MLE Performance Based Funding Systems

Objectives and scope
Meetings and reports
Scope MLE:

- Limited to institutional (public) funding for research
- Focus on but not limited to retrospective evaluation
- Look at relevant data issues needed for the functioning of RPBFS systems: type, quality accessibility; management, maintenance, evolution of data sources, derived indicators and platforms.
- Look at the major methodological options and performance dimensions on which to base the allocation systems supporting the policy ambitions
- Limited to Higher Education Institutions as the unit of analysis
- Comprises and understanding of the economics of RPBFS
Objectives MLE:

1) Evidence of the benefits/advantages and drawbacks of different funding models

- Assessments of the impact of differences in funding allocation
- The potential perverse incentives or unintended consequences
- The shortcomings and limitations of performance based funding based on quantitative indicators

2) Performance-based funding versus block funding

- Experiences on prioritising certain fields of research through RPBF systems
- Performance indicators used in RPBF systems and evaluation components
- Criteria that should be used to evaluate the R&D institutions
- The balance between components, period for assessment, terms for the use of funds etc.

3) The costs of implementing/maintaining/optimising funding models

- Data sources, data quality and exploitation methods
- The utility of the RPBF systems in small countries
- Relevance of contextual factors
Meetings MLE

01 Kick off meeting in Brussels: January 16th
02 Meeting in Brussels: February 24th
03 Country visit: Bibliometrics in RPBF March 13th
04 Country visit: Third Stream Metrics April 28th
05 Meeting in Brussels: Peer Review in RPBF May 23
06 Meeting in Brussels: Wrap up July 11 / September 11
Final Report
Performance Based Funding Systems

Report
RPBF design: policies and ambitions
Erik Arnold
Based on a Background Paper

Meeting 24/02 Brussels

Report
Bibliometrics in RPBF
Gunnar Sivertsen
Based on a Background Paper

Meeting 13/03 country visit

Report
Third Stream Metrics in RPBF
Jack Spaapen
Based on a Background Paper

Meeting 23/05 country visit

Report
Peer Review in RPBF
Dorothea Sturn
Based on a Background Paper

Meeting 11/07 Brussels

With active contribution and input from participant countries!
Objectives Kick off meeting:

**TO DO LIST**

- Review key concepts
- Agree specific terminology MLE
- Discussion on policy drivers and current ambitions
- Prioritization of learning topics to be addressed in MLE
- Agree Modus Operandi (planning, deadlines, reports and host countries)
- Agree information requests for the challenge papers
H2020
Policy Support Facility

Kick off meeting

MLE Performance Based Funding Systems

Marta Truco, Unit A4
'Analysis and monitoring of national research and innovation policies'
European Commission, DG RTD

16 January 2017
Goal H2020 Policy Support Facility:

Help MS "improve the design, implementation and evaluation of R & I policies".

- Supporting evidence-based R&I policies
- Drawing on the combination of
  - the high potential of learning between peers (i.e. policy-makers)
  - and high-level experts advice and assistance
How?

- Peer Reviews of National R&I Systems
- Specific Support to Countries
- Mutual Learning Exercises
- PSF Knowledge Center
PSF Peer Reviews

In-depth assessments of a country's R&I system carried out by a panel of experts and leading to concrete recommendations to the national authorities on reforms necessary to strengthen their R&I system.

* Poland and Tunisia in 2017
PSF Specific Support to countries

PSF specific support to countries aims at providing a set of concrete recommendations on how to tackle a specific R&I policy challenge and how to implement the accompanying reforms.

- **Malta**, on the best tools to monitor and evaluate the implementation of their national R&I strategy
- **Slovakia**, on framework conditions for start-ups/high growth innovative enterprises
- **Romania**, on innovative entrepreneurship
- **Slovenia**, on the internationalisation of science and higher education policies, and on the impact of R&I investments

Bulgaria, Lithuania, Latvia and Georgia in 2017
PSF Mutual Learning Exercises

Focussed on specific/ operational R&I challenges of interest to several volunteering countries, and draw on a hands-on project-based exchange of good practice.

- **Administration and monitoring of R&D tax incentive**
  LV, PT, BE, HR, FR, NO, NL CY, LT, DE (observers)

- **Evaluation of business R&D grant schemes**
  NO, DK, ES, SE, TR HU, CZ, CY, DE, RO (observers)

- **Evaluation of complex public private partnerships**
  BE, NO, BG, SE ES, DE, HU (observers)

- **Alignment and Interoperability**
  FR, LT, DK, TK, NO, AT PT, EE, SE, SI RO, DE (observers)

- **Performance-based funding of public research organisation**
  CZ, AT, CY, EE, NO, ES, SI, SE, PT, IT, TK

- **Public Innovation procurement**
  15 countries

- **Open Science and policies**
  13 countries
Mutual Learning Exercises

- Focus on **policy challenge** that is of interest to several volunteering countries.

- It identifies **good practice, lessons learned and success factors** based on robust evidence about impacts of the measures and the contextual factors.

- It provides **policy options** and tools for fine-tuning or implementing **change** in the design of the current policy system.

- **Policy learning:** MS learn from each other exploring specific questions and from experiences in other countries. Based on open, frank and confidential knowledge exchange, with active participation providing friendly peer support.

- **Modular approach:** workshops, country visits etc...

- High level advice and **assistance** from external experts.
MLE Performance Based Funding Systems:

**PEERS**
13 Participating Countries:
Czech Republic, Austria, Cyprus, Estonia, Norway, Spain, Slovenia, Sweden, Portugal, Italy, Turkey, Armenia and Croatia

**CHAIR**
Prof Koen Debackere

**EXTERNAL EXPERTISE**
Rapporteur
3 Experts

**EC – RTD**
Unit A4: Marta Truco Calbet
With the support of
JRC B7: Koen Jonkers and Thomas Zacharewicz
MLE External Expertise:

- **Erik Arnold**: Rapporteur
- **Gunnar Siversten**: Expert on Bibliometrics
- **Jack Spaapen**: Expert on Third Stream Metrics
- **Dorothea Sturn**: Expert on Peer Review
Performance Based Funding Systems

Research Performance based funding (PBF) systems are one of the mechanisms through which countries try to increase the performance of their public sector research systems. The nature of these systems, such as peer reviews or metrics, varies considerably across countries. The MLE will provide a learning opportunity for countries willing to better understand the advantages and drawbacks of various options, develop a engaging PBF systems and Design the assessment of the impact of the different systems.

**Events**

**MLE on Performance Based Funding Systems - Scoping Workshop**
- 7 September 2017
- Brussels, DG Research and Innovation
- At the Scoping Workshop main decisions were adopted for the implementation of the MLE scope, preliminary work plan and distribution of work.

**MLE on Performance Based Funding Systems - Kick-off meeting**
- 16 January 2017
- Brussels, DG Research and Innovation
- At the kick-off meeting main decisions were adopted for the implementation of the MLE scope (Define Objectives) and a first discussions took place on key concepts, overview of modalities, achievements, policy drivers and challenges of Performance Based Funding Systems (PBF).

Thank you

contact: RTD-PSF@ec.europa.eu