



MAPPING GOVERNANCE ASPECTS OF PUBLIC RESEARCH POLICIES

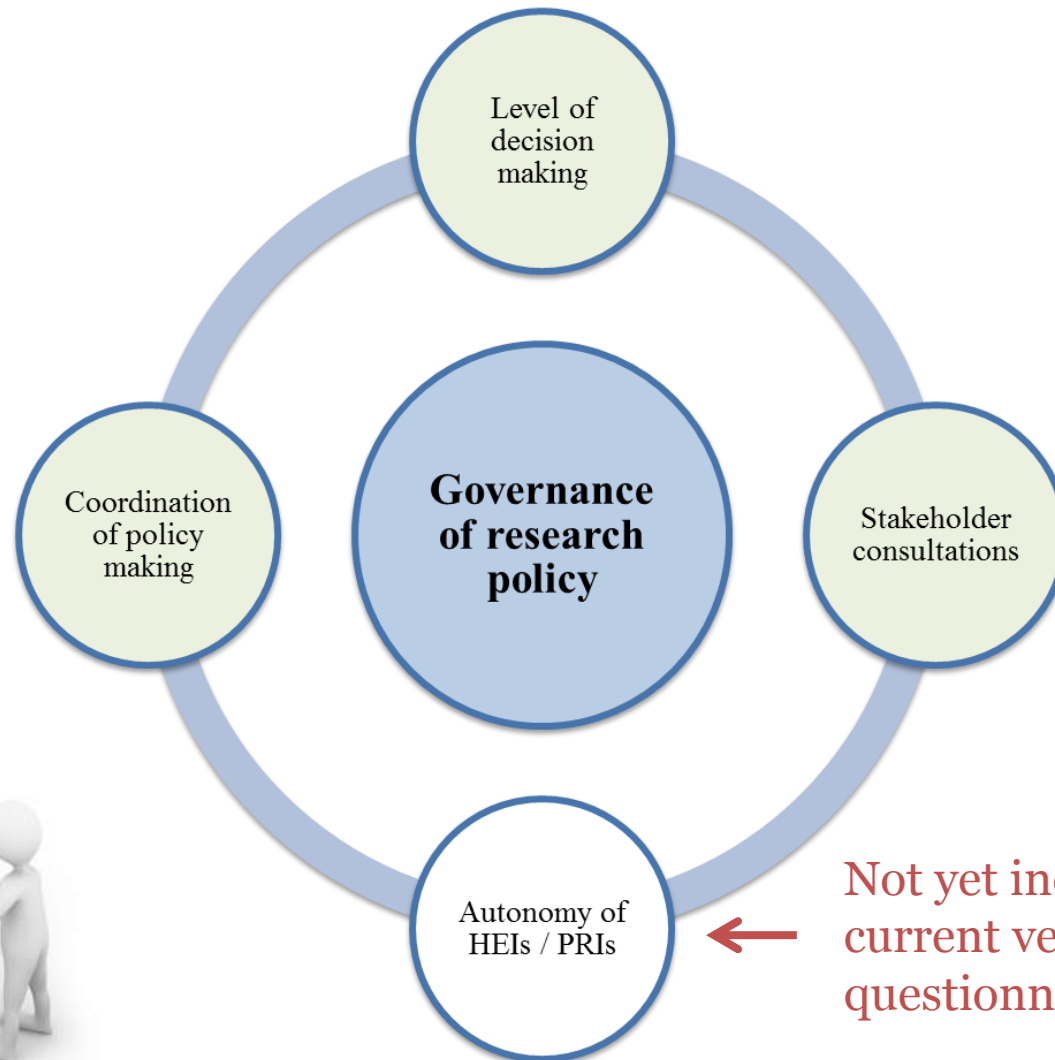
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2 May 2016



Governance of research policy: four key dimensions



← Not yet included in the current version of the questionnaire



Topic 1. Policy co-ordination

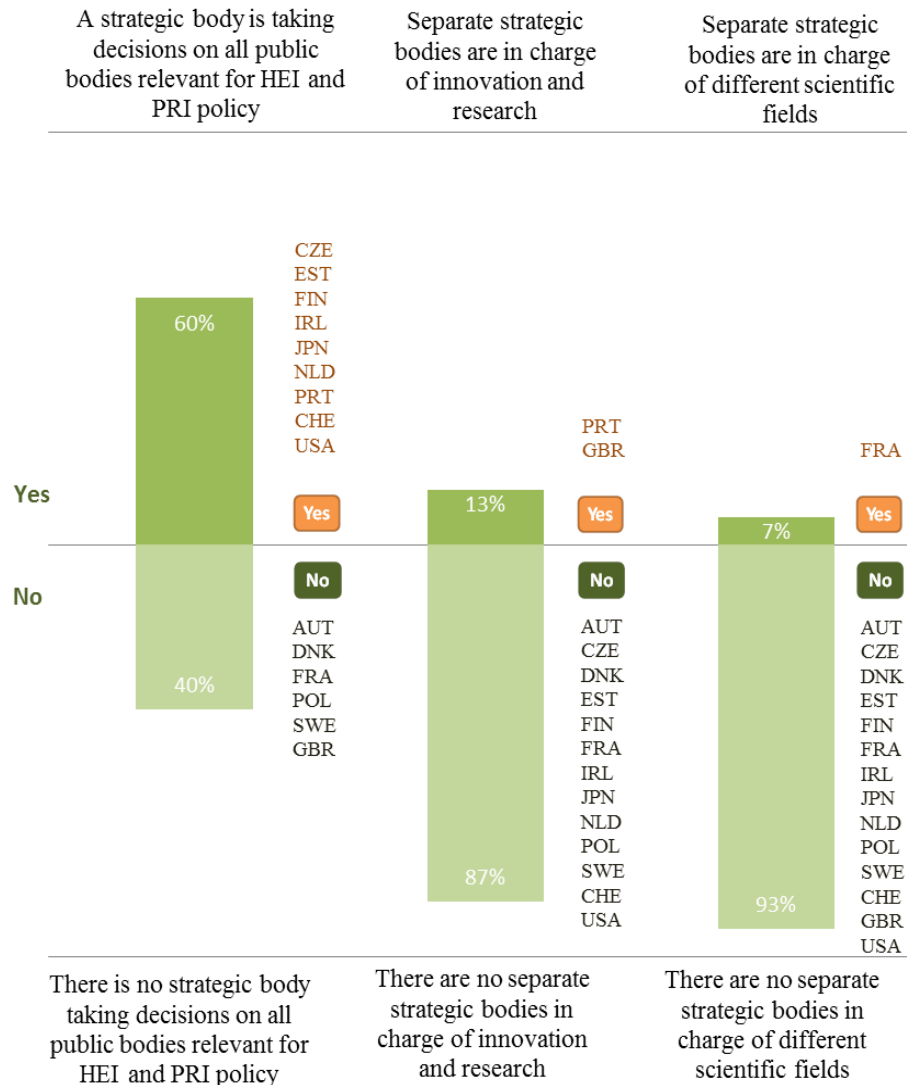
Topic 2. Multi-level (or vertical) governance structures

