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From: ERAC Secretariat  
To: ERAC (European Research Area and Innovation Committee)

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Subject: ERAC plenary 16 June 2017 - agenda item 4.3  
Joint EC/OECD Survey on Science, Technology and Innovation Policies

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ERAC Members will find attached the First Round of Consultation on the EC-OECD Science, Technology and Innovation Policy Survey 2017 relating to item 4.3 on the agenda of the ERAC plenary on 16 June 2017 in Brussels.

**DIRECTORATE FOR SCIENCE, TECHNOLOGY AND INNOVATION  
COMMITTEE FOR SCIENTIFIC AND TECHNOLOGICAL POLICY**

**First Round of Consultation on the EC-OECD Science, Technology and Innovation Policy Survey 2017**

**15-16 June 2017, OECD Headquarters, Paris, France**

*In this first round of consultation, CSTP delegates are asked to review a first draft of the 2017 edition of the EC-OECD Science, Technology and Innovation Policy Survey. The results of the survey will inform the OECD's STI Outlook 2018 publication and (for EU member states) the European Semester, among other projects.*

*Delegates should send their feedback to the OECD Secretariat by no later than 30 June. Based on this feedback, a second draft will be circulated to delegates in July for their comments and suggestions.*

*The OECD plans to administer the survey before the end of September 2017.*

*Note: This work has benefitted from funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No. 739676, "Support to the Development and Analysis of a Research and Innovation Policy Taxonomy and Questionnaire" (REITER) project.*

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## FIRST ROUND OF CONSULTATION ON THE EC-OECD SCIENCE, TECHNOLOGY AND INNOVATION POLICY SURVEY 2017

### Introduction

1. As part of a wide-ranging initiative to improve the monitoring and analysis of countries' science and innovation policies, the European Commission/OECD Survey on Science, Technology and Innovation Policies (STIP)<sup>1</sup> is undergoing extensive revision with a view to i) improving the quality and accessibility of the data collected and ii) reducing the data collection burden on countries and analysts.

2. This short note accompanies a first draft of the 2017 EC/OECD STIP survey for countries to review (see Annex 1). The 2017 edition is significantly shorter than recent past editions and will be administered through a dedicated online survey application. It will also make greater use of standard fiches and taxonomies to aid data visualisation and analysis of the collected information. *CSTP delegates are asked to send comments and suggestions on the draft survey by 30 June 2017.*

### International monitoring of national STI policies – the benefits and burdens

3. For more than 20 years, the OECD Directorate for Science, Technology and Innovation (DSTI), under the aegis of the OECD Committee for Scientific and Technological Policy (CSTP), has conducted biennial surveys of science and innovation policies in its member and strategic partner countries. These surveys have expanded and improved over time, resulting in what is now a unique tool to collect, in a harmonised way, information on countries STI policies and governance arrangements. Countries' responses to the questionnaire constitute the main, broadest and most recent source of country-specific STI policy information available anywhere.

4. The OECD makes the collected information publicly available through an online database.<sup>2</sup> The OECD analyses the information, primarily in the context of preparing the biennial STI Outlook flagship publication. In this way, the information is used to inform policy makers about recent and anticipated changes in global patterns of STI policies. To some extent, it also allows for comparative analyses of STI policies and instruments and national benchmarking of STI policy performance.

5. Since 2015, the OECD DSTI and the EC's Directorate-General for Research & Innovation (DG RTD) have joined forces to operate the survey. This joint approach is part of wider efforts to streamline country monitoring and reduce the burden on countries to report changes in their STI policies and governance arrangements.

6. The survey and database show many signs of success: for example, the survey response rate is very high – 94% in 2016 – which is aided by the OECD pre-filling the questionnaire. Moreover, little

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<sup>1</sup> Hereafter, the EC/OECD STIP survey.

<sup>2</sup> The OECD's current QDD (Qualitative Data Dissemination) platform can be accessed at <https://www.innovationpolicyplatform.org/content/european-commission-oecd-international-database-sti-policies>.

similar up-to-date harmonised data is available elsewhere. On the downside, the process of collecting and analysing country data and its accessibility in the online database have major shortcomings. In particular, the survey has proven heavy and cumbersome for countries to fill-in, which has had implications for the quality and timeliness of country responses; inappropriate IT infrastructure has made the survey difficult to administer, which is compounded by the growing number of participating countries and comprehensive coverage of the survey; and the data collected has remained under-utilised, largely because of outdated IT infrastructures that hamper accessibility for analysis.

7. These limitations require solutions that ease the burden on countries when providing information, reduce the OECD Secretariat's workload when curating the survey data, and provide data in a form that can be seamlessly analysed and made openly accessible. Several possible solutions were already presented to the CSTP at its March 2017 meeting [[DSTI/STP\(2017\)5](#)]. Following on from this, and benefiting from a Horizon 2020 grant,<sup>3</sup> the OECD and EC have embarked on (i) building a new database that supports enhanced analysis of country data and its open accessibility; and (ii) designing a new survey tool that should lighten the burden on countries.

### **Enhancing the benefits of country monitoring through a new database for national STI policy information**

8. In revising the EC/OECD STIP survey, the OECD and EC are seeking to enhance its benefits while reducing its burdens. Starting with its benefits, as highlighted above, the survey already provides internationally harmonised data on a wide range of STI-related policies from more than 50 countries. But quality issues with some of the data collected are evident, reducing its reliability and comparability; and while the collected data is theoretically open for anyone to analyse and re-use, in practice, the QDD database's limitations mean it is essentially inaccessible for analysis. This is a missed opportunity that weakens incentives for countries to spend the considerable time required to provide good quality information.

