

5-7 June 2019, Berlin

#### Rotunde, 13:45-15:00

### Measuring impact performance

Floortje Flippo (Chair)
Milosz Rojek
Joeri Both





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## Floortje Flippo (Chair)

Regional Research Solutions Director, Elsevier, The Netherlands



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### Milosz Rojek

Counsellor to the Minister of Science and Higher Education, Poland





# Impact on Society and the Economy in the Poland's New Model of Research Quality Assessment

Miłosz Rojek, Ministry of Science and Higher Education, Poland

www.gov.pl/web/science





### Agenda



- 1. The new Polish Law on Higher Education and Science
  - comprehensive reform of the science and higher education system
- 2. Research Quality Assessment the focal point of the reform
- 3. Research impact evaluation fundamental principles



#### 1.1. The "Law 2.0" Competition



- 3 grants (1M PLN each) for policy analysis and research in higher education and science regulations
- consultations within the academic community required
- outputs to be delivered: fundamental principles of the "Law 2.0" and a summary of the results of consultations
- proposals submitted by 15 research teams in response to the call
- public presentation of the principles by
   3 grant-awarded teams at the Warsaw
   University of Technology





#### 1.2. Constitution for Science





### Assumptions of the regulatory reform of science and higher education in Poland

the scope of 4 hitherto separate acts to be covered by the new law:

- Higher Education Act
- Act on the Academic Degrees and Academic Title
- Act on the Principles of Science Financing
- Student Loans and Credits Act

only the most important, systemic issues to be regulated by the new

law, leaving more autonomy to

the HEIs and RIs (who can adopt internal rules and regulations for

more detailed arrangements)

The new law called "Constitution for Science"



## 1.3. Thematic Conferences and Peer Review within H2020 PSF



Internationalisation – opportunities and challenges for Polish HEIs University of Rzeszów, Oct. 2016 Development of the social sciences and humanities in Poland Nicolaus Copernicus University in Toruń, Nov. 2016

Collaboration between science, business and public administration for innovations
Wrocław University of Science and Technology, Dec. 2016

Career paths and the advancement of young researchers
University of Silesia in Katowice,
Ian 2017

Jan. 2017

Diversity of Silesia in Ratowice,
Jan. 2017

Diversity in models of HEIs and RIs:
direction and instruments of the

change Gdańsk University of Technology, April 2017 Research excellence: how to catch up with the best

Adam Mickiewicz University in Poznań, Feb. 2017

Financing of science and higher education HEIs of Łódź, May 2017

Teaching excellence: how to orientate HEIs on teaching quality John Paul II Catholic University of Lublin, March 2017

Regime and governance of HEIs University of Warsaw, June 2017

Simultaneously, peer review of Poland's Higher Education and Science system in the framework of the Horizon 2020 Policy Support Facility



## 1.4. The New Law on Higher Education and Science



- Ist draft of the new law presented during the National Congress of Science in Kraków, Sep. 2017
- the draft law developed in a consultative process, with the active participation of the academic community and other stakeholders
- approx. 3,000 remarks and opinions received in the course of the formal public consultations
- the final draft adopted by the Council of Ministers in March 2018
- the new law passed by the parliament on July 20, 2018



## 2.1. The New Model of Research Quality Assessment





- Research quality assessment central to the reform of the science and higher education system:
  - all HEIs and a large part of RIs (excl. Łukasiewicz Research Network)
     employing at least 12 scientists (FTE) who carry out research in a given
     discipline (~OECD second-level fields of science) subject to the assessment
     (approx. 1,200 discipline-institutions)
- ➤ The forthcoming assessment will be conducted in 2021 and will cover the period 2017 to 2020
- Three assessment criteria with the weightings varying between broad fields of science



## 2.2. Assessment Criteria and Weights by Fields of Science



Fields of Science Assessment criteria	Social Sciences and Humanities (incl. Theology)	Natural Sciences, Medical and Health Sciences	Engineering and Technology, Agricultural and Veterinary Sciences	The Arts
Quality of research outputs and development works or artistic works (publications, patents, art works)	70%	60%	50%	80%
R&D income (grants awarded by the competitive procedure, revenues from R&D commercialisation)	10%	20%	35%	-
Impact of research on society and the economy	20%	20%	15%	20%



## 2.3. Research Quality Assessment: Ratings and Implications



- ➤ Every institution will be rated in each of disciplines subject to assessment (FTE ≥ 12)
  - the rating scale: A+ (best), A, B+, B, C (worst)
- Allocation of research block grants based on results of the research quality assessment
  - no research block grants for disciplines rated C
- Institutions authorised to confer scientific degrees and to conduct doctoral schools only in these disciplines, which received a rating not lower than B+
- > HEIs which
  - were subject to research quality assessment in at least 6 disciplines (medical universities 3),
  - haven't received a rating lower than B+ in any of the disciplines and
  - have been awarded a rating not lower than A in at least half of disciplines (medical universities

     more than half )

can enter the competition in the framework of the "Excellence Initiative – Research University" programme



## 3.1. Impact of Research: What was assessed before?



- > Criterion of "Other effects of research" (other than practical effects) in the previous research assessment model:
  - weighting from 10% (STEM and life sciences) to 15% (SSH and the arts)
- "Application of the results of the R&D works of high social impact" assessed within the criterion...
- but also publications of major importance for the development of science, culture, art or national heritage; organisation of (international) conferences; disseminating knowledge; popularising science; (international) research collaboration included in the criterion



## 3.2. Impact of Research: What is to be assessed now?





#### Impact of research on:

- the economy,
- public policy and services,
- health care,
- culture and art,
- protection of the natural environment,
- public security (incl. national defence),
- other areas of social development

as a separate criterion with the research quality assessment.