Topic 3. Formal stakeholders consultation



Figure 1.1. Scope of strategic orientation bodies across OECD-15 countries

(Percentage share of OECD-15 countries)



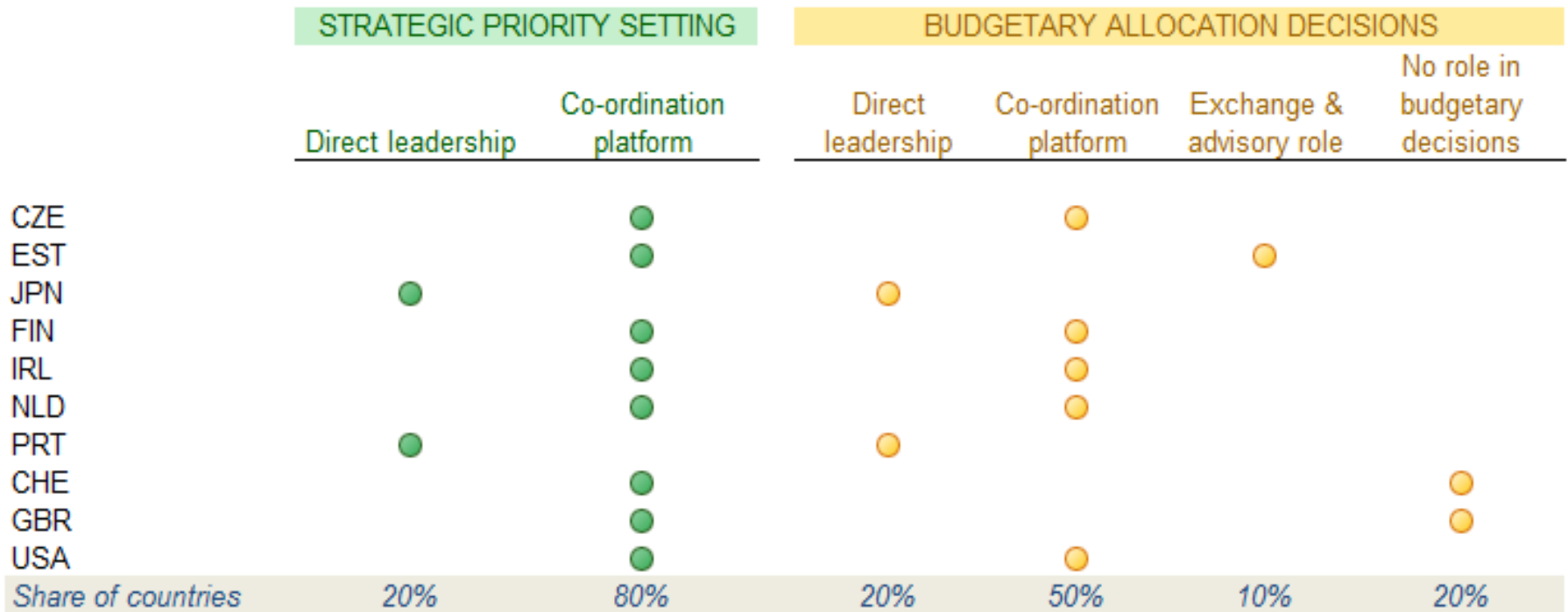
Note: This figure corresponds to question 2.1.

Interpretation of the figure: The bar on the left shows that 60% of OECD-15 countries have strategic orientation bodies in charge of co-ordinating HEI and PRI policies.



Figure 1.2. What functions do the main high-level strategic orientation bodies have in OECD-10 countries?