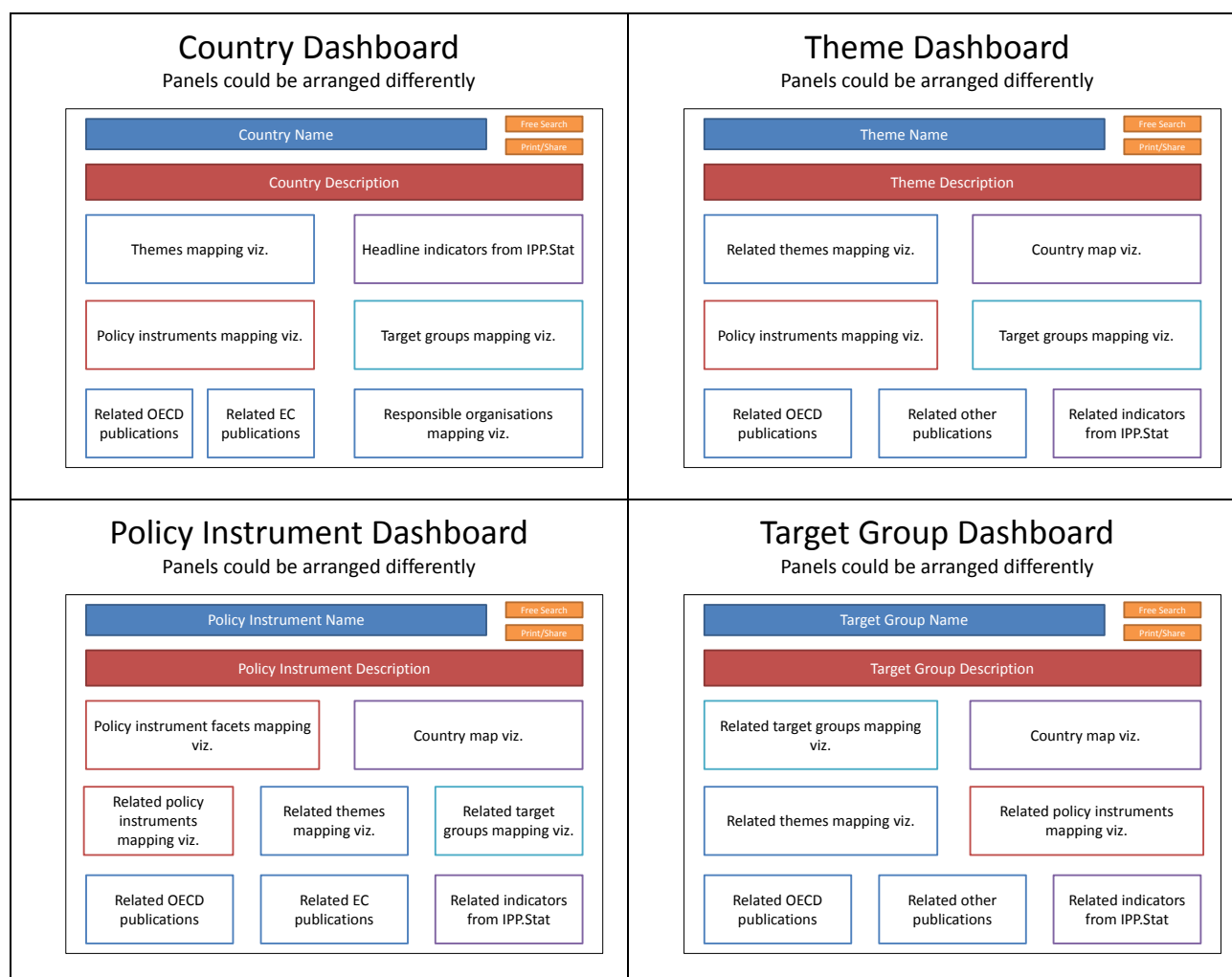
9. An important starting point for revising the survey has therefore been to reconsider its end-point, i.e. the database for storing, analysing and making accessible country information, and the roles it should play in supporting policy analysis. For instance, the database's internationally harmonised policy data should allow countries' policy mixes to be compared and contrasted in terms of the objectives they pursue, the groups they target and the instruments they use. This would allow countries to benchmark themselves with others and would improve international learning. Table 1 sets out examples of the sorts of questions that the database should be able to handle in this regard. These could be incorporated into the database as "standard queries" embedded in "dashboards" that provide a high-level visual overview of data on countries, themes, policy instruments and target groups. Figure 1 provides schematic representations of the database's planned dashboards, which are still under development. Dashboards will be interactive, providing visually attractive overviews and details on demand (through charts that can be easily shared and downloaded), and enabling faceted search and in-situ analysis of data through standard queries. Mock-ups of these user interfaces are currently under preparation and will be shared for consultation in the next few months.

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<sup>3</sup> The REITER project (Support to the Development and Analysis of a Research and Innovation Policy Taxonomy and Questionnaire) is funded by the European Union's Horizon 2020 Programme (see [http://cordis.europa.eu/project/rcn/206839\\_en.html](http://cordis.europa.eu/project/rcn/206839_en.html)).

**Table 1. Examples of “standard queries” that could be embedded in the STIP database**

Country queries	<ul style="list-style-type: none"> <li>• How many policy initiatives does a given country use to address a given theme?</li> <li>• How does a given country’s policy instrument mix compare to other countries?</li> <li>• What is the distribution of budgets to different policy target groups?</li> <li>• What is the relative influence of different ministries and agencies in STI policy?</li> </ul>
Theme queries	<ul style="list-style-type: none"> <li>• On what themes do countries have the most policy initiatives?</li> <li>• On what themes do countries assign the highest budgets?</li> <li>• Which policy instruments are most commonly used to address a given theme?</li> <li>• Which target groups are most commonly targeted in a given theme?</li> </ul>
Policy instrument queries	<ul style="list-style-type: none"> <li>• Which policy instruments are most prevalent in national STI policy?</li> <li>• Which policy instruments have the highest budgets?</li> <li>• How does policy instrument design vary by country?</li> <li>• Are some policy instruments more commonly found with other instruments?</li> </ul>
Target group queries	<ul style="list-style-type: none"> <li>• To which target groups do countries assign the highest budgets?</li> <li>• Which policy instruments are most commonly used to address a given target group?</li> <li>• To what extent are different target groups addressed by the same initiatives?</li> <li>• How has policy attention to a given target group shifted over time?</li> </ul>

**Figure 1. Schematic overview of the STIP database's planned dashboards**

10. Dashboards and standard queries will help unlock the data's analysis potential by providing much improved user interfaces for searching and analysing data. These will rely on survey questions that are more standardised and based on taxonomies of policy instruments, target groups, etc. Furthermore, the semantic technologies underpinning the database will support data integration and more powerful querying (Figure 2). They will enable linking with other data sources, including related OECD and EC publications and relevant statistics hosted in IPP.Stat.<sup>4</sup> If other OECD surveys – such as NESTI's work on R&D tax credits (see <http://www.oecd.org/sti/rd-tax-stats.htm>) and TIP's work on governance indicators [DSTI/STP/TIP(2017)6] – were to use the same database infrastructure, then these could also be seamlessly linked to the EC/OECD STIP survey data, providing more depth to the latter's wide breadth. These linking opportunities will be further explored once the database work is finalised in autumn 2017. All in all, these developments should broaden the appeal of the database and significantly increase use of the collected data (Figure 3).

<sup>4</sup> See <https://www.innovationpolicyplatform.org/content/statistics-ipp>.

Figure 2. Test user interface for search and discovery of the STIP database

evaluation
✕ 🔍 📄

🔍 SEARCH OPTIONS
🔖 SAVED ITEMS
🔍 SAVED QUERIES
📄 SWITCH VIEW MODE

77 results for **evaluation** Results per page : 10 20 50

**REFINE AND DISCOVER TOOLS** ✕

REFINE DISCOVERY

**STIP COUNTRY** ▾

**YEARLY BUDGET** ▾

**LIBRARIES** ▴

STIP policy initiatives and instruments (2016) [77]

**STIP THEMES** ▾

**STIP TARGET GROUPS** ▾

**TOPICS IDENTIFIED FROM THE RESULT SET** ▾

**GEOGRAPHICAL AREAS IDENTIFIED FROM THE RESULT SET** ▾

**ORGANISATIONS IDENTIFIED FROM THE RESULT SET** ▾

**DATES** ▾

**TYPES** ▾

**JRC COMPETENCE CENTRE ON MICROECONOMIC EVALUATION (CC-ME)** 📄

**[\*\*\*RANDOMTARGETGROUP\*\*\*]**

STIP policy initiatives and instruments (2016) | Policy initiative

[+ Show more details](#)

**\*\* Ex-post FP7 evaluation \*\*** 📄

**[\*\*\*RANDOMTARGETGROUP\*\*\*]**

STIP policy initiatives and instruments (2016) | Policy initiative

Commission Communication on the ex-post evaluations of the EC and Euratom 7th Framework Programmes (Roadmap revised to follow the revised better regulation guidelines)

[+ Show more details](#)

**\*\* STI institutions' evaluation as the Framework Programme level \*\*** 📄

**[\*\*\*RANDOMTARGETGROUP\*\*\*]**

STIP policy initiatives and instruments (2016) | Policy initiative

Beyond initiatives at national level, the participation of major STI institutions is being evaluated as part of the ex-post evaluation of the Seventh Framework Programme. This includes Universities, Research Organisations, and Industry (large and ...)