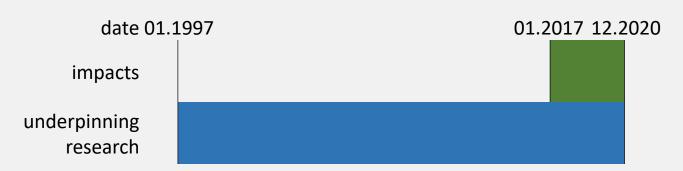


## 3.3. Impact of Research: How it is to be assessed





Case studies demonstrating evidence of impacts (reports, scientific publications, citations etc.) achieved during the assessment period that are underpinned by research in the period from 20 years before the assessment period to the end of this period





> Assessment of case studies based on the expert judgement

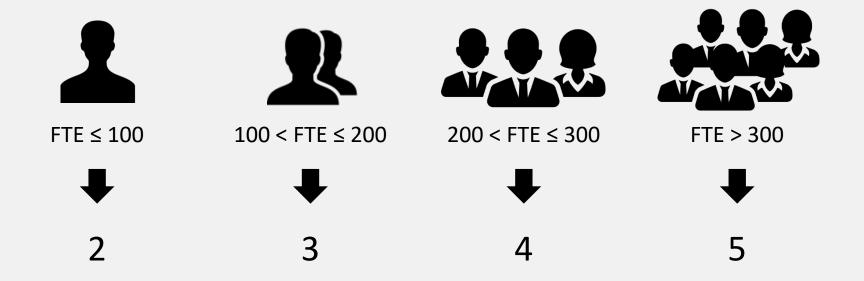




## 3.4. Impact of Research: No of case studies to be submitted







Expected number of case studies to be submitted in 2021 – not less than 2,700.





## 3.5. Impact of Research: No of case studies to be submitted





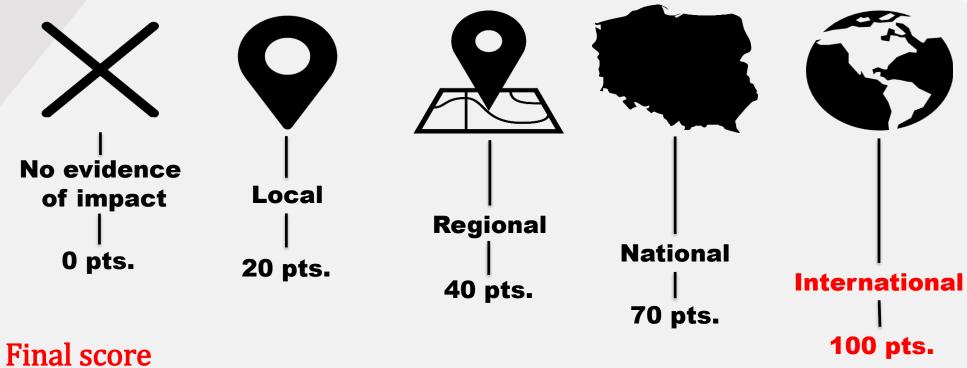
However, there is an opportunity to submit more case studies:

- institutions assessed in disciplines within SSH can submit 3 additional case studies describing impacts underpinned by outstanding scholarly books, biographical and bibliographical dictionaries etc.;
- institutions assessed in disciplines within engineering and technology can submit 2 additional case studies describing impacts underpinned by architectural designs, urban development projects and spatial development plans;
- institutions which established an SPV to commercialise the R&D can submit 2 additional case studies describing impacts underpinned by operations of the SPV.



### 3.6. Impact of Research: Reach and Significance





sum of points for all case studies

Nº of required case studies + Nº of optional case studies submitted



## 3.7. Impact of Research: Crossing Boundaries







- Each case study submitted in Polish and English and assessed by a Polish expert and a foreign expert
- Extra 20 pts. to be awarded to case studies underpinned by ground-braking interdisciplinary research



## 3.8. Impact of Research: Testing the Model of Assessment



- Although the weighting of the research impact is not more than 20%, it is considered by the government an important part of the research quality assessment
  - ⇒ showing the research impact to the public at large gives the government a mandate for a rise in science funding
  - A careful design of the research impact assessment is required for the proper performance of this exercise
    - ⇒ the pilot impact assessment, covering 3 HEIs (Nicolaus Copernicus University in Toruń, West Pomeranian University of Technology in Szczecin, Academy of Art in Szczecin) and 42 out of 47 disciplines, has been launched.



