Work Group 1

Session 1

Michael Ochsner, Emanuel Kulczycki & Aldis Gedutis

Nina Hoffman

WG1 meeting Thursday 8th, 10:30

➚ Welcome by Michael Ochsner

➚ Evaluation Systems
  ➚ Presentation by Michael Ochsner, Emanuel Kulczycki and Aldis Gedutis
  ➚ Focus Groups: Case Studies, Brainstorming Training School, List of institutions

➚ Peer Review
  ➚ Presentation by Nina Hoffman
  ➚ Presentation of project ideas

➚ Wrap-up and preparing of session 2

State of the Art:

What happend since Antwerp

Michael Ochsner

COST ACTION CA15137

Tasks and Deliverables for WG1

↗ Our **tasks** in the action are (always for SSH research)

  ↗ T1: collect, review, conduct studies on knowledge production and dissemination (incl. quality perceptions)

  ↗ T2: Analyse quality representations and assumptions in peer review

  ↗ T3: Observe national regulations, recommendations, procedures for research evaluation and their effects on knowledge production

  ↗ T4: Overview quality criteria based on scholars' notions of quality

Tasks and Deliverables for WG1

↗ Our main **deliverables** are (* = first version in GP2; ** GP3)

- ↗ D1: List of projects on quality perceptions in participating countries*

- ↗ D2: Overview of research evaluation practices*

- ↗ D3: Overview of peer review practices**

- ↗ D4: Scientific papers and presentations

- ↗ D5: Training School: Evaluation procedures and impact on careers**

- ↗ D6: Recommendations for better adapted criteria and indicators**

- ↗ D7: Bibliography*

- ↗ D8: Policy Briefs

Summary of GP2

- ↗ Deliverables
    - ↗ D1: List of projects on quality perceptions in participating countries
        - ↗ Available on the ENRESSH Website
    - ↗ D2: Overview of national evaluation systems
        - ↗ First version published: fteval journal
        - ↗ Presentation of typology at two conferences
    - ↗ D4: Presentations and Publications (see later)
    - ↗ D7: Bibliography
        - ↗ First version, needs to be continuously updated
    - ↗ D5, D6, D8: STSM on publication patterns, work in subgroups, preparatory status

Publications and Presentations

- Publications:
  - The Future of Research Assessment in the Humanities: Bottom-Up Research Assessment Procedures. Palgrave Communications (Ochsner, Hug & Galleron)
  - Valorizing SSH research: Towards a new approach to evaluate SSH research' value for society. Fteval (Galleron, Ochsner, Spaapen & Williams)

- Presentations:
  - September 2016: Roundtable at STI Enid in València: All Work Groups presented their work
  - November 2016: Presentation of first results of survey on evaluation practices at the OpenEvaluation conference in Vienna
  - July 2017: Presentation of Evaluation Systems in Europe at RESSH
  - July 2017: Presentation of STSM project Quality Criteria in Macedonia at RESSH
  - October 2017: Presentation and Media Conference on Research Conditions and Research Quality in Macedonia in Skopje
  - November 2017: Presentation of first typology of evaluation systems at the Nordic Workshop for Bibliometrics and Research Policy
  - January 2018: Presentation of Work from WG1 at a Workshop in Graz

Objectives of GP3

↗ Focus on D2 (evaluation systems), D3 (overview on peer review) and D5 (Training School)

↗ Lisbon: build focus groups on deliverables

↗ Summer 2018: Literature and detailed plans

↗ Fall 2018: Analyses

↗ Winter 18/19: Writing of the reports

↗ February Training School

↗ April/May reports published

Other Ongoing Projects

- ↗ Quality in the eyes of the scholars: quantitative and qualitative research projects

- ↗ Attitudes towards evaluation

- ↗ Values and ethics of evaluation

- ↗ Contribution to WG3 paper on book evaluation

- ↗ Close collaboration with SIG ECI on careers and evaluation: several projects investigating diverse aspects of research evaluation

- ↗ Swiss members of Action: Work influenced publication of Swiss project report www.performances-recherche.ch including 10 theses for an appropriate evaluation (main author Alexander Hasgall)

Background and Outline

↗ Background: Evaluation differs between countries →
national evaluation systems

↗ Existing Typologies: based on a few countries (where
information on evaluation is easily available) and not
focusing on SSH disciplines

↗ Design: Iterative, Delphi-like approach

↗ Outline:

  ↗ method/design

  ↗ descriptive results

  ↗ first classification

Method and Design

- ↗ Step 1: Create initial dimensions for typology
  - ↗ Based on existing typologies (Coryn et al., 2007; Hicks, 2010; 2012; Martin & Geuna, 2001; 2003; von Tunzelmann & Mbula, 2003
  - ↗ Expanded by members of Steering Committee of ENRESSH