[+ Show more details](#)

**NSF - Evaluation and Assessment Capability (EAC)** 📄

**[\*\*\*RANDOMTARGETGROUP\*\*\*]**

STIP policy initiatives and instruments (2016) | Policy initiative

The Evaluation and Assessment Capability (EAC) provides centralized support and resources for data collection, analytics, and the design of evaluation studies and surveys. These activities enable NSF to more consistently evaluate the impacts of its ...

[+ Show more details](#)

**\*\* Strengthening the foundations of Smart Regulation - improving evaluation \*\*** 📄

**[\*\*\*RANDOMTARGETGROUP\*\*\*]**

STIP policy initiatives and instruments (2016) | Policy initiative

[+ Show more details](#)

**\*\* List of trends in evaluation \*\*** 📄

**[\*\*\*RANDOMTARGETGROUP\*\*\*]**

STIP policy initiatives and instruments (2016) | Policy initiative

[+ Show more details](#)

**\*\* Interim evaluation of Horizon2020 \*\*** 📄

**[\*\*\*RANDOMTARGETGROUP\*\*\*]**

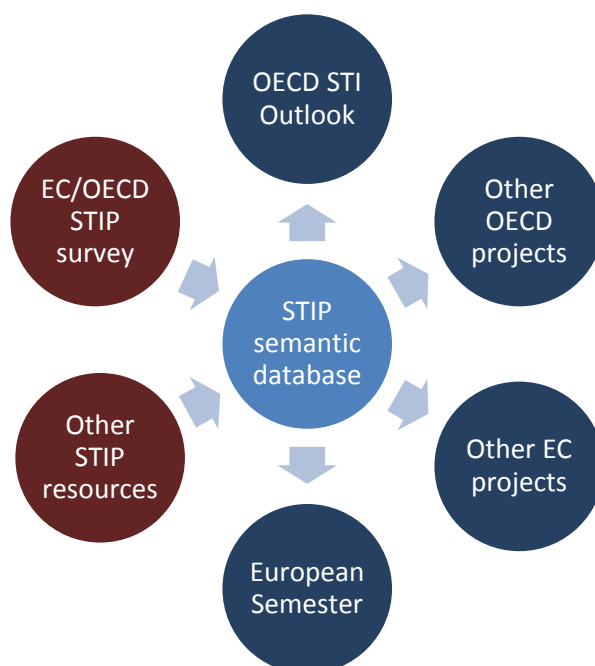
STIP policy initiatives and instruments (2016) | Policy initiative

The interim evaluation of Horizon 2020 is a mandatory requirement from the

**EVALUATION OF THE FEDERAL DEPARTMENTAL RESEARCH** 📄



Figure 3. Summary of inputs and outputs of the STIP database



### Reducing the burdens of monitoring on countries and EC/OECD analysts through a new survey approach

11. Besides enhancing the benefits of the EC/OECD STIP survey's country monitoring, the OECD and EC have looked for ways to reduce the data collection burden on countries and on policy analysts in the OECD and DG RTD. A variety of recent consultations with different stakeholders (see Table 2) have highlighted the main problems and provided several ideas for addressing them. In particular, the length of the survey and the level of overlap between questions, together with the mixed quality of country responses, were highlighted as major problems. Limitations with the data collection tools used up until now have also contributed to the heavy burden placed on countries in answering the survey, and this has led to data quality problems. Data quality problems in turn create a heavy workload for those tasked with preparing the data for analysis and open access, causing delays and ultimately limiting the usefulness of the data. Delegates and analysts alike asked for a shorter survey, with better formulated questions and improved IT infrastructures for collecting and accessing the data. While they favour a reduction in the length/breadth of the survey, they would like to maintain its depth (see [\[DSTI/STP\(2017\)5\]](#) for more details).

**Table 2: Various consultations and analyses used to inform the new design of the EC/OECD STIP survey**

Tasks	Main topics addressed	Outcomes
Online feedback survey to EC/OECD STIP questionnaire NCPs	Challenges and opportunities in the collection and use of the EC/OECD STIP data from the NCPs' perspective Suggestions for improvement	Comprehensive feedback on the collection and use of data from the policy makers in charge of coordinating the data collection in all covered countries Response rate 66% (35 responses/53)
Interviews with (non-NCPs) policy makers in covered countries*	Added value and limitations of the EC/OECD STIP data for policy making Suggestions for improvement (better coverage of needs, increase of the added value)	Assessment of the relevance of the EC/OECD STIP database (and derived products) to policy makers' needs 5 interviews
Interviews with OECD STI policy analysts	Added value and limitations of the EC/OECD STIP data for policy analysis Identification of options for better integrating the EC/OECD STIP questionnaire with other OECD and EC surveys to covered countries Brainstorming on alternatives approaches	Assessment of the efficiency of data collection and analysis processes at OECD Brainstorming on alternative data collection and analysis options 14 interviews
OECD consultations with the European Commission's DG RTD	The design of the EC-OECD questionnaire Potential options to improve the questionnaire design	Assessment of the strengths and weaknesses of the design of the EC-OECD questionnaire, as perceived by one of the partner organisation in the EC/OECD STIP exercise
Internal consultations in DG RTD on the EC/OECD questionnaire	The usefulness and relevance of the questionnaire vis-à-vis the policy needs of different policy units in DG RTD	Recommendations on the process and content of the 2018 EC/OECD STIP questionnaire survey Consultation with RTD units A.4, B.2, B.7, and C.1
Analysis of submitted responses to the EC/OECD STIP questionnaire	The quality and comprehensiveness of country responses, at topic, question and initiative levels	Identification of options for streamlining and improving the questionnaire
Inventory of use of the data collected via the EC/OECD STIP questionnaire	The use of the data collected by type of questions and topics addressed	Assessment of the usefulness of the different components of the questionnaire
Inventory of the main STI policy monitoring initiatives led by OECD and the EC	The main features (objectives, scope, periodicity, etc.) of the different STI policy monitoring initiatives led by OECD and the EC	Assessment of the added value and overlaps of the different STI policy monitoring initiatives Identification of opportunities for greater synergies and cooperation

12. Accordingly, the OECD and EC have considered several options for an alternative questionnaire structure, design approach and data collection process. The following features are proposed:

- *To decrease the length of the survey considerably*, from 108 questions in its previous edition to 55 in its current draft form (see Annex 1). Questions have been organised under six main section headings (“themes”) that coincide with frameworks commonly used in innovation policy analysis (Figure 4). These themes will be a basis for navigating the survey and the data it generates.

