



COMPREHENSIVE EVALUATION IN AN ORGANISATIONAL CONTEXT

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COMPREHENSIVE EVALUATION

- **Both Scientific excellence and Societal Relevance, valorisation**
- **Management questions: vitality and flexibility**
- **Looking back and looking forward**
- **Strategic issues in stead of simple verdicts (numbers)**
- **New research enterprises: PPS**



STANDARD EVALUATION PROTOCOL (SEP)

**Once every 6 years all academic research in the Netherlands:
universities, Academy and NWO Institutes, national research
programs (NGI)**

SEP 1: 2003 – 2009; SEP 2: 2009 – 2015

SEP 3: 2015 – 2021 ??



MAIN ELEMENTS OF SEP

**Evaluation of 'institutes' not of discipline or fields;
Boards are responsible**

Comprehensive evaluation, 4 criteria:

- **Quality: international recognition, innovative capacity**
- **Productivity: output in SCI-journals, other media?**
- **Relevance: societal impact, valorisation**
- **Vitality and feasibility: Research management (group level and institute)**

Self evaluation report, Looking back and forward

External, international **site visit every 6 years, plus mid term**



ROAD TO NEW SEP (2015)

- **International symposium (November 2012)**
- **Mid term review (spring 2013)**
- **Field consultation (2nd half 2013)**
- **Draft new SEP (before summer 2014)**



International Symposium November 2012

Experts from NL, Norway, UK, Germany

Insight in the various national evaluation systems

Pros and cons of various choices we have to make



ISSUES DISCUSSED AT THE SYMPOSIUM

Degree of local flexibility to decide on what precisely is evaluated, as long as all publicly-funded research is assessed once in the assessment period.

Degree of disciplinary variety, one size fits all vs separate indicators for humanities, social sciences, design and engineering, etc.

The role and function of evaluation: metrics-oriented or more qualitative, verdict oriented (ex post) or strategic (forward looking)

The evaluation unit: the research team or the wider environment within which the research team is embedded.

The consequences from evaluation outcomes, in NL no direct consequences between evaluation outcomes and funding

The weighing of evaluation of scientific excellence and societal relevance

The watering down of the scoring scale: from 1-5 to 4 and 5 (world class)

The PRC: evaluation committees draw on international experts who have a very limited time input therefore driving the evaluation towards a reflective audit of the self-evaluation process.



Institutional context

- **Institutes have focus on their research mission, discussions about priority setting, self evaluation, SWOT analysis**
- **Review the review committees (extended, adequate expertise)**
- **Information process needs to become more structured (METIS)**
- **Avoid double work for various evaluations**
- **New PPS constructions, consequences for evaluation**



Discussion in Academy on disciplinary evaluation

- **Current indicators fit natural and biomedical sciences, not humanities, social sciences, design and engineering, etc.**
- **Institutional evaluation or national (fields, disciplines)**
- **Metrics vs qualitative**
- **Scientific excellence and societal relevance**
- **Evaluation committees, quality of expertise, referee fatigue, extended committees**



REQUIREMENTS for NEW EVALUATION SYSTEM

- 1. Indicators to be transparent, robust and easy to use**
- 2. Balance of scientific quality and societal relevance indicators**
- 3. Focus on 3 categories: output, use and recognition**
- 4. System attractive for different research practices, publication cultures and research products**
- 5. System is flexible enough to be used in different evaluation contexts (institutional evaluations, proposals, people)**
- 6. Reconsider role of peers**