➤ **Note:** 5 out of the 15 countries analysed so far do not have strategic orientation bodies: AUT, DNK, FRA, POL, SWE



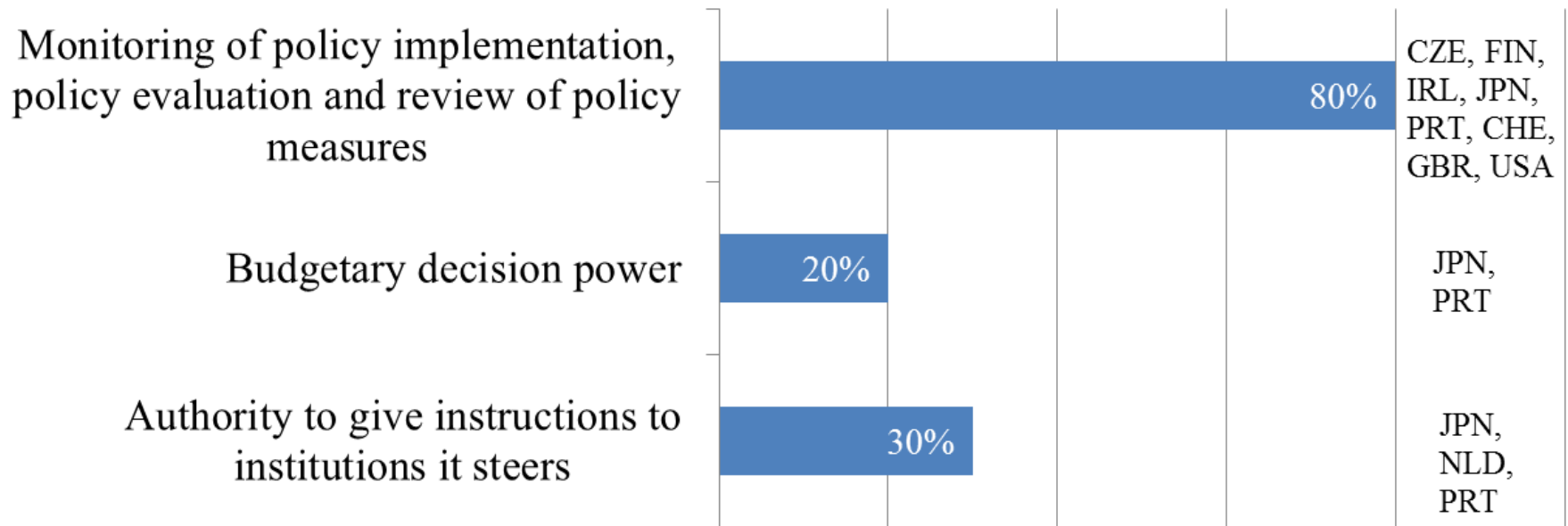
Note: This figure corresponds to question 2.3.

Interpretation of the figure: The top horizontal row shows that the high level strategic orientation body in Czech Republic acts as a co-ordination platform during processes of strategic priority setting. It also acts as a coordination platform in budgetary allocation decisions. The bottom line shows that the strategic orientation bodies of 30% of countries included in the analysis (i.e. 3 out of 10) have a direct leadership role during processes of strategic priority setting and 60% serve as co-ordinating platform.



Figure 1.3. What implementation measures do high-level strategic orientation bodies dispose of?

(Percentage share of 10 OECD countries that have a high strategic orientation body with the specific implementation measures described below)



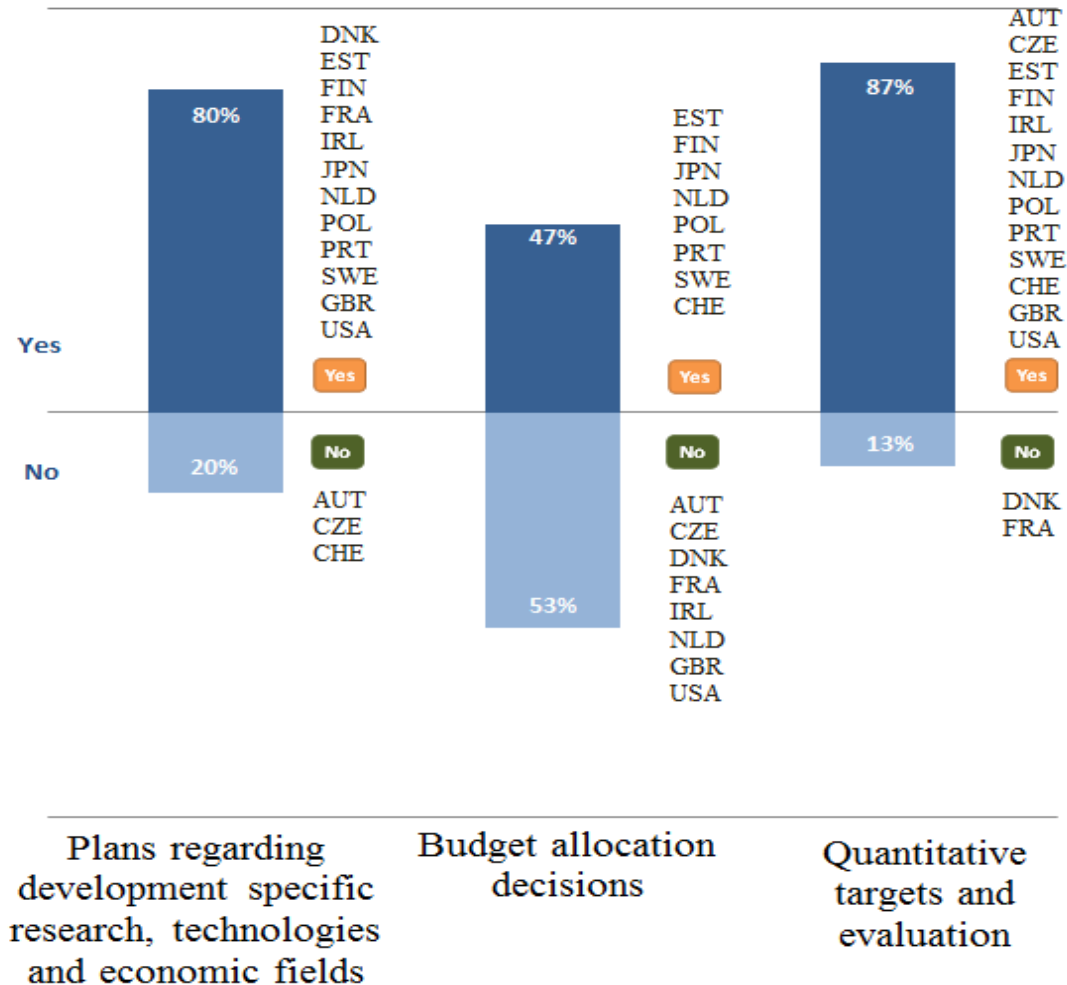
Note: This figure corresponds to question 2.7.