## 3.9. Impact of Research: Schedule of the Pilot Assessment



- ➤ Guidance on the research impact submission (including the template), guidance on the research impact assessment June 2019
- Comments from the experts 2019Q3
- Workshops at HEIs November 2019
- Submission of case studies (at least one for each discipline) February 2020
- Assessment of case studies by the experts March 2020
- Comments from the participants of the pilot assessment April 2020
- ➤ Final report 2020Q2



#### Thank you for your attention!



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www.gov.pl/web/science





5-7 June 2019, Berlin

#### Measuring impact performance

### Joeri Both

Head of Research Support, University Library, VU Amsterdam, The Netherlands



#### **SHORT INTRODUCTION**



- Trained as biomedical scientist
- PhD from University of Amsterdam
- Moved to the Netherlands Cancer Institute as head of medical library
- As of July 2017 Head of Research Support at the Vrije Universiteit Amsterdam
- Twitter: Joeri\_VU



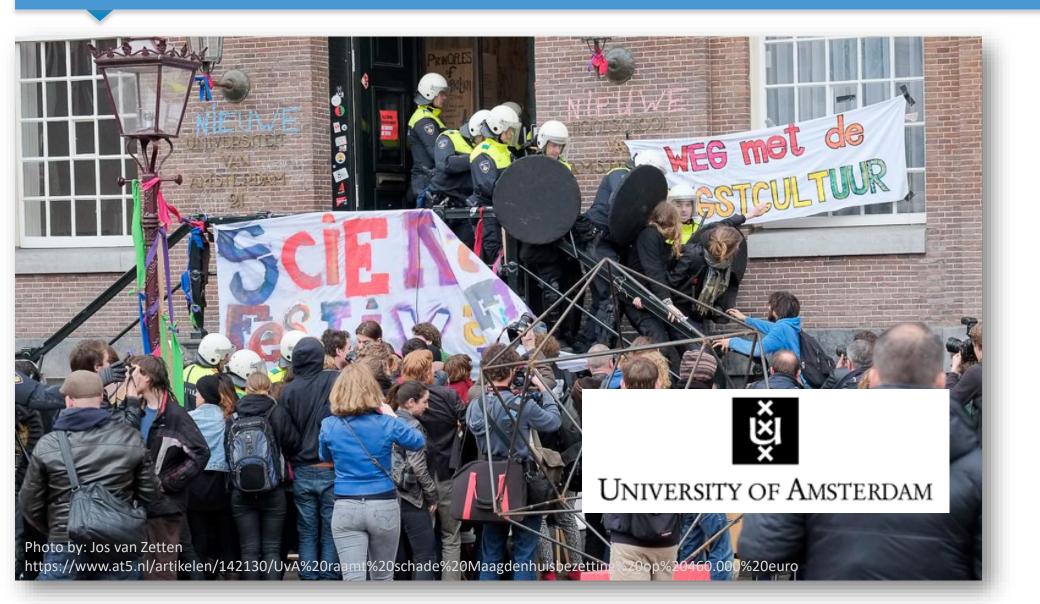
#### THE TWO APPROACHES







### 2015: OCCUPATION/STRIKE; AGAINST THE PERFORMANCE DELIVERY CULTURE OF SCIENCE AND EDUCATION | SPARKED DISCUSSION IN NL UNIVERSITIES





#### TRANSITION IN VALUING RESEARCH: METRIC TIDE, LEIDEN MANIFESTO, ...



Event audience Popular press Web views PDF downloads numbers Exhibition visits Twitter retweets Blog readers Facebook likes Podcast listens Practitioner networking events Time spend reading

Dissemination Referenced in Utilised in public debate government, think tank or NGOs reports Discussed ioumalists Mentioned in legal Referenced in Academics as members of corporate boards materials Taken up by in

Source: Wilsdon, 2016

professional

organisations

Built on to improve any



1) Quantitative evaluation should support qualitative, expert assessment.

2) Measure performance against the research missions of the institution, group or researcher

3) Protect excellence in locally relevant research.

4) Keep data collection and analytical processes open, transparent and simple.

5) Allow those evaluated to verify data and analysis.

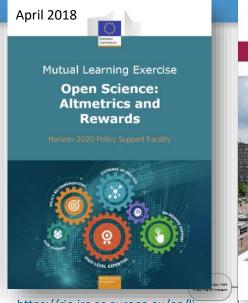
6) Account for variation by field in publication and citation practices.

7) Base assessment of individual researchers on a qualitative judgement of their portfolio

8) Avoid misplaced concreteness and false precision.

9) Recognize the systemic effects of assessment and indicators

10) Scrutinize indicators regularly and update them.



https://rio.jrc.ec.europa.eu/en/li brary/mle-open-sciencealtmetrics-and-rewards-finalreport



April 18th 2019, NWO, ZonMW, KNAW Sign the DORA agreement http://sfdora.org/



Rathenau Instituut

Balans van de wetenschap

https://www.rathenau.nl/nl/kennisecosystee m/balans-van-de-wetenschap-2018

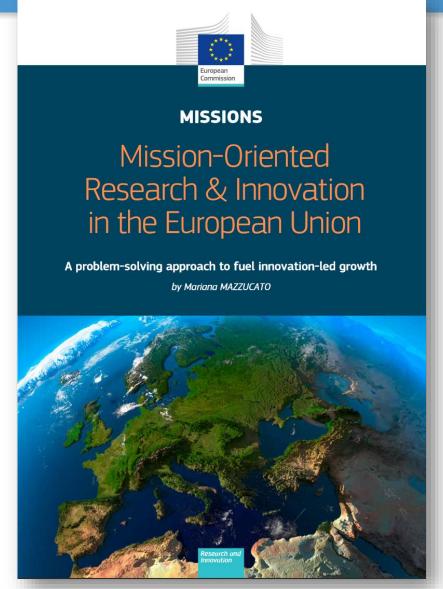


PKO's (par 3.1.1)

advisory positions

practitioner networks

### RESEARCH FUNDING INCREASINGLY FOCUS ON MISSION-ORIENTED INNOVATIONS [RELEVANT FOR SOCIETY, ACROSS DISCIPLINES]





Source:

https://ec.europa.eu/info/sites/info/files/mazzucato\_report\_2018.pdf



#### VU: "HOW CAN WE SHOW SOCIETAL IMPACT ON SOCIETALLY RELEVANT TOPICS?"

What are those societally relevant topics?