- ↗ Step 2: Survey of MC-members of ENRESSH
  - ↗ 43 people from 23 countries
  - ↗ New suggestions

- ↗ Step 3: New Questionnaire incl. new dimensions

- ↗ Step 4: **Survey 2 of ENRESSH members**

- ↗ Step 5: Qualitative studies to further investigate ideal types

Response Survey 2

↗ Country coverage
  - ↗ 70 individuals from 33 countries
  - ↗ 16 countries with only one individual
  - ↗ Including partial answers: 73/34/16

↗ Response Rate for full answers: 50%

↗ Response Rate for partial answers: 53%

↗ Response Rate countries: 85% (87%)

Dimensions for Classification

↗ Typology

  ↗ 3 Dimensions:

    ↗ Institutional Evaluation

    ↗ Career Promotion

    ↗ Grant Evaluation

  ↗ 11 Aspects (Institutional Evaluation)

    ↗ Level of the evaluation protocol

    ↗ **Differentiation**

    ↗ Who is evaluating

    ↗ Object of evaluation

    ↗ Funding

    ↗ Method

    ↗ **Language**

    ↗ **Gender**

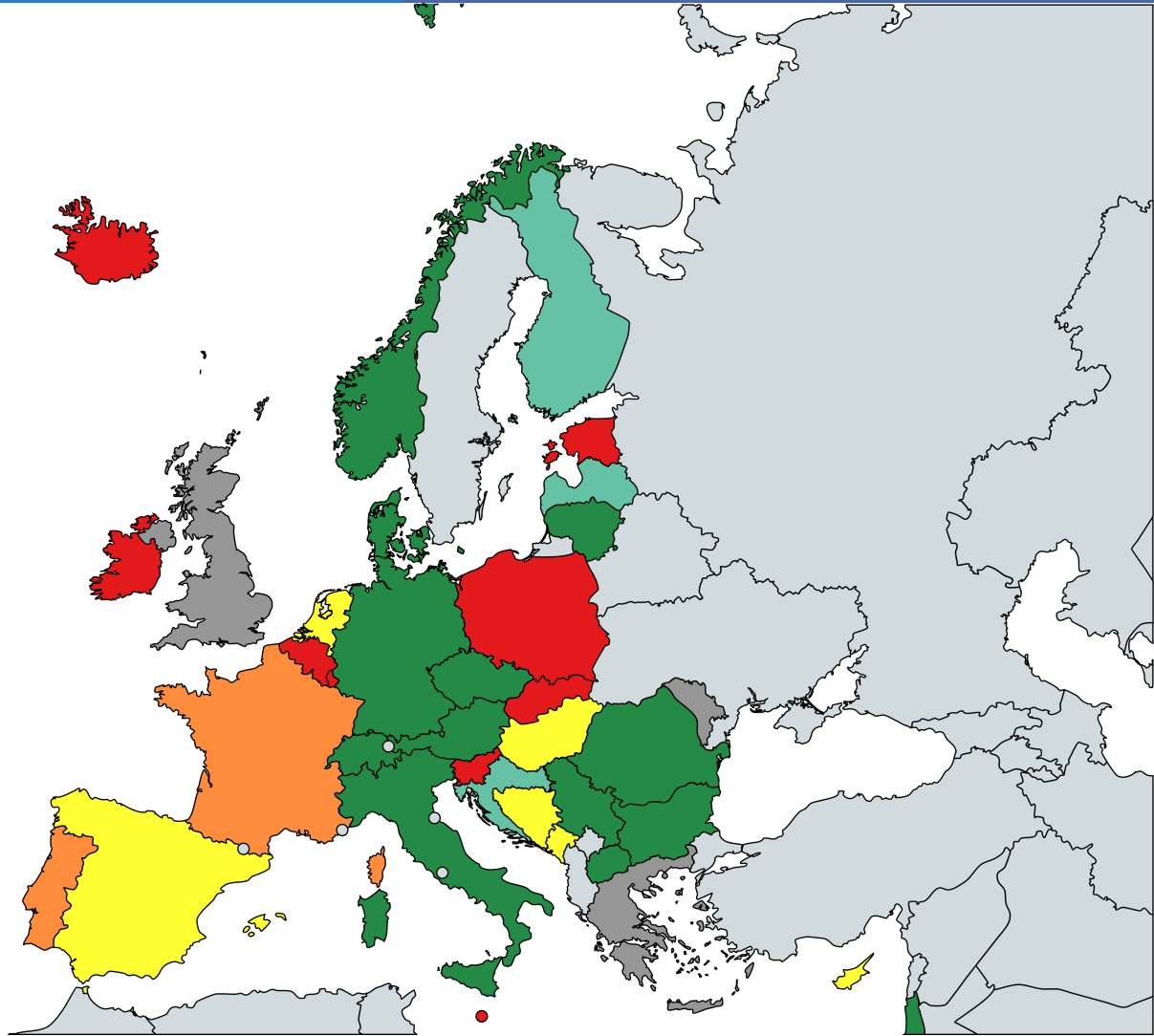   ↗ Timeline

    ↗ **Transparency**

    ↗ **Costs**

Results: Institutional Evaluation National Evaluation Procedure

Legend:
- National Evaluation
- National Evaluation (primarily)
- Undecided
- No National Evaluation (primarily)
- No National Evaluation
- No Data

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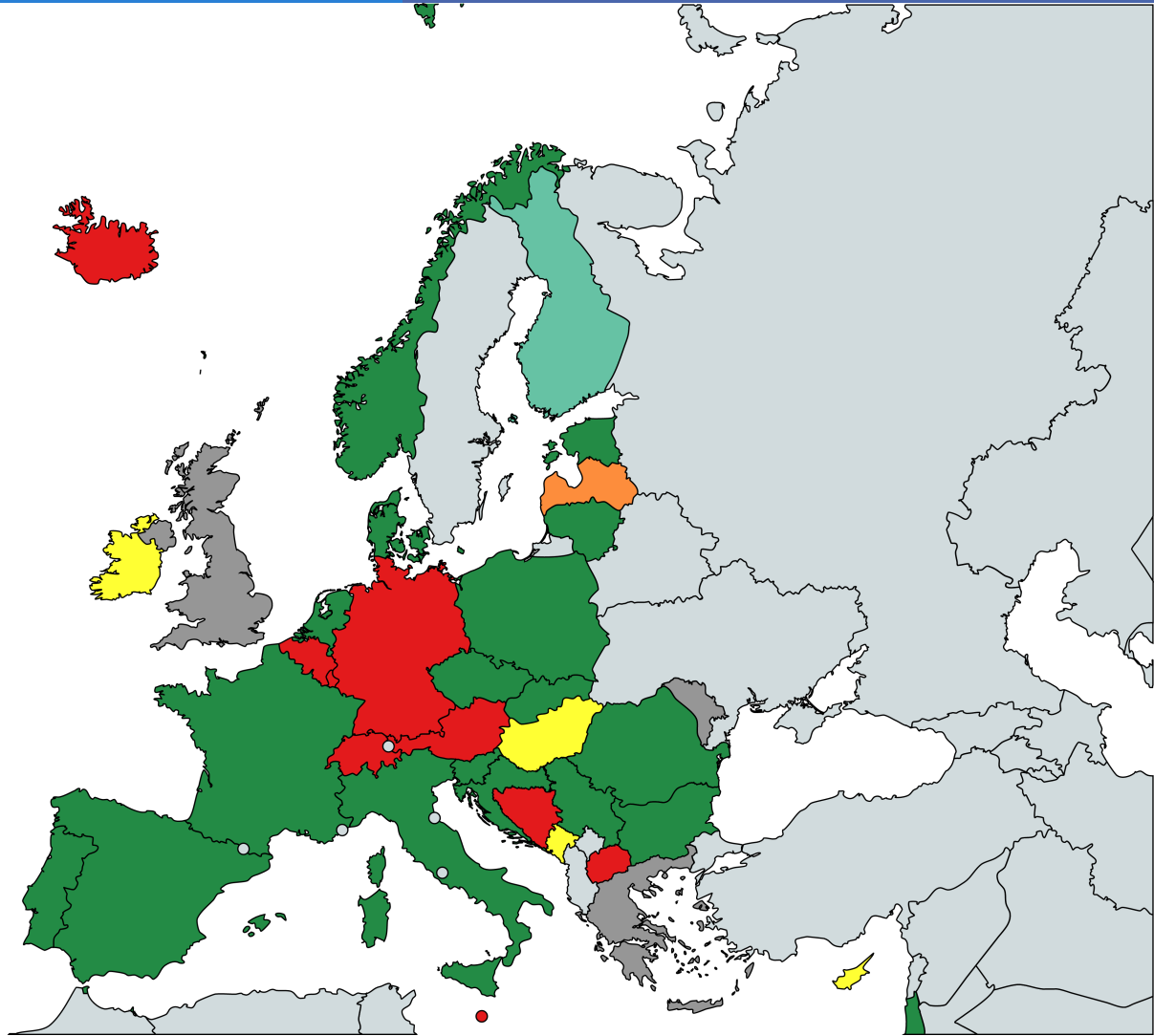
Results: Institutional Evaluation SSH specific

