

COUNTRY REPORT

Social Sciences and Humanities in Portugal

2012 Report

The Social Sciences and Humanities are influential for all Member States and for the European Commission. Thousands of researchers carry out research in a vast array of themes of national and international interest. They do so taking into account their organizational structures, framework conditions, as well as cultural preferences and political priorities in their countries.

METRIS is an initiative of the Directorate-General for Research and Innovation (DG RTD) which aims to become an entry and reference point for the social sciences and humanities landscapes in Europe. Commissioned by the ERA Directorate of DG RTD and performed via the Metris-Network, it pursues the collection, regular updating, and analysis of information on social sciences and humanities at national and European level.

METRIS products

All products are brought together under the website www.metrisnet.eu. It provides METRIS country profiles for all EU-27 countries plus another 15 European and non-European countries, most of them Associated countries to the European Union's Research Framework Programme. The website provides access to the following services and publications, as they become available:

- Regularly updated country profiles of SSH systems in 42 countries;
- a news service;
- annual monitoring reports for all countries covered;
- synthesis reports bringing together key points;
- links to relevant reports and websites

This document has been prepared within the framework of an initiative of the European Commission's Research and Innovation Directorate-General, addressing the ERAWATCH Network asbl. The METRIS network is managed by Technopolis Consulting Group, the project manager is Dr. Viola Peter (viola.peter@technopolis-group.com).

The present report was prepared by Emília Araújo and Moisés Martins, University of Minho (era@ics.uminho.pt) with valuable commenting of Tiago Pereira. The contents and views expressed in this report do not necessarily reflect the opinions of the Member States or the European Commission.

The report covers the period from September 2011 to December 2012.

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1. Country Overview

1.1 Overview of SSH System

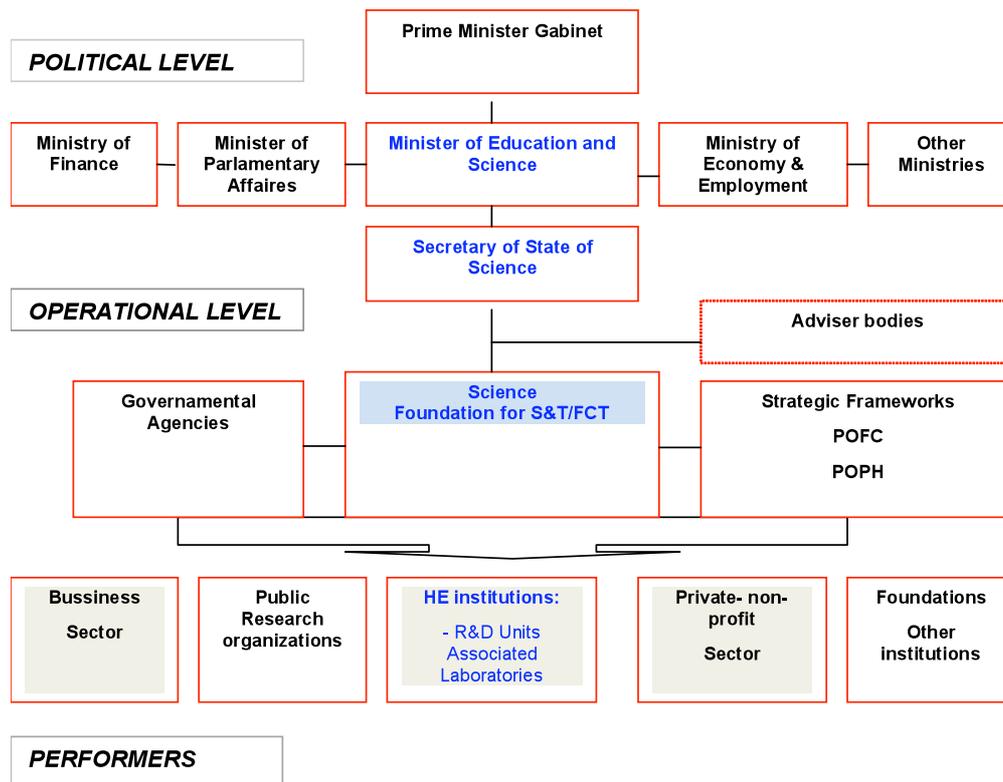
1.1.1 Overview of the structure

The orientations and decisions regarding SSH are taken by the National Foundation for Science and Technology, under the auspices of the Ministry of Education and Science.

The formal structure of the system remains virtually the same, as it was described in prior Portuguese METRIS reports (2010; 2011):

- Foundation for Science and Technology (FCT) is the main implementing body as regards to SSH science policies;
- SSH research is mainly sustained by public funding;
- The key sector of performance in SSH research is higher education.
-

Figure 1. Overview of the structure



1.1.2 Recent changes in the system

Since 2011 there are changes in the S&T system. Some of them were induced due to the financial crisis, governmental restructuring, and austere budget cuts.

Overall, the main modifications are as following:

- A strengthening of the power of the Secretary of State for Science who, in coordination with the Secretary of State of Higher Education and under the auspices of the Ministry of Education and Science, is one of the main policy-making bodies with regards to the field of science and technology.
- Re-assignment of responsibilities - assignments of closed-down organs are now performed by other ministries, agencies and institutions. This is for example the case of UMIC – the Agency for the Knowledge Society, whose competences were integrated into the Foundation for Science and Technology (FCT).
- The Coordination Council for Science and Technology was dissolved (law of 29/12/2011). Tasks were assigned to the National Council of Science and Technology, whose main task consisted in advising the government on matters concerning science and technology with a view to a definition of national policies and medium to long term strategies.

1.2 Policy challenges and developments

1.2.1 Main societal challenges translated into SSH research

The severe economic crisis in Portugal is hitting all sectors, including science, technology and research. The external intervention of the IMF, EU and ECB (Troika) has been marked by persistent cutting of funds for research (centres, projects and individual grants), and a downsizing in various sectors. It led to clearing of governmental agencies, foundations and other services, reducing the number of ministries and state departments, and reducing the number of research centres.

While this impacts the research system at large, it also propels societal problems. The unemployment rate is now around 18%, many families are at risk of poverty, and a growing number of people is migrating. Together with a continuing falling birth rate and a high share of older persons, these are societal challenges which are also taken up by SSH research.