Interpretation of the figure: The top row says that 80% of the 10 selected OECD countries that have a main high strategic orientation body (in charge of co-ordinating public research policy making), such bodies monitor, evaluate and review policy.



Figure 1.4. What policy aspects are defined by the strategic frameworks?

(Percentage share of OECD-15 countries that have a strategic framework covering the policy aspects described below)

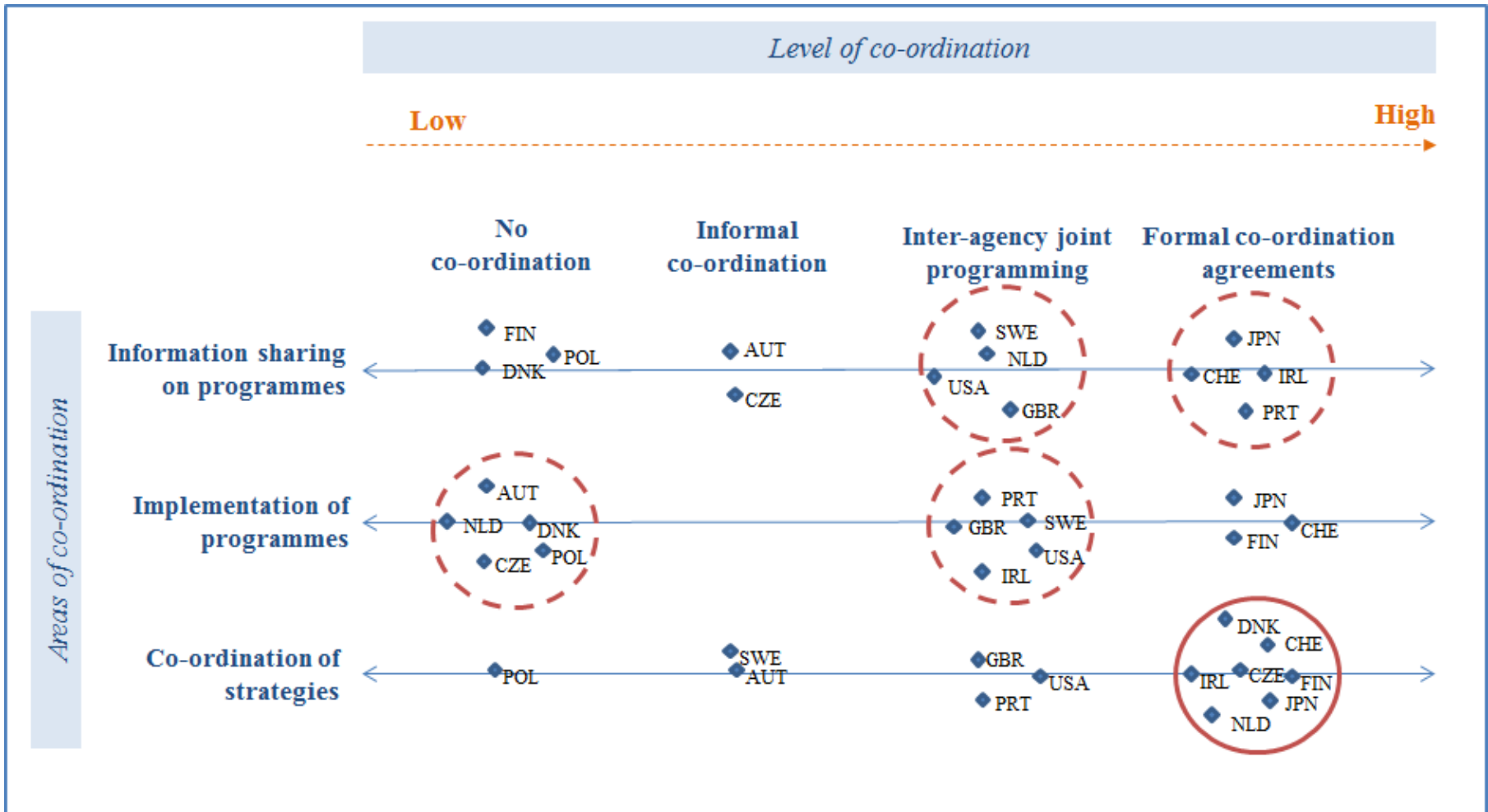


Note: This figure corresponds to question 2.8.

Interpretation of the figure: The left bar says that in 80% of OECD-15 countries, strategic frameworks set plans regarding the development of specific scientific research, technologies and research fields.



Figure 1.5. Level of inter-ministerial co-ordination across 13 OECD countries regarding specific policy activities



Note: This figure corresponds to question 2.11. Estonia and France are not yet included.