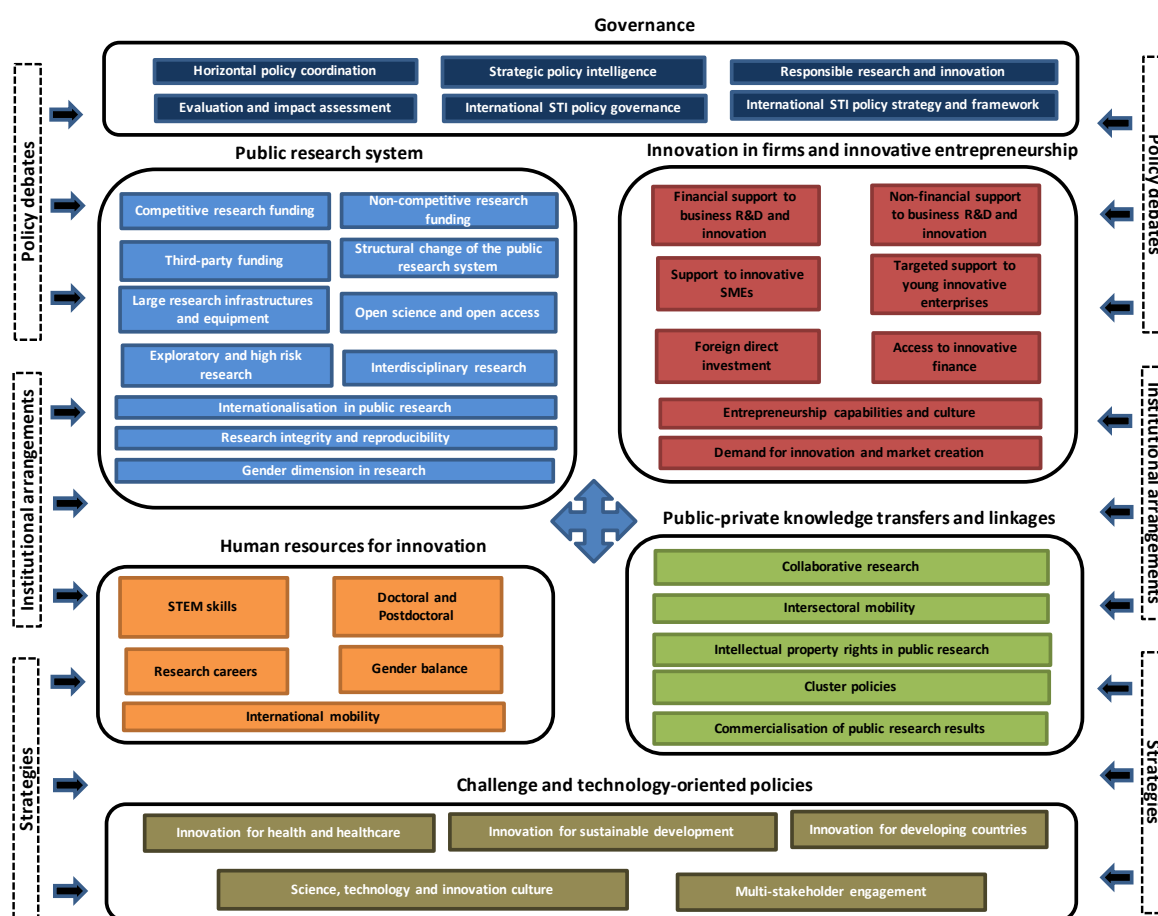
- *To start each theme with three standard questions* on policy debates, institutional arrangements and strategies, which are intended to set the ground for more specific questions on various types of instruments. The answers to these three questions will help frame the OECD's STI Outlook's country profiles and (for EU member countries) the European Semester process.
- *To shorten the survey's questions and improve their clarity.* Questions are largely standardised and ask countries to provide information on relevant STI policy initiatives that are currently in operation.
- *To eliminate the need for countries to enter the same information multiple times.* While fewer questions should reduce duplication in the information countries provide, it is impossible to entirely eliminate overlaps in a survey of this sort, as many STI policy initiatives are cross-cutting, touching on several areas. To avoid a situation where countries have to provide the same information multiple times, as in previous surveys, the new survey tool allows information on any given STI policy initiative to be 'linked' as an answer to multiple questions.
- *To use a standard 'fiche' for collecting information on STI policy initiatives.* While a similar approach was used in previous rounds of the survey, the latest edition will use more closed questions that should provide information more suited to comparative analysis. The standard fiche will be included in the second round of consultation on the survey for countries to review, scheduled for the summer.
- *To ensure the standard fiche is sufficiently flexible to collect relevant information on often very different STI policy initiatives.* An important feature of the STI policy initiative fiche is its flexibility to collect information on different types of policy instruments. Thus, while the survey uses the same standard fiche to collect information on all STI policy initiatives, it will use bespoke 'mini-fiches' to collect targeted information on the different types of policy instruments (see Table 3) used by the STI policy initiative.<sup>5</sup> This feature will considerably improve the scope for comparative analysis of policy instruments. Policy instrument 'mini-fiches' will be included in the second round of consultation on the survey for countries to review.
- *To modularise the survey, making it more flexible.* The themes and questions presented in Annex 1 constitute the "core" questionnaire, which will be replicated from one survey exercise to the next. Additional one-off or less regular "modules", including questions in relation to OECD (e.g. CSTP and TIP) and EC projects and interests, could be included on a more or less ad hoc basis in each instance of the survey. For instance, Annex 2 includes a module dedicated to European Research Area policy that will be answered only by European countries. The OECD and EC are also considering adding a dedicated module on STI policies related to "digitalisation" in the next edition of the survey, in line with the prominence of this theme in the 2017-18 programme of work and budget of the CSTP and its working parties. This module will be included in a second round of consultation on the survey for countries to review.
- *To administer the survey solely through dedicated survey software.* The open source application LimeSurvey<sup>6</sup> is currently being adapted to meet the specific requirements of the EC/OECD STIP survey. This will offer big improvements on previous data collection arrangements that used a mix of Word, Excel and Checkbox. For example, besides the ability to link answers to multiple

<sup>5</sup> Note that in the previous survey, around 70% of the STI policy initiatives identified by countries use a single policy instrument. The remainder use two or (rarely) more instruments.

<sup>6</sup> See <https://www.limesurvey.org/>.

questions (as described above), the tool supports multiple respondents to answer the same survey at any one time, automated prefilling of survey questions, and a seamless export of the survey data into the semantic database. These survey tool improvements should considerably ease the burden on countries and the OECD Secretariat. It is hoped they will at least half the time it currently takes to complete the survey and to curate country responses. Countries will be invited to test the survey tool in July-August as part of the planned second round of consultation on the survey.

**Figure 4. STIP survey's thematic structure**



## Next steps

*Delegates are asked to send comments and suggestions on the draft survey by 30 June 2017.* These should be sent directly to the authors of this paper.

After incorporating country feedback, a new draft of the survey will be sent to delegates in the first half of July in a **second round of consultation**. This will also include questions for the planned module on “digitalisation” and additional elements of the taxonomies used for structuring country responses to the survey. Furthermore, the document will include links to interactive mock-ups of the survey hosted on a development server. This will allow delegates to inspect the survey in its native IT environment and to

provide feedback on its usability. *Given the holiday period, the deadline for responses to this second round of consultation will be set for the end of August.*

*The final version of the survey will be sent to delegates for final approval by written procedure in the first week of September.*

*The survey will then be launched before the end of September and will remain open for countries to complete until mid-November*, thereby avoiding the traditional end-of-year congestion in many ministries. The OECD and EC will provide more information at a later date on the support they will offer to countries answering the survey.