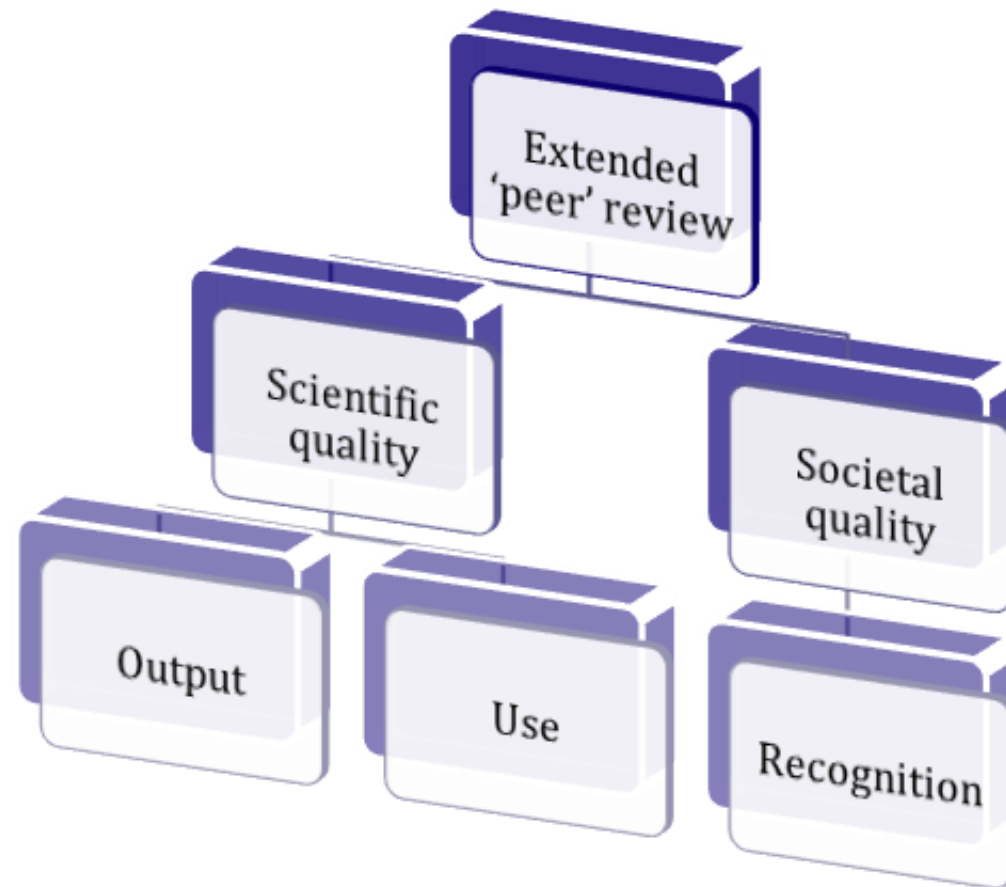


Assessment scheme for humanities research

Human factor

**2 main assessment
criteria**

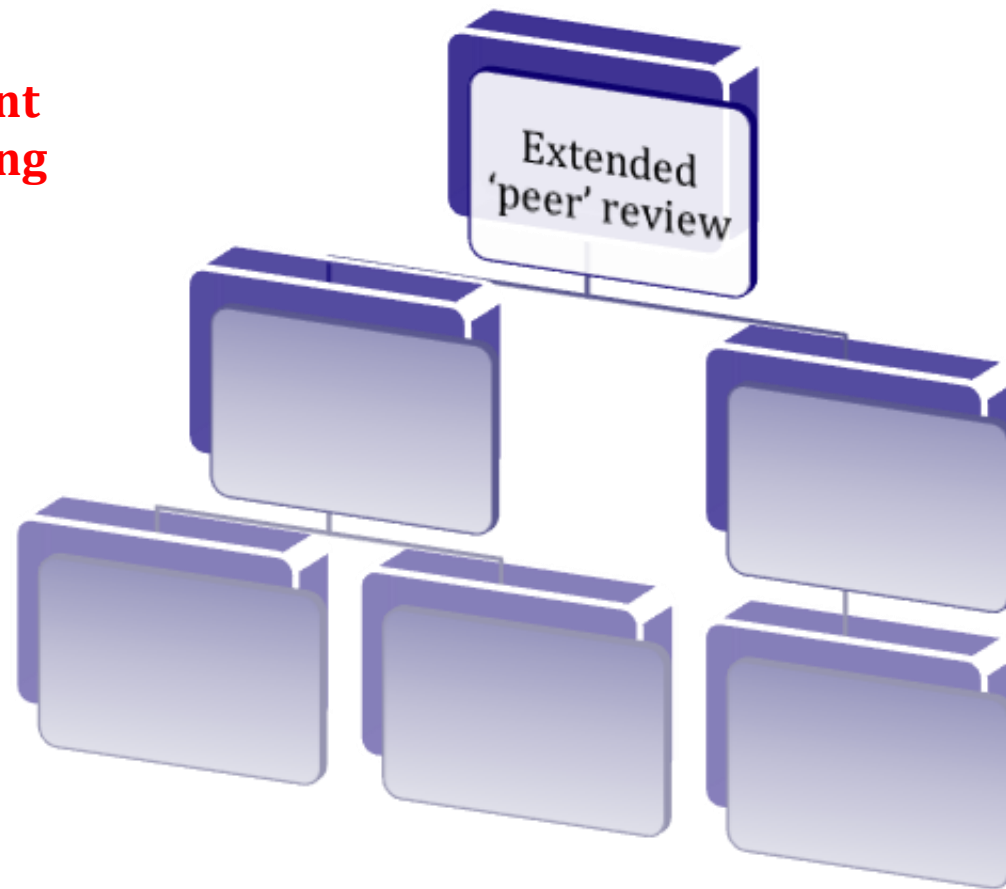