Interpretation of the figure: The top horizontal row reads as follows: In 3 out of the 13 OECD countries included in the figure, there are no inter-ministerial co-ordination mechanisms in place to share information on programmes. In 4 countries, there are formal agreements to co-ordinate the implementation of programmes.

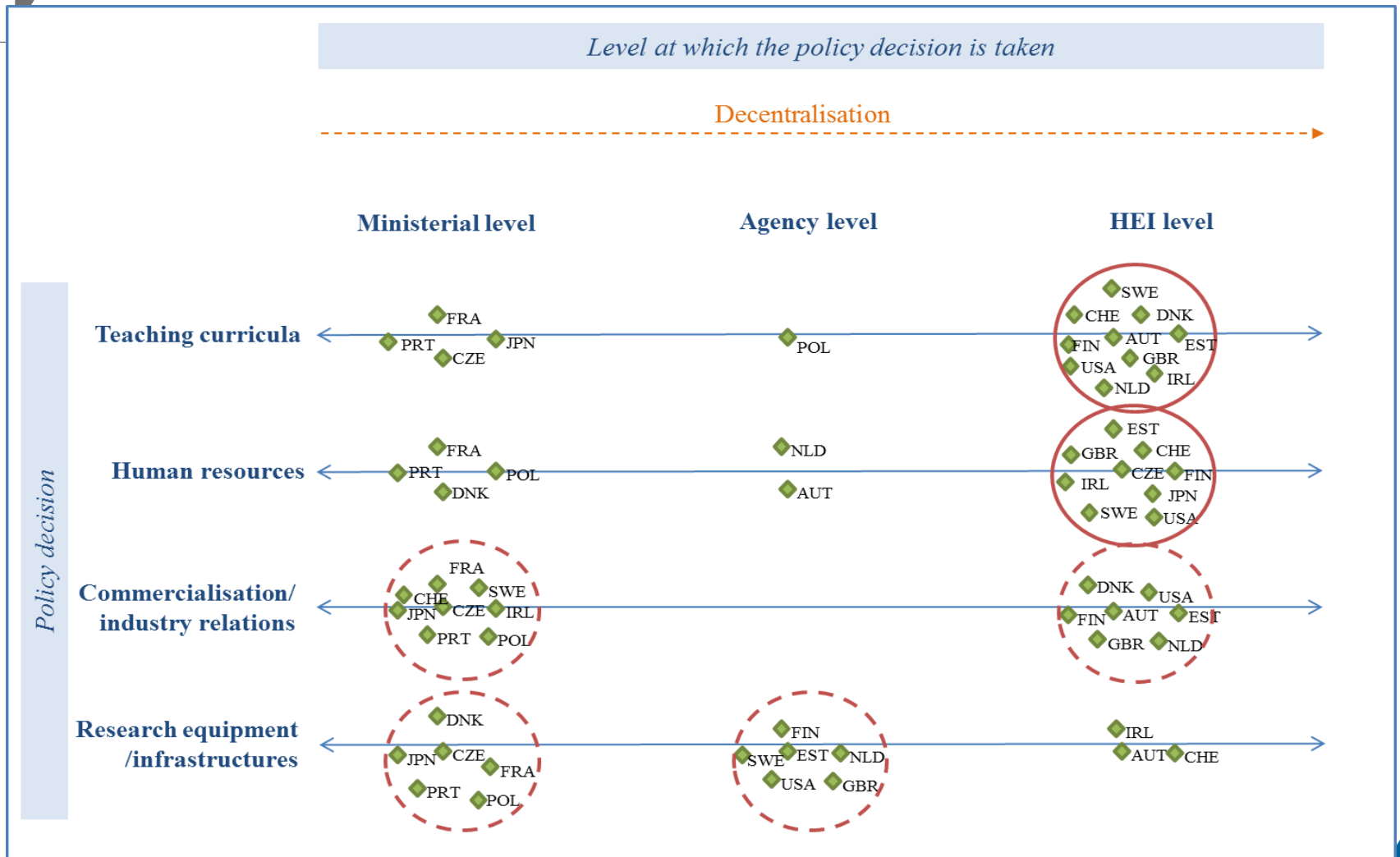


Topic 1. Policy co-ordination

Topic 2. Multi-level (or vertical) governance structures

Topic 3. Formal stakeholders consultation

Figure 2.1. At which level are HEI policy decisions mainly taken across OECD-15 countries?



Note: Figure corresponds to question 1.1.A. Each country appears only once for each policy decision type.

Interpretation of the figure: The top horizontal line on teaching curricula reads as follows: in 4 out of OECD-15 countries, decisions relating to teaching curricula in HEIs are taken by a central national body, often ministries, while in 1 (Poland) these decisions are mainly taken at national decentralised level (i.e. agency level) and in 10 at institutional level.