Recently, congresses, workshops and scientific meetings, as well as publications tend to concentrate around the subject of the crisis; its causes, experiences, and ideas how to surpass it. Thematic priorities by several SSH related programmes, as well as the last call for scientific projects by the FCT suggest that relevant societal problems are being dealt with within SSH such as employment and qualifications, poverty and the welfare state, social conflict and violence, as well as health and public services.

Concerning the socio-economic crisis and its effects on SSH as a field in the S&T system, there are two strands of reasoning: One strand pushes for an active role of SSH research in finding better modes of dealing with problems related to economic crisis while the other one denies this role and asks for shifting resources to other scientific areas.

1.2.2 New SSH policy developments

Portugal does not have a specific policy on SSH, instead it is dealt with in the general framework of science and technology policies.

The S&T policy developments are shaped by the financial crisis and the need to cut funding. The government has thus undertaken some circumstantial measures aimed at:

- Recombination of scientific areas;
- Encouraging the creation of research consortia;

- Fostering quality and excellence in research reflected in the creation of doctoral programmes;
- Fostering research evaluation;

2011/2012 was also marked by the use of a new project funding methodology: the research units obtained funding on the basis of the submission of a single specific project. This methodology replaced the previous procedure that took the number of PhD researchers as the basis to calculate the funding amounts.

The last announcements by the FCT will bring relevant financial cuts to all research units. Only those research units considered excellent in the last evaluation process (2007) will be eligible to apply for funding in 2013/2014.

2. Policy Setting System

2.1 Government policy making and coordination

2.1.1 Policy formulation and coordination

The orientations and decisions regarding SSH are taken by the National Foundation for Science and Technology (FST) under the auspices of the Ministry of Education and Science and through the Secretary of State for Science (SEC).

The Ministry of Finance as well as the Ministry for the Economy and Employment play now important roles for setting out science policies. This is due to the need to control closely all public expenditure and to the need to define priorities for the spending.

Of some importance are also the Minister of Parliamentary Affairs (in charge of European Social Funds), mostly through the Secretary of State Assistant; the Secretary of State for Parliamentary Affairs and Equality, and the Secretary of State for Sport and Youth. The Ministry of Health and the Secretary of State (Culture, Youth and Sport) also influence on SSH research trends. These ministries have a particular influence on the definition of priorities associated to Strategic Framework Plans, and they are closely linked with the management of funds.

Not-for-profit organizations as well as some civic associations influence the implementation of specific programmes in order to target or promote research on socio-cultural topics such as gender equality, domestic violence, or sexuality.

2.1.2 SSH policy advice

There are several organisations providing policy advice. For example the Foundation for Science and Technology issued a specific report to the Scientific Council for SSH with "Social Sciences: More excellence, More Impact" in 2011 in which several recommendations were given for a more consistent SSH policy. There is so far no evidence if and how policy making has taken this into consideration. In 2005, the CICX – the Council of Research Units in SSH provided a report with several recommendations to SSH policy. Again, there is no evidence that these suggestions were taken up by policy makers.

Another organisation providing advice is the CES - The Economic and Social Council. It is a specific body dealing with social and economic questions. CES is a consultative body, stipulated in the Portuguese Constitution whose main task is to provide a view on options and plans for economic and social development, economic policy and the position of Portugal in the European institutions.

Other bodies providing policy advice in SSH in one form or the other are:

- The National Council of Science and Technology
- The Coordinating Council of Higher Education
- The National Council of Education
- The National Agency for Quality Control in Higher Education (A3ES)
- The CRUP - Council of Portuguese Universities Rectors
- The CLA – Council of Associate Laboratories
- The Network for Contemporary History.

- The CIPES (Centre for Research in Higher Education Policies, Oporto University)

2.1.3 Main implementing bodies

The key implementing body is the Foundation for Science and Technology (FCT), throughout several projects, programmes and activities.

Jointly with the FCT, there are important commissions which also implement SSH research:

- CIG – The Commission for Citizenship and Gender Equality;
- CITE - The Commission for Gender Equality in Work and Employment;
- ACIDI - High Commissariat for Immigration and Intercultural Dialogue;
- Structures in charge of the European Social Funds that implement some of the operational programmes;
- The Portuguese Youth and Sport Institute and the Portuguese National Statistics Institute by commissioning directly research projects;
- ADI – Innovation Agency.

At a more operational level, besides research units and associate laboratories, there are some regional institutions commonly associated with local governments (social networks; ONGs, and other) that develop SSH related projects concerning territorial development, local identities, innovation, and knowledge transfer.

There is also a considerable number of scientific observatories linked to research units and associate laboratories that are devoted to SSH.

2.2 Impacting factors

2.2.1 Policy fields influencing SSH policies

In terms of thematic topics and at national level, a number of ministries play a role: the Ministry of Education and Science, the Ministry of Justice, the Ministry of Economy and Employment, as well as the Secretaries of State of Culture, Social Security and Youth and Sport. The Ministry of Agriculture, Marine, Environment and Territorial Planning also appear involved in SSH research. These are nonetheless heavily shaped by the Ministry of Finance with its budget powers and thus influence also on the modes of funding, definition of priorities and evaluation of SSH.

2.2.2 Influence of European and international developments

Apart from the fact that SSH research is heavily dependent on EU funds, one can note that Portugal follows closely European developments in all policy fields. This is due to the poor economic state of the country and its subsequent need for EU support. EU requirements point to necessary internal S&T policy changes with regards to funding modes (towards strategic projects), evaluation criteria (more emphasis on publications in journals with an impact factor) and the general configuration of research units by fostering the creation of consortia.

In general terms, SSH research in Portugal is faced by a more targeted and economically driven policy.

2.2.3 Relevance of European and international SSH research

According to last report by National Foundation for Science and Technology (2013), Portuguese SSH researchers participate in several European programmes. In the majority of the cases they participate as team members.

Regarding the Portuguese participation in FP7, there are three main research units (two of them associate laboratories) with a stronger presence:

- The Institute of Social Sciences – ICS (University of Lisbon)
- The Centre for Social Studies - CES (University of Coimbra)
- The Centre for Research and Studies in Sociology – ISCTE (University of Lisbon).

There are two FP-SSH projects coordinated by Portuguese entities:

- TOLERACE (racism and interethnic relations), project developed by SSH associate laboratory (CES), University of Coimbra;
- GEITONIES (urban space and ways of life), project developed by the Research Unit in Geographical Studies, Lisbon University.

