



DFG

# 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

# Agenda

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)

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Report of the former ESF MO Forum on Research Evaluation

## ► 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

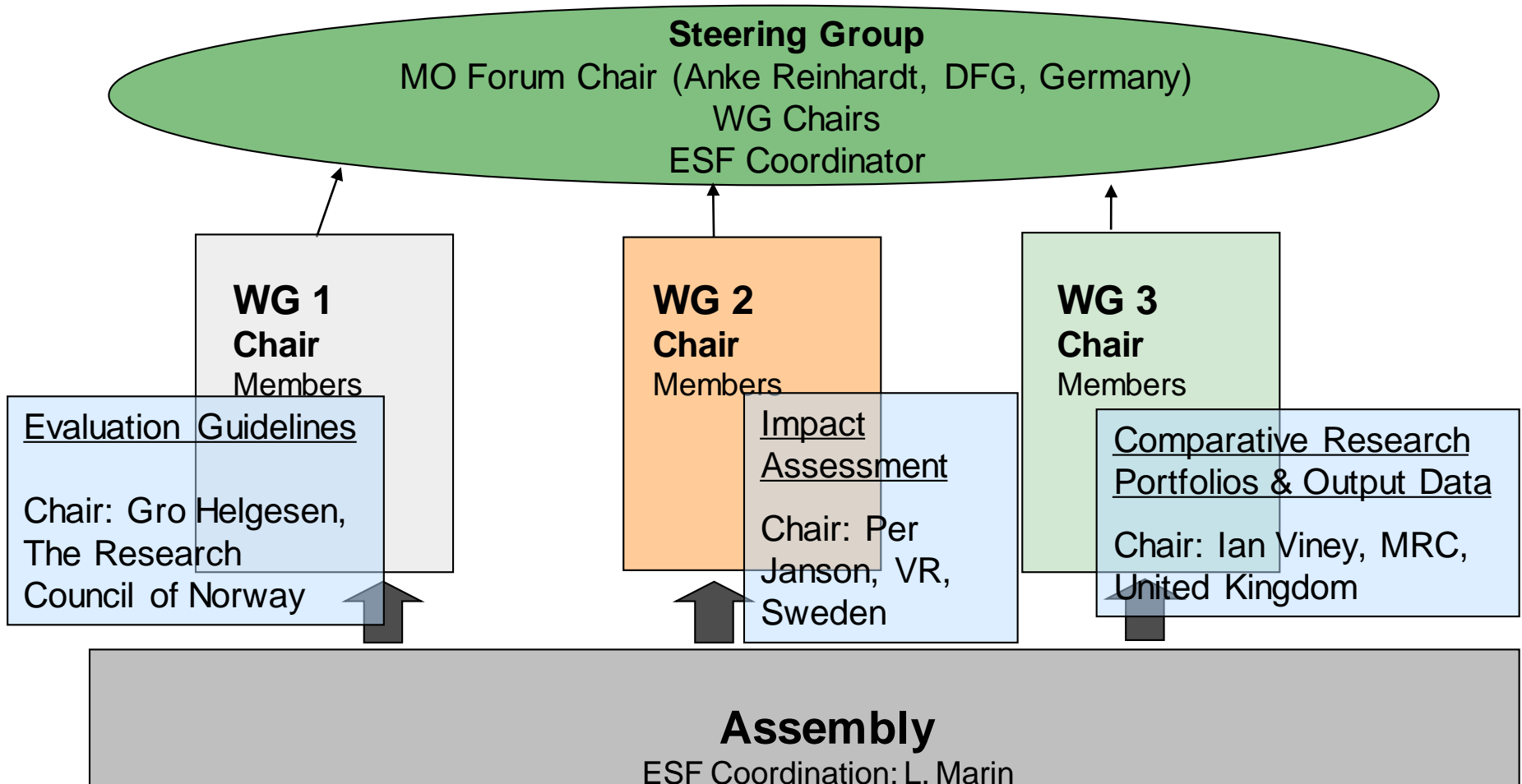
## ► Additional Resources

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

# Members

1	Austria	Austrian Science Fund (FWF)
2	Belgium	Research Foundation – Flanders (FWO)
3	Czech Republic	Academy of Sciences of the Czech Republic (ASCR)
4	Czech Republic	Czech Science Foundation (GAČR)
5	Denmark	Danish National Research Foundation (DG)
6	Denmark	Danish Agency for Science, Technology and Innovation
7	Finland	The Academy of Finland
8	France	National Centre for Scientific Research (CNRS)
9	France	Institut National de la Santé et de la Recherche Médicale (Inserm)
10	Germany	German Research Foundation (DFG)
11	Germany	Max-Planck-Society
12	Germany	Union of the German Academies of Sciences and Humanities
13	Hungary	Hungarian Scientific Research Fund (OTKA)
14	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)
23	Spain	Council for Scientific Research (CSIC)
24	Spain	Interministerial Committee on Science and Technology (CICYT)
25	Sweden	Swedish Council for Working Life and Social Research (FAS)
26	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)
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 (Ian 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 III

- 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)



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## ▶ 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/mo-fora/evaluation-of-publicly-funded-research.html>







**Thank you for your attention!**