Legend:
- SSH specific
- SSH specific (primarily)
- Undecided
- Non SSH specific (primarily)
- Non SSH specific
- No Data

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Results: Institutional Evaluation Principal Method

Legend:
- Metrics
- Metrix (primarily)
- Undecided
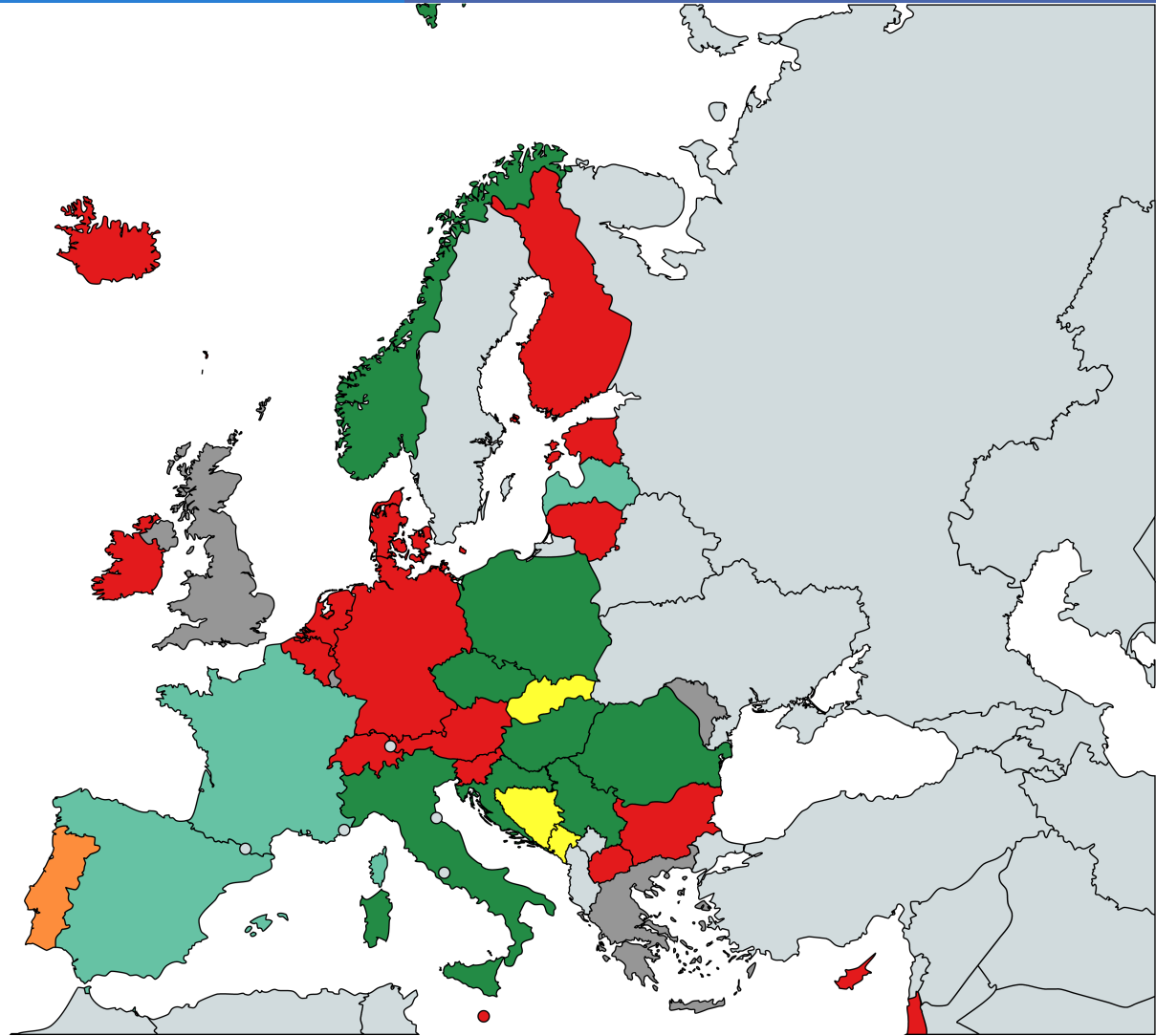- Peer Review (primarily)
- Peer Review
- No Data