Topic 1. Policy co-ordination

Topic 2. Multi-level (or vertical) governance structures

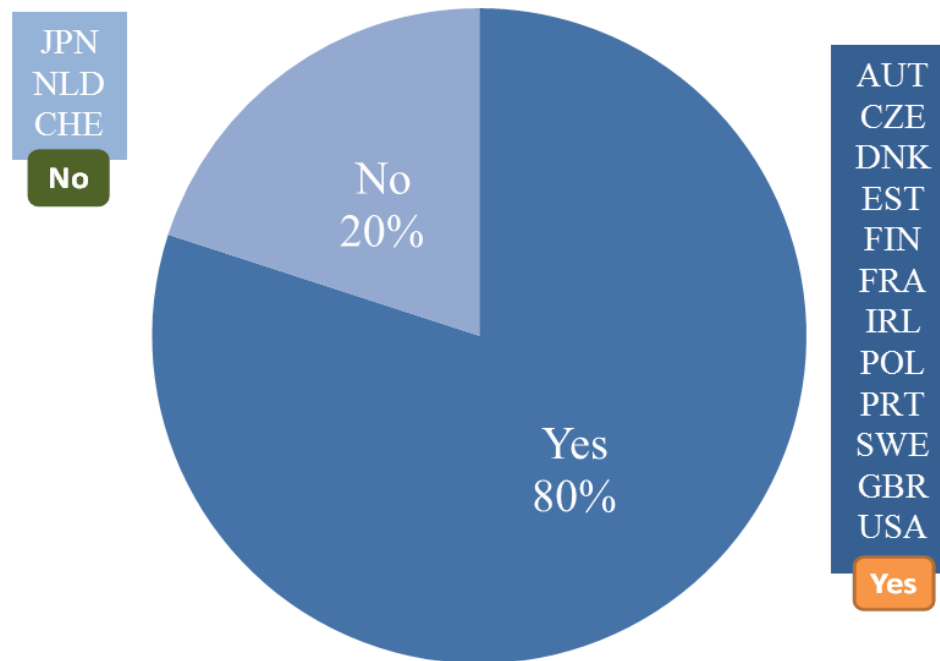
Topic 3. Formal stakeholders consultation



Figure 3.1.1. Formal stakeholders' consultation in public research policy-making processes: Policy councils

(Percentage share of OECD-15 countries)

(1) There are high-level policy councils that provide policy advice to institutions in charge of deciding and implementing HEI and PRI policy



Note: This figure corresponds to question 3.5.

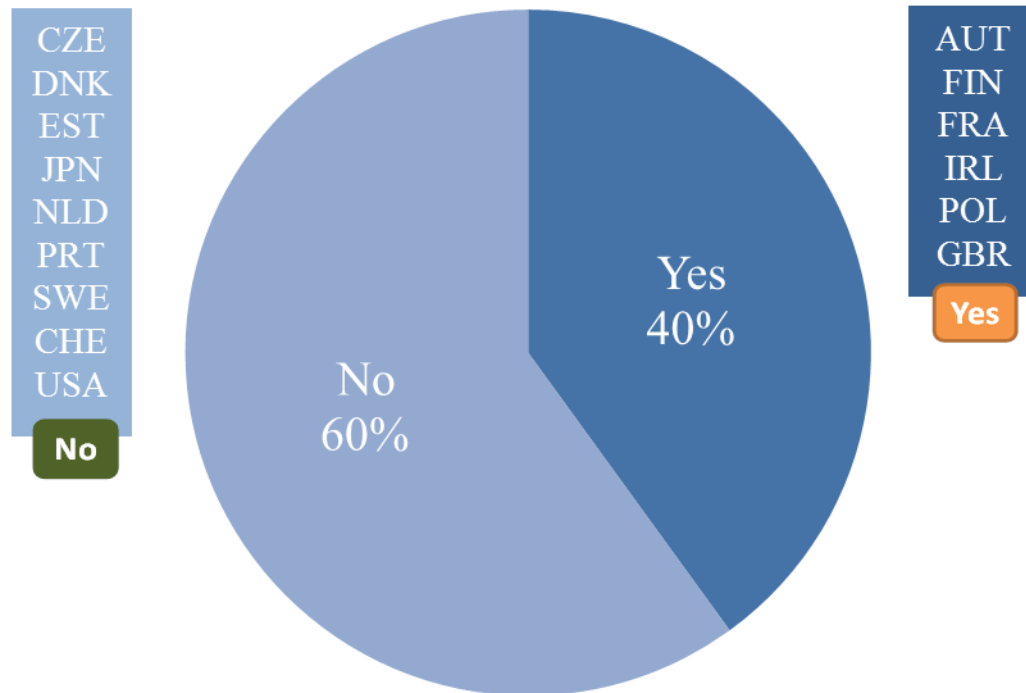
Interpretation of the figure: The pie chart reads as follows: 80% of the OECD-15 countries have high level policy councils that provide policy advice and are being consulted on HEI and PRI policy.



Figure 3.1.2. Formal stakeholders' consultation in public research policy-making processes: Online consultation

(Percentage share of OECD-15 countries)

(2) There are online consultation platforms in place to request inputs regarding HEI and PRI policy to stakeholders



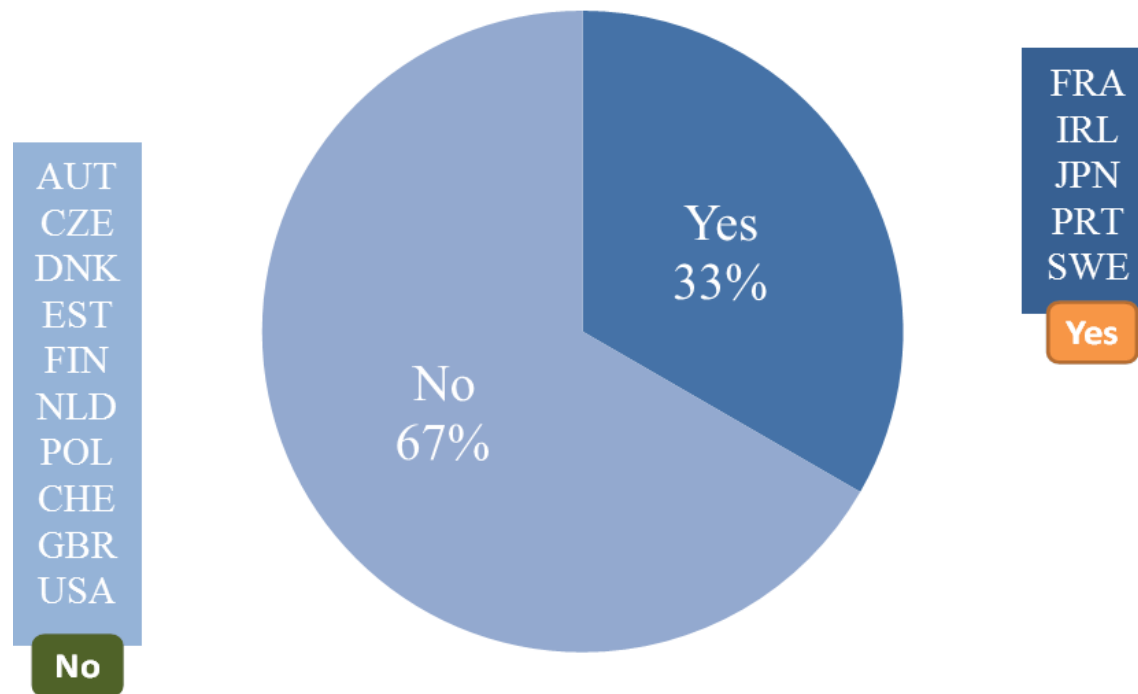
Note: This figure corresponds to question 3.2.



