

# **Evaluation in Research and Research Funding Organisations: European Practices**

Anke Reinhardt, Chair of the Forum on Evaluation of Publicly Funded Research, "A Dialogue on Evaluation", Bonn, 6.12.2012



- 1. Aim and Organisation of the Forum
- 2. MO Forum Activities and Results
- 3. Output









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## **General Aims and Objectives of the Forum on Evaluation of Publicly Funded Research**

#### ► Aims

- To improve evaluation studies on funding schemes
- To learn about best practices of impact assessment of research and funding
- To identify the challenges in conducting transnational comparative evaluation

#### Objectives

- To facilitate networking
- To exchange and share information on evaluation studies of funding schemes and practices
- To produce an inventory of current and past impact evaluation practices/methodologies across
   Member Organisations, identifying gaps and lessons learned
- To develop an analysis of research portfolios and research output

### builds on the work of the former Forum (2007-2009)



Report of the former ESF MO Forum on

Research Evaluation

### **Organisation**

#### **▶** Organisation

- Five Forum meetings (plenary session, working group meetings)
  - 1st Stockholm May 2010 5th Oslo May 2012
- Meetings of Working Groups in between, if required
- Monthly Steering Committee Teleconferences

#### Additional Resources

Support by Seconded National Expert April – August 2011 (Sarah Chen, CNR)