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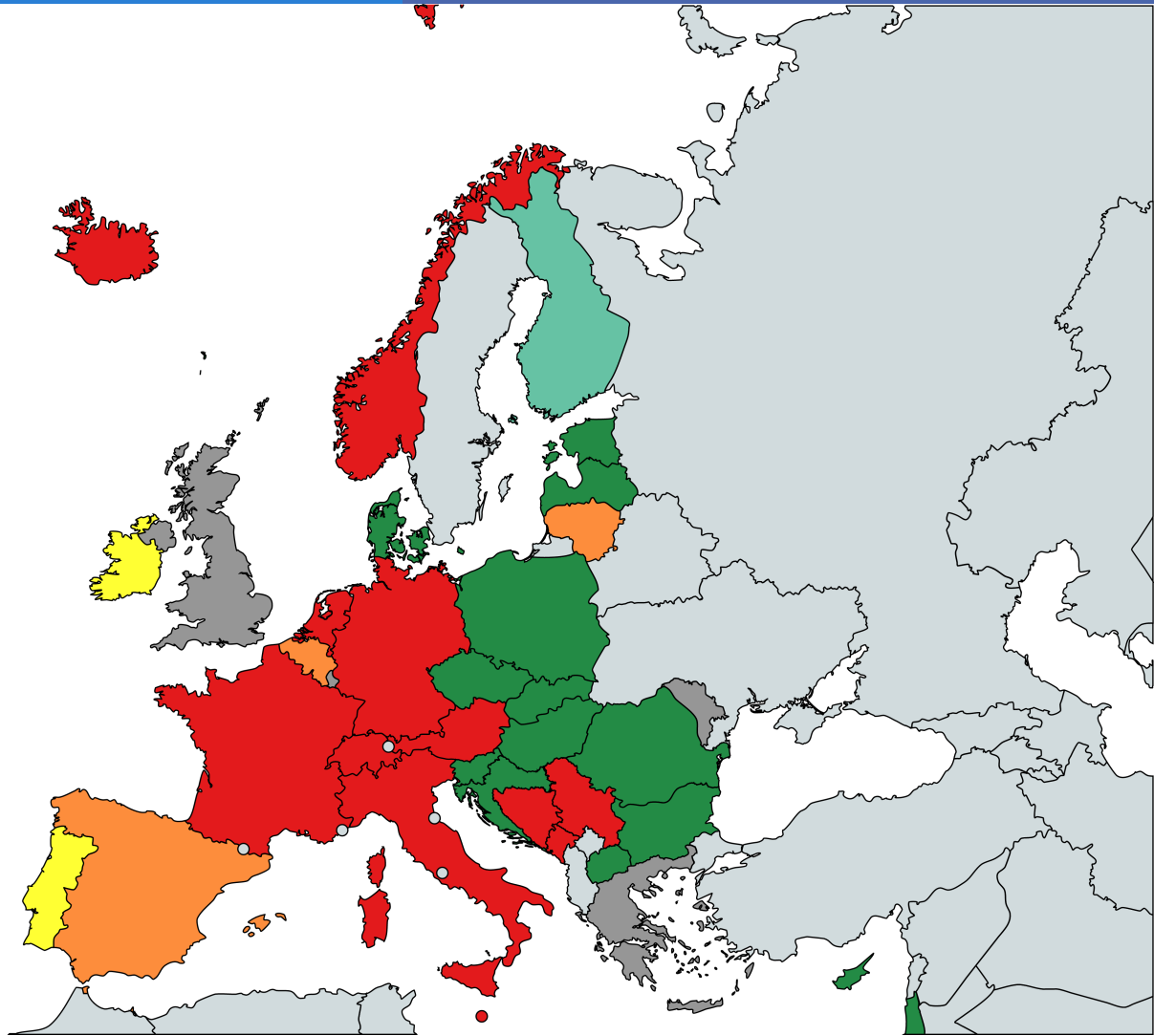
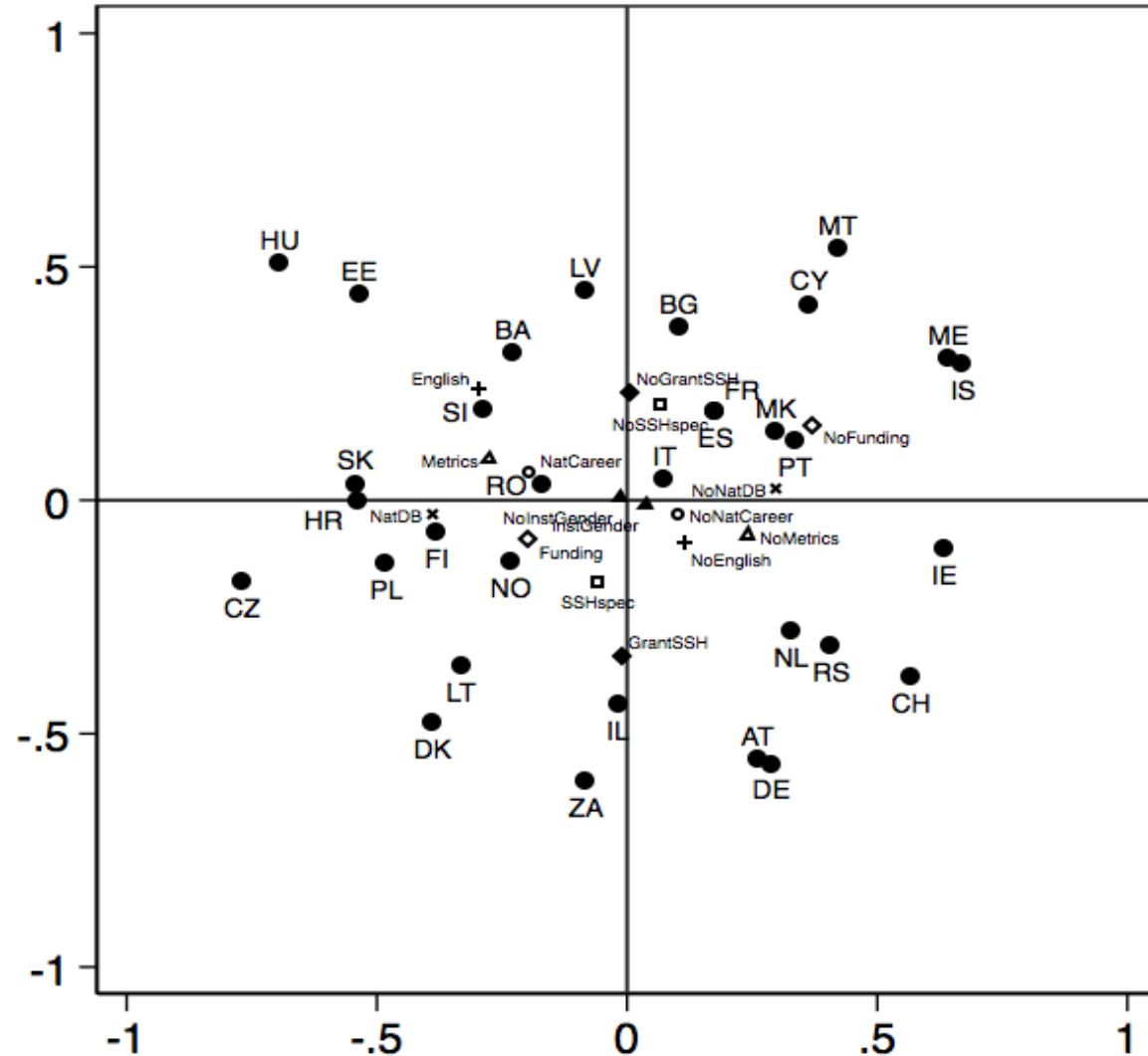# Results: Institutional Evaluation Evaluation link to Funding
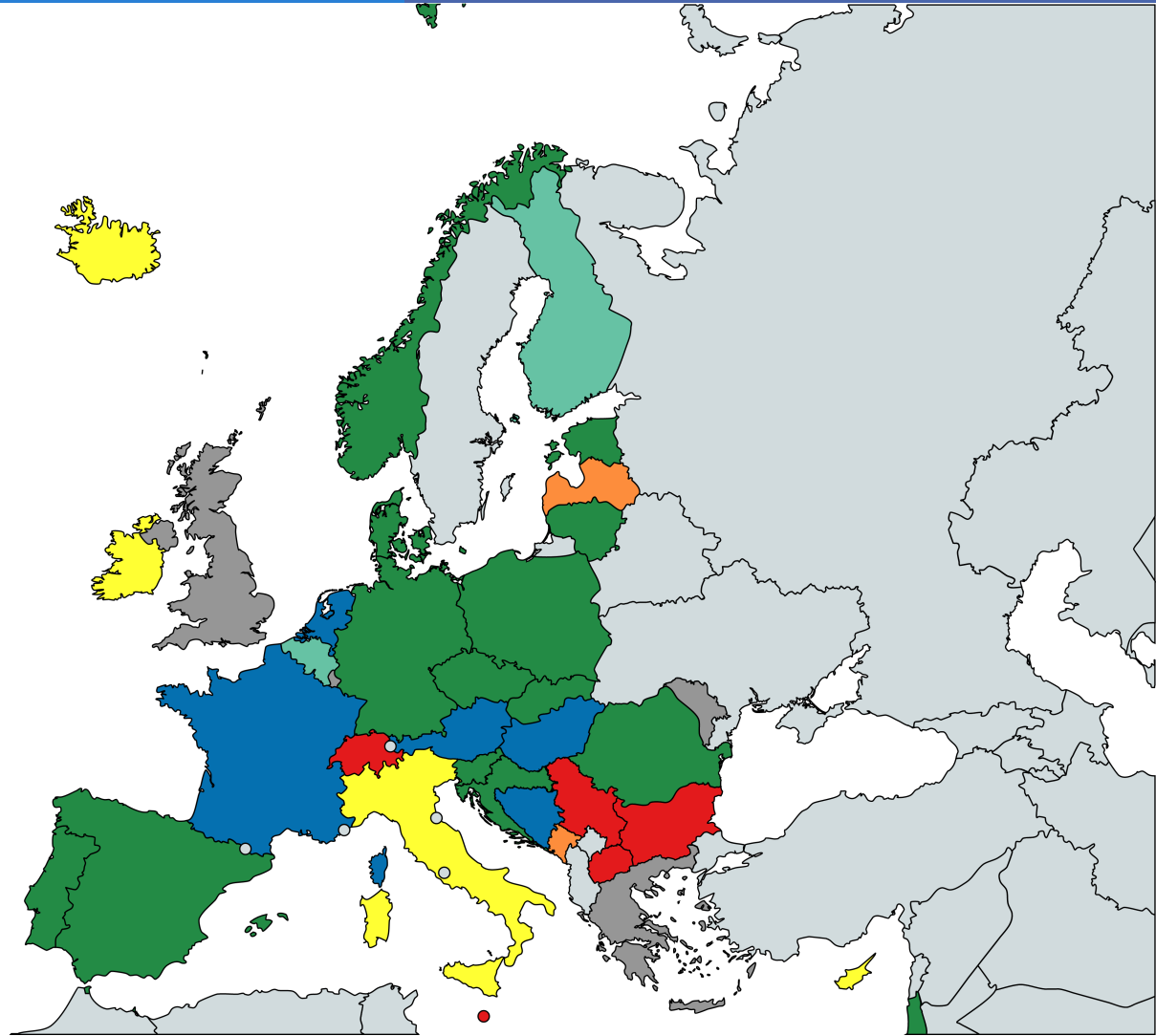
Results: Career Promotion
Existence of National Institution