Figure 3.1.2. Formal stakeholders' consultation in public research policy-making processes: Civil society

(Percentage share of OECD-15 countries)

(3) There are procedures to allow civil society to influence decisions made with regards to HEIs and PRIs



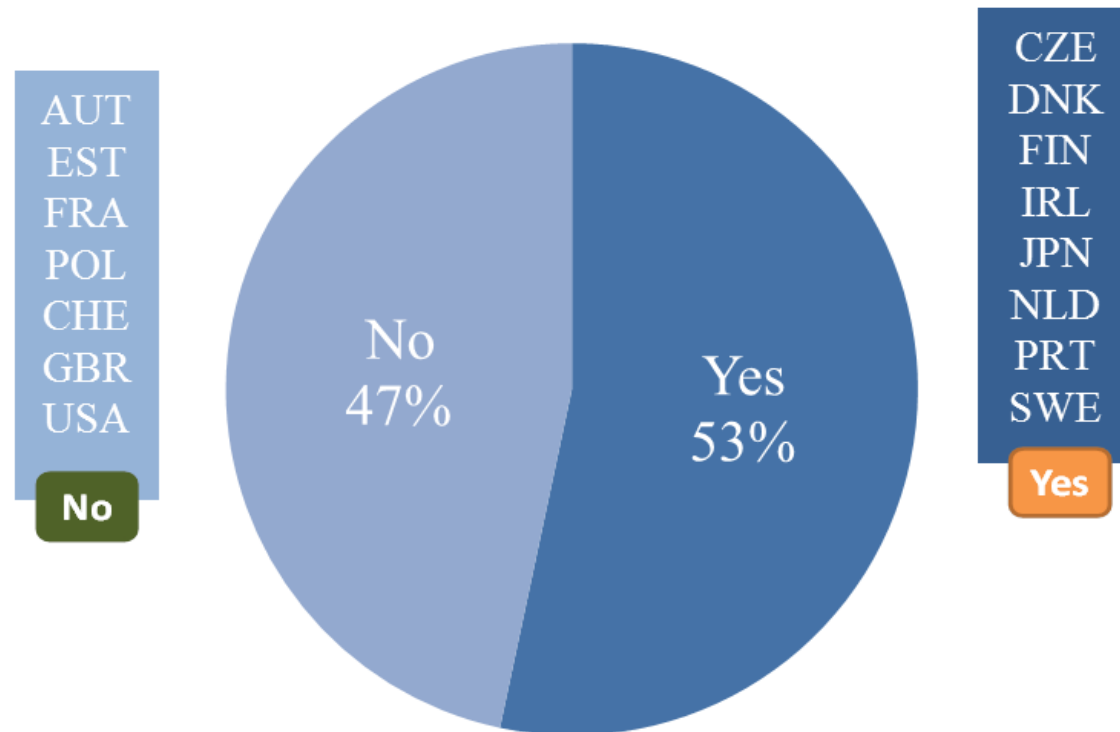
Note: This figure corresponds to question 3.4.



Figure 3.1.2. Formal stakeholders' consultation in public research policy-making processes: small firm associations

(Percentage share of OECD-15 countries)