The synopsis report provided by the EC concerning FP7 projects (2011-2012) gives more accurate information for this period. According to this report, there are eight projects with Portuguese participation. Most of them are with teams from the universities in Lisbon, Coimbra, and Oporto. The projects are:

- FESSUD - Financing, economy, society and sustainable development
- TEPSIE - The theoretical, empirical and policy foundations for building social innovation in Europe
- ALICE RAP - Addictions and lifestyles in contemporary Europe Reframing addictions
- URBACHINA - Sustainable urbanisation in China: Historical and comparative perspectives, mega-trends towards 2025
- MYPLACE - Memory, youth, political legacy and civic engagement
- NORFACE-II - New opportunities for Research Funding Agency cooperation in Europe II
- HERA JRP CE - Humanities in the European Research Area – Joint Research Programme - Cultural encounters
- POCARIM - Mapping the population, careers, mobilities and impacts of advanced research degree graduates in the social sciences and humanities

With NORFACE and HERA, the two (previously) SS & H related ERA-NETS Portugal is also present in these multinational frameworks. The FP projects of Portuguese partners are in

2.2.4 Impact of evaluations

National procedures concerning SSH evaluation are impacting on the amount of funding received by each research unit from the Foundation for Science and Technology. However, one cannot speak about a more sophisticated approach towards evaluations. The evaluations made in 2006/2007 are still used as a basic for funding decisions.

2.2.4.1 Project evaluation

Projects are in general evaluated following the stipulations in the initial contract made between the funding agency and the individual researcher.

At the end of the project (they normally last between one and three years), different experts contacted by the funding agency evaluate the scientific reports submitted by

individual researchers. The individual researcher and his/her team receive the evaluation results.

There is no specific information about the use of this ex-post project evaluation, but it is believed that it is taken into consideration in further submission rounds.

2.2.4.2 Programme evaluation

There are no specific programmes in Portugal other than the Operational programmes under the Structural Funds. All the operational programmes are evaluated according to specific guidelines. Most of them are very strict with regards to financial matters.

In most cases, these programmes ask for an accompanying commission which is responsible for monitoring the use of funds and to secure budget limitations.

2.2.4.3 Institutional evaluation

The previous METRIS reports (2010, 2011) explained the main characteristics of evaluation processes adopted by the FCT in Portugal between 2003 and 2007. Since 2008 evaluation has been made on the basis of different criteria and instruments.

2012 and 2013 are marked by the use of the INCENTIVO programme, taking into consideration two following relevant indicators.

- The number of international projects funded by FP7 and other foreign organizations;
- The number of publications in international databases;
- The quality and excellence of the research strategic plan delivered by each research unit.

The results of this evaluation/funding are published.

At the end of 2012, FCT prepared a draft new evaluation methodology for the funding of research units, *“according to the most rigorous international standards”* (p.1). This draft was sent to all research units and the academic community with a view to obtain their opinion.

That draft document ensures that new models of evaluation and funding will require a different configuration of research units, as well as new orientations concerning the international positioning of Portuguese science. It states, that funds will be provided mainly according to a project-driven basis. It also proposes that evaluations will occur in a seven year interval. The draft document also mentioned that *“It is thus crucial to create the institutional conditions in Portugal enabling researchers to address new challenges arising from the Europe 2020 Strategy and in particular the priorities established by Horizon 2020”* (p. 1-2).

This document and its proposed evaluation methodology faced a lot of critique. One of most severe ones came from the CRUP - Council of Portuguese Universities Rectors, arguing that the proposed models of evaluation and funding will negatively impact the Portuguese research system. The council pointed out grave repercussions resulting from the project-driven funding methodology.

The CLA – Council of Associate Laboratories issued a document, mentioning similar concerns on negative effects of the project-driven funding, and expressing some doubts with regards to the objectives to be achieved with the reconfiguration of research units.

This is very much in line with the views of individual SSH researchers fearing that these new policy orientations will be harmful to their areas in the majority of universities and research centres. The Network for Contemporary History added an argument, namely the need to take into consideration the specificity of SSH, with regards to its contribution to regional development.

The University of Coimbra also responded, signalling the need to establish in SSH international evaluation panels which also integrate experts from other Portuguese speaking countries while the APS - Portuguese Sociological Association pointed out the need for Portuguese evaluators within this process.

2.3 Important policy documents

The existing document containing some information about SSH-related R&D potentially translated into SSH policies is:

- Scientific Council for the SSH (2011) “Social Sciences: more excellence, more impact. Internationalization, pluralism, multidisciplinary, evaluation, dissemination and relationship between national policies and scientific community - Progress Report”.

Further important documents

Council of Research units in SSH - CICX (2005) “ Reflections and opinions of CICS in science policy and to support research in the social sciences and humanities.

2.4 Thematic priorities at national level

There are no published documents concerning the policy priorities for SSH. However, on the basis of the 2009 call, as well as information available in official sites, the main priorities are marked in the table below.

	Priorities
x	Behavior, cognition,
	Competitiveness, Innovation
	Conflicts, peace, security and human rights within the EU and beyond
	Crime and Crime prevention (including drugs, organized crime etc.)
x	Cultural heritage (including preservation and conservation)
	Democracy, governance, accountability and responsibility
	Demography (Ageing, Fertility)
	Economy and finance
x	Education, skills, knowledge and life-long learning
	Employment, Work, Working conditions
	Ethics
	Families, life-styles and well-being
	Gender, gender equality
	Globalisation
x	Health and Health systems
x	Identity, religion, language, multiculturalism
	International relations
	Migration
	Social cohesion, exclusion, inequalities, poverty
	Sustainable development
	Urban and rural development
X	Others: Multiculturalism

2.5 Important research programmes

Programme title	Knowledge and Technological Development
Start date	2007
Planned end date	2013
Planned total budget	€773.800.000
Budget 2011/2012	€ No data available*
Implementing organisation	Operational Programme for Competitiveness Factors
Target group	Medium-sized and large companies; higher education institutions and scientific and technological entities; state laboratories and associated laboratories; interface entities and Technical assistance advisory bodies
Key goals	Promote training offers dual certification, integrating the objectives of professional qualification and/or further study; To promote the employability of young; Increase Equal Opportunities for both sexes.
Website	www.pofc.qren.pt/PresentationLayer/conteudo.aspx?menuid=722&exmenuid=605
Tags	Certification; Qualification; Employability