What research are we doing within these societally relevant topics? Policy influences, shaping Research shoots **Policy** Reserving Manuelles, shaping Policy Research

Is this research on societally relevant topics, actually influencing policy of societal relevant organisations?



#### MOVEMENT TOWARDS ADOPTING SDG'S AS A FRAMEWORK FOR A NEW NARRATIVE



#### The SDG Accord

The University and College Sector's Collective Response to the Global Goals

www.sdgaccord.org

**Annual report to the United Nations High-level Political Forum on** part of the SDG Accord mandatory institutional reporting

New York, 11th July 2018

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Sustainability Science

in a Global Landscape





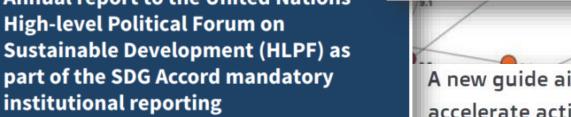












A new guide aims to help universities accelerate action on the SDGs

22 August, 2017 | Australia , New Zealand , Pacific , Publications , Universities & SDGs

#### GETTING STARTED WITH THE SDGS IN UNIVERSITIES







DVANCING & EVALUATING THE SOCIETAL IMPACT OF SCIENCE

San Francisco Declaration on **Research Assessment** 

> Find out more at: pwc.com/globalgoals

ed them

ons and

The SDG Accord Report | July 2018



### **AUROR**

"Aurora institutions are committed to working together to find solutions to globally relevant problems"





#### COLLABORATION WITH INTERNATIONAL GROUP OF BIBLIOMETRICIANS



3 GOOD HEALTH AND WELL-BEING

UN goal & target indicators

SUSTAINABLE GOALS

By 2030, end the epidemics of AIDS, tuberculosis, malaria and neglected tropical diseases and combat hepatitis, water-borne diseases and other communicable diseases

Collaborative effort in converting UN policy texts to bibliometric search strings, reviewing & testing results, and data acquisition

