



La riforma della valutazione della ricerca in Europa

The Agreement on Reforming Research Assessment

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Di che cosa parleremo oggi

Indice

Il contesto europeo

Il processo che ha condotto alla pubblicazione dell'agreement

Un documento programmatico per ripensare la valutazione della ricerca

L'Agreement on Reforming research assessment

Tradurre in pratica l'agreement

CoARA: Coalition on Advancing research Assessment

il processo

Premessa:

le conclusioni del Consiglio d'Europa (giugno 2022)

Commission
Recommendation (EU)
2018/790 of 25 April 2018

Commission
Communication
COM(2020) 628

Council conclusions
on the European
Universities
initiative of 17 May
2021

Council conclusions on
attractive and
sustainable researchers'
careers (28 May 2021)

ERA Policy Agenda
2022-2024

Research
assessment and
implementation of
Open Science -
Council conclusions
(June 2022)

“l'evoluzione dei sistemi di valutazione della ricerca in Europa dovrebbe orientarsi ai seguenti principi, rispettando al tempo stesso l'autonomia delle istituzioni di ricerca e la libertà della ricerca scientifica, oltre che la diversità dei contesti nazionali e disciplinari, e tenendo conto della loro coerenza con le iniziative internazionali:

a. passare a un **approccio più equilibrato tra la valutazione quantitativa e quella qualitativa** della ricerca rafforzando gli indicatori qualitativi della valutazione della ricerca e intensificando al contempo l'uso responsabile degli indicatori quantitativi;

b. **riconoscere i risultati e i processi di ricerca e innovazione in tutte le loro forme**, compresi, tra l'altro, set di dati, software, codici, metodologie, protocolli e brevetti, e non solo le pubblicazioni; **SOTTOLINEA** che i dati dovrebbero essere reperibili, accessibili, interoperabili e riutilizzabili, in linea con i principi FAIR;

c. prendere in considerazione **diversi percorsi di carriera e tutte le attività di ricerca e innovazione**, compresi il tutoraggio, i ruoli di leadership, l'imprenditorialità, la gestione dei dati, l'insegnamento, la valorizzazione delle conoscenze, la cooperazione tra industria e mondo accademico, il sostegno all'elaborazione di politiche basate su dati concreti, l'interazione con la società, compresi la citizen science e l'impegno pubblico;

d. prendere in considerazione le **specificità delle varie discipline di ricerca, l'intera gamma delle attività di ricerca**, da quella di base a quella applicata, **le fasi della carriera nel settore della ricerca e le missioni degli istituti di ricerca**;

e. garantire che **etica e integrità** siano ritenute della massima priorità e non siano compromesse da contro-incentivi;

f. garantire la **diversità e la parità di genere** e promuovere attivamente il coinvolgimento delle donne nella scienza;”

Premessa:

lo scoping report (nov. 2021)

- **Obiettivo:** facilitare e accelerare una riforma della valutazione della ricerca che:
 - ◆ Promuova la **valutazione qualitativa basata sul peer review**, supportata da un uso più responsabile degli indicatori quantitativi
 - ◆ Consideri il valore e l'impatto di una pluralità di output di ricerca (**bibliodiversità**) e il **multilinguismo**
 - ◆ Riconosca la **diversità delle attività** svolte da un ricercatore, e supporti la scienza collaborativa (**team science**) e la ricerca **interdisciplinare**.
 - ◆ Incentivi la **collaborazione aperta** e la **condivisione** di risultati e dati preliminari



Premessa:

In Horizon Europe la Commissione europea ha introdotto nuovi significativi criteri di valutazione dei progetti

Ex-ante

- Si valutano diverse tipologie di output (bibliodiversità)
- Devono essere Open Access, con DOI
- L'impatto è descritto (no indicatori)
- Le pratiche Open Science sono embedded nella metodologia
- E' richiesta la gestione dei dati della ricerca secondo i principi FAIR e "as open as possible, as closed as necessary" (con DMP)