**3 main indicator
categories**





Assessment scheme for humanities research

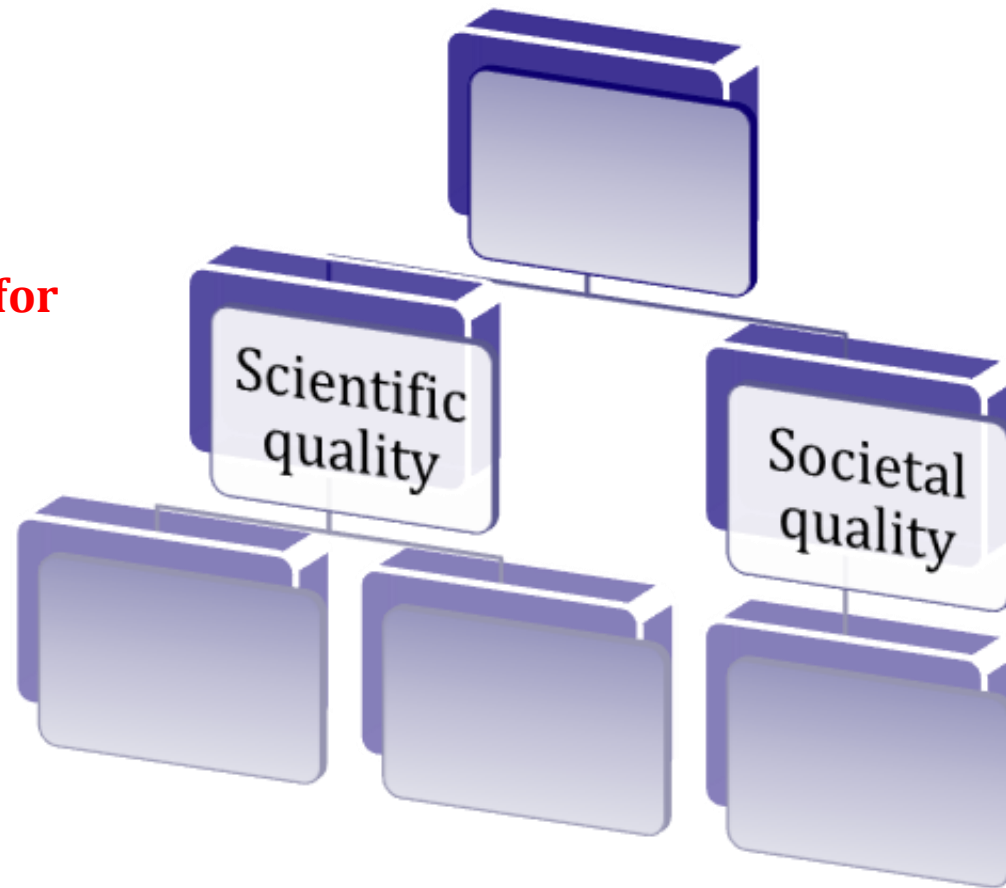
**Allow different
expertise, different
modes of reviewing**





