



Federation of Finnish
Learned Societies

European recommendations on responsible research assessment

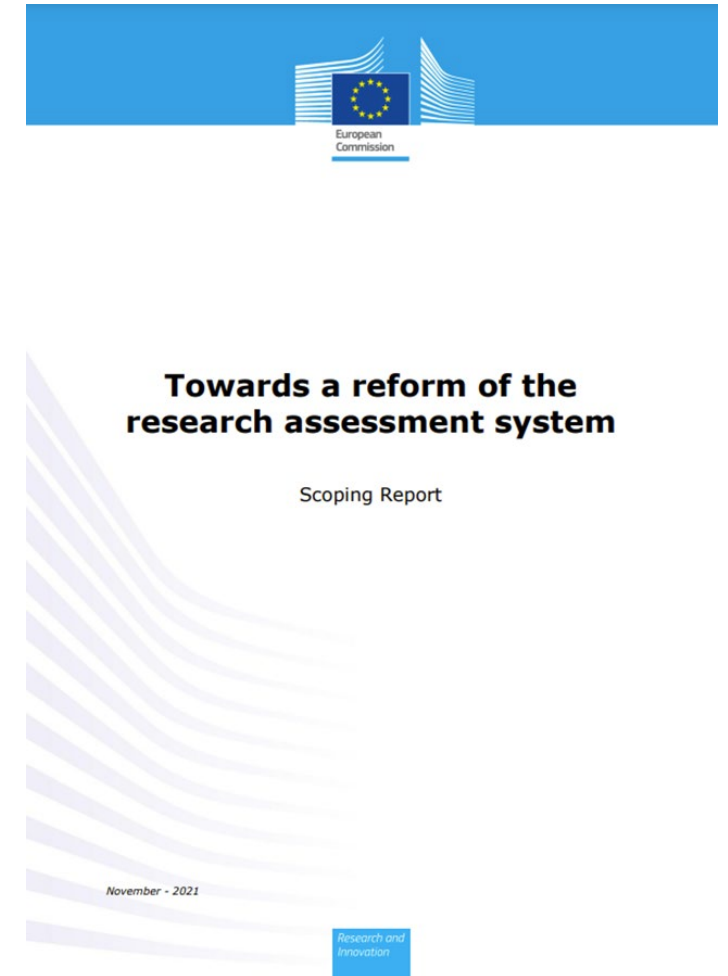
Janne Pölönen, Secretary General, Publication Forum

Henriikka Mustajoki, Secretary General, Open Science

EASST 2022

Responsible Research Assessment (RRA)

- Responsible research assessment (RRA) is a top policy priority; entails:
 - balancing qualitative and quantitative methods
 - recognizing diversity of academic work
 - respecting differences between fields
 - rewarding open science practices.



Responsible Research Assessment (RRA)

- European Commission aims to facilitate and speed up changes with a European agreement on a reform of the research assessment system.
 - over 350 organisations have indicated interest in signing the agreement
- The European agreement builds on increasing number of international declarations of RRA produced during the past decade
- Since 2019, three European countries have formed national coalitions for producing and implementing national RRA recommendations
- We analyze and compare the European, national and international RRA recommendations to show overlaps and differences in construction of policies, as well as continuities and discontinuities

International RRA Recommendations

- Recently, RoRI listed fifteen initiatives which have been influential in shaping conversations about RRA across the international research community

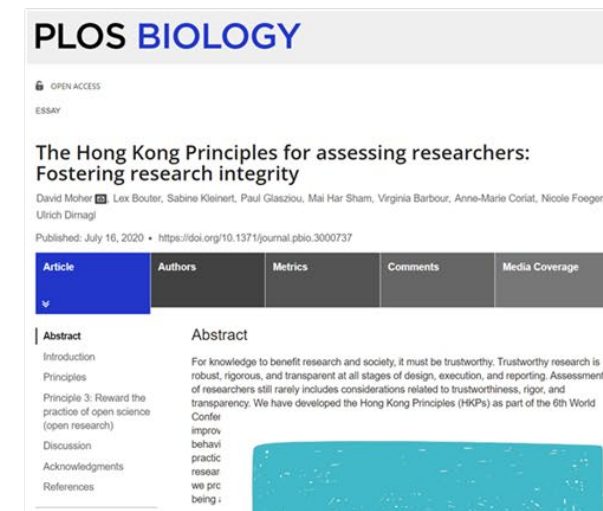
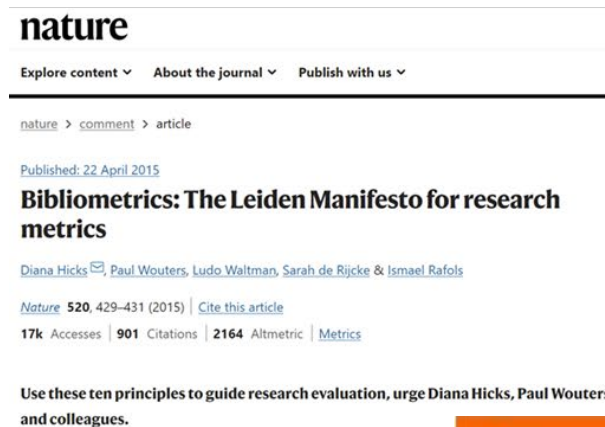