3.3.1 Number of new HIV infections per 1,000 uninfected population, by sex, age and key populations

3.3.2 Tuberculosis incidence per 1,000 population

3.3.3 Malaria incidence per 1,000 population

3.3.4 Hepatitis B incidence per 100,000 population

3.3.5 Number of people requiring interventions against neglected

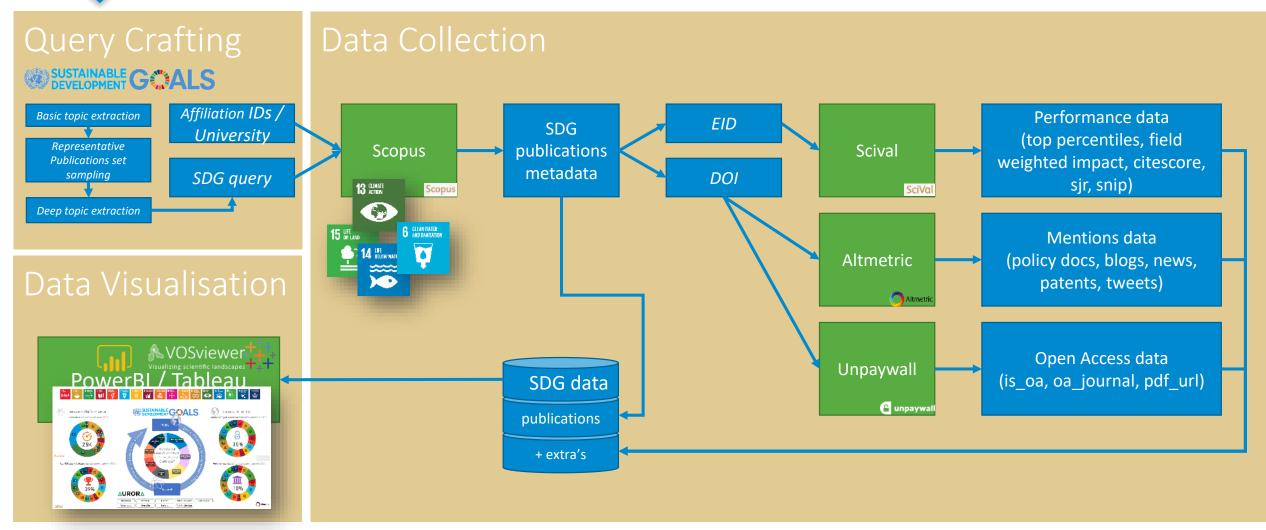


From Targets and Indicators on https://sustainabledevelopment.un.org/sdg3

**Needs improvement!** 

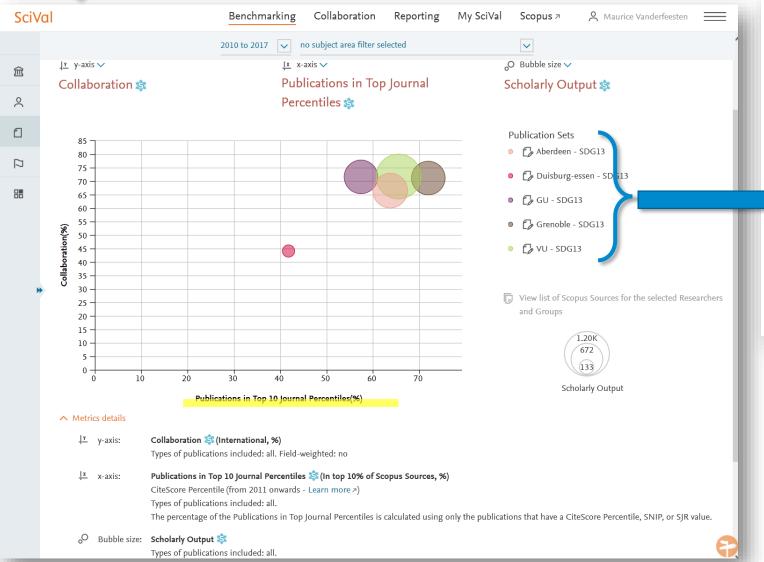
("mortality" AND ("suicid\*" OR "premature" OR "maternal" OR "neonatal" OR "under-five" OR ("under" AND "five"))) OR
("malaria" OR "hepatitus b" OR "hiv" OR "aids" OR "tropical disease\*" OR "zika" OR "ebola") OR
("abuse" AND ("substance\*" OR "drug\*" OR "alcohol")) OR
("road traffic" AND ("injur\*" OR "death\*" OR "accidents")) OR
"family planning" OR
"adolescent birth rate" OR
(("health") AND ("large household") AND ("expenditur\*" OR "income\*")) OR
(("mortality") AND ("pollution" OR "unsafe" OR "poisoning") AND ("water" OR "air" OR "sanitation" OR "hygiene")) OR
(("health") AND ("tobacco") AND ("prevalence")) OR (("national") AND ("vaccine\*") AND ("programme\*")) OR
(("health worker\*") AND ("density" OR "distribution\*")) OR
"International Health Regulation\*" OR
"health emergency preparedness"

#### PROCESSING SDG QUERIES & COLLECTING DATA





#### RESEARCH QUALITY: TOP 10% PERCENTILE MOST CITED JOURNALS







# SOCIETAL ATTENTION: AURORA SDG PAPERS WITH REFERENCES FROM POLICY DOCUMENTS



# DETAIL ON POLICY SOURCES: SDG13 PUBLICATIONS REFERRED TO BY POLICY DOCUMENTS

documents like these:



Number of Policy documents mentioning Climate action publications

Food and Agriculture Organizati... Intergovernmental Panel on Clim... The Publications Office of the Eur... National Academies Press UK Government (GOV.UK) Analysis & Policy Observatory (A... World Health Organization World Bank overheid.nl

UK Parliament Briefing notes

Brookings Institute

Chatham House

The Inter-American Development... The International Fund for Agricu...

Centers for Disease Control and ...

CARE International - CARE Insights | 2

National Bureau of Economic Res... 2 The International Institute for Sus...

European Agency for Safety and ... 1

National Institute for Health and ...

Oxfam GB Policy & Practice

Institute for Fiscal Studies 1

International Monetary Fund

rijksoverheid.nl

Field and numerical investigations of wave transformation and inundation on atoll islands

Cited by Analysis & Policy Observatory (APO) on 01 Jan 2016 Analysis & Policy Observatory (APO) is a research database and alert service providing free access to full-text research reports and papers, statistics and other resources essential for public policy development and implementation in Australia and New Zealand.



# Be prepared: climate change, security and Australia's Defence Force

Cited by Analysis & Policy Observatory (APO) on 18 Sep 2015 Analysis & Policy Observatory (APO) is a research database and alert service providing free access to full-text research reports and papers, statistics and other resources essential for public policy development and implementation in Australia and New Zealand.



News story

□ Tweet □ Video

Policy document

# Port of Manzanillo: Climate Risk Management (Final Report)

Cited by The Inter-American Development Bank on 09 Sep 2015 The Inter-American Development Bank (IDB) is the largest source of development financing for Latin America and the Caribbean. The IDB strives to find innovative and effective approaches to address Latin America and the Caribbean's economic, social, institutional, and environmental development challenges.



# Climate change 2015: growing risks, critical choices

Cited by Analysis & Policy Observatory (APO) on 24 Aug 2015 Analysis & Policy Observatory (APO) is a research database and alert service providing free access to full-text research reports and papers, statistics and other resources essential for public policy development and implementation in Australia and New Zealand.



# Climate impacts in Europe - EU Law and **Publications**

Cited by The Publications Office of the European Union on 02 Jun

The Publications Office of the European Union (Publications Office), based in Luxembourg, is an interinstitutional office whose task is to



# Past, present and future landscapes: understanding alternative futures for climate change adaptation of coastal settlements and communities

Cited by Analysis & Policy Observatory (APO) on 04 Feb 2013 Analysis & Policy Observatory (APO) is a research database and alert service providing free access to full-text research reports and



publish the publications of the institutions of the European Union.