## ANNEX 1: FIRST DRAFT OF THE “CORE QUESTIONS” FOR THE 2017 EC/OECD STIP SURVEY

## 1. Governance

	Policy topics	Accompanying Question	Prompts
1. Governance	1.1. Governance debates	Briefly, what are the current main issues of debate around how national STI policy is governed?	Your answer should provide a synthetic open text of 2 to 3 paragraphs describing the current main debates around the governance of STI policy that took place during the two last years. A policy debate may include various positions or options regarding STI matters in different national settings such as Parliament, government bodies and events, in the press, among scientific actors, etc. They may or may not have been followed up by concrete actions. This statement will be used as a key input into the 2018 STI Outlook report and European Semester process.
	1.2 Governance institutional arrangements	What recent institutional changes or changes in framework conditions, if any, have led to reforms of public governance arrangements around STI policy?	Significant recent changes in the framework of formal institutions (governance institutions, regulations, etc.) and informal institutions (underlying policy model, principles, rules and ideas, etc.) shaping national STI policy.
	1.3 National STI plan or strategy	What strategies or plans exist, if any, to provide an overarching strategic direction to national STI policy?	National research and/or innovation strategy and plan; National economic development strategy and/or plan with a strong emphasis on research and/or innovation; change in priorities and strategic agenda.
	1.4 Horizontal policy coordination	What arrangements exist to support cross-government coordination in STI policy?	Overarching/central coordination body; Inter-ministerial Councils; Priority-setting mechanisms; Strategic advisory body and councils; Ad hoc expert groups

	<b>1.5 Strategic policy intelligence</b>	What arrangements or policy initiatives exist to strengthen the evidence base for STI policy-making and governance (besides evaluation and impact assessment)?	Dedicated body; High-level expert groups, Advisory councils with analytical capacity; Regulation, standards and rules related to evidence-based policy making; Scoreboards, indexes and data for measuring innovation; technology assessment; technology foresight; Policy monitoring; Benchmarking and peer review exercises.
	<b>1.6 Evaluation and impact assessment</b>	What arrangements or governance structures exist to initiate, perform or encourage the use of STI evaluation and impact assessment?	Dedicated evaluation or impact assessment (IA) body; Regulation, standards and rules related to evaluation/IA; Centralisation or harmonisation of evaluation/IA procedures; Evaluation/IA guidelines; Shift in evaluation/IA instrumentation (international peer review, bibliometrics, patent counts, IA studies etc.).
	<b>1.7 International STI policy governance</b>	What arrangements or policy initiatives exist to promote the international governance of STI policy?	Cross-border programmes and schemes, joint research programmes across borders, joint implementation of calls for proposals (joint peer review, common pot funding), alignment of national activities towards the research agenda of transnational research programmes, as well as the opening up of national programmes towards other country national, etc.; international policy co-operation frameworks for R&D; removal of obstacles to the movement of resources; setting of international standards and regulations, and transfer of authority to intergovernmental organisations and supranational authorities, etc.
	<b>1.8 International STI policy strategy and framework</b>	What strategies, plans or frameworks exist, if any, to promote and guide international research and innovation activities?	National research and/or innovation strategy and plan regarding the internationalisation of research and innovation activities; dedicated funding programmes; bilateral research and innovation cooperation agreements; participation in multilateral initiatives; joint infrastructures or research centres; strategy and tools to enhance participation in European Union programmes, etc.

## 2. Public research system

	Policy topics	Accompanying Question	Prompts
<b>2. Public research system</b>	<b>2.1 Public research debates</b>	Briefly, what are the main issues of debate in current national research policy?	Your answer should provide a synthetic open text of 2 to 3 paragraphs describing the current main debates around the public research system and relevant policy that took place during the two last years. A policy debate may include various positions or options regarding public research matters in different national settings such as Parliament, government bodies and events, in the press, among scientific actors, etc. They may or may not have been followed up by concrete actions. This statement will be used as a key input into the 2018 STI Outlook report and European Semester process.
	<b>2.2 Public research institutional arrangements</b>	What recent changes in framework conditions or institutional changes, if any, have led to reforms in the ways public research is performed, funded or governed?	Significant recent changes in the framework of formal institutions (governance institutions, regulations, etc.) and informal institutions (change in priorities, underlying policy model, principles, rules and ideas, etc.) shaping the public research system and policy.
	<b>2.3 Public research strategies</b>	What strategies or plans exist, if any, to provide strategic direction to national research policy?	National strategy and/or plan related to the research system or significant part of it; National economic development strategy and plan including research
	<b>2.4 Competitive research funding</b>	What are the main competitive schemes and programmes for funding research in universities and public research institutes?	Mechanism and principle governing the competitive research funding schemes (e.g. grant programmes)
	<b>2.5 Non-competitive research funding</b>	What are the main non-competitive schemes and programmes for funding research in universities and public research institutes?	Mechanism and principle governing the non-competitive research funding schemes (block/institutional funding, with or without performance-based criteria; performance agreements, excellence centres, etc.).



	<b>2.6 Third-party funding</b>	What policy initiatives exist to promote third-party funding of public research?	Legal, regulatory, administrative reform of the universities allowing increased revenues from third party; Incentives to promote increased revenues / attract funding from outside stakeholders, including the business sectors, charity foundations; Tax-based initiatives to encourage scientific philanthropy.
	<b>2.7 Structural change of the public research system</b>	What policy initiatives exist, if any, to support or lead structural changes in the public research system?	Incentives, regulations, guidelines and other types of intervention to provoke, promote, and orient changes in the landscape of public research actors (mergers, organisational separation, closure), their missions (increase/decrease of autonomy of universities) and their linkages formal partnerships between research actors, etc.).
	<b>2.8 Exploratory and high risk research</b>	What policy initiatives exist, if any, to support specific areas of exploratory and high-risk long-term research?	Dedicated scheme, programme, incentive or instrument to support disruptive and highly uncertain research; research in emerging fields (e.g. thematic programmes, budget earmarking, etc.).
	<b>2.9 Open science and open access</b>	What policy initiatives exist to support open science and open access?	Implementation of new infrastructures and standards to enable digital storage of publications (new services such as IT and cloud computing services, national resource Centre, database and repositories of scientific information etc.) and open access to research data; Structures to enable access to publicly funded research output; New licenses or extra funding to support greater access to publications; legal reforms (e.g. law/regulation making open access obligatory in funding programmes); development and use of alternative metrics; implications on career management.
	<b>2.10 Large research infrastructures and equipment</b>	What are the main policy initiatives for funding new and existing large research infrastructures and equipment?	Dedicated (or significant part of) budget; Specific research infrastructure project and investment; Research infrastructure roadmaps; Equipment sharing schemes and mechanisms; Inventory and databases of infrastructure and equipment.