RoRI Working Paper No.3 The changing role of funders in responsible research assessment: progress, obstacles and the way ahead

Stephen Curry, Sarah de Rijcke, Anna Hatch, Dorsamy (Gansen) Pillay, Inge van der Weijden and James Wilsdon

November 2020

Produced in partnership with:



Helsinki Initiative
on Multilingualism

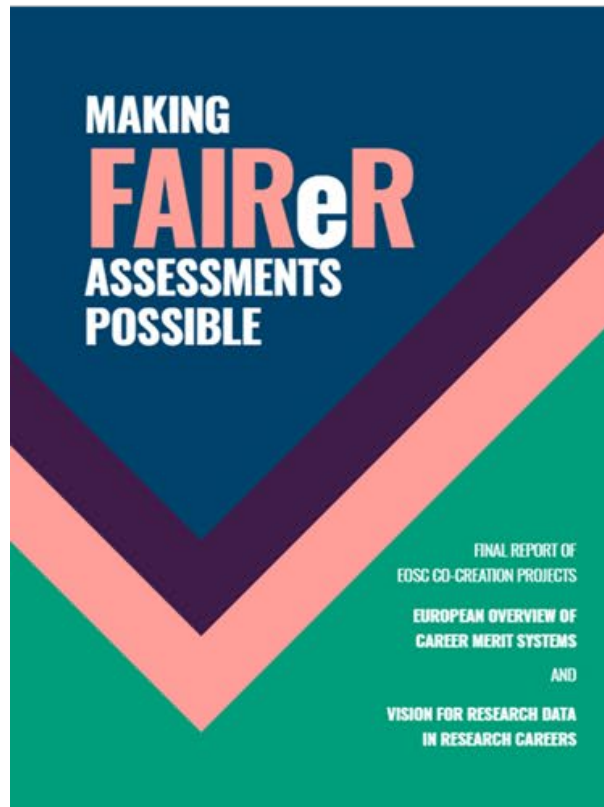
Hi!

International Recommendations Compared

	RECOMMENDATIONS	DORA	LEIDEN	METRIC TIDE	HONG KONG	HELSIN- KI
METHOD	• Abandon journal-metrics as surrogate measure of quality	✓				
	• Quantitative evaluation support qualitative assessment		✓	✓		
	• Qualitative judgment based on portfolios		✓			
	• Misplaced concreteness and false precision		✓			
CRITERIA	• Explicit criteria used in evaluating	✓				
	• Systemic effects of assessment and indicators		✓	✓		
	• Scrutiny and regular updating of indicators		✓	✓		
DATA	• Open and transparent data and methods	✓	✓	✓		
	• Licence allowing unrestricted reuse	✓				
	• Allowing those evaluated to verify data and analysis		✓	✓		
	• Best possible data in terms of accuracy and scope			✓		
VALUE DIVERSITY	• All research outputs and broad range of impacts	✓	✓	✓	✓	✓
	• Missions of the institution, group or researcher		✓			
	• Excellence in locally relevant research		✓			✓
	• Variation by field in publication and citation practices		✓	✓		
	• Plurality of research and career paths			✓		
	• Responsible practices, complete reporting, open science				✓	
	• Research activities and contributions				✓	
	• Multilingualism and outputs in all languages					✓

Making FAIReR Assessments Possible

- Recent EOSC Co-creation project also provided an overview of the recommendations landscape, and proposed FAIReR assessment (FAIR+Responsible)