SDG 13 publications are mentioned in reference lists of Policy

# MULTIPLE DIMENSIONS ON AURORA'S SDG RESEARCH; EXCELLENCE OF THAT RESEARCH, BUT ALSO ITS REACH IN SOCIETY







































Amount of publications related to SDG's



Top 10% Journals Published Publications related to SDG's







Freely and Open Accessible Publications related to SDG's



Policy Documents Using Publications related to SDG's







Scopus

# IF YOU WANT TO JOIN A LIVE VIEW...





# MULTIPLE DIMENSIONS ON AURORA'S SDG RESEARCH; EXCELLENCE OF THAT RESEARCH, BUT ALSO ITS REACH IN SOCIETY







































Amount of publications related to SDG's



Top 10% Journals Published Publications related to SDG's







Freely and Open Accessible Publications related to SDG's



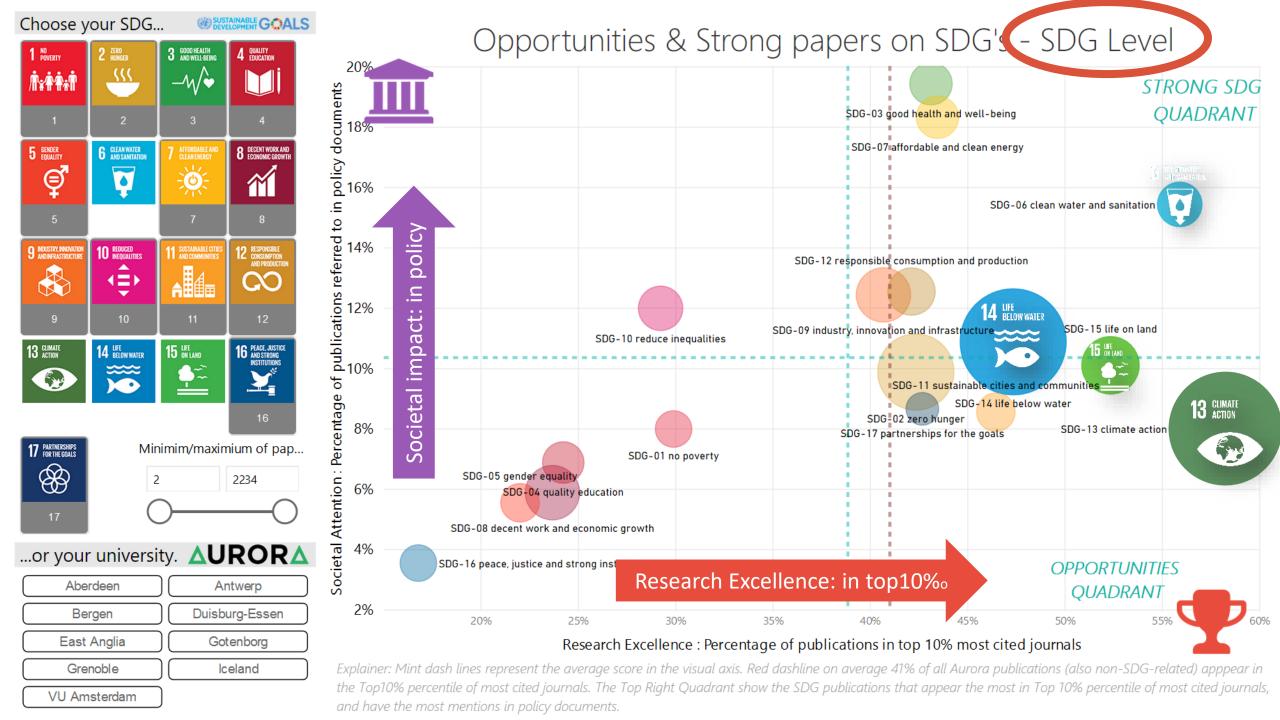
Policy Documents Using Publications related to SDG's

