

ESF MO Forum Evaluation: Indicators of Internationalisation

Results of the pilot study January 2010 - May 2012

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Objectives and Methodology

Objective: explore the feasibility of designing a set of indicators of the international orientation of Research Organisations

Expected results: a set of indicators allowing ROs to evaluate their positioning and to support their strategic decisions, **new results for the research community**

Methodology: a participative process involving

- users: bottom-up process, based on users needs
- experts: designing indicators is serious issue, need of professional skills
- support and coordination (ESF)

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Action plan 1/2

◆ Step 0: Preparing and launching the project

Topic choice, design of the study, validation and support, recruiting interested MOs...

◆ Step 1: Create an agreement on

- why internationalisation should be addressed through evaluation

- on which specific questions indicators should provide information

- 1) analysis of MOs needs, 2) analysis of the literature, 3) designing a framework

Action plan 2/2

- ◆ **Step 2: Selection of the list of indicators** (3 selection steps)
- ◆ **Step 3: Data collection and full description of the indicators**
- ◆ **Step 4: Drawing conclusions and diffusing of the results**

Time and actors table 1/3

Step	Action	Actors	Time
0.1	Topic choice	MOs Core group ESF scientific officer	April 2009 (Budapest W)
0.2	Design of the study	MOs Core group , Experts	Summer 2009
0.3	Validation of the proposal; recruiting MOS	ESF Governing council, ESF officer	Sept -Dec 2009
1.1	Overview of MOs international policy and instruments	MOs (9 contributions)	March-April 2010
1.2	Survey of literature, Framework for the International research system	Experts	May 2010 (Stockholm W)
1.3	Framework for MOS rationales and activities	Experts + MOs	Feb 2011

Time and actors table 2/3

Step	Action	Actors	Time
2.1	Collecting a comprehensive large set of indicators	MOs (10 contributions) Experts	June-Dec 2010
2.2	Selecting useful indicators for MOs management	MOs + Experts	May Summer 2010 (Paris W)
2.3	Providing information on data availability	MOs (10 contributions)	Summer 2011
2.4	Selecting a balanced list of feasible indicators	Experts	Sept 2011

Time and actors table 3/3

Step	Action	Actors	Time
3.1	Providing data	MOs (14 contributions)	Nov 2011-Feb 2012
3.2	Selecting final set	Experts + MOs	Nov 2011 (Bern W)
3.3	Testing the feasibility of bibliometric indicators	Experts	Nov 2011-March 2012
4.1	Drawing conclusions	Experts + MOs + ESF	May 2012
4.2	Diffusion of results: report, scientific papers, final conference	Chairs, Experts, ESF	Sept 2010 – Dec 2012

Results: frameworks 1/2

1. Framework of European research system

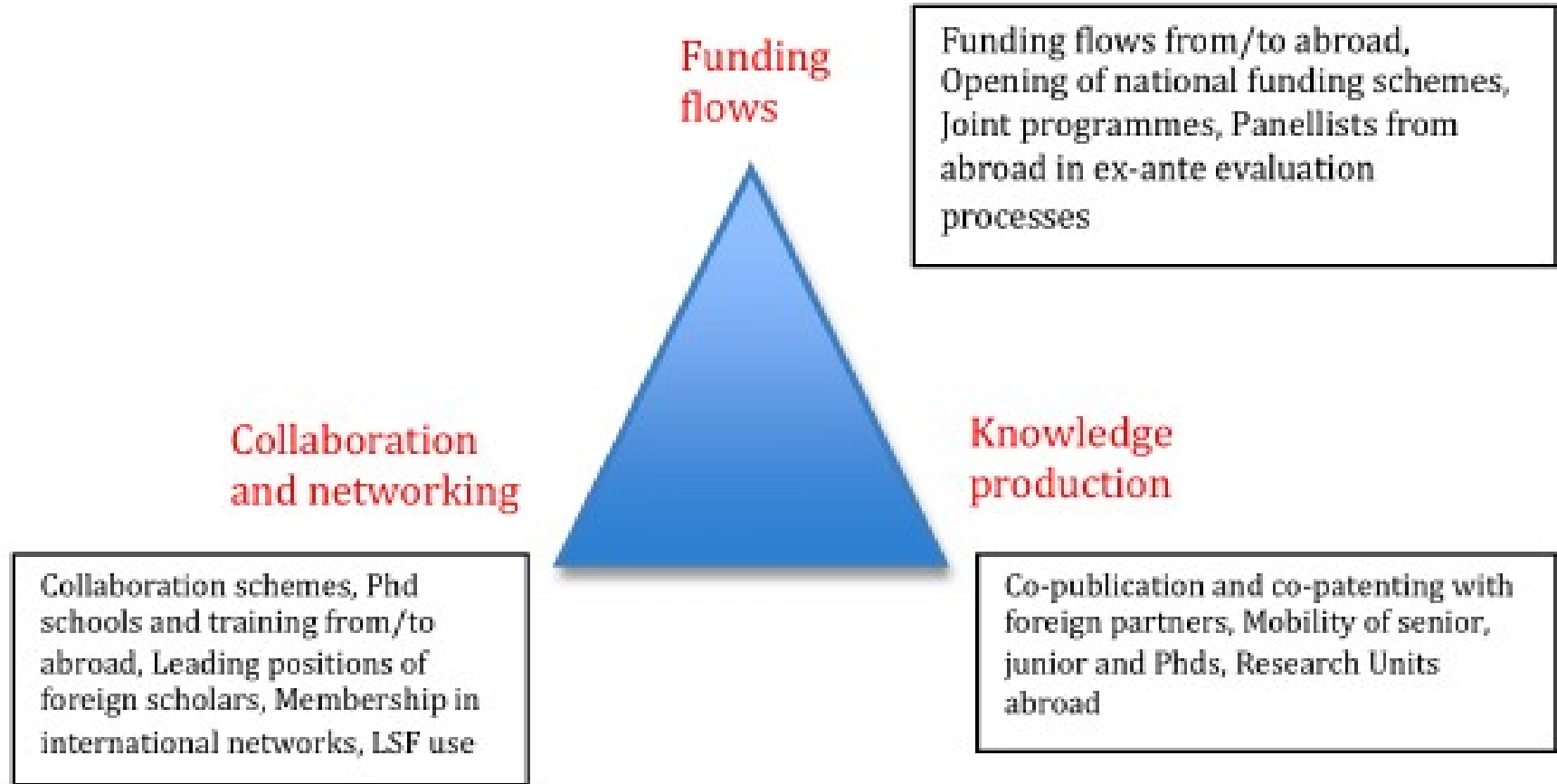
Showing 3 types of interactions between European and national agencies, governments, performers:

- Funding flows,
- Collaboration and networking,
- Knowledge production.

Triangle

Oriented graph

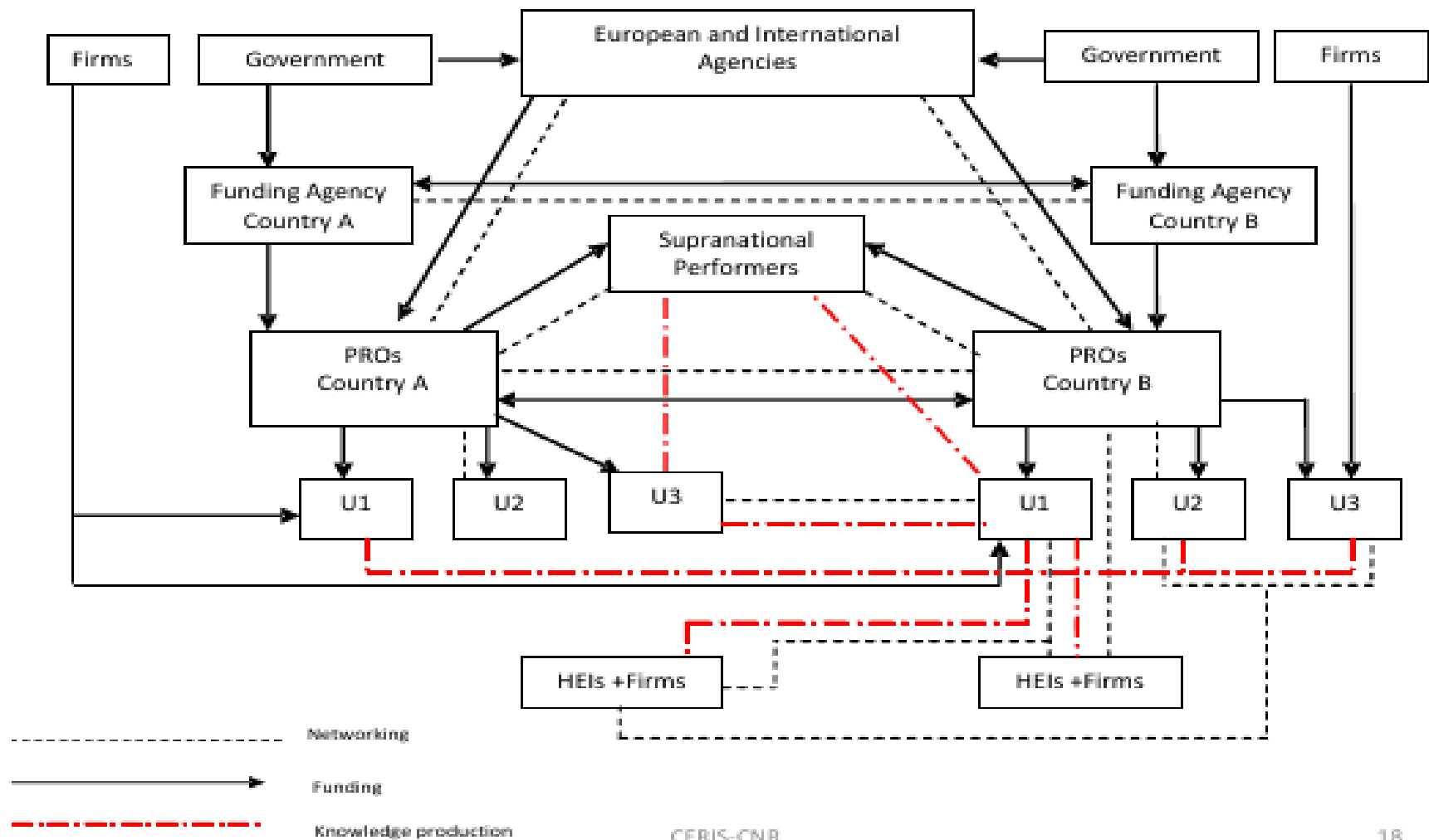
3 dimensions of activity impacted by internationalisation process



