adapted targets based on the EU Horizon 2020 objectives, promotes alignment with the EU RIS-3 criteria for the Regional Smart Specialisation, and supports alignment with the RDI objectives of the EU for active participation in the development of the European Research Area.</p> <p><i>For responses to questions e and f see next page.</i></p>

**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?

*References:*

EC/OECD STI Policy Survey 2016 for Spain. Response A2, B1.

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

e) The Spanish Strategy of Science, Technology and Innovation 2013-2020 and the National (State) Plan for Scientific and Technological Research and Innovation 2017-2020 include quantitative targets for monitoring: Expenditures on R&D as a percentage of GDP (GERD), public/private investment ratio and foreign funded expenditures on R&D, the share of PhD graduates in a reference age group, the share of R&D workforce in the total active population, number of top publications, number of EU funded R&D projects, number of patents, and selected indicators on innovation in the private sector.

f) Changes over 2005-2016:

- National Strategy for Science and Technology (ENCYT) 2007-2015 and its implementation plan, the VI National Plan for Research, Development and Innovation 2008-2011, prorogued in 2012 until new plan was established by the Science, Technology and Innovation Act (Law 14/2011);
- The State Innovation Strategy (E2I) 2011-2015;
- The Spanish Strategy of Science, Technology and Innovation 2013-2020 established by the Science, Technology and Innovation Act (Law 14/2011) and its implementation plans, the National (State) Plan for Scientific and Technological Research and Innovation for the period 2013-2016 and a new one for the period 2017-2020;
- Autonomous Communities have developed their Regional Smart Specialisation RIS-3 Strategies for 2014-2020.

The research and innovation council CPCTI was created in 2012 by the Science, Technology and Innovation Act 14/2011. The CPCTI is important for the coordination of national and regional innovation strategies.

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

Question	Response
<p><b>Q.2.8.</b> Does <b>inter-agency joint programming</b> contribute to the co-ordination of HEI and PRI policy?</p> <p><i>(Inter-agency joint programming refers to formal arrangements that result in joint action by implementing agencies, such as e.g. sectoral funding programmes or other joint policy instrument initiatives between funding agencies.)</i></p>	<p>Although the new National Plan RDI (2017-2022) envisages the possibility for joint programming between national and regional funding agencies, there is no joint-programming in place.</p>
<p><b>Q.2.9.</b> a) Is co-ordination within the <b>mandate of agencies</b>?</p> <p>b) From 2005-16, were any changes made to the mandates of agencies tasked with regards to inter-agency programming? Were new agencies created with the task to coordinate programming during the time period?</p>	<p>a) Agencies, such as e.g. AEI are not responsible for policy co-ordination.</p> <p>b) The funding agency AEI was established in 2015.</p>
<p><i>References:</i> EC/OECD STI Policy Survey 2016 for Spain. Response B6, B7.</p>	
<p><b>Q.2.10.</b> What <b>reforms</b> of the institutional context have had impacts on public research policy?</p>	<p>The creation of the council CPCTI in 2012 and the creation of the funding agency AEI in 2015 but there is room for inter-agency coordination.</p>
<p><i>References:</i> EC/OECD STI Policy Survey 2016 for Spain. Response B6, B7.</p>	