Legend:
- National (agreed)
- National
- Undecided
- Not national
- Not national (agreed)
- No Data

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National Database
Funding Linked to evaluation
Metrics as a main method
SSH Specific institutional evaluation
English language pushed
Gender Issues addressed
National career promotion
SSH grant programmes

Evaluation Systems in Europe

- Summary
  - 70 persons from 34 countries (RR: 51%/85%)
    - AT, BA, BE, BG, CH, CY, CZ, DE, DK, EE, ES, FR, GB, HR, HU, IE, IL, IS, IT, LV, LU, LT, MD, ME, MK, MT, NL, NO, PL, PT, RO, RS, SI, SK
  - Dimensions of existing typologies do not suffice
    - Variance in added dimensions between countries
    - Use of comments in the first survey
  - Variance within countries
    - Differences in perceptions
    - Complex systems
  - Preliminary findings
    - Evaluations are more national than not (19 countries of 34)
    - 15 of 33 countries report funding depends on evaluation
    - 18 of 33 countries report adaptations to SSH (but sometimes only no use of citations)

Evaluation Systems in Europe

- ↗ New **Classification**
  - ↗ 8 variables
  - ↗ Two dimensions: Database and funding / SSH specific, English
  - ↗ 5 clusters:
    - ↗ Metric based, no SSH-specific, English pushed
      - ↗ HU, EE, BA, LV
    - ↗ National Database, SSH-specific, national, non-metric
      - ↗ IL, LT, NO, ZA
    - ↗ National Database, Funding, Metrics,
      - ↗ CZ, DK, HR, FI, PL, SK
    - ↗ No database, no English push, non-metric, SSH-specific
      - ↗ AT, CH, DE, NL, RS
    - ↗ No SSH specific, no database, no English
      - ↗ ES, FR, IS, ME, MK, MT, PT

Next steps: Plan of the Report

↗ Descriptive summary of the evaluation systems

  ↗ Classification

  ↗ Case studies of countries in each type

  ↗ Conclusion

↗ List of institutions as appendix

Next steps: Structure of Case Studies

⬈ Along variables used in Classification plus some more – only institutional evaluation:

  ⬈ National, regional or institutional organisation?

