

Survey response for Switzerland

OECD database of governance of public research policy

This document contains detailed responses for Switzerland 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

CTI	Commission for Technology and Innovation (became Innosuisse)
EAER	Federal Department of Economic Affairs, Education and Research Département fédéral de l'économie, de la formation et de la recherche Eidgenössisches Department für Wirtschaft, Bildung und Forschung
EDI	Federal Department of Internal Affairs Département fédéral de l'intérieur Eidgenössisches Departement des Innern
EPF	Swiss Federal Institute of Technology in Lausanne École polytechnique fédérale de Lausanne
ERI	Education, research and innovation
ETH	Swiss Federal Institute of Technology in Zürich Eidgenössische Technische Hochschule Zürich
FIT Act	Federal Act on the Federal Institutes of Technology Bundesgesetz über die Eidgenössischen Technischen Hochschulen Loi fédérale sur les écoles polytechniques fédérales
HEI	Higher Education Institution
Innosuisse	Swiss Innovation Agency (former Commission for Technology and Innovation)
PRI	Public Research Institute
SERI	State Secretariat for Education, Research and Innovation Secrétariat d'Etat à la formation, à la recherche et à l'innovation Staatssekretariat für Bildung, Forschung und Innovation
SNSF	Swiss National Science Foundation Fonds National Suisse de la Recherche Scientifique Schweizerischer Nationalfonds zur Förderung der Wissenschaftlichen Forschung
SSIC	Science and Innovation Council Conseil suisse de la science et de l'innovation Schweizerischer Wissenschafts- und Innovationsrat
SUK	Swiss University Conference Conférence suisse des hautes écoles Schweizer Universitätskonferenz

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>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>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 themselves decide about scientific, sectoral and/or thematic priorities of budget allocations while the Federal government decides about policies affecting PRIs and the Federal Institutes of Technology.</p> <p>Political responsibilities for research and higher education are divided between the central state (Confederation) and the regional authorities (the Cantons).</p> <p>The Cantons are responsible for funding of universities, whereas national laws regulate federal support to research (competitive funding which makes up approximately 10% of university revenues). In general, budget allocations are not decided according to overall thematic priorities by the government.</p> <p>The federal level is responsible for research funding and coordination of research activities as well as for the two Federal Institutes of Technology (FITs), i.e. the Swiss Federal Institute of Technology in Zürich (ETH) and the Swiss Federal Institute of Technology in Lausanne (EPF). In addition, the federal government supports PRI of national importance. At the federal level, responsibilities for research and higher education are concentrated at the Federal Department of Economic Affairs, Education and Research (EAER, formerly Federal Department of Economic Affairs) since 2013. Before 2013, the Federal Department of Internal Affairs (EDI) was responsible for universities and support to basic research, whereas the Federal Department of Economic Affairs was responsible for the universities of applied sciences and the support to applied research.</p> <p>The Federal Council establishes the strategic objectives for the ETH Domain at five-year intervals. These objectives are aligned with the Confederation's budget appropriation both in terms of timeframe and content. The Federal Council consults the ETH Board before establishing these strategic objectives. The strategic objectives of the Federal Council are overarching in nature rather than thematically focussed and give the ETH Domain large autonomy and freedom of action when it comes to the implementation of these objectives.</p> <p>c) In general, policy priorities for the Swiss government are defined in the strategic planning for 5-year legislation periods. The Federal Council decides on national strategies. The Swiss Science and Innovation Council advises the Federal Council on all questions relating to research and innovation policy. STI policy guidelines are incorporated into the dispatch on the promotion of education, research and innovation (ERI).</p>

The recent ERI dispatch for the legislation period 2015-2019 includes as encompassing strategies – among others – strategies on sustainable development or on digitalization. However, STI-policy in Switzerland, and research policy in particular, in general does not follow an overarching top-down priority setting process but is rather defined in a bottom-up process in which individual thematic actors contribute to the agenda-setting, even though the consideration of the aforementioned encompassing strategies are foreseen as a general guidelines. As a consequence, at the national level, there is no definition of thematic priorities of national importance for STI-policies.

Regarding PRIs, the research bodies (research funding institutions, Commission for Technology and Innovation (Innosuisse), higher education research centres) submit multi-year programmes or strategic plans providing information on their research and innovation policy plans and their medium-term priorities. The plans are acknowledged and endorsed by the Department of Economic Affairs, Education and Research. Allocation of the funding to PRIs occurs by the Federal Council within the scope of the dispatch on promotion of education, research and innovation. The dispatch and financial requests proposed by the Federal Council are adopted by parliament.

d) No major change made.