Programme title	Advanced Training
Start date	2007
Planned end date	2013
Planned total budget	€ 645.714.286
Budget 2011/2012	No data available*
Implementing organisation	Human Potential Operational Programme
Target group	Graduate students, graduates, masters and doctorates; higher education institutions and scientific institutions, public or private; other institutions and public bodies, of the central and local administration; legal persons of private law, for profit or non-profit.
Key goals	Increasing the performance of new doctoral and pos-doctorates, as support system for science and technology and aimed at achieving European Benchmarks; Increase the number of researchers and scientific jobs in science and technology institutions and companies; Increasing public investment in scientific research, creating the conditions for increasing private spending on R&D enterprise; Broadening the social base of higher education students, based on criteria of accuracy and selectivity.
Website	www.poph.qren.pt/content.asp?startAt=2&categoryID=444
Tags	Research; Higher Education

Programme title	Citizenship, inclusion and social development
Start date	2007
Planned end date	2013
Planned total budget	€572.105.834
Budget 2011/2012	€ <i>No data available*</i>
Implementing organisation	Human Potential Operational Programme
Target group	Legal persons of public law belonging to the central and local administration, including Public Institutes; legal persons of private law, for profit or non-profit; natural persons
Key goals	Operate in areas with higher rates of exclusion or more depressed, making them more inclusive territories; Increase installed capacity in social responses in the areas of children and youth, elderly disabled and family and community; Prevent failure and early school leaving students in integrated ways that are particularly disadvantaged and at risk of social exclusion and school; To promote the skills and labour market integration of disabled people and disability; Promote active citizenship in a culture that values civic participation.
Website	www.poph.gren.pt/content.asp?startAt=2&categoryID=446
Tags	Equal opportunities; Competitiveness; Citizenship

Programme title	Gender equality
Start date	2007
Planned end date	2013
Planned total budget	€ 68.302.621
Budget 2011/2012	€ <i>No data available*</i>
Implementing organisation	Human Potential Operational Programme
Target group	Legal persons of public law belonging to the central and local administration, and their agents; legal persons of private law, for profit or non-profit; entities of the Civil Society with goals of Gender Equality promotion.
Key goals	Increasing the efficiency of public policy instruments to promote gender equality and its system of governance; Strengthening the role of civil society as structuring agent for gender equality; Disseminate the values of gender equality through education and information; Promoting equal opportunities in access to and participation in the work market; To promote reconciliation of work, family and staff; Prevent gender violence, including domestic violence, including domestic violence and trafficking in human beings.
Website	www.poph.gren.pt/content.asp?startAt=2&categoryID=447
Tags	Equal opportunities; Human Rights

2.6 SSH research infrastructures

2.6.1 National infrastructures

The more relevant research infrastructures in Portugal relate to research centres, most of them (including Associate Laboratories) located at different universities. Data provided by FCT indicates that 14% of the total numbers of research units are in SSH whereas 8% of the total Associate Laboratories are in SSH.

There are several structures supporting research, with effects over all the scientific areas:

- The Portuguese Social Information Archive, **APIS**, is a scientific infrastructure in the field of social sciences that results from a joint project between ICS (proposing institution), CES, CIES, CESnova and CEG.
- The Integrated system of information and knowledge, **SIIC**, is a specific structure aiming to provide support to research related to gender equality and domestic violence.
- The operational programme for technical assistance to **FSE, POAT**, is a specific structure aiming at supporting the administration of European Social Funds.

2.6.2 International infrastructures

Portuguese researchers participate in the following international SSH infrastructures:

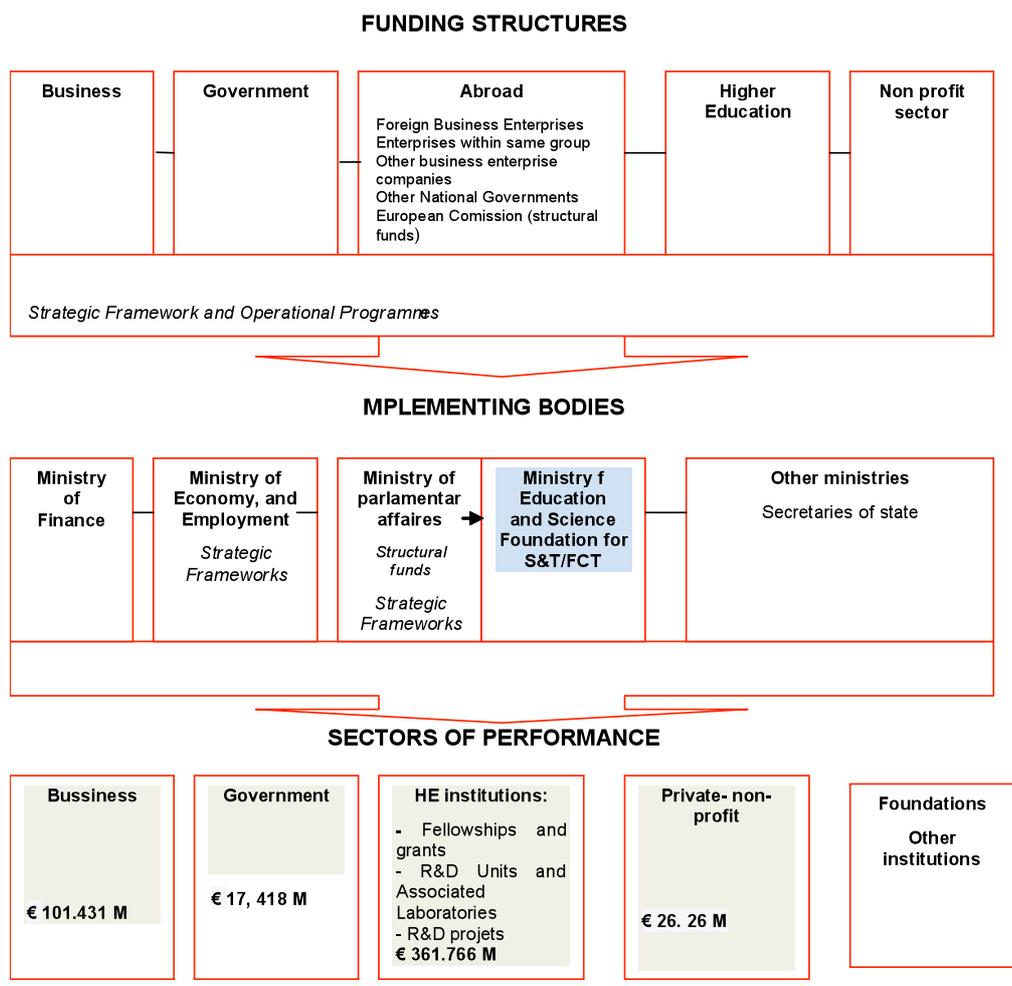
- Researchers from the Institute of Social Sciences (ICS-UL) participated in the ESSi preparatory phase.
- Researchers from the University of Lisbon, Natural Language and Speech Group – participate in CLARIN.
- Researchers from ICS (university of Lisbon) participate in PIREDEU
- Researchers from LNEG participate in CHARISMA

There are no Portuguese participations in SHARE, DARIAH, ARIADNE or CESSDA. However, the analysis of some research units' reports indicates that some of these projects involve Portuguese researchers, albeit via subcontracts. For example in the case of SHARE, the Research Unit in Social Sciences of the University of Minho, Braga, is involved.