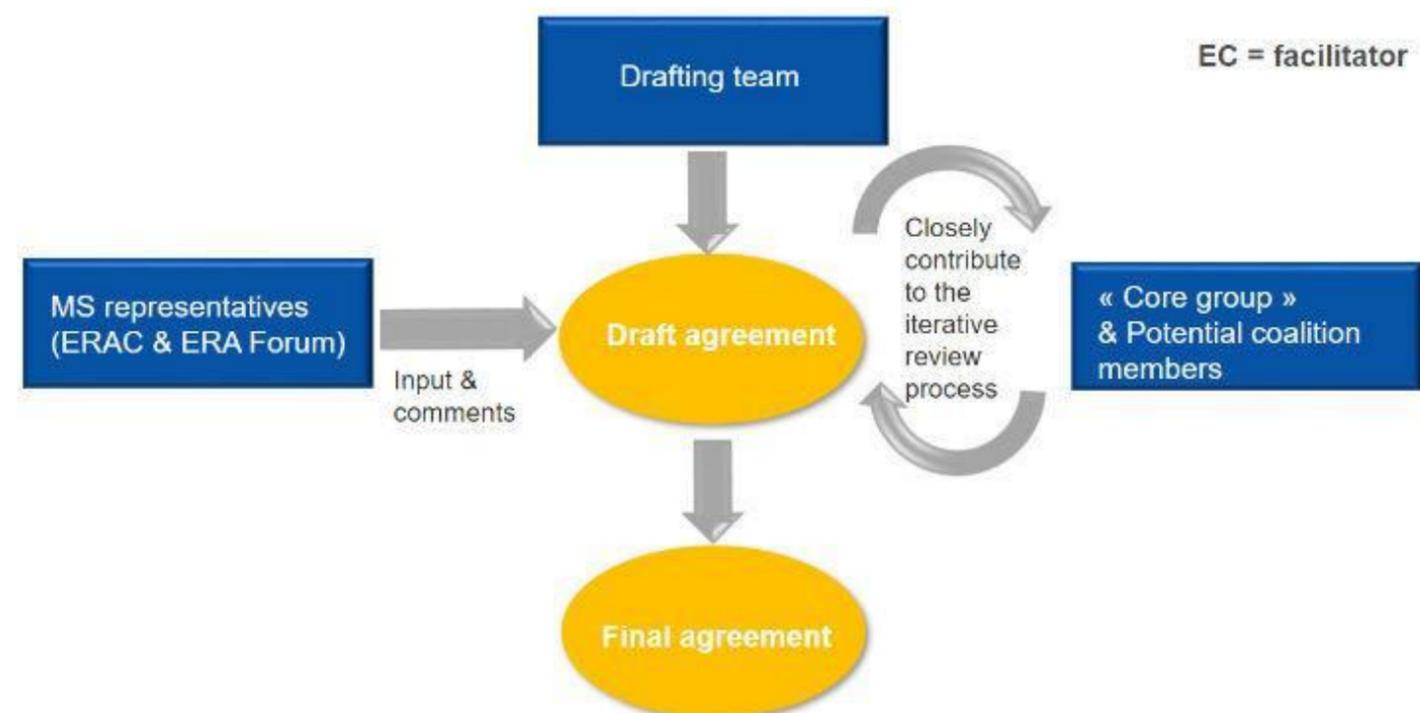
Ex-post

- E' richiesta la gestione dei dati della ricerca secondo i principi FAIR e "as open as possible, as closed as necessary" (con DMP)
 - OA obbligatorio se la proposta è finanziata
-

Il processo di definizione dell'accordo

- **gennaio - novembre 2021:** consultazione della CE con gli stakeholder e pubblicazione dello scoping report.
- **16 dicembre 2021:** pubblicazione di un invito a manifestare interesse a far parte di una coalizione nel processo di redazione dell'accordo
- **gennaio 2022-luglio 2022:** redazione da parte del drafting team + incontri con core group e assemblea degli stakeholder per discutere gli elementi dell'accordo + processo di consultazione degli stati membri (ERAC e ERA Forum)

→ **20 luglio 2022:** Pubblicazione dell'agreement



→ **28 settembre 2022:** Apertura firme

→ **1 ottobre:** assemblea e lancio della **Coalition for Advancing Research Assessment (CoARA)**

l'accordo

[European Commission](#) > [Research and innovation](#) > [News](#) > [All research and innovation news](#) > [Reforming research assessment: The Agreement is now final](#)

NEWS ARTICLE | 20 July 2022 | Directorate-General for Research and Innovation

Reforming research assessment: The Agreement is now final

Launched in January 2022 as a co-creation exercise, the [process](#) EN | ... of drafting an agreement for reforming research assessment has reached an important milestone. On 8 July, the final version of the agreement was presented at a Stakeholder Assembly bringing together the [350+ organisations from 40+ countries](#) EN | ... having expressed interest in being involved in the process. Today, the final Agreement is made public with this news.