References:

Federal Council of Switzerland (1998), *University Law*, Available at:

[http://www2.zhlex.zh.ch/appl/zhlex_r.nsf/0/BABA48B27039C1B1C125774C003EA4D3/\\$file/415.11_15.3.98_69.pdf](http://www2.zhlex.zh.ch/appl/zhlex_r.nsf/0/BABA48B27039C1B1C125774C003EA4D3/$file/415.11_15.3.98_69.pdf) (Accessed 23 January 2016).

Federal Council of Switzerland (2015), *Federal Act on the Federal Institutes of Technology (FIT Act)*, website, Available at:

<https://www.admin.ch/opc/en/classified-compilation/19910256/201501010000/414.110.pdf> (Accessed 23 January 2017).

Public research institutions of national importance (FR): <https://www.sbfi.admin.ch/sbfi/fr/home/themes/la-recherche-et-innovation-en-suisse/instruments-d-encouragement/etablisements-de-recherche-dimportance-nationale.html>

Strategic Objectives of the Federal Council for the ETH Domain: <https://www.sbfi.admin.ch/sbfi/en/home/hs/higher-education/domain-of-the-federal-institutes-of-technology/strategische-ziele-des-bundesrates-fuer-den-eth-bereich.html>

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 and b) The Federal Council allocates institutional funding to the ETH domain while other HEIs receive their institutional funds from Cantons. In addition, the federal government supports PRI of national importance.

c) The national agency Swiss National Science Foundation (SNSF) allocates project-based funding for research, i.e. open calls. Innosuisse (former Commission for Technology and Innovation, CTI) allocates project-based funding for innovation.

d) In Switzerland, HEIs and PRIs are eligible for additional funding from the European Research Council. Some 70% of the R&D expenditures of the higher education sector are financed by the regular university budgets (federal state and the cantons), 10% by the Swiss National Science Foundation (mostly competitive project funding for basic and oriented research) and 20% by other (external) References (including private sector funding).

e) Missing answer.

f) Reorganisation of the Commission for Technology and Innovation (CTI) to become an institution under public law in 2018. This new agency is Innosuisse that has remit to support businesses even more closely in their innovation activities.

<p>Q.1.3. Do performance contracts determine funding of a) HEIs? <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>b) What is the share of HEI budget subject to performance contract?</p> <p>c) Do performance contracts include quantitative indicators for monitoring and evaluation?</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? <i>(In case performance contracts are in place that bind funding of PRIs, please provide information about them.)</i></p> <p><i>References:</i> <i>Federal Council of Switzerland (1998), University Law, Available at: http://www2.zhlex.zh.ch/app/zhlex_r.nsf/0/BABA48B27039C1B1C125774C003EA4D3/\$file/415.11_15.3.98_69.pdf (Accessed 23 January 2016).</i> <i>Federal Council of Switzerland (2015), Federal Act on the Federal Institutes of Technology (FIT Act), website, Available at: https://www.admin.ch/opc/en/classified-compilation/19910256/201501010000/414.110.pdf (Accessed 23 January 2017).</i></p>	<p>a to f) In Switzerland, performance agreements are not in place for funding of HEIs.</p> <p>g) University funding is based on performance measures and institutional evaluations, including peer-review by international experts since the 1990s. The Federal Act on University Funding (1999) introduced the requirement for university budgets to be allocated based on output and performance measures.</p> <p>Performance agreements exist between Ministry and research funding institutions as well as research centres of national importance which receive funding from the Confederation under the Federal Act on the Promotion of Research and Innovation (Art. 15). As the flexibility and autonomy of the institutions receive great emphasis, future funding is not directly linked to performance. Except for the above mentioned project funding, no further mechanisms to allocate funding are in place at the national level.</p> <p>h) No major changes made.</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>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>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>a) The Swiss University Conference sets criteria to use when evaluating performance of HEIs and PRIs while institutions themselves conduct evaluations and monitor their performance.</p> <p>Since 2006, national guidelines require all universities to conduct periodic internal evaluations (Swiss University Conference, 2006). These criteria are set by the Swiss University Conference (Schweizer Universitätskonferenz, SUK) (since 2016 Swiss Conference of Higher Education, Schweizer Hochschulkonferenz, SHK).</p> <p>b and c) HEIs themselves conduct the evaluations. Evaluations and performance monitoring was first introduced at the ETH in 1989, and the University of Zürich at the end of the 1990s.</p> <p>d to f) PRIs themselves conduct the evaluations</p> <p>h) Since 2006, national guidelines require all universities to conduct periodic internal evaluations (Swiss University Conference, 2006).</p>

References:

Swiss University Conference (2006), Richtlinien für die Qualitätssicherung an den schweizerischen universitären Hochschulen (Qualitätssicherungs-Richtlinien) vom 7. Dezember (German), Available at: <https://www.admin.ch/opc/de/official-compilation/2007/727.pdf> (Accessed 23 January 2017).