3. Funding System

3.1 Overview of funding flows

Figure 2. Overview of the funding flows



Source: OCDE / Gross domestic expenditure on R-D by sector of performance and field of science

3.2 National public SSH research funding

3.2.1 Overview of funding importance

The majority of total intramural R&D expenditure (GERD) by sectors of performance and fields of science (SSH) as a share of GDP indicates that the major expenditure is in higher education institutions (21%), followed by the business enterprise sector (6%), the private not-for-profit sector (2%) and only marginally within the government sector (1%).

R&D expenditure in the government sector has decreased between 2009 and 2011. According to OECD/Eurostat data on GBAORD “R&D financed from General University Funds (GUF)” and “General advancement of knowledge: R&D financed

from other sources than GUF” is decreasing from €1067,19m in 2011 to €940,16m in 2012.

Concerning Gross Domestic Expenditure in all scientific areas on R&D, from a total of €2.7m, only about 20% (€567,438m) refer to “general advancement of knowledge”.

Gross Domestic Expenditure on R&D by sector of performance and field of science (GERD on SSH) has decreased between 2009 and 2010:

- **Higher Education** registers a reduction of €0.58m (total €361.7m in 2010)
- **Private not-for-profit** obtained €3.59m less (€26.2m in 2010)
- **Government** a reduced amount of € 7,437 M. (€17.4m, in 2010)
- Only the **business** sector shows an increase of €25.3m, excluding humanities. In 2010 it accounted for €101.4m.

A significant part of funding comes directly from national sources (GBAORD), the other part of the funding comes from the European Structural Funds. Funds from the business sector are getting more and more important for SSH research. Despite the role of several institutions concerning funds implementation, FCT (Secretary of State of Science) has the main role.

The largest share of European Structural funds is implemented through operational programmes. The FCT participates in these programmes and acts as an intermediary for further allocations. The funding then follows in form of grants, fellowships, and collective research projects submitted by individual researchers and/or teams, and selected on a competitive basis.

One can note that international funding, mainly through the European FPs are becoming more and more important: an increasing number of Portuguese applications can be noticed.

3.2.2 Institutional funding

According to FCT data, between 2010 and 2011 a significant decrease in funding can be observed for all broader scientific fields.

In 2011, FCT funds provided directly to R&D units and associated laboratories in SSH, amounted to €9.7m, equalling a share of 23% of the total funding for all scientific areas.

Table 4. FCT funds provided directly to R&D units and associated labs in SSH and non-SSH fields, 2005-2011

Year of funding	Non-SSH fields		Social sciences		Humanities		Total
	Euro	%	Euro	%	Euro	%	Euro
2005	46.258.237	93,6	6.679.405	13,5	3.136.583	6,3	49.394.820
2006	29.873.098	83,1	4.222.284	11,7	1.851.377	5,2	35.946.759
2007	62.502.794	82,7	8.295.549	11	4.803.874	6,3	75.602.217
2008	70.693.082	79,4	11.397.359	12,8	6.941.181	7,8	89.031.622
2009	57.465.331	81,1	8.165.740	11,5	5.203.888	7,4	70.834.959
2010	61.732.890	78,7	9.999.439	12,8	6.700.949	8,5	78.433.278
2011	32.712.202	77	6.295.128	14,8	3.427.268	8,1	42.434.598

Source: Information provided by the Portuguese National Foundation for Science and Technology (FCT – accessed in December 2012)

3.2.3 Individual funding

There are two main forms of individual funding with Research Grants and FCT researcher grants.

- The largest share of the total FCT funding concerns fellowships and grants (around 60%), while R&D projects, for example, only make up for 15%.
- The fellowships and grants are awarded on a competitive individual basis, according to specific criteria.

PhD fellowships in SSH have increased in number representing 40% of the total number of PhD grants.

Table 5. Total number of individual fellowships funded by FCT, selected years

Year	Social Sciences	Humanities	Total
2000	162	92	797
2005	264	165	1195
2010	354	251	1624

Source: FCT/MEC/ [PORDATA](#)

About 14% of FCT funding is going into SSH research projects. As table 6 indicates, a significant drop happened after 2010.

Table 6. FCT funds provided directly to R&D projects, selected years

Year	Social Sciences	Humanities	Total All Areas
2000	741.513	32.921	9.276.944
2005	2.437.525	1.840.791	29.037.659
2010	7.789.041	4.140.189	80.580.760
2011	5.737.609	2.462.720	58.827.217
Total	45.875.867	23.056.780	487.460.248

Source: [Portuguese National Foundation for Science and Technology \(FCT - 2012\)](#). The classification of “projects” as research projects presented in an individual basis (the PI) was used.

3.2.4 Programme Funding

The QREN - National Strategic Reference Framework - is ensured with the support of structural funds, namely ERDF and ESF. QREN is the main entity administering funds.

Within the Thematic Operational Programmes and Regional Operational Programmes for the regions in the mainland and for the two Autonomous Regions (Madeira and Azores), there is another channel presenting a significant amount of GOVERD with relevance for SSH research.

The two major thematic programmes are:

The [COMPETE - Operational Programme for Competitiveness Factors](#) - comprises a total amount (public and private) of over €5.5bn. More than 50% of this total is funded by ERDF.

This programme encompasses the specific axe “knowledge and technological development”, whose total budget is €894.999m. While it is not possible to identify

the exact amount used for SSH, according to information by COMPETE, SSH received funded below €20m (COMPETE Report 2011, p.144).

Information on selected projects and amounts funded for an open call for SSH in 2012 (SAESCTN) is not publicly available.