(4) Small firm associations are formally invited in consultations



AUT
EST
FRA
POL
CHE
GBR
USA
No

CZE
DNK
FIN
IRL
JPN
NLD
PRT
SWE
Yes

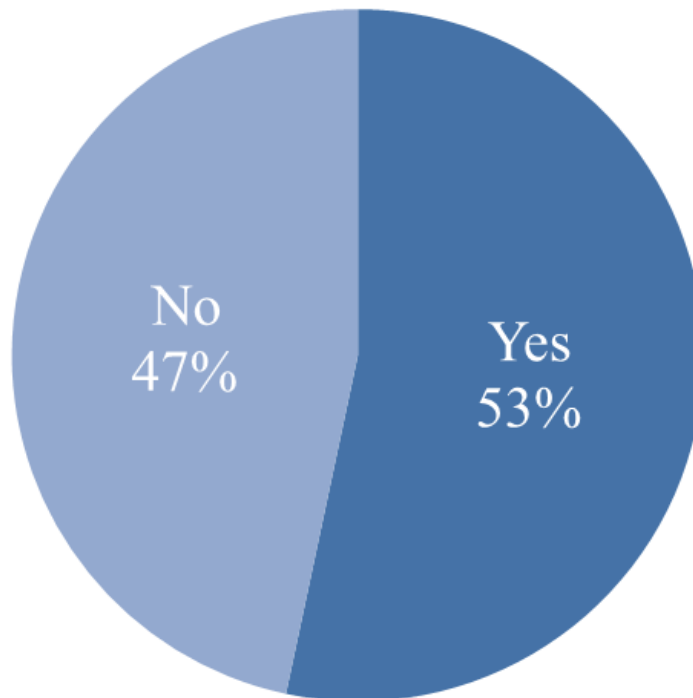
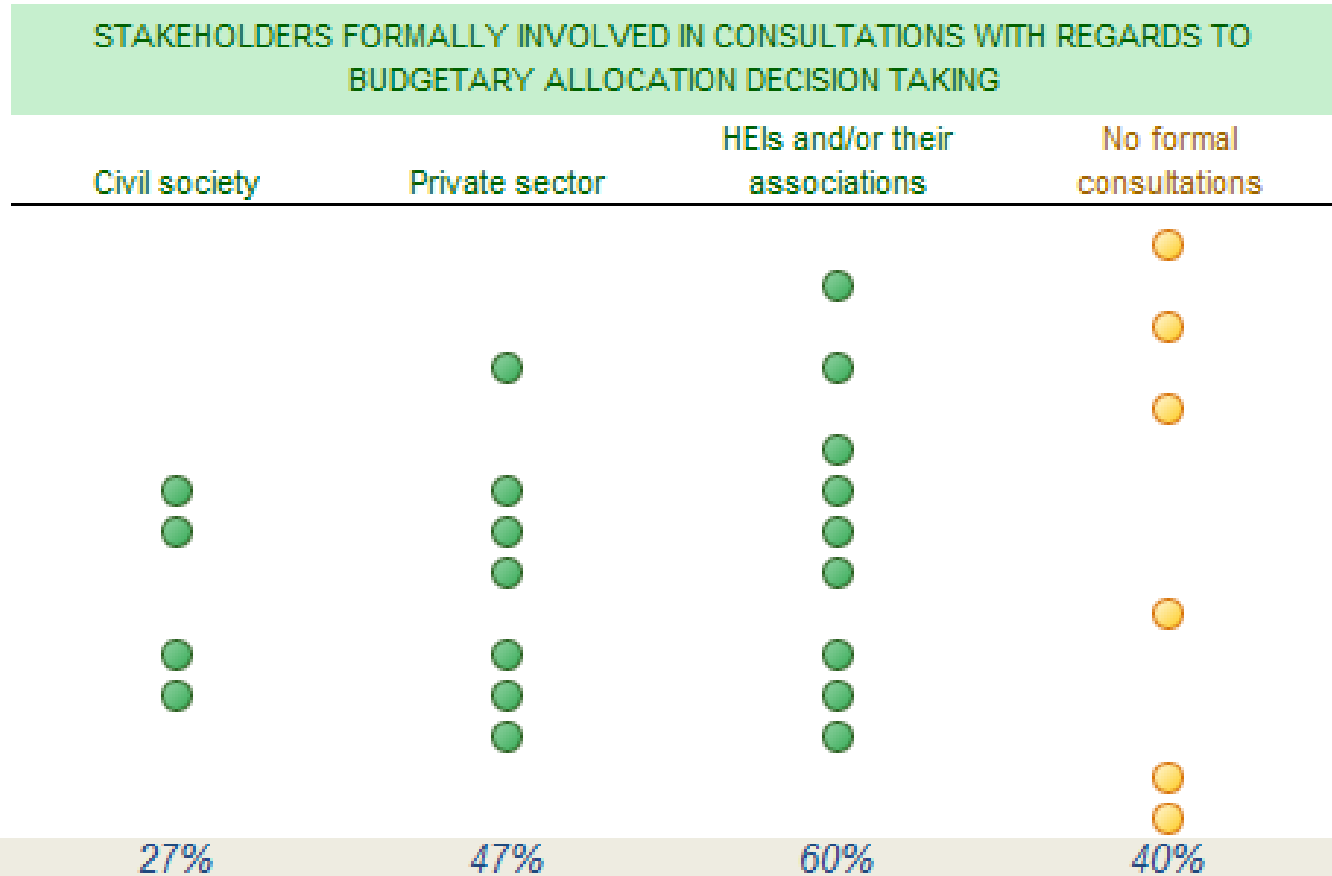




Figure 3.2. Stakeholders' participation in budget allocation decisions



Note: This figure corresponds to question 3.1.b.
Interpretation of the figure: The top horizontal row shows that, in Austria, stakeholders are not consulted during the budget allocation decision taking. The bottom line shows that in 27% of OECD-15 countries (i.e. in 4 out of 15) civil society is consulted during the process of budgetary allocation decision taking; the private sector is consulted in 47% of countries (i.e. in 7 out of 15) and HEIs and/or their associations are consulted in 60% of countries (i.e. in 9 out of 15).



Specific challenges faced during collection of country information

- **Multi-level governance:** Setting up a list of criteria to determine “main” body in charge, similarly criteria become critical to decide on **budgetary allocation decisions** (for education, research and innovation at HEIs/PRIIs)?
- **“High-level strategic orientation bodies”:** establishment of a set of criteria to qualify the boundaries between advisory and orientation bodies
- **Autonomy** to be defined on the basis of specific types of decision HEIs/PRIIs can take (incl. on industry-science linkages)



Topics for discussion

1. Feedback on research policy indicators developed so far
2. What other core dimensions should be explored to capture differences in the governance of public research policies?
3. Would it be relevant to include other levels of governance (e.g. European, regional and/or at institution level?)