Swiss Science and Innovation Council (2013), Performance Measurement and Quality Assurance in Higher Education and Research, SSCI Report 3/2013, Available at: http://www.swir.ch/images/stories/pdf/en/SSTC_Document_3_2013_E_Performance_Measurement_web.pdf (Accessed 23 January 2017).

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?

Reorganisation of the funding agency CTI that became Innosuisse in 2018. The Innosuisse Act provides the legal basis for the Commission for Technology and Innovation CTI to become an institution under public law. Innosuisse's remit is to support businesses even more closely in their innovation activities.

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? Are there any other research Councils/Committees?</p> <p>c) Are there any other research Councils/Committees?</p> <p><i>References:</i> Schwaag, S., Wise, E., and Arnold, E. (2015), <i>National Research and Innovation Councils as an Instrument of Innovation Governance: Characteristics and Challenges</i>, <i>Vinnova Analysis VA 2015:07</i>, VINNOVA, Stockholm, Sweden.</p>	<p>a and b) The Science and Innovation Council (SSIC) is the main research and innovation council in Switzerland. The SSIC was established in 1965; it is the advisory body to the Swiss Federal Council for issues related to science, higher education, research and innovation policy (Schwaag, Wise, and Arnold, 2015, p. 24).</p> <p>c) No other research and innovation councils are in place.</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><i>References:</i> Schwaag, S., Wise, E., and Arnold, E. (2015), <i>National Research and Innovation Councils as an Instrument of Innovation Governance: Characteristics and Challenges</i>, <i>Vinnova Analysis VA 2015:07</i>, VINNOVA, Stockholm, Sweden.</p>	<p>a to e) The SSIC's tasks are to evaluate governmental programs for the promotion of research and innovation and to provide policy advice on research and innovation policy initiatives (Schwaag, Wise, and Arnold, 2015, p. 52).</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><i>References:</i> Schwaag, S., Wise, E., and Arnold, E. (2015), <i>National Research and Innovation Councils as an Instrument of Innovation Governance: Characteristics and Challenges</i>, <i>Vinnova Analysis VA 2015:07</i>, VINNOVA, Stockholm, Sweden.</p>	<p>a to j) The SSIC has 15 members, all from academia. Several members have an international background and are either foreigners or people with significant experience working abroad. The council meets five times a year and creates working groups to address specific topics that are proposed by the Swiss government. The members are appointed by the Swiss government (Schwaag, Wise, and Arnold, 2015, p. 52)</p>
<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.</p> <p>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?</p>	<p>a and b) The SSIC has a secretariat of 11 people and its own budget.</p> <p>c) Reorganisation of Council and Secretariat in 2008.</p>

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>References: https://www.sbf.admin.ch/sbf/de/home/das-sbf/bfi-2017-2020.html</p>	<p>a and b) The Education, Research and Innovation (ERI) dispatch (currently 2017-2020) is the main STI strategic document in Switzerland. It was passed in 2016 by the Federal Council.</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>STI-policy in Switzerland in general does not follow an overarching top-down priority setting process but is rather defined in a bottom-up process in which individual thematic actors contribute to the agenda-setting. As a consequence, at the national level, there is no definition of thematic priorities, specific fields or regions for STI-policies.</p> <p>The Federal Council, however, introduced Education, Research and Innovation (ERI) guidelines that provide general guideline for the budgetary period 2017-2020. The ERI guidelines state that Switzerland considers education, research and innovation to be a top priority. With respect to HEI (ETH Zürich and EPF Lausanne) the goals are: first-class teaching, top position in international research, cooperation with the industry, bilateral international cooperation, attractive and family-friendly working conditions and gender equality, cooperation with other universities, performance-oriented allocation of funds, recognition in society and enforcement of dialogue with society. Regarding the ten cantonal universities, it is planned to improve the number of students relative to the number of scientific staff and the education on doctoral level. The ERI strategy is constantly adjust after each four-year legislation period.</p> <p>a) The STI challenges demographic change, digital economy, green and sustainable growth, mobility, and smart cities are addressed in various specific plans, there is no overall prioritization.</p> <p>b) The research fields and technologies agricultural technologies, energy and energy technologies, health and life sciences, ICT, and nanotechnology and advanced manufacturing are addressed in various specific plans, there is no overall prioritization.</p> <p>c) There are no region-specific objectives set.</p> <p>d) The ERI guidelines address supranational (European) objectives, including increases in investment in strategically important research infrastructures at the international level; international cooperation and networking with European and non-European countries.</p> <p>e) The ERI guidelines does not include quantitative targets.</p> <p>f) The current ERI guidelines were passed in 2017.</p>