	<b>2.11 Internationalisation in public research</b>	What are the main policy initiatives for promoting internationalisation in public research?	Incentives to encourage the internationalisation of domestic universities and PRI: e.g. direct funding of national universities and PROs; International research and PhD mobility scheme and programme; Financial support to international collaborative R&D; Incentives to attract and retain foreign universities and PRIs; International infrastructures projects; International research organisations (university campuses, research centres and labs, etc.).
	<b>2.12 Interdisciplinary research</b>	What are the main policy initiatives for promoting interdisciplinary research?	Dedicated (or significant part of) interdisciplinary research programmes or interdisciplinary calls in research programmes; Schemes to promote exchanges between projects of different disciplines; Incentives to develop transversal skills for researchers, as well as to raise awareness of other research fields; Research and education infrastructures that facilitate knowledge circulation between disciplines; Selection/evaluation criteria that better reward output from multidisciplinary research, etc.
	<b>2.13 Research integrity and reproducibility</b>	What are the main policy initiatives for promoting research integrity and reproducibility?	Dedicated structures and bodies to prevent misconduct such as office/committee of research integrity; national mediator / ombudsman; codes of conduct and guidelines; education, training and awareness raising initiatives on scientific conduct; initiatives such as surveys to scientists in order to monitor the level of integrity; protection of and guidelines for whistle blowers; improvement of access to research data such as clinical trial registries; support and incentives for reproducibility studies; initiatives to deal with identified research misconducts and abuses, etc.
	<b>2.14 Gender dimension in research</b>	What policy initiatives exist to incorporate the gender dimension in research content?	Any initiatives for making gender a dimension of research by integrating it as part of research design and process. This entails sex and gender analysis being integrated into basic and applied research taking into account the biological characteristics and social and cultural features of both women and men.

**3. Innovation in firms and innovative entrepreneurship**

	<b>Policy topics</b>	<b>Accompanying Question</b>	<b>Prompts</b>
<b>3. Innovation in firms and innovative entrepreneurship</b>	<b>3.1 Business innovation policy debates</b>	Briefly, what are the main policy debates around government support to business innovation and innovative entrepreneurship?	Your answer should provide a synthetic open text of 2 to 3 paragraphs describing the current main debates around the business innovation system and relevant policy that took place during the two last years. A policy debate may include various positions or options regarding business innovation matters in different national settings such as Parliament, government bodies and events, in the press, among business sector representatives, etc. They may or may not have been followed up by concrete actions. This statement will be used as a key input into the 2018 STI Outlook report and European Semester process.
	<b>3.2 Business innovation framework conditions</b>	What recent changes in framework conditions or institutional changes, if any, have led government to change the ways it supports business innovation and/or innovative entrepreneurship?	Significant recent changes of the framework of formal institutions (governance institutions, regulations, etc.) and informal institutions (change in priorities, underlying policy model, principles, rules and ideas, etc.) shaping the business innovation and entrepreneurship system and policy.
	<b>3.3 Business innovation policy strategies</b>	What strategies or plans exist, if any, to strategically direct national policy on business innovation and/or innovative entrepreneurship?	National innovation strategy and plan; National economic development strategy and plan including business innovation and/or innovative entrepreneurship.
	<b>3.4 Financial support to business R&amp;D and innovation</b>	What are the main policy initiatives for providing financial support to business R&D and innovation?	Dedicated (or significant part of) budget, scheme, programme, subsidies or instruments (direct or indirect, incl. tax incentives) to finance or provide incentive to raise funding for business R&D and innovation; debt financing instruments (loans, credit guarantees schemes or risk-sharing mechanisms).

	<b>3.5 Non-financial support to business R&amp;D and innovation</b>	What are the main policy initiatives for providing non-financial support to business R&D and innovation?	Dedicated (or significant part of) scheme, programme, incentive or instrument to support or promote business innovation, through the provision of information, technical expertise, training, mentoring, networking, marketing and advertising support etc.; Access to support facilities, e.g. research equipment, ICT, networks, housing etc.; Access to a range of information and support services, e.g. training; Policy instruments aiming to raise firms' visibility and recognition, e.g. awards, prizes, high impact events, contests etc.
	<b>3.6 Access to finance for innovation</b>	What policy initiatives exist to promote firms' access to finance for innovation?	Dedicated (or significant part of) scheme, programme, incentive or instrument to promote firms' access to finance for innovation; Incentives for business angels, venture capital investors (tax reliefs, etc.); Public investment in venture funds; Public venture funds; Specific regulations to promote venture capital, etc.
	<b>3.7 Entrepreneurship capabilities and culture</b>	What policy initiatives exist to foster a spirit and culture of entrepreneurship in business firms or in individuals and to provide them with appropriate skills?	Policy programmes to implement a culture of entrepreneurship for all may include awareness campaigns or education initiatives (mass-media campaigns and big events, e.g. broadcasting programmes etc.); Integrated communication operations (including more participatory strategies or face-to-face communications); Promotion of exemplary entrepreneurship or business achievements (e.g. awards, prizes etc.); Partnerships between schools/universities and organisations such as venture capital firms and accelerator programmes); Entrepreneurship prizes and contests open to all.
	<b>3.8 Stimulating demand for innovation and market creation</b>	What policy initiatives exist to stimulate demand for firms' innovations and to support market creating innovation?	Dedicated (or significant part of) scheme, programme, incentive or instrument to support the demand for innovation (e.g. user-driven programmes, public procurement, customer programmes). Dedicated (or significant part of) scheme, programme, incentive or instrument to support the early adoption and scale up of breakthrough ideas and new radical innovations (in terms of products, processes, business models etc.) with the potential to disrupt existing and create new markets.

	<b>3.9 Foreign direct investment</b>	What policy initiatives exist to attract knowledge-intensive foreign direct investment and promote transfers to domestic firms?	<p>Direct financial support (e.g. grants, loans, R&amp;D subsidies, etc.); Tax incentives for non-domiciled, foreign-owned firms (e.g. corporate tax, R&amp;D tax etc.); Provision of services and facilities (e.g. administrative or networking support etc.); Investment promotion policies (e.g. campaigns, events, websites, ‘brand name’ of the country, investment promotion agencies, etc.) to attract knowledge intensive FDI; Provision of infrastructures (e.g. clusters, technology platforms, one-stop-shop etc.); Public procurement of R&amp;D and innovation; Supply of human resources.</p> <p>Any initiatives/ programmes to maximise knowledge spillovers from FDI: Support to domestic supplier backward linkages (e.g. supplier development programme, SME-multinationals partnership and networks, Industrial Linkage Programme, etc.); Training, coaching and mentoring for upgrading suppliers in cooperation with multinationals; specific regulation promoting/incentivising technology transfer from multinationals (e.g. local content regulation, domestic procurement rules, etc.); Domestic supplier databases.</p>
	<b>3.10 Targeted support to SMEs</b>	What are the main policy initiatives specifically targeting research and innovation activities in SMEs?	<p>Dedicated (or significant part of) scheme, programme, incentive or instrument specifically targeted to support innovation in SMEs; Specific grants and subsidies; Small Business Innovation Research (SBIR)-type of schemes; Innovation vouchers for SMEs; Public procurement for innovation targeted towards SMEs; Intellectual Property Rights (IPRs) support to SMEs; technology extension services, specific support to low tech companies, programmes for cooperation between large companies and SMEs; Specific conditions for SMEs in R&amp;D tax credits; any incentives or subsidies or network support to link domestic SMEs to foreign sources of R&amp;D and innovation, etc.</p>

	<b>3.11 Targeted support to young innovative enterprises</b>	What policy initiatives exist to provide support services to innovative SMEs, including young innovative enterprises and start-up?	Dedicated (or significant part of) scheme, programme, incentive or instrument to support financially and/or technically innovation in start-ups (e.g. specific programmes for start-ups, specific features for start-ups in schemes and programmes; Specific criteria or eligibility conditions); Instrument to support the emergence and/or development of young innovative enterprises, incl. for growth and scaling-up.
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## 4. Public-private knowledge transfers and linkages