Organisations involved include public and private research funders, universities, research centres, institutes and infrastructures, associations and alliances thereof, national and regional authorities, accreditation and evaluation agencies, learned societies and associations of researchers, and other relevant organisations, representing a broad diversity of views and perspectives. They have provided feedback to the evolving drafts of the agreement, as prepared by a team composed of representatives from the European University Association (EUA), Science Europe, the European Commission, and Dr Karen Stroobants, in her individual capacity as researcher with expertise in research on research. A core group of 20 research organisations, representing the diversity of the research community across Europe, also contributed to the drafting process, while EU Member States and Associated Countries have been consulted on the agreement in the framework of the ERA Forum and the European Research Area Committee (ERAC).

The Agreement on Reforming Research Assessment sets a shared direction for changes in assessment practices for research, researchers and research performing organisations, with the overarching goal to maximise the quality and impact of research. The Agreement includes the principles, commitments and timeframe for reforms and lays out the principles for a Coalition of organisations willing to work together in implementing the changes.

[Final version of the Agreement](#) EN | ...

di che cosa tratta l'agreement

1. I principi

L'accordo stabilisce una **direzione comune per la riforma della valutazione della ricerca**, fondata su 10 impegni, nel rispetto dell'autonomia delle organizzazioni.

2. Gli impegni fondamentali e di supporto

3. La coalizione CoARA

In particolare, include i principi, gli impegni e il calendario delle riforme e stabilisce i principi per una coalizione di organizzazioni disposte a lavorare insieme nell'attuazione di tale riforma.

4. Il calendario

Annexes

1. The need for a research assessment reform
2. Glossary
3. Reform journey
4. Toolbox

la visione

Our vision is that the assessment of research, researchers and research organisations recognises the diverse outputs, practices and activities that maximise the quality and impact of research. This requires basing assessment primarily on qualitative judgement, for which peer review is central, supported by responsible use of quantitative indicators.

1. I principi per i criteri generali

- Rispettare le regole e le pratiche di **etica e integrità** e garantire che l'etica e l'integrità siano la massima priorità, mai compromessa da alcun contro-incentivo.
- Tutelare la **libertà** della ricerca scientifica.
- Rispettare l'**autonomia** delle organizzazioni di ricerca.
- Garantire l'**indipendenza e la trasparenza dei dati, dell'infrastruttura e dei criteri necessari per la valutazione della ricerca e per determinare gli impatti della ricerca**; in particolare attraverso una raccolta di dati, algoritmi e indicatori chiari e trasparenti, **garantendo il controllo e la titolarità da parte della comunità di ricerca sulle infrastrutture e gli strumenti critici e consentendo alle persone valutate di accedere ai dati, alle analisi e ai criteri utilizzati.**

1. Qualità e impatto

Qualità:

- l'originalità delle idee, la conduzione professionale della ricerca e i risultati che vanno oltre lo stato dell'arte.
- la varietà di missioni di ricerca, che vanno dalla ricerca di base e di frontiera alla ricerca applicata.
- **la ricerca è condotta attraverso processi e metodologie di ricerca trasparenti e attraverso una gestione della ricerca che consenta il riutilizzo sistematico dei risultati precedenti. L'apertura della ricerca e risultati verificabili e riproducibili ove applicabile contribuiscono fortemente alla qualità. L'apertura riguarda anche i risultati preliminari e la condivisione dei dati, nonché la collaborazione aperta, compreso il coinvolgimento della società ove appropriato. La valutazione dovrebbe basarsi su un giudizio qualitativo per il quale la revisione tra pari è centrale, supportata da indicatori quantitativi utilizzati in modo responsabile, ove appropriato.**