STEPS FOR REALISING THE VISION FOR FAIReR ASSESSMENTS



FAIReR ACADEMIC ASSESSMENTS



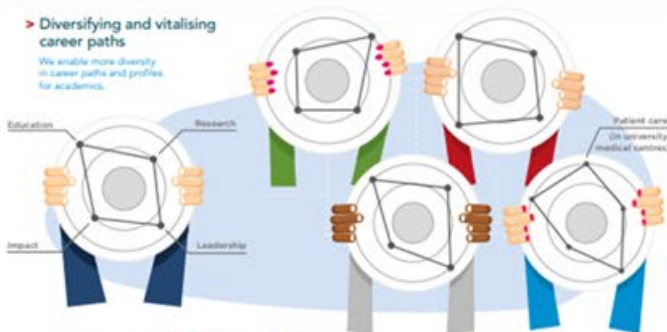
Three National Recommendations

Room for everyone's talent

towards a new balance in the recognition and rewards of academics

> Diversifying and vitalising career paths

We enable more diversity in career paths and profiles for academics.



> Achieving balance between individuals and the collective

We assess academics based on both their individual and their team performance.



> Focusing on quality

In our assessments of academic performance, we increasingly focus on quality, content and creativity.



> Stimulating open science

We encourage academics to share their research outcomes with society.



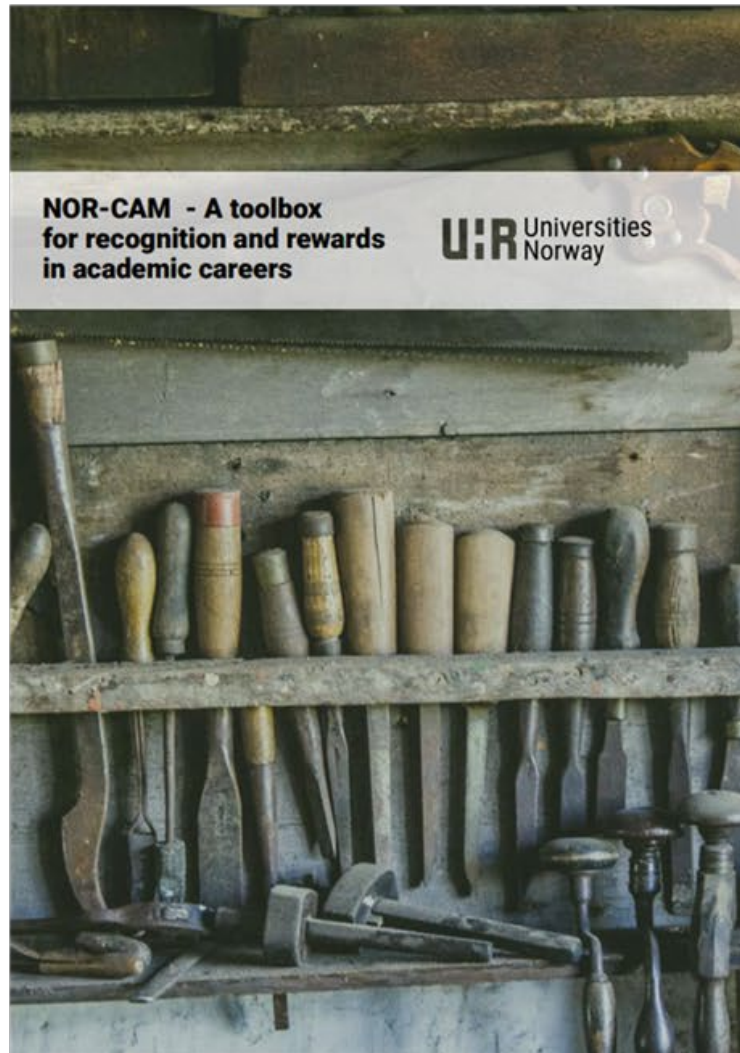
> Stimulating academic leadership

We stimulate good academic leadership at all levels.



NOR-CAM - A toolbox for recognition and rewards in academic careers

U:R Universities Norway



RESPONSIBLE RESEARCH
SERIES
7:2020



GOOD PRACTICE IN RESEARCHER EVALUATION.
RECOMMENDATION FOR THE RESPONSIBLE EVALUATION OF A RESEARCHER IN FINLAND

Broad-based National coalitions

- **Netherlands: Room for Everyone's Talent (2019)**
 - Vision for quality and diverse career-paths (Five broad ambitions)
 - Created in collaboration with RPOs and RFOs
- **Finland: Good Practice in Researcher Evaluation (2020)**
 - Guiding a responsible assessment process (Four main areas and 13 recommendations)
 - Created in collaboration with RPOs, RFOs and Unions
- **Norway: NOR-CAM - A Toolbox for Recognition and Rewards in Academic Careers (2021)**
 - Framework for rewarding open science (6 principles and 4 recommendations), including an assessment matrix (NOR-CAM)
 - Created by Universities of Norway and Research Council