	Policy topics	Accompanying Question	Prompts
4. Public-private knowledge transfers and linkages	4.1 Transfer and linkages debates	Briefly, what are the main policy debates around knowledge transfer and linkages?	Your answer should provide a synthetic open text of 2 to 3 paragraphs describing the current main debates around the knowledge transfer system and relevant policy that took place during the two last years. A policy debate may include various positions or options regarding knowledge transfer and linkages in different national settings such as Parliament, government bodies and events, in the press, among scientific actors, etc. They may or may not have been followed up by concrete actions. This statement will be used as a key input into the 2018 STI Outlook report and European Semester process.
	4.2 Transfer and linkages - change in framework conditions and institutional arrangements+B53	What recent changes in framework conditions or institutional changes, if any, have led government to change the ways it supports knowledge transfer and linkages?	Significant recent changes of the framework of formal institutions (governance institutions, regulations, etc.) and informal institutions (change in priorities, underlying policy model, principles, rules and ideas, etc.) shaping the knowledge transfer system and policy.
	4.3 Transfer and linkages strategies	What strategies or plans exist, if any, to strategically direct national policy on knowledge transfer and linkages?	Dedicated national plan or strategy for knowledge transfer and co-production between different actors of the research and innovation actors (science-industry, business-to-business, intermediary organisations, etc.).
	4.4 Collaborative research	What are the main policy initiatives for promoting research collaboration between the public and private sectors?	Dedicated (or significant part of) scheme, programme, incentive or instrument to support collaborative research between the public and private sectors ( e.g. dedicated research programme for supporting collaborative projects; PPPs or regulation promoting PPPs; joint labs and other research-industry research organisations); Mixed public private governance in research programmes and bodies; open innovation schemes.

	<b>4.5 Cluster policies</b>	What policy initiatives exist to promote geographical innovative clusters?	Provision and implementation of networking infrastructures (e.g. new research centres, demonstrators, science parks, technology incubators, ‘innovation’ hubs, technology platforms, etc.); Financial support to clusters activities, projects and cluster organisations; Incentives to strengthen liaisons between national and/or international clusters; Regional policies to strengthen STI actors’ capacities and clustering; Incentives or support to networking activities between national clusters.
	<b>4.6 Commercialisation of public research results</b>	What policy initiatives exist to encourage commercialisation of public research results?	Dedicated (or significant part of) scheme, programme, incentive or instrument to support transfer of academic inventions via the sale, transfer or licensing of intellectual property, often on an exclusive basis, to existing firms or new ventures (e.g. academic spin-offs). Major policy initiatives may include a reform of universities and IPRs for publicly funded research results, the establishment or consolidation of technology transfer offices and licensing offices at universities an PRIs, a revision of performance criteria of institutions and R&D personnel, training and mentoring for academic staff, creation of spin offs, incubators and accelerators, the provision of new demonstrator or proof-of-concept funding, etc.
	<b>4.7 Intersectoral mobility</b>	What policy initiatives exist to encourage mobility of human resources between the public and private sectors?	Policy initiatives to foster industry-science mobility of academics and researchers (reform of the rules governing public sector employment, the implementation of secondment schemes, policy initiatives to improve pension portability, various incentives for researchers and/or companies, subsidised 'internship', etc.).
	<b>4.10 Intellectual property rights in public research</b>	What policy initiatives exist to ensure intellectual property rights in public research are conducive to promoting innovation?	Reform of IPRs legislation, and/or revision or strengthening of IPRs enforcement practices in public research (Bayh-Dole act type of reform, professor privilege, etc.); Dedicated financial and non-financial scheme, programme, incentive or instrument to support IPR in public research (subsidies, training, information campaign, etc.); Dedicated body to support IPR in public research.



### 5. Human resources for innovation

	Policy topics	Accompanying Question	Prompts
<b>5. Human resources for innovation</b>	<b>5.1 STI human resources debates</b>	Briefly, what are the main policy debates around human resources for research and innovation?	Your answer should provide a synthetic open text of 2 to 3 paragraphs describing the current main debates around the STI human resources system and relevant policy that took place during the two last years. A policy debate may include various positions or options regarding human resources for innovation in different national settings such as Parliament, government bodies and events, in the press, among scientific actors, etc. They may or may not have been followed up by concrete actions. This statement will be used as a key input into the 2018 STI Outlook report and European Semester process.
	<b>5.2 STI human resources framework conditions and institutional arrangements</b>	What recent changes in framework conditions or institutional changes, if any, have led government to change the ways it fosters human resources for research and innovation?	Significant recent changes of the framework of formal (governance institutions, regulations, etc.) and informal (change in priorities, underlying policy model, principles, rules and ideas, etc.) institutions shaping the STI human resources system and policy.
	<b>5.3 STI human resources strategies</b>	What national strategies or plans exist, if any, to foster human resources for research and innovation?	Dedicated national plan or strategy for fostering human resources for research and innovation.
	<b>5.4 STEM skills</b>	What are the main policy initiatives for nurturing general STEM skills?	Revision of academic curricula to improve teaching in specific fields (e.g. mathematics, science, technical skills, etc.); Introduction of new learning practices and new instructional tools (e.g. increased use of ICT, cooperative learning exercises etc.); Additional training of teachers; Involvement of outside stakeholders; Assessment and evaluation of student performance in STEM, etc.

	<b>5.5 Doctoral and postdoctoral researchers</b>	What policy initiatives exist to specifically support doctoral and postdoctoral research and education?	Dedicated support to doctoral programmes and postdoctoral programmes; Rules and schemes for doctoral and postdoctoral programmes evaluation; Support to industry involvement in PhD training schemes (e.g. industrial PhD programmes, fiscal incentives etc.); Reform of academic curricula (e.g. training of transferable skills for future researchers etc.); Career guidance and information to students regarding funding/job opportunities in the public and private sectors; Schemes for financing/promoting PhD in business or public firms; Schemes for financing/promoting the employment PhD graduated+F62 in business or public firms.
	<b>5.6 Research careers</b>	What policy initiatives exist to make research careers more attractive?	Creation of new job opportunities in Public Research Institutions (PRIs) and academia (e.g. new chairs, new job positions, secondments etc.); Tenure system; Improved financial rewards (e.g. stipends, social benefits, tax incentives etc.) and non-financial incentives (e.g. autonomy, independence, reputation, provision of support staff, facilities etc.) for researchers; Reform of employment conditions of researchers in the public and private sectors to ensure 'flexicurity', sectoral mobility and life-long employability and to promote transparency in career paths (e.g. tenure track systems, legal status, pension portability etc.), etc.
	<b>5.7 International mobility of human resources</b>	What policy initiatives exist to encourage international mobility of the highly skilled?	Policy initiatives to foster international mobility of academics and researchers (reform of the rules governing public sector employment, reform of researcher recruitment rules, policy initiatives to improve international pension portability, various incentives for researchers and/or companies, subsidised 'internship', extension of fellowships in connection with a research stay abroad, etc.).