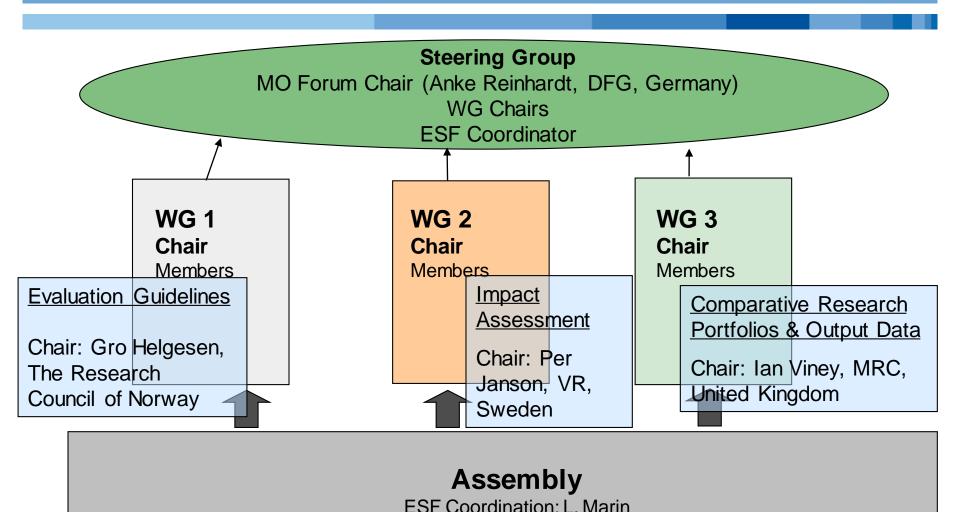


### Members

1	Austria	Austrian Science Fund (FWF)	
	Belgium	Research Foundation – Flanders (FWO)	
	Czech Republic	Academy of Sciences of the Czech Republic (ASCR)	
	Czech Republic	Czech Science Foundation (GAČR)	
	Denmark	Danish National Research Foundation (DG)	
	Denmark	Danish Agency for Science, Technology and Innovation	
	Finland	The Academy of Finland	
	France	National Centre for Scientific Research (CNRS)	
	France	Institut National de la Santé et de la Recherche Médicale (Inserm)	
	Germany	German Research Foundation (DFG)	
	Germany	Max-Planck-Society	
	Germany	Union of the German Academies of Sciences and Humanities	
13	Hungary	Hungarian Scientific Research Fund (OTKA)	
	Ireland	Irish Research Council for the Humanities and Social Sciences (IRCHSS)	
15	Ireland	Health Research Board	
16	Ireland	Science Foundation Ireland (SFI)	
17	Italy	National Research Council (CNR)	
18	Italy	National Institute for Nuclear Physics (INFN)	
19	Luxembourg	National Research Fund (FNR)	
20	Netherlands	Netherlands Organisation for Scientific Research (NWO)	
21	Norway	Research Council of Norway	
22	Slovak Republic	Slovak Academy of Sciences (SAV)	
	Spain	Council for Scientific Research (CSIC)	
	Spain	Interministerial Committee on Science and Technology (CICYT)	
	Sweden	Swedish Council for Working Life and Social Research (FAS)	
	Sweden	Riksbankens Jubileumsfond	
27	Sweden	Swedish Research Council (VR)	
28	Switzerland	Swiss National Science Foundation (SNF)	
29	Turkey	The Scientific and Technological Research Council of Turkey (TUBITAK)	
30	United Kingdom	Biotechnology and Biological Sciences Research Council (BBSRC)	
31	United Kingdom	Economic and Social Research Council (ESRC)	ĺ
32	United Kingdom	Engineering and Physical Sciences Research Council (EPSRC)	
33	United Kingdom	Medical Research Council (MRC)	



#### **Organisation**





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## MO Forum Activities and Results: WG 1. Quality assurance and Evaluation Guidelines (Gro Helgesen, RCN)

#### **Activities**

- Draw up guidelines for ex-post evaluation of funding schemes
- Survey among the members on evaluation organisation and practices

#### Results

- "Golden Rules" on Evaluation processes agreed on by the WG members:
   Examples: GR 2 Focus the goals of the evaluation and plan for the follow-up, GR7 evaluators need to be autonomous
- Process model: Description and discussion of the four phases Planning,
   Preparation, Implementation, Discussion
- Survey results: e.g. on the use of external evaluators, on the initiators of evaluation studies, on publication practices



## MO Forum Activities and Results: WG 2. Impact assessment on Science and Society (Per Janson, VR)

#### **Activities**

- Discuss the advantages and shortcomings of different methods for impact assessment
- Try to identify good practices in order to avoid pitfalls
- Conduct an in-depth analysis of impact studies

#### Results

- Different concepts of impact needs clarification before impact study is started
- Main methodological challenges: attribution, counterfactual argument, time lags
- Discussion of methods commonly used
- Recommendations: e.g. take a broad concept of impact, use different methodological approaches, weight cost against benefit



## MO Forum Activities and Results WG 3. Classif. systems + Categorisation of output data (lan Viney, MRC)

#### **Activities**

- Analysis of different classification systems used in MOs and other organisations
- Survey on the types of output data collected
- recommended approaches, "core" set of outputs + guidance on definitions

#### Results

- Inventory of output data collected (publications, collaborations, IPR etc.)
- Discussion of the ways output data is collected
- Typical forms of analysis and of usage of output data
- Discussion of classification systems and pilot projects using HRCS



#### **MO Forum Final Report "European Practices"**

#### **Ambition:**

- To show practices of ex-post evaluation in Europe and explore opportunities and challenges.
- to contribute to the improvement of evaluation strategies and studies.

by taking up the topics and recommendations of the Working Groups.

#### Structure:

- 1. Why and in which cases make organisations use of ex-post evaluation.
- 2. Recent developments in the field
- 3. Methods and challenges
- 4. The specifics of diverse European national set ups for research evaluation
- 5. Recommendations



## Recommendations and some examples

- 1. A systematic approach to evaluation ensures its usefulness.
  - The concept, set-up and internal organisation of evaluation determines the quality
- 2. Data collections for evaluation and monitoring purposes are a valuable source of information.
  - Rapid development of data collection and analysis, less burden on researchers by harmonisation
- 3. The use of appropriate methodologies and indicators needs to be given special consideration.
  - Development of indicators and methods still needed, take up research in the field
- 4. Alignment of evaluation activities enables Research Organisations to position themselves on the European and global research landscape.
  - Harmonisation of procedures/data format, share evaluation results, strategic alignment



