

**EUA WORKSHOP SERIES: NATIONAL PERSPECTIVES ON
REFORMING RESEARCH ASSESSMENT**

National perspectives on reforming research assessment - Slovakia

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Organised by the Slovak Rectors' Conference (SRC), the Slovak Centre of Scientific and Technical Information (CVTI SR) and EUA, with the support of the Ministry of Education, Science, Research and Sport of the Slovak Republic, 7 November 2022



Outline



Welcome and introduction



The Agreement and CoARA



What is in it for universities and research institutes?



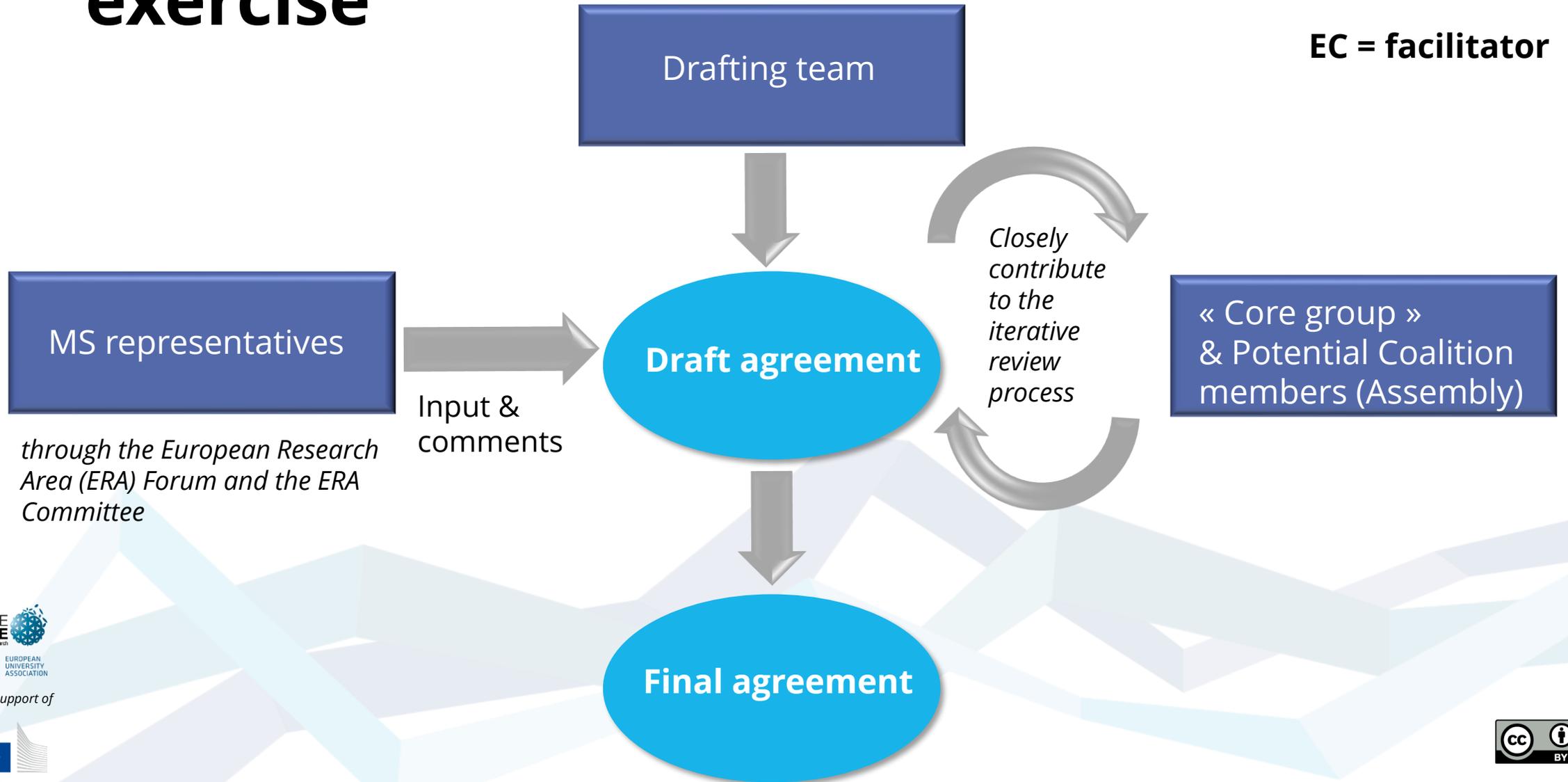
Closing remarks

PUBLICATION OF THE AGREEMENT ON 20 JULY