	<b>5.8 Gender balance</b>	What policy initiatives exist to promote gender balance in research and innovation activities?	Targeted measures aiming to reduce gender gaps in S&T education or doctoral studies; Measures to ensure work-family balance and equal work opportunities in universities and PRIs (e.g. part-time arrangements, parental leave, etc.); Women's access to senior positions in academia, high level offices, research councils, etc.; Quotas, regulations and rules for ensuring gender balance.
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## 6. Innovation for society

	Policy topics	Accompanying Question	Prompts
<b>6. Innovation for society</b>	<b>6.1 Policy debates on innovation for societal goals</b>	Briefly, what are the main issues of debate in current public policy to support innovation for societal wellbeing and cohesion?	Your answer should provide a synthetic open text of 2 to 3 paragraphs describing the current main debates around the use of research and innovation to improve social wellbeing and cohesion and relevant policy that took place during the two last years. A policy debate may include various positions or options regarding innovation for society in different national settings such as Parliament, government bodies and events, in the press, among scientific actors, etc. They may or may not have been followed up by concrete actions. This statement will be used as a key input into the 2018 STI Outlook report and European Semester process.
	<b>6.2 Innovation for society institutional arrangements</b>	What recent changes in framework conditions or institutional changes, if any, have led to reforms in the way government supports innovation for societal goals?	Significant recent changes of the framework of formal (governance institutions, regulations, etc.) and informal (change in priorities, underlying policy model, principles, rules and ideas, etc.) institutions shaping the use of research and innovation to improve social wellbeing and cohesion
	<b>6.3 Innovation for society strategy</b>	What strategies or plans exist, if any, to promote innovation for societal well-being and cohesion?	Dedicated national plan or strategy for fostering research and innovation to improve societal wellbeing and cohesion
	<b>6.4 Innovation for health and healthcare</b>	What policy initiatives exist, if any, specifically dedicated to supporting innovation for tackling health and aging issues?	Dedicated (or significant part of) scheme, programme, incentive or instrument to improve health and health care, incl. through changes in practice and organisation of patient care, development and diffusion of new treatment practices and hospital procedures

	<b>6.5 Innovation for sustainable development</b>	What policy initiatives exist, if any, to specifically address sustainable development challenges through research and innovation?	<p>Dedicated research and innovation policy initiatives to address sustainable development challenges in the area of climate change, environment, water, energy, transport, circular economy, smart cities, etc.</p> <p>Institutional/operational level changes and structures (e.g. Clean Energy Agreement, Green Growth Committee, Energy Research Centre, regulatory changes, IP fast track system, Sustainable Transport Strategy, Water Research Council etc.); Programme/initiative level support (e.g. Green Public Procurement, Basic and Applied Science Funds, “Green” R&amp;D schemes, Technology Vouchers, Government grants to fund a network or consortia, special loans, tax reliefs for innovators, performance targets, awareness raising and training, standards etc.). Joint research programming initiatives addressing sustainable development challenges between OECD Member Countries and/or with third countries.</p>
	<b>6.6 Innovation for developing countries</b>	What policy initiatives exist, if any, specifically dedicated to supporting research and innovation in developing and less advanced countries?	<p>Dedicated (or significant part of) scheme, programme, incentive or instrument to develop research and innovation in developing and less advanced countries; international technology transfer schemes to the benefit of developing countries; cooperative and joint research and innovation programmes (or institution such as a jointly operated research centre) with developing countries; initiative to address the UN Sustainable Development Goals through research and innovation.</p>
	<b>6.7 Multi-stakeholder engagement</b>	What policy initiatives exist to promote a broad and diversified public engagement in research and innovation policy making with a view to improving the integration of social values in research and innovation processes and results?	<p>All initiatives aiming at strengthening a strong societal orientation of research and innovation activities (broad and diversified public engagement, research ethics, etc.) and promoting the uptake of the responsible research and innovation (RRI) approach by stakeholders and institutions (specific funding for RRI actions, incentives, norms, standards for applying RRI criteria, RRI toolkits and guidance, awareness raising campaigns, RRI training, RRI certification and monitoring).</p>

	<p><b>6.8 Science, technology and innovation culture</b></p>	<p>What are the main policy initiatives for promoting a culture of science, technology and innovation in society at large?</p>	<p>Policy programmes to implement a science, technology and innovation culture for all may include awareness campaigns or education initiatives. Awareness campaigns consist of mass-media campaigns and big events (e.g. science day, exhibitions, broadcasting programmes etc.), integrated communication operations (including more participatory strategies or face-to-face communications), the promotion of exemplary STI achievements (e.g. awards, prizes etc.), S&amp;T museums, etc. Education initiatives encompass the introduction of participatory learning techniques (e.g. hand-on learning exercises or mentorship at school etc.), major revisions of educational curricula or reforms of instructional practices in primary and secondary schools etc.; Innovation prizes and contests open to all.</p>
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## ANNEX 2: FIRST DRAFT OF THE ERA-RELATED INITIATIVES “MODULE” FOR THE 2017 EC/OECD STIP SURVEY

M1. ERA-related initiatives - *Questions for EU members states only*

	Policy topics	Accompanying Question	Prompts
<b>M1. ERA-related initiatives</b>  <i>Questions for EU members states only</i>	<b>M1.1 ERA-related debates in national setting</b>	Briefly, what are the main policy debates around the strengthening of ERA and, more generally, the coordination of national and other EU countries' research and innovation policies?	Your answer should provide a synthetic open text of 2 to 3 paragraphs describing the current main debates around the public research system and relevant policy that took place during the two last years. A policy debate may include various positions or options regarding public research matters in different national settings such as Parliament, government bodies and events, in the press, among scientific actors, etc. They may or may not have been followed up by concrete actions. This statement will be used as a key input into the 2018 STI Outlook report and European Semester process.
	<b>M1.2 ERA - change in framework conditions and institutional arrangements</b>	What recent changes in framework conditions or institutional changes, if any, have led to reforms in the ways current public policy contribute to the strengthening of ERA and, more generally, to improve the coordination of national and other EU countries' research and innovation policies??	Significant recent changes in the framework of formal institutions (governance institutions, regulations, etc.) and informal institutions (change in priorities, underlying policy model, principles, rules and ideas, etc.) shaping the public research system and policy.
	<b>M1.3 ERA-related strategies</b>	What strategies or plans exist, if any, to contribute to the strengthening of ERA and, more generally, to improve the	National strategy and/or plan related to the research system or significant part of it; National economic development strategy and plan including research.

		coordination of national and other EU countries' research and innovation policies?	
	<b>M1.4 Joint research agenda</b>	What national policy initiatives exist to promote or support the development of joint research agenda's with other EU countries?	JPI and ERAnet, outside Horizon 2020.
	<b>M1.5 International evaluation standards</b>	What national policy initiatives exist to support the adoption of mutual recognition of evaluations that conform to international peer-review principles in national funding decisions?	International peer review principles relate to Excellence, Impartiality, Transparency, Appropriateness for purpose, Efficiency and speed, Confidentiality and Ethical and integrity considerations. See the European Peer review Guide at <a href="http://www.vr.se/download/18.2ab49299132224ae10680001647/1315408483304/European+Peer+Review+Guide.pdf">http://www.vr.se/download/18.2ab49299132224ae10680001647/1315408483304/European+Peer+Review+Guide.pdf</a> .
	<b>M1.6 Cross-border interoperability of national programmes</b>	What national policy initiatives exist to facilitate cross-border interoperability of national programmes, including for co-operation with non-EU countries where relevant?	Mutual recognition of evaluation procedures, alignment of selection procedures, development of common terminology, and other rules and procedures for implementing R&I programmes (e.g. timelines, budget commitment, eligibility criteria, funding rates etc.).
	<b>M1.7 ESFRI infrastructures</b>	What national ESFRI infrastructure initiatives does your country participate in through its national infrastructures roadmap?	Reviews of large infrastructure, "roadmap projects", e-infrastructure, funding initiatives, etc.