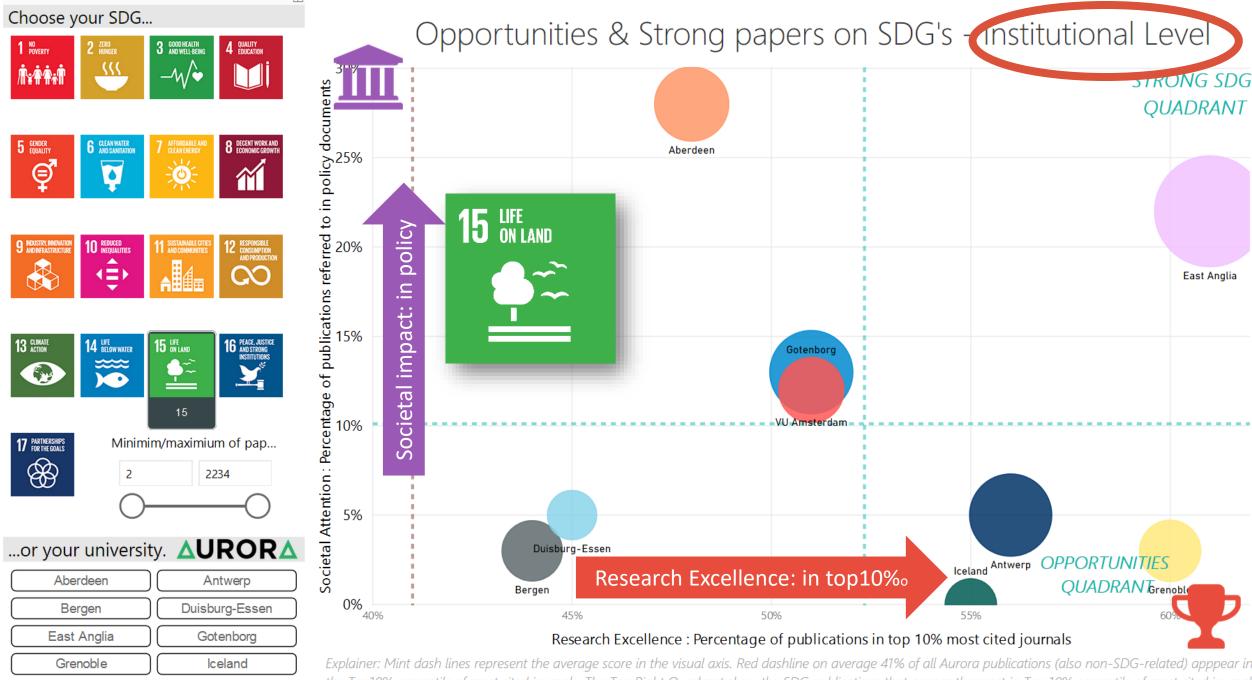






Scopus



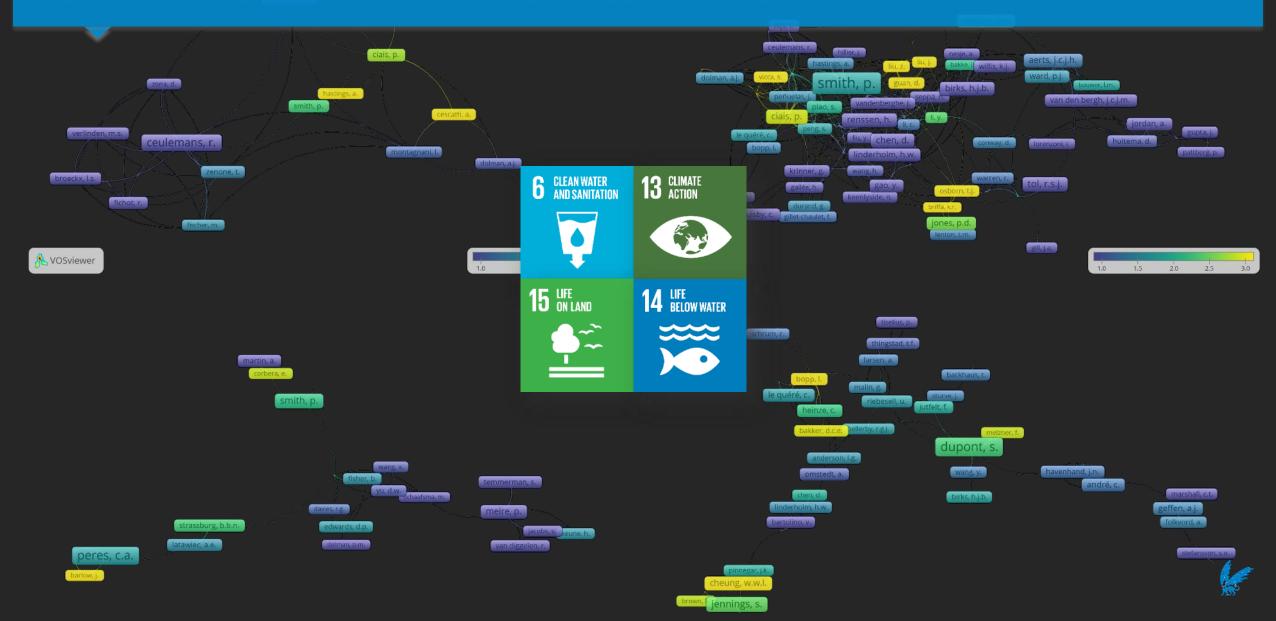


VU Amsterdam

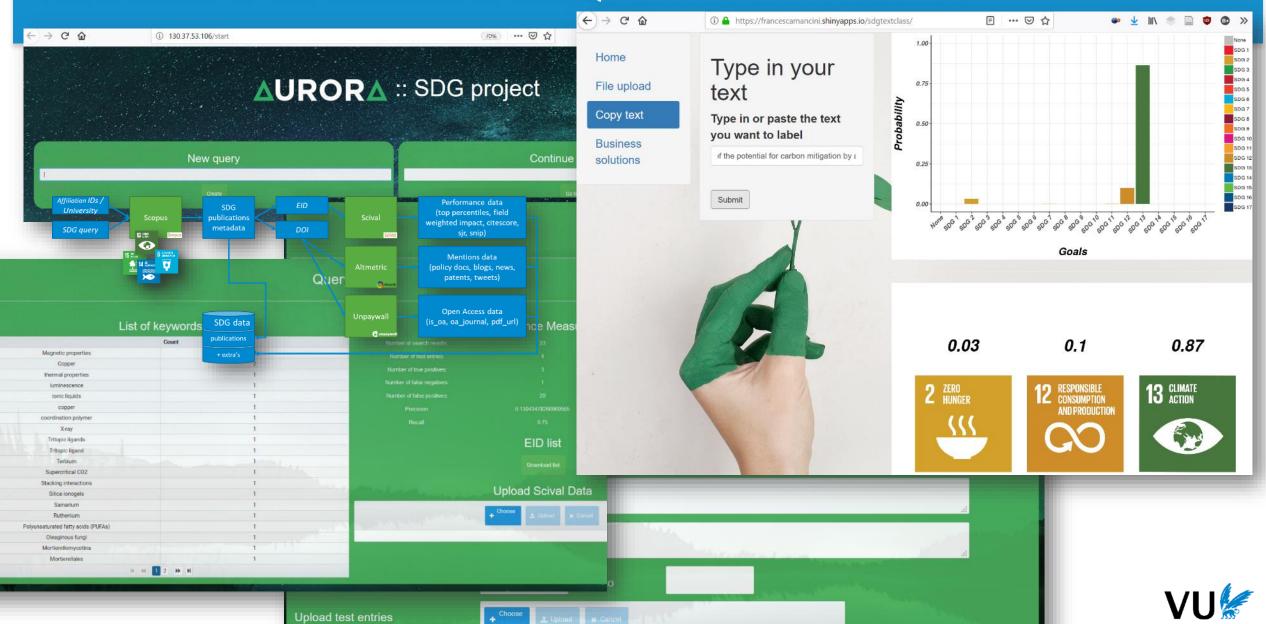
Explainer: Mint dash lines represent the average score in the visual axis. Red dashline on average 41% of all Aurora publications (also non-SDG-related) apppear in the Top10% percentile of most cited journals. The Top Right Quadrant show the SDG publications that appear the most in Top 10% percentile of most cited journals, and have the most mentions in policy documents.