National Policies Compared

	THE NETHERLANDS	FINLAND	NORWAY
METHODS	<ul style="list-style-type: none"> • Emphasize quality of work over quantitative results 	<ul style="list-style-type: none"> • Metrics support qualitative assessment • Diverse group of evaluators • Characteristics of research fields 	<ul style="list-style-type: none"> • Balancing quantitative and qualitative goals
CRITERIA		<ul style="list-style-type: none"> • Transparent objectives & criteria • Equity & non-discrimination 	<ul style="list-style-type: none"> • Transparency of criteria & merits • Gender balance and diversity
DATA		<ul style="list-style-type: none"> • Comprehensive, reliable, comparable • Researcher self-evaluation 	<ul style="list-style-type: none"> • Systematic & structured documentation • Applicant's own reflection
VALUE DIVERSITY	<ul style="list-style-type: none"> • Enable diversification and vitalisation of career paths • Encourage all aspects of open science • Acknowledge individual & team performance • Encourage high-quality academic leadership 	<ul style="list-style-type: none"> • Teacher and supervisory roles • Societal impact and interaction • Research & other communities • Open access effort • Research integrity • Evaluation benefits the researcher 	<ul style="list-style-type: none"> • Recognise several competencies but not all by everybody • Assess all results, activities and competencies within Open Science principles • NOR-CAM framework (outputs, process, pedagogy, impact/innovation, leadership, other experience)

European development

AGREEMENT ON RESEARCH ASSESSMENT

EC scoping report (2021): Towards a reform of the research assessment system

Open Science Policy platform working-group (2017): Evaluation of Research Careers fully acknowledging Open Science Practices / OS-CAM: Open Science Career Assessment Matrix

RESEARCH INTEGRITY

ALLEA (2017): reward open and reproducible practices in hiring and promotion of researchers and acknowledge data as products of research

ALLEA (2011): reliability, honesty, respect, accountability / fabrication, falsification, plagiarism / misrepresenting research achievements

LEGAL FOUNDATION

EC Conclusions on research assessment and implementation of OS (2022): welcomes coalition of stakeholders to reform research assessment systems

Pact for Research and Innovation in Europe (2021): advancing concerted research and innovation investments and reforms

European Charter for Researchers (2005): improve the recruitment methods and career evaluation/appraisal systems

Constitution for Europe (2004) The arts and scientific research shall be free of constraint. Academic freedom shall be respected

Towards a reform of the RA system (21 Nov 2021)

EC Conclusions on RA (10 Jun 2022)

- Principles for overarching conditions:
 - **Comply with ethics and integrity rules and practices**
 - **Safeguard freedom of scientific research**
 - **Respect the autonomy of research organisations**
 - **Ensure independence and transparency of the data, infrastructure and criteria**
- Principles for assessment criteria and processes:
 - Focus assessment criteria on quality
 - Recognise the contributions that advance knowledge and impact of research results
 - Recognise diversity of research activities, practices, outputs, early sharing
 - Respect variety of scientific disciplines, research types, career stages
 - Acknowledge and valorise the diversity in research roles and careers
 - Ensure gender equality, equal opportunities and inclusiveness

Continuities and discontinuities

- European RRA agreement is largely overlapping with earlier recommendations
 - building on the Pact for Research and Innovation in Europe, the DORA recommendations, the Magna Charta Universitatum, the European Code of Conduct for Research Integrity, the Leiden Manifesto, the Hong Kong Principles, and other equivalent declarations
- Aim at avoiding contradictions between different assessment layers
 - EC conclusions: assessment of individual researchers, of research teams, research organisations and higher education institutions, of research infrastructures, of research outputs and projects
- Stronger emphasis on open and independent data supporting assessment
 - Commission and stakeholders to promote independence, openness, reproducibility and transparency of the data and criteria necessary for research assessment and for determining research impacts
- Aspect of responsible metrics, diversity and potential bias are not addressed?
 - Best possible data in terms of accuracy and scope (Metric tide)
 - Excellence in locally relevant research (Leiden)
 - Multilingualism (Helsinki Initiative)
- Framing RRA misconducts or questionable practices?
 - Publication and journal based metrics, especially Journal Impact Factor and H-Index



Federation of Finnish Learned Societies

Thank you for your attention!

Any questions?