  ⬈ Data?

  ⬈ Principal Methods

  ⬈ Funding linked?

  ⬈ SSH-specific?

  ⬈ Gender issues addressed?

  ⬈ Language policy?

  ⬈ Transparency of outcome?

  ⬈ Cost/Benefit Ratio?

⬈ Legal Frameworks: What are the laws that have to be followed?

⬈ Is there a national career promotion system? If yes: SSH, Gender?

⬈ Grant Evaluation: too complicated. Maybe in a later step

Let's get it going!

↗ Four to Five clusters, ideally with two countries in each

  ↗ Each Case Study pair: chapter in a volume of the ENRESSH Action

↗ Four coordinators, as many volunteers as possible

  ↗ It should be your country or one you master the language very well

Sub-Group 3: Peer Review

Nina Hoffman

COST ACTION CA15137

Deliverables and aims of WG1/SG3

- ↗ Deliverable 3 'Overview of peer review practices' (due in month 36 – May 2019)

- ↗ We should not aim at a complete report describing peer review practices in a large number of European countries as the topic of peer review is a huge one.

- ↗ We should come back to the initial concept of ENRESSH: „The aim is to get a picture if, in reality, peer review practices of the SSH community correspond to expectations set by the same community" (Ioana, Minutes, Antwerp)

Our main aim

is **a relation between**

↗ **official documents and formal guidelines** setting criteria and procedures and developed by the research community via their representatives in national advisory and decision bodies (evaluation committees, research councils, etc. as well as journal and publishing houses editorial boards)

and

↗ **their implementation** by the same research community represented by peer reviewers, review panels etc.

A suggested way to do it is to compare official procedures and guidelines formulated in official documents with their implementation in peer review practice; the practice could be revealed through interviews with peer reviewers, panel members and chairs.

Our aims (cont.)

↗ These practices could be identified in relation to a variety of **evaluations situations** like the evaluation of journals articles and monographs submitted for publication; evaluation of grant proposals as well as the institutional evaluation;

↗ A specific additional issue to consider is whether and how **bibliometric tools** are being used in these evaluations;

↗ A side issue (to be addressed if there is time and material for it) is a general reflection on **distinctions between peer review in the Social Sciences and Humanities** and specifically whether there are differences in the use of bibliometric tools.

The aim of the meeting for WG1/SG3

↗ to agree on **specific research projects** which will together constitute the content of the overview report on peer review practices

↗ each research project should end with **a publication (important note: authors from at least 2 COST Action members/countries)**

↗ for each project we shall establish **a team with a leader**.

Suggested topics for research projects

Topics in search of a leader and a team:

↗ Overview of literature on peer-review in SSH

↗ Overview of definitions of peer-review in SSH

↗ Guidelines for manuscript and grant peer review in SSH and their implementation in practice

Topics proposed by ENRESSH members

- ⬈ Peer review in the evaluation of monographs and publishing houses (lead Elea Giménez-Toledo)

- ⬈ Empirically developed criteria in manuscript peer review in the SSH (lead Michael Ochsner)

- ⬈ content analysis: instructions for peer-reviewers, instructions for authors, websites, reviews (Elsevier), Publons (lead Jadranka Stojanovsky)

and/or

- ⬈ motivation (and other elements) using the data from Elsevier journals for the SSH sample (lead Jadranka Stojanovsky).

Leaders invite you to join their teams.

Today and tomorrow

↗   Thursday, March 8, 10.30-12.30 as a part of the general meeting of WG1

During the first session the research topics will be presented and discussed. The session should result in creation of research teams for each project/publication. **Each of you should join a theme / project group**

↗   Friday, March 9. 11.00-13.00 WG1 will work in subgroups followed by a wrap-up

During the second session, the teams should work on their projects, their implementation plans, division of work and schedules. **You should leave the meeting knowing what you should do in the coming months.**

Be aware that the other subgroups of WG1 meet as well, so not everyone will be available. So the main planning should be set up during the first session.

Schedule

↗ Overview combined from
   individual projects: April 2019

↗ Final draft for comments: March 2019

↗ Start writing the Overview: January 2019

↗ Results of projects, preferably
   in a form of **submitted articles:**   **December 2018**

You should aim at this date when planning your project.

Which evaluation situations still missing

from the long list established in Sofia:

↗ Institutions

↗ Individuals / promotion

↗ Conference submissions

Our projects cover:

↗ Monographs and other scholarly books

↗ Journal articles

↗ Research project proposals

Work in Groups

- Work in Groups

- Drop by Michael and indicate which group you are interested in and whether you intend to provide a country report