2. Diversità, inclusività, collaborazione

1. I principi per la valutazione di criteri e processi

La scienza aperta è una condizione necessaria nel definire la qualità della ricerca

2. Gli impegni fondamentali

- 1. Recognise the diversity of contributions to, and careers in, research in accordance with the needs and nature of the research*
- 2. Base research assessment primarily on qualitative evaluation for which peer review is central, supported by responsible use of quantitative indicators*
- 3. Abandon inappropriate uses in research assessment of journal- and publication-based metrics, in particular inappropriate uses of Journal Impact Factor (JIF) and h-index*
- 4. Avoid the use of rankings of research organisations in research assessment*

—

2. Gli impegni di supporto

I primi tre servono a creare le condizioni per l'adozione dei 4 impegni fondamentali,

i secondi tre favoriscono l'apprendimento reciproco e la condivisione di buone pratiche

5. *Commit resources to reforming research assessment as is needed to achieve the organisational changes committed to*

6. *Review and develop research assessment criteria, tools and processes (For units and institutions - promoting interoperability - and for individuals and projects, with the direct involvement of researchers)*

7. *Raise awareness of research assessment reform and provide transparent communication, guidance, and training on assessment criteria and processes as well as their use*

8. *Exchange practices and experiences to enable mutual learning within and beyond the Coalition*

9. *Communicate progress made on adherence to the Principles and implementation of the Commitments*

10. *Evaluate practices, criteria and tools based on solid evidence and the state-of-the-art in research on research, and make data openly available for evidence gathering and research*

**Come si traduce in
pratica: la coalizione**

Coalition for Advancing Research Assessment

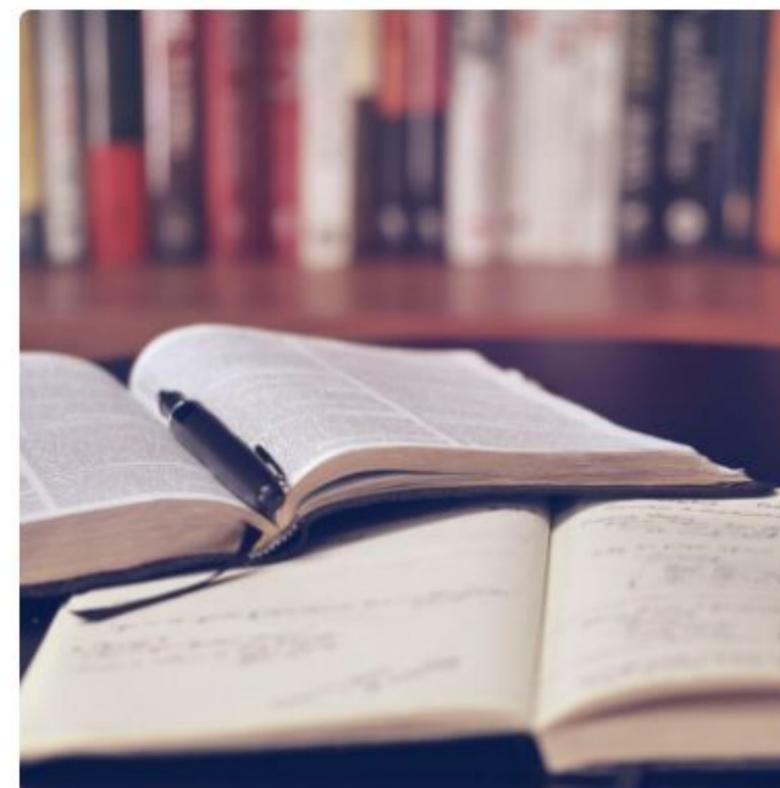
Our vision is that the assessment of research, researchers and research organisations recognises the diverse outputs, practices and activities that maximise the quality and impact of research. This requires basing assessment primarily on qualitative judgement, for which peer review is central, supported by responsible use of quantitative indicators.

The Agreement

Based on 10 commitments, establishes a common direction for research assessment reform, while respecting organisations' autonomy. The Agreement on Reforming Research Assessment sets a shared direction for changes in assessment practices for research, researchers and research performing organisations, with the overarching goal to maximise the quality and impact of research.