References:

SERI (2017), *Promotion of Education, Research and Innovation for 2013-2016*, website, Available at: <https://www.sbf.admin.ch/sbfi/en/home/the-state-secretariat-for-education--research-and-innovation/promotion-of-education--research-and-innovation-for-2013-2016.html> (Accessed 23 January 2017).

<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>To speed up the technology transfer and application the Swiss National Science Foundation and the Commission for Technology and Innovation (that became Innosuisse) have jointly introduced the special program Bridge. The program represents an urgent goal of the Confederation.</p>
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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>Inter-agency programming is in place. To speed up the technology transfer and application the Swiss National Science Foundation and the Commission for Technology and Innovation (that became Innosuisse) have jointly introduced the special program Bridge. The program represents an urgent goal of the Confederation</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) The Swiss State Secretariat for Education, Research and Innovation (SERI) has the mission, among other things, to coordinate tasks and measures of federal research funding institutions. SERI is responsible for inter-ministry coordination of HEI and PRI policy.</p> <p>b) No major changes made.</p>
<p>References:</p> <p>SERI (2017), <i>Promotion of Education, Research and Innovation for 2013-2016</i>, website, Available at: https://www.sbf.admin.ch/sbfi/en/home/the-state-secretariat-for-education--research-and-innovation/promotion-of-education--research-and-innovation-for-2013-2016.html (Accessed 23 January 2017).</p>	
<p>Q.2.10. What reforms of the institutional context have had impacts on public research policy?</p>	<p>Clarification of the policy of the promotion of research infrastructures and editions by the Swiss national science foundation SNSF. Infrastructures and editions of national importance have been transferred from SNSF to the Swiss Academies of Science.</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/PRIs 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>References: Estermann, T., Nokkala, T., and Steinel, M. (2015). <i>University Autonomy in Europe II The Scorecard</i>. 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. European University Association (2016). <i>University Autonomy in Europe (Webpage)</i>. Retrieved from http://www.university-autonomy.eu/, accessed 19.09.2016. Federal Council (2012), <i>Botschaft über die Legislaturplanung 2011-2015, website (German)</i>, Available at: https://www.admin.ch/opc/de/federal-gazette/2012/481.pdf (Accessed 23 January 2016). Schwaag, S., Wise, E., and Arnold, E. (2015), <i>National Research and Innovation Councils as an Instrument of Innovation Governance: Characteristics and Challenges</i>, Vinnova Analysis VA 2015:07, VINNOVA, Stockholm, Sweden. University Zürich (2017), <i>Board of the University, website</i>, Available at: http://www.uzh.ch/en/about/management/unirat.html (Accessed 23 January 2017).</p>	<p>a) Representatives from HEIs and PRIs participate in the SSIC. The SSIC consists of representatives from academia. They participate in policy advice and evaluations of the Council.</p> <p>b) At Swiss HEIs, the university council is the main executive body. It includes only external members. Representatives from industry, HEIs, PRIs, and civil society participate in governing boards of HEIs taking decisions on strategic issues informing thematic and scientific priorities of HEIs.</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>References: ETH Board (2016) <i>ERI Message & Performance mandate [web page]</i>, retrieved from http://www.ethrat.ch/en/eth-board/governance-eth-domain/eri-message-performance-mandate (Accessed 23 January 2017). Federal Council (2012), <i>Botschaft über die Legislaturplanung 2011-2015, website (German)</i>, Available at: https://www.admin.ch/opc/de/federal-gazette/2012/481.pdf (Accessed 23 January 2016).</p>	<p>a and b) There are no platforms for online consultations in place.</p> <p>c) Public consultations for the formulation of the ERI guidelines in 2012: The ERI guidelines were prepared by the Federal Council after a broad consultation process, including ETHs (ETH Board), universities, universities of applied sciences, the Swiss National Science Foundation, and the Commission for Technology and Innovation. The State Secretariat for Education, Research and Innovation and the Federal Office for Professional Education and Technology jointly oversaw the preparation of the consultations.</p>
<p>Q.3.3. Which reforms to consultation processes have proven particularly important?</p>	<p>No major reforms made.</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>a and b) HEIs and PRIs are free to allocate public funds internally to teaching, research and innovation activities.</p> <p>At Swiss HEIs, the university council takes major decisions, such as financial issues, strategic planning, reporting and staffing procedures (particularly for permanent professors). An external body decides on the appointment of council members.</p> <p>Swiss ETHs are ETH Zürich and EPF Lausanne. The ETH Council, for instance, is an independent body whose members are academic and elected by the Swiss government. It decides on strategic priority setting and budget allocations to teaching, research and innovation activities at the ETHs.</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 Steinel, M. (2015). <i>University Autonomy in Europe II The Scorecard</i>. 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 University Association (2016). <i>University Autonomy in Europe (Webpage)</i>. Retrieved from http://www.university-autonomy.eu/, accessed 19.09.2016.</p> <p>Federal Council of Switzerland (2015), <i>Federal Act on the Federal Institutes of Technology (FIT Act)</i>, website, Available at: https://www.admin.ch/opc/en/classified-compilation/19910256/201501010000/414.110.pdf (Accessed 23 January 2017).</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 to f) There are no specific national or cantonal regulations governing hiring, reallocations and dismissal of academic staff other than the pertinent national labour regulations. HEIs are free to set salaries themselves.</p>