### Topic 3: Stakeholders consultation and institutional autonomy

**Table 5. Questions on stakeholder consultation**

Question	Response
<p><b>Q.3.1. a)</b> Do the following stakeholders participate as formal members in <b>Research and Innovation Councils</b>? (i.e. 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> <li>- HEIs/PRI and/or their associations</li> </ul> <p>b) Do stakeholders participate as formal members in <b>council/governing boards of HEIs</b>? (i.e. 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>a) The research and innovation council (CPCTI) itself does not include stakeholders from outside government or funding agencies. The advisory body (CACTI) to the research and innovation council (CPCTI) is composed by representatives of business associations, scientists from the research community and trade unions.</p> <p>b) Representatives of the civil society and the business sector participate in governing boards of Spanish universities.</p>
<p><i>References:</i>            EC/OECD STI Policy Survey 2016 for Spain. Responses B7.            Chamber of Deputies (2001), Organic Law on Universities, art. 14 &amp; 15,  <a href="http://www.aneca.es/eng/content/download/11821/152194/file/lou_eng.pdf">www.aneca.es/eng/content/download/11821/152194/file/lou_eng.pdf</a> (accessed on 8 November 2016).</p>	
<p><b>Q.3.2. a)</b> Are there <b>online consultation</b> platforms in place to request inputs regarding HEI and PRI policy? b) 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 to b) Online consultation platforms are not in place.</p> <p>c) - The University 2015 Strategy EU2015 (2008) was the outcome of an open, participative process in coordination between administrations, the university community and social and economic agents;            - The creation of the research and innovation council in 2015;            - The development of the national STI strategy involved stakeholders and a public consultation in 2013;            - The development of the implementation plan of the national STI strategy (PNCTI 2017-2020) involved stakeholders and a public consultation.</p>
<p><b>Q.3.3.</b> Which <b>reforms</b> to consultation processes have proven particularly important?</p>	<p>No relevant changes made.</p>

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

Question	Response
<p><b>Q.3.4.</b> Who decides about <b>allocations of institutional block funding</b> for teaching, research and innovation activities at a) HEIs and b) PRIs?</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: Data on institutional autonomy is based on a survey conducted by the European University Association between 2010 and 2011 across 26 European countries. The answers were provided by Secretaries General of national rectors' conferences and can be found in the report by the European University Association (Estermann et al., 2015). Estermann, T., Nokkala, T., and 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. 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 and b) Universities and PRIs are free to allocate institutional block funding to activities without restrictions.</p> <p>The institutional block funding of HEIs and PRIs is allocated by university managers. However, as most block funding is used for personnel costs and competitive funds are managed by researchers themselves, the space of the HEI and PRI for discretionary allocations is very limited.</p>
<p><b>Q.3.5.</b> Who decides about <b>recruitment</b> 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 <b>salaries</b> 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 <b>reassignments and promotions</b> 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 about recruitment of academic staff.</p> <p>Hiring of temporary researcher for R&amp;D project development is mainly decided, despite some bureaucratic and red tape procedures, by the principal investigator.</p> <p>Hiring of researcher for permanent positions is done by university "ad hoc" committees in an open call process. The creation of the new permanent positions is then formally approved by the Government and the Ministry of Science and Innovation.</p> <p>c and d) Salaries of HEI and PRI staff are fixed at the national level due to their civil servant status.</p> <p>e and f) HEIs and PRIs decide about promotions and reassignments 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.)*

**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?

*References:*

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

a and b) HEIs and PRIs decide about their internal academic structures.

c and d) HEIs and PRIs are able to create both for-profit and non-for-profit legal entities.

The organizational structures of PRI are set up by PRI Governing Boards themselves. The promotion of new legal entities controlled by the PRI or the involvement in permanent partnerships with industry is approved by the Governing Boards, but in some circumstances it might require the approval from the Ministry.

a) HEIs receive 30% and researchers 70%.

b) PRIs receive 30% and researchers 70%.

c) See response to question 3.8.

*HEIs*

The reform of the Universities Act (Ley Orgánica 4/2007 de Universidades LOU / LOMLOU) strengthened the autonomy of universities regarding administrative, academic and financial issues, as well as on governance and recruitment. Regarding research, it improved the conditions for technology transfer and promoted the creation of spin-offs.

The University 2015 Strategy (EU2015) (2008-2015) updated the mission of universities (education, research, innovation and social impact).

The Law 14/2011, of 1st June, on Science, Technology and Innovation (2011) harmonised the promotion scheme of HEIs and PRIs in order to enhance the mobility of researchers among public research institutions and between public and private organisations.

*PRIs*

The Law 14/2011 of Science provided some limited autonomy to PRIs. However, the implementation of the budgetary and fiscal consolidation measures in the last years has produced the effect of significantly reducing the levels of institutional autonomy of PRIs.