The Agreement includes the principles, commitments and timeframe for reforms and lays out the principles for a Coalition of organisations willing to work together in implementing the changes.

[Read the Agreement](#)



<http://coara.eu>

La coalizione verrà costituita il 1° dicembre in un'assemblea a cui parteciperanno i firmatari dell'accordo.

CoARA lavorerà per consentire una riforma sistemica sulla base di principi comuni entro un periodo di tempo concordato e per facilitare lo scambio di informazioni e l'apprendimento reciproco tra tutti coloro che desiderano migliorare le pratiche di valutazione della ricerca.

3. La coalizione CoARA

La comunicazione dei progressi dei singoli membri nell'attuazione degli Impegni si baserà principalmente su un'autovalutazione condivisa pubblicamente.

Che cosa comporta l'adesione alla Coalition

4. Il calendario

Entro la fine del 2023 (o a un anno dalla firma), i membri della Coalition rendono pubblica una **Roadmap e un action plan con Milestone** da rispettare nel piano di riforma.

Periodicamente, rendono pubblici e mostrano i loro progressi e **partecipano alle attività dei Working Group**.

Dopo 5 anni (fine 2027) si impegnano ad aver realizzato almeno un ciclo di revisione e sviluppo dei nuovi criteri, dei processi e degli strumenti di valutazione.

alcuni strumenti per definire Roadmap e Action Plan

Annex 3 – Reform journey: a suggested process for achieving the Commitments

The reform journey⁴ sets out a suggested, non-prescriptive step-by-step process to help organisations achieve the Commitments. This journey is presented as chronological steps; however, the change process will probably not be chronological, and organisations can adapt the journey and start from the step they deem most appropriate for their context.

1	Allocate resources , whether in terms of capacity or budget, to actively engage in the reform journey
2	Communicate your intention to reform , explain how you have started the process of reviewing or developing criteria, tools and processes in line with the core commitments
3	Evaluate current assessment practices in terms of alignment with the Principles and Commitments, consider also what currently works well and how this can be retained in parallel to any new practice - <i>Re-evaluate at fixed intervals, whenever broad reforms to assessments are implemented, or when problems are identified</i>
4	Engage those being assessed in the development and design of assessment criteria and processes , work with researchers to enable consideration of differences between disciplines and career levels
5	Develop existing and design new assessment criteria, tools, and processes with assessors and those that are assessed; consider the diversity of contributions including: diverse outputs beyond journal publications and in different languages; diverse practices including those that contribute to robustness, openness, transparency, and inclusiveness of research and the research process including peer review, teamwork and collaboration; and diverse activities including teaching, leadership, supervision, training, and mentoring, according to the nature of each research discipline
6	Interrogate developed and new approaches by working with assessors and those that are assessed (e.g. who might new approaches discriminate against; how might they be gamed; what are the potential unintended consequences)
7	Implement developed and new assessment criteria, tools, and processes according to the Principles and Commitments; consider awareness raising, rewards, policies, training, infrastructure, and capacity building and include data collection to support monitoring, evaluation and mutual learning
8	Evaluate developed and new assessment criteria, tools, and processes
9	Share data / information, participate in mutual learning within and beyond the Coalition , supported by mechanisms developed by the Coalition
10	Coordinate with other organisations at national and international level, and promote international coordination and harmonisation
11	Continue to evolve assessment criteria, tools, and processes based on learning from own evaluations and those of others

Annex 4 – Toolbox: practical tools and options to consider

Note to the Reader: we have added the draft toolbox to enable a more comprehensive overview. However, the toolbox is subject to continuous development and will take the form of a 'living' document/webpage.

Commitment	Examples of tools to support this commitment/ options to consider
Recognise the diversity of contributions to, and careers in, research in accordance with the needs and nature of the research	<ul style="list-style-type: none"> Enable greater diversity in career paths and profiles by recognising more diverse competencies and talents⁵ Use approaches that allow academics to make a mark in one or more key areas of study that are important to them, and allow their area profile to change over the course of their career⁶ Use a portfolio approach to test competencies or progression in different domains relevant to the researcher's role⁷
Base research assessment primarily on qualitative evaluation for which peer review is central, supported by responsible use of quantitative indicators	<ul style="list-style-type: none"> Consider specific actions captured under the Leiden Manifesto⁸ Explore options for assessment; as a rule of thumb, use quantitative indicators for quantitative things (if that is what is appropriate to assess): publications, funding, citations and students, and qualitative indicators (such as case studies, narratives or statements) for qualitative things: excellence, quality, value, impact, and be very cautious about using quantitative indicators for qualitative things⁹ Actively engage in and learn from research on research work to develop new improved metrics, and consider appropriateness of their use