<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?</p> <p><i>(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.</i></p> <p><i>Institutions themselves: If HEIs are free to determine internal structures, including the opening, closure, restructuring of departments, faculties, technology offices, etc.)</i></p>	<p>a and b) HEIs and PRIs themselves decide about internal academic structures, such as the creation of departments and technological transfer offices.</p> <p>c) HEIs cannot create for-profit legal entities such as commercial spin-offs.</p> <p>The ETHs have special rights as opposed to HEIs which are under political responsibility of the cantons. For instance, ETH Zürich and Lausanne can establish for-profit legal entities as opposed to HEIs</p> <p>d) PRIs have more autonomy with regard to industry relations and innovation.</p>
<p>Who decides about the creation of legal entities (e.g. spin-offs) and industry partnerships at c) HEIs and d) PRIs?</p> <p><i>(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.</i></p> <p><i>Institutions themselves: If HEIs are free to create non-profit organisations, for-profit spin-offs, joint R&D, etc.)</i></p>	
<p>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?</p> <ul style="list-style-type: none"> – HEI – Research unit / laboratory within HEI – Researchers <p>c) From 2005-16, were any reforms introduced that affected the institutional autonomy of HEIs and PRIs?</p>	<p>a) HEIs set revenue shares themselves. The universities of Basel, Bern and Zürich, for instance, have a common policy (Unitecra, 2017). At the ETH Zürich, for instance, revenues are distributed 1/3 to the inventor(s), 1/3 to the responsible professorships for further research purposes, and 1/3 to ETH Zurich to support research and technology transfer activities (ETH Zürich, 2017).</p> <p>b) Regarding PRIs, the Federal Act on the Federal Institutes of Technology establishes that an adequate share of the revenues from IP should be allocated to inventors (Federal Council of Switzerland, 2015, p. 17). The shares themselves are set by institutions themselves.</p> <p>c) No major changes made.</p>
<p>References:</p> <p>ETH Zürich (2017), Commercial exploitation, website, Available at: https://www.ethz.ch/en/industry-and-society/inventions-patents-licenses/commercial-exploitation.html (Accessed 23 January 2017).</p> <p>Federal Council of Switzerland (2015), Federal Act on the Federal Institutes of Technology (FIT Act), website, Available at: https://www.admin.ch/opc/en/classified-compilation/19910256/201501010000/414.110.pdf (Accessed 23 January 2017).</p> <p>Unitecra (2017), Commercialisation process, website, Available at: https://www.unitecra.ch/en/information/commercialization-process/patent (Accessed 23 January 2017).</p>	<p>Q.3.8. Which reforms to institutional autonomy have been important to enhance the impacts of public research?</p> <p>Reorganisation Innosuisse (PRI) in 2018: The Innosuisse Act provides the legal basis for the Commission for Technology and Innovation (CTI) to become an institution under public law. Innosuisse's remit is to support businesses even more closely in their innovation activities.</p>