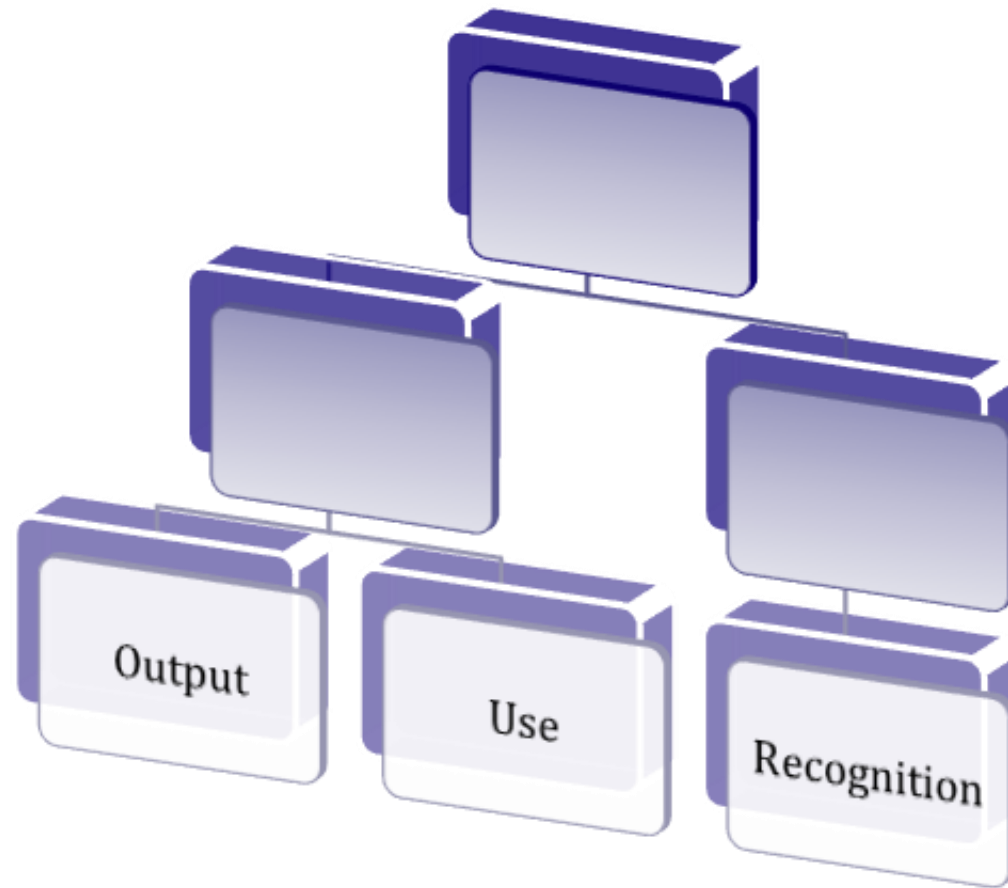
Assessment scheme for humanities research

Develop indicators for societal quality, weighing by expert panel





Assessment scheme for humanities research



Allow for disciplinary variation

Quality aspects

Criteria

Indicators

Scientific quality

Ranking 1 - 5

(Extended)
peer
review

Societal Quality

Ranking 1 - 5

Output
(publications)

Use by research
community

Recognition by
research community

Articles

Monographs

Chapters in books

Dissertations

*Other output**

Reviews

Citations

*Evidence of other use **

Scientific prizes

Personal subsidies

*Other evidence of recognition **

Quality aspects

Criteria

Indicators

Societal quality

Ranking 1 - 5

(Extended)
peer
review

Scientific Quality

Ranking 1 - 5

Societal output
(publications)

Use by civil
society

Recognition by
civil society

Articles in professional journals

Monographs for broader audiences

Chapters in books for broader audiences

*Other societal output**

Evidence of societal impact

Collaborations with societal partners

*Evidence of other societal use **

Societal prizes

Scientific prizes

*Other evidence of recognition **



Quality indicators for research in the humanities

www.knaw.nl



IMPLEMENTATION OF NEW EVALUATION PRACTICE

- **Deans start a project for classification of journals (European endeavour)**
- **Joint efforts to develop indicators for societal relevance**
- **CWTS Project to develop bibliometrics for humanities (books, publishers, webometrics)**
- **Steering group of the Academy**
- **2 years to integrate in SEP 2015**