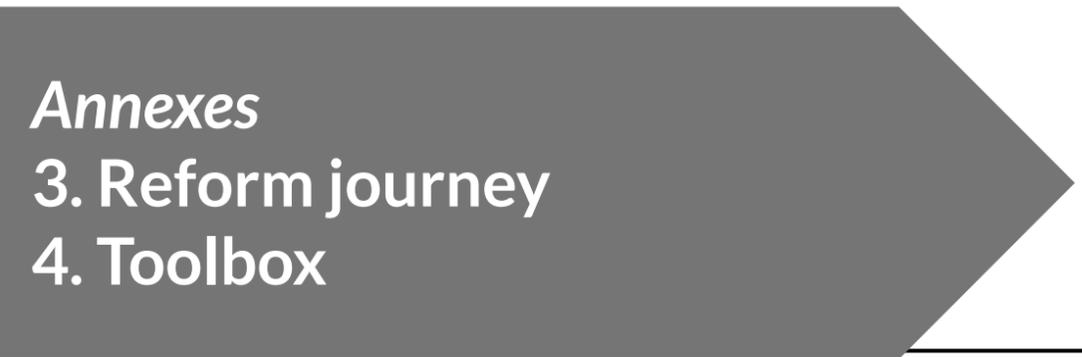
⁵ <https://www.universiteitenvannederland.nl/recognitionandrewards/wp-content/uploads/2019/11/Position-paper-Room-for-everyone%20%80%99s-talent.pdf>

⁶ <https://www.universiteitenvannederland.nl/recognitionandrewards/wp-content/uploads/2019/11/Position-paper-Room-for-everyone%E2%80%99s-talent.pdf>

⁷ <https://embassy.science/wiki/Resource:Ca0ed587-ac8e-4259-9cc7-74de01941cd1:https://assets-eu-01.kc-usercontent.com/546dd520-97db-01b7-154d-79bb6d950a2d/6eb2e1cc-068a-4283-b6de-a281868b749d/Qualification-portfolio-professors-UMC%20Utrecht.pdf>

⁸ <https://doi.org/10.1038/520429a>

⁹ <https://thebibliomagician.wordpress.com/2019/12/11/introducing-scope-a-process-for-evaluating-responsibly/>



Annexes
3. Reform journey
4. Toolbox

51 early signatories:



4. Il calendario

Sign the Agreement

While acknowledging that this Agreement does not have any legally binding effect, it represents a public commitment to contribute actively and constructively to reforming research assessment. The Agreement is open for signature by organisations from across the world, including organisations without legal personality. However the Agreement is not open for signature by individual persons.

First Name * Your first name

Last Name * Your last name

Full name of organisation * Full name of organisation

Position with organisation * Position with organisation

www.coara.eu/sign

CoARA 4th Stakeholder Assembly on Reforming Research Assessment – 13 October 2022



Please note that only organisations having signed by 17 November 2022 will be invited to the Constitutive Assembly

8

domande?

Riferimenti bibliografici

Agreement on Reforming Research Assessment

EC, Towards a reform of the research assessment system, Scoping report, 29 novembre 2021.

European Commission proposal COM(2021) 407 of 16 July 2021 for a Council Recommendation on a “*Pact for Research and Innovation in Europe*”

https://ec.europa.eu/info/sites/default/files/research_and_innovation/strategy_on_research_and_innovation/documents/ec_rtd_pact-for-research-and-innovation.pdf

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Council conclusions (adopted on 26/11/2021) on “*the future governance of the European Research Area*”

Council conclusions (adopted on 28/05/2021) on “*Deepening the European Research Area: Providing researchers with attractive and sustainable careers and working conditions and making brain circulation a reality*” <https://data.consilium.europa.eu/doc/document/ST-9138-2021-INIT/en/pdf>

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