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### Output I/II

- Outreach to other Fora, G8, ERC, ...
- "EMRC Special Policy Briefing", November 2011 and April 2012
- Working Papers on Portfolio Analysis and Classification of Output-Data
- Joint ESF/FNR-Workshop on Career-Tracking (Feb. 2012)







Research Europe, 26 May 2011 interview 5 anke reinhardt **interview** 

## The public's right to know

routicans need to justify research spending, out how do you measure research outcomes? As the European Science Foundation navigates the metrics minefield, Elizabeth Gibney talks to the chairwoman of its member organisation evaluation forum, the German Percearch Foundation! S Ask Reighard.

#### Has the need to track research outcomes become greater now public funding is under close scrutiny?

Of course the whole issue of scace restructs tables evaluation more important. It's the right of the public who invest money is research to beans what they fault, and it's seedle for the engaliatation thereafters to how have its improve their funding and where to steer this hodgests. But the other divining force is tochnological prospers, only more in it possible to patcher more information and draw conclusions from it. It's also that decisionswhers are more greated towards empiricises than ideology.

#### Evaluation is a hot topic. What does the forum hope

In achieve?

We members are mainly national funding organisations in and presence unstitutions, so the starting point is to look at the different procuries on sea for openization, to learn town each other, see what works and what doesn't work. We have these working groups covering the quality of evaluation studies, impact assessment and cateposisation and outlettion of output data. Together we will calcium and collections of output data. Together we will be a support of the control of the control

#### few can Europe change the way it evaluates th

outstanding monitoring in the pure collection of data, to occurrent developments over time, while evaluation has updepresent appear to the time, while evaluation has updepresent al appear to it. We already have most of the discussion that we need, and we can may get efectionic envisors of proposals and final reports and use them for labitatical purposes. But we're also trying to become use evidence-based through hallouriests and network readyment and analysis.

So can this tell us which schemes are successful?
We can get a more objective pursue of what is
into does but it's not so worste. You can present

or working with industry you would nee different indicators and a different exper opinion to assess the outcome.

#### A monitoring system that's prominent is the Latter system in Boazil. I think it's verinteresting because it uses a mixture of tracking research by researcher and also by

se segont to visitation und se magnization, poemsearchess argue you can never measure success, he impact of senanch begins somewhere down the line. Include of the way busin research work, there may be disset time. We're looking at different systems, but think the underlying feeling in the impact working may be that you should be really custions—it's perty majorism to pertend that you invest CL and on get an account of CL. No. Too can interpret data in different

#### that a problem with the US Star Metrics system? compsehensive approach is a stanight, but it is purely dicate -based and that's something that most coun-

problem, as is the question of data safety and security.

Do you think other countries will ever follow the UK's example of basing funding on assessment?

The UK is pretty singular, outside Australia, in allocat

#### The UK is pretty singular, outside Australia, in all ing money dependent on evaluation. At the mon

tog money dependent on evaluation. At the moment don't see any tendencies for other countries to introducsuch a system.

#### Can we ever go back to a tie so beavily monitored?

someone and prove they were doing a good job. The may feel that the pressure to show results is greater but think that many researches son't readly mind. If you're good researcher you want other people to see that, that the iway the x-inetific commantly works.

More to sop' found comment of Research Research Command







#### Output II/II

- ► Working Group Reports
  - WG 1. "A Guide to Evaluation Activities in Funding Agencies"
  - WG 2. "The Challenges of Impact Assessment"
  - WG 3. "Comparative Research Portfolios"

 "Evaluation in Research and Research Funding Organisations: European Practices" – Final Report of the full Forum

Download at: http://www.esf.org/activities/mofora/evaluation-of-publicly-funded-research.html





## Thank you for your attention!