# MOST PROMINENT (CO-)AUTHORS IN AURORA RESEARCH ON BIOSPHERE SDG'S

[ SIZE: #PUBLICATIONS / AUTHOR ] [CONNECTIONS: CO-AUTHORSHIP] [COLOR: NORMALIZED CITATIONS: 1=AVG]



# CUSTOM TOOLING AND ALTERNATIVE METHODS FOR SPEEDING-UP THE VALIDATION OF DATA QUALITY AND DATA COLLECTION



# CULTURAL CHANGE – PRELIMINARY WORK

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**VU** LIBRARY LIVE



Rethinking the academic awards system.





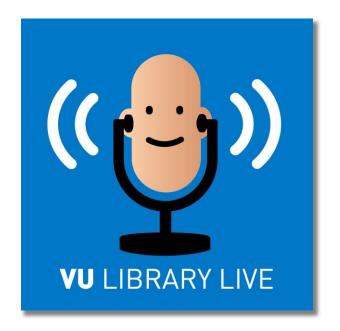




# THE EFFECT OF HAVING THAT CONVERSTATION

# **Library Live**

 Subsequently used in lectures at the VU.



# **VALORISATIE**

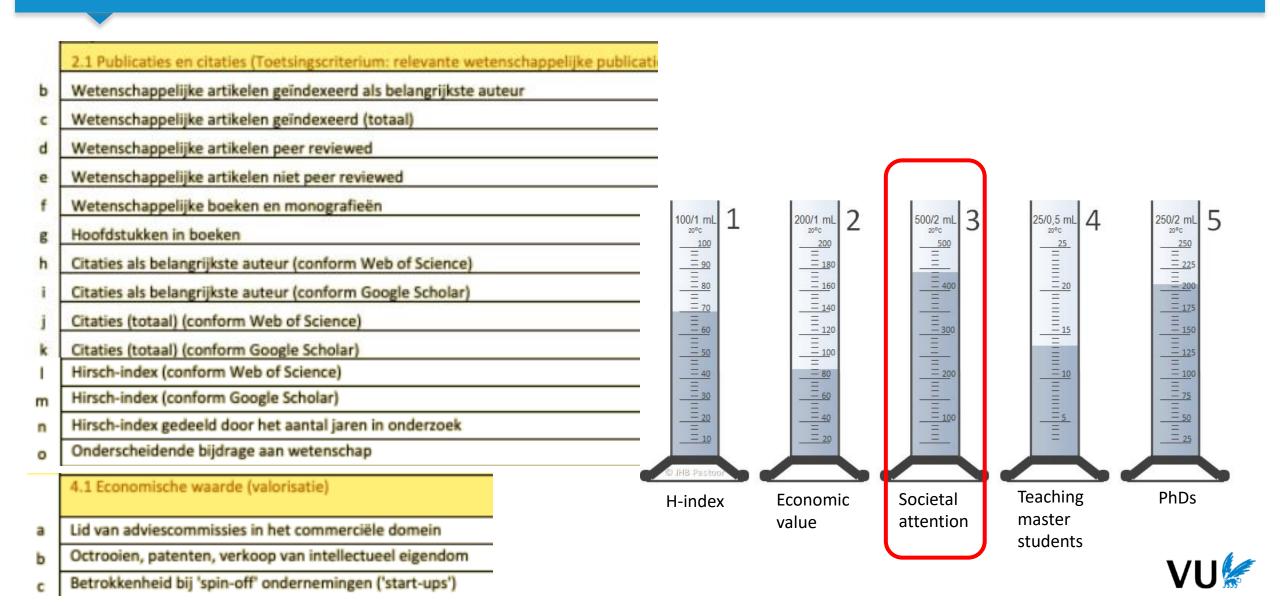
DR. JUTKA HALBERSTADT VRIJDAG 3 MEI 2019

# **HUISWERK VOORAF**

 Ga naar de webpagina van de 'VU Library Live talk show and podcast on the academic reward system' en lees wat daar staat (link)



# FROM CLASSICAL TO DIVERSITY



# THANK YOU FOR YOUR ATTENTION; QUESTION TIME