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The European research system: the actors and their interactions



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Results: frameworks 2/2

2. Framework for MOs international activities

Adding 2 dimensions of activity:

- Knowledge circulation,
- Governance and processes (internationalisation of the RO itself)

Crossing 5 activities with 4 rationales → *MATRICES*

FAs

Reaching critical mass
Benefit from complementarities
Aiming at global coverage
Enlarging innovation networks

RPOs

Joining high quality research activities
Getting access to additional resources
Signalling and visibility
Broadening scope of research agenda

Results: 9 indicators for FAs 1/3

F1	Resource flow	Budget for Joint Research Programmes	Internal data	Share of <i>Direct Research funding budget</i>
F8	Resource flow	Budget spent abroad	Bue sky indicator	Difficult to identify money effectively spent abroad
F1b	Funding collaboration and networking	Co-funded research output	WoS	Share of funded papers which are internationally co-funded

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Results: 9 indicators for FAs 2/3

F4	Funding K production	International co-authored papers	WoS	Share of funded papers with international co-authors / share of national output with international co-authors
F5	Funding K production	International co-patenting	Bue sky Indicator	
F2	Funding K circulation	Budget for attracting researchers from abroad	Internal data	Share of total direct research funding budget
F6	Funding K circulation	International mobility	Internal data	Number of researchers whose mobility has been funded

Results: 9 indicators for FAs 3/3

F7	Governance and processes	Openness of programmes	Blue sky indicator	<ol style="list-style-type: none">1. Direct budgets going to researchers working abroad2. Count of the number of applicants from abroad3. Share of papers funded by FA with no national authors
F3	Governance and processes	Evaluation	Internal data	Share of reviewers and panelists for ex ante research proposal selection coming from abroad

Discussion about FAs indicators

- FAs internationalisation can be investigated through indicators
- The matrix Rationale X Dimensions provided a good support to guide the choice of indicators
- The two levels are useful:

Organisation level = international orientation of programmes and funding schemes, governance features

Performers level: international collaborations and standing of funded performers = a proxy for effectiveness of funding schemes and soundness of the selection process

Results: 9 indicators for RPOs 1/3

P7	Resources from non nat. sources	Budget coming from abroad	Internal data	Budget and share of total
P7b	Resources from non nat. sources	Output generated from resources coming from abroad	WoS	Number of papers acknowledging foreign funders
P2	K circulation	Recruitment of researchers from abroad	Internal data	Share of researchers recruited from abroad
P5	K circulation	International incoming and outgoing mobility	Internal data	Number of researchers coming from or going to a foreign or international RO

Results: 9 indicators for RPOs 2/3

P6 K production	International co-authored papers	WoS or other base	Share of total publication output with international co-authors
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P8 Collaboration and networking	Budget for Joint Research P&P	Internal data	Budget and share of total budget (total or marginal costs?)
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P9 Collaboration and networking	International use of own infrastructures	Blue sky indicator	
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Results: 9 indicators for RPOs 3/3

P3	Governance and processes	Recruitment committees	Internal data	Number and share of members coming from abroad
P1	Governance and processes	Evaluation: reviewers and panelists from abroad in ex-post evaluation	Internal data	Share of total number of reviewers and panelist coming from abroad

Discussion about RPOs indicators

- Indicators of internationalisation more usual for RPOs
 - European indicators for country scale are often relevant
e.g. ERA monitoring system
 - RPOs follow up indicators for the management process e.g. co-publications, recruitments, budget coming from abroad
 - some indicators are dependent on legal constraints
recruitment committees, evaluation panels
or difficult to obtain
decision taken by the labs (e.g. short term mobility),
issue about full costs *versus* marginal costs for JRP
- Europeanisation versus Internationalisation issue should be tractable
- Usefulness for RPOs positioning and strategic thinking

Tasks to be achieved until December 2012

- Discussion on the report draft
- Feedback from MOs and from experts about
the process
the output and its immediate usefulness
- Discuss about Forum recommendations and suggestions
for future work
- Finish writing the report
- Design a communication event for the end of 2012