The [POPH - Human Potential Operational Programme](#) - has a global allocation of €8.8m, 70% comes via European Social Fund. This programme involves a number of non-SSH specific or relevant agencies and organisations, which may also obtain funding from other sources. It is thus not possible to specify neither the sources, nor the amounts which may be benefitting SSH research.

In the case of the associated labs, the funding via contract research is relevant, however, there is no estimate about its volume and significance.

3.3 Private research funding

The business sector being volatile and following business trends, has performed SSH research for €101m in 2011. This is a considerable increase from the two previous years (€88 and € 76m respectively), but not yet at the level before the crisis (2007: €144m). The funding is almost entirely on social sciences, while the humanities play just a minor role with about 6%.

3.4 Foundations/ not-for-profit funding

According to Eurostat, the private not-for-profit sector funded in 2010 a total of €26.3m for the Social Sciences and Humanities.

Some of relevant foundations to SSH research are:

- Fundação Calouste Gulbenkian
- Fundação Luso-Americana para o Desenvolvimento
- Fundação Mário Soares
- Fundação Ilídio Pinho
- Fundação Oriente
- Fundação Francisco Manuel dos Santos

3.5 European and international funding

According to Eurostat data, in 2009, the share of funding from abroad in Portugal's GERD was 4.1. In 2010, it decreased to 3.2%. 66% of this funding from abroad comes through the European Commission, which is, FP funding.

Relevant SSH funding from abroad by sector of performance, has decreased sharply in the most relevant Higher Education sector: from 2011 to 2012, it decreased from €16.7m to €8.1m. Albeit using a different period, in the not-for-profit sector, funding from abroad increased from €0.7m in 2009 to €1.2m in 2011.

Data on FP7 funding for Portugal's SSH research communities indicate that between 2007 and 2012 €4.85m were received – a share of 1.08% of the total funds provided by FP7.

There is a strong regional concentration of EU funding with 64% concentrated in the Lisbon region, followed with 19% in the North and 17% in the Centre. Most of this funding is used by higher education institutions, research units and associate laboratories.

4. Performing System

4.1 Overview of the performers

The higher education sector in Portugal is the principal performing actor in SSH research followed by private research bodies and public research organisations.

4.2 Higher Education Institutions

4.2.1 HEIs as education performers

The Portuguese SSH research system is deeply dependent on the higher education sector of performance.

There are 30 public HEIs (15 universities and 15 polytechnics) and 41 private HEIs (26 universities and 15 polytechnics) in Portugal. The main HEIs in Portugal are public (for more detail see also METRIS report 2010, 2011).

The total number of students enrolled in higher education by type of institutions shows the relevance of the public higher education, in particular the universities. However, enrolments in universities peaked already more than 10 years ago. Since 2001, the universities have lost a small share of students while the polytechnics gained.

Table 7. Students enrolled in Higher Education by type of institution, Portugal, all scientific fields, selected years

Year	Total	University	Polytechnics
2001	387703	254714	132989
2005	380937	241054	139883
2010	383627	243980	139647
2011	396268	253558	142710
2012	390273	253059	137214

Source: GPEAR/MCTES.

In 2012 the percentage of students enrolled in SSH was about 47%, down from 56% in 2000.

Table 8. Students enrolled in SSH Higher Education in Portugal, selected years

Year	Total SSH	Total	% SSH
2000	209591	373745	56,08
2005	185023	380937	48,57
2010	176863	383627	46,1
2011	185153	396268	46,72
2012	181660	390273	46,55

Source: DGEEC/MEC, PORDATA

While overall, the number of graduates increased in Portugal between 2001-2011, similar to the decreases in number of students, the number of SSH graduates decreased as well.

Table 9. Total number of graduates by field of education and training, selected years

Years	Total SSH	Total	% (SSH)
2001	36390	61140	59,5
2005	36009	69987	51,5
2010	36271	78609	46,1
2011	35617	78785	45,2

Source: DGEEC/MEC - DIMAS/RAIDES/Pordata

Ph.D.s can be obtained within Portugal or abroad. A doubling of Ph.D.s in absolute terms can be seen between 2000 and 2010. While the absolute number of SSH Ph.D.s slightly more than doubled, its share increased by four percentage points.

Table 10. PhDs recognized by Portuguese universities by fields of science, selected years

Years	Broad Scientific areas		Social Sciences and Humanities		Total	
	N	%	N	%	N	%
2000	550	64	310	36	860	100
2005	767	64	431	36	1198	100
2009	953	59,7	642	40,3	1595	100
2010	994	59,7	672	40,3	1666	100

Source: DGEEC/MEC, PORDATA

4.2.2 HEIs as research performers

HEIs are the main sector for all researchers in Portugal. For SSH, between 86% and 95% of the total number of researchers were in this sector (see Table 12). The number of SSH researchers in the sector decreased since 2008. Already since 2005, vacancies in SSH are rather rare. A considerable number of these researchers are financed via fellowships rather than being based on permanent positions.

Table 12. Number of researchers by sectors of performance in SSH, HC, 2010.

Sectors	Total		Social Sc.		Humanities	
	N	%	N	%	N	%
Business enterprise sector	19235	20	1317	6,1	137	1,1
Government	5101	5,3	474	2,2	241	2
Higher Education	64652	67,2	18663	86	11540	94,2
Private not for-profit	7246	7,5	1261	6	333	2,7
Total	96234	100	21715	100	12251	100

Source: Eurostat 2013 *Total R&D personnel and researchers by sectors of performance, sex and fields of science [rd_p_perssc] (OCCUP – Researchers UNIT – Head Count)

Historically, SSH research was predominantly undertaken by the older universities, also known as the classic universities, concentrated in the four Portuguese cities of Lisbon, Porto, Coimbra and Évora. These universities are still more influential with regards to the entire configuration of SSH in Portugal.

Since 1980 other public universities in other locations such as the Azores, Minho, Beira Interior, the Algarve, and Aveiro provide SSH research and post-graduate courses.

Below there are the names of the main universities, all of them integrating SSH.

- University of Aveiro
- [University of Lisbon](#)
- [ISCTE](#)
- [New University of Lisbon](#)
- [Technical University of Lisbon](#)
- University of Coimbra
- [University of Porto](#)
- [University of Minho](#)
- [University of Algarve](#)
- University of Trás-os-Montes e Alto Douro
- University of Azores
- University of Évora
- UBI
- Madeira University (UMa)

There are a few important private universities in which SSH research is considerable:

- [Portuguese Catholic University](#)
- Autonomous University of Lisbon
- Open University
- Lusófona University of Humanities and Technologies

The higher education Institution Militar Academy (Academia Militar) has also an important role promoting SSH research. However, researchers linked to this institution belong normally to other research units.

In Portugal, there are the following representative bodies for universities:

- Foundation of the Portuguese Universities – FUP
- Council of Rectors of the Portuguese Universities - [CRUP](#)
- Portuguese Association of Private Higher Education Institutions - [APESP](#)
- Coordinating Council of Polytechnic Higher Institution - [CCISP](#)
- Association of Portuguese Higher Polytechnic Institutions
- Association of the Portuguese Speaking Universities - [AULP](#)

4.3 Public Research Organisations

Public research organisations are only the third most important performing sector for SSH.

In 2010, Portugal had 70 public research organisations involved in SSH fields, a great number of them linked to ministries and departments of public administration.

One may highlight three:

- The Tropical Research Institute - IICT. SSH field focus: economics & management; sociology; geography (economic and social); communication sciences; other social sciences; history and archeology.
- Statistics Portugal - SSH field focus: economy and management; sociology; geography (economic and social).
- The General direction for civil servants qualification - INA. SSH field focus: economics and management; sociology; political sciences; other social sciences.

4.4 Private research performers

According to the database of the Ministry of S&T and HE, Portugal had approximately 55 R&D units with the legal status of private not-for-profit sector within the SSH field in 2005. The vast majority of these R&D units with the legal status of private non-profit organisations are hosted at public and private higher education institutions.

According to the same source, the number of business enterprises active in SSH research is very small. The most important business enterprise performers were consultancy firms with competences in the following fields: economics business and management; media and communication; design; and information technologies (FCT). Some multinational firms support SSH research projects, such as GALP Energia and EDP, other firms support SSH research via private foundations (e.g., Jerónimo Martins).

Table 13. Number of private non-profit R&D Units by hosted institution and thematic focus, Portugal, 2005

Hosted institution	Nr.	Focus
Mértola's Archaeological Site	1	History and archeology Languages and literatures Art
Centre for Studies to Social Intervention	1	Sociology
Portuguese Centre for Design	1	History and archeology; other humanities
Research Centre on Information Technology and Participatory Democracy	1	Economy and management; educational sciences; political science; communicational sciences; other humanities (and other non SSH fields)
Research Centre on Development and Rehabilitation	1	Psychology; educational sciences; sociology
Research Centre on Media and Journalism	1	Communicational sciences
Sta casa da Misericórdia de Lisboa	1	Sociology; history and archeology; arts
Azores Regional Govern	1	History and Archeology
Foundation of the Portuguese Universities	1	Political science

Source: European Commission, DG-RTD, METRIS country reports 2010. Information provided by GPEAR/MCTES.

4.5 Research performance

4.5.1 Scientific publications

As stated in previous Metris reports (2010, 2011), Portuguese SSH researchers have been expressing a concern with regards to the most recent evaluation trends relying heavily on the number of publications in international databases. Portuguese SSH research is traditionally strongly based on the use of Portuguese language. There are some relevant initiatives to expand even more the Portuguese language by promoting SSH publications within the Portuguese speaking countries.

Different publication habits and publishing languages can partly explain differences in publication numbers. Differences also are bound to the science of the respective scientific community. The following information thus needs to be interpreted bearing the flaws in mind.

Table 14. Scientific production by area

Fields	2007-11
Agricultural Sciences	1 473
Biology & Biochemistry	2 379
Chemistry	5 885
Clinical Medicine	5 227
Computer Science	972
Ecology/Environment	2 332
Economics & Business	864
Engineering	4 016
Geosciences	1 132
Immunology	358
Materials Science	2 427
Mathematics	1 735
Microbiology	918
Molecular Biology & Genetics	1 064
Neurosciences & Behavior	747
Pharmacology & Toxicology	696
Physics	3 959
Plant & Animal Science	3 328
Psychology/Psychiatry	647
Social Sciences, general	1 086
Space Science	595
Multidisciplinary	50
Total	41 840

Source: InCites™, Thomson Reuters (2012) DGEEC/MEC *Scientific using classification from Essential Science Indicators (ESI)

If one looks only at the development of the SSH publications included in the Web of Science, one can note a significant increase since the year 2000. The annual average increase between 2000-2011 for SSH publications was 34%. The Web of

Science classifies SSH disciplines such as economics and psychology separately from the rest of SSH.

Table 15. Cumulative number of publications and citations of Portuguese SSH publications

Years	Publications	Publications %	Citations	Citation impact by area
2000-04	172	42,44	193	0,70
2001-05	211	38,39	255	0,72
2002-06	264	33,71	312	0,66
2003-07	327	37,31	467	0,76
2004-08	478	38,28	569	0,60
2005-09	649	41,91	945	0,70
2006-10	854	41,92	1 306	0,74
2007-11*	1 086	40,70	1 624	0,71

Source: InCites™, Thomson Reuters (2012) [DGEEC/MEC](#) *Scientific using classification from Essential Science Indicators (ESI)

The following table 16 shows the evolution of economics. In terms of average annual growth, economics does slightly less well than SSH with a 29% rate.

Taking into account the fact that SSH publications need a longer period to be cited, one can expect growing numbers of citations as included in the two tables. Whether these publications are more or less cited than the worldwide pool of SSH/economics publications is calculated and included in the citation impact by area entry. In the range between 0 and 1, the Portuguese SSH publication obtain on average 0.70 while the economics publications do less well with 0.60 on average. This can partly be explained with the fact that the competition of economics papers is higher (i.e., there are relatively more journals and articles covered in the database compared to the SSH field) but it suggests that the rest of the SSH disciplines (excluding also psychology), does relatively better in terms of citations.

Table 16. Cumulative number of publications and citations Impact of Portuguese Economics & Business publications

Years	Publications	Publications %	Citations	Citation impact by area
2000-04	241	34,02	245	0,59
2001-05	270	37,04	269	0,56
2002-06	336	39,58	393	0,61
2003-07	385	38,70	460	0,58
2004-08	492	40,45	585	0,55
2005-09	587	43,27	828	0,61
2006-10	727	45,25	1 192	0,68
2007-11*	864	46,53	1 432	0,66

Source: InCites™, Thomson Reuters (2012) [DGEEC/MEC](#) *Scientific using classification from Essential Science Indicators (ESI)

4.5.2 Interdisciplinarity

In the following, we use the terms interdisciplinarity and multidisciplinary. Interdisciplinarity is used for this purpose as cooperation between researchers of SSH disciplines. If researchers in SSH discipline cooperate with those in non-SSH disciplines such as natural sciences, engineering, medical sciences etc., it is labelled multidisciplinary.

While a growing number of projects submitted to national and international funding organisations are interdisciplinary, interdisciplinary at institutional level can only be found in a few cases. This is however due to a revising trend of previously interdisciplinary structures.

Scientific specialisation and disciplinarity is still very strong in Portugal. The largest number of research units is restricted to only one SSH discipline. Together with a few higher education research units, which include several SSH areas (such as CES-Coimbra; ICS-Lisbon and CIES-Lisbon), there are several little research units that specialise one discipline only. The academic debate on SSH interdisciplinarity is scarce, although it is more prevalent than that of multidisciplinary.

The trend towards specialisation appeared in particular after 2000, when several (then) interdisciplinary research units were split into several research units that were further specialised by discipline. By that time, specialisation was thought to be of help to research units to gain an individual identity and be better evaluated in accordance with the specific field of study.

Specialisation in research is also noticed in education. Most of the curricula of SSH graduates and undergraduates are disciplinary based. Even inside the same school or institute related to SSH, each curriculum reveals a strong separation between disciplines. Therefore, each university with SSH teaches several graduates/undergraduates in specific disciplines.

Despite some attempts to generate some interdisciplinary curricula, there is no evidence of the implementation. For instance, there are no degrees in a mix of sociology/political sciences, sociology/anthropology, psychology/sociology, political science/communication studies etc. as can be seen in other European countries, like the UK.

Interdisciplinary research depends also on the modes of evaluation. Researchers adapted to the modes adopted by the FCT. Between 1996 and 2000, researchers and heads of research unit belonging to official interdisciplinary research centres claimed they were not adequately evaluated due to lacks in the assessment panels that did not represent all the different disciplines the research units' included.

The final self-assessment report conducted by the SSH council mentions inconsistencies regarding the evaluation panels and FCT considerations and evaluation practices on interdisciplinary project proposals. The report specifies the need for interdisciplinary projects to be better assessed and more encouraged, both at national and international levels. In accordance with this, Melo states that:

"The assessment procedures must be renewed in order to improve the performance scientific advice, to define strategic areas, to stimulate the socio-economic impact of the knowledge generated and enhance interdisciplinary research and quality research published in Portuguese" (Melo, 2012:219).

In Portugal, the Bologna process has induced a surprising trend towards the closure of some scientific areas and towards a reduction of both interdisciplinary and multidisciplinary standards.

Despite the growing emphasis given to interdisciplinary work, universities, schools and departments remain largely governed by disciplinary logics that sometimes underestimate some areas in favour of others. Some examples are shown by the difficulty of bringing together economics, law, sociology, communication sciences, and history in collaborative research projects.

These disciplinary logics of closure, separation, multiplication and dispersion reproduce the same pattern mentioned above concerning research, particularly in centres that belong to and are administered by universities.

The largest and most interdisciplinary SSH research units, which also concentrate the largest volume of international projects and funding, are also those with high administrative autonomy. They show a higher propensity to interdisciplinary projects, although they are still marked by the cultures of each discipline.

However, almost all research centres have projects composed even of multidisciplinary teams, although with lesser significance at the national and political levels.

There is some evidence that consultancies are doing better in terms of forming multidisciplinary and interdisciplinarity teams than the public research units.

There are only a few cases, where inter- and multidisciplinary teams play a role such as economics and management, as well as sport sciences. These fields are sometimes integrated with engineering, technology and natural sciences.

There is no evidence on how these collaborations are evaluated and how they are considered in the evaluation panels of centres and projects, but it is clear that this is a job performed mostly by the researchers and project directors who seek expertise in SSH and vice versa.

Although there are some very partial political discourses (involving FCT and university deans) arguing that more participation of SSH in studies of science, technology and innovation and mathematics in general is necessary, a specific programme or policy specifically targeting these forms of collaboration do not exist.

The way the evaluation of individual careers continues to be performed based on one reference subject area, impacts on the decision to enter interdisciplinary or multidisciplinary projects. They may pose a risk for the evaluation since the work may be deemed as not directly contributory to his/her discipline.

Unfortunately, the by far more highly recognised technology and innovation centres, are absent in social science research employment of social scientists. This is also the result of a long history of relative subordination of most SSH compared to the other sciences.

Larger research units which appear to be more interdisciplinary driven are:

- ICS, at Lisbon University
- CES, in Coimbra University.
 - This associate laboratory is associated with the Institute for Interdisciplinary Research of the University of Coimbra (IIIUC) which is a unit committed to *“promotion of research and advanced interdisciplinary education, that encourages the crossing of knowledge and of team building of different areas, in order to assure international recognition of the scientific research of the UC”*.
- SOCIUS

There are other important references of research units with interdisciplinary veins including the following:

- CIEG - Centro Interdisciplinar de Estudos de Género/Interdisciplinary Research Unit for Gender Studies;
- Centro Interdisciplinar de História, Culturas e Sociedades da Universidade de Évora/Interdisciplinary Centre of History, Culture and Societies;
- CIDEC - Centro Interdisciplinar de Estudos Económicos; CICS-Research Unit in Social Sciences, University of Minho.

All them have developed projects assuming the participation of researchers coming from different disciplines.

4.5.3 International Cooperation

The FCT supports the participation of the scientific community in multilateral programmes and scientific networks in international organizations, as well as joint projects or accomplishments, integrated agreements in science and technology cooperation agreements or cultural nature of bilateral agreements between Portugal at country or institutional level.

Cultural Agreements are with Algeria, Bulgaria, China (only social sciences), Korea, Croatia, Denmark, Slovakia, Greece, India, Ireland, Luxembourg, Mexico, Romania and Russia.

There are several multilateral programmes and scientific networks, Portugal participates:

- COST- European Cooperation in the field of Scientific and Technical Research
- CYTED – the Latin American Science & Technology Development Programme .
- Media Mundus- The program aims to increase the competitiveness of the European audiovisual sector.
- ERANETs- Coordination of national programs through the European Network of Funding Agencies.
- EU-ALC – Europe-Latin America and Caribbean.
- INCONets, Instrument for scientific cooperation between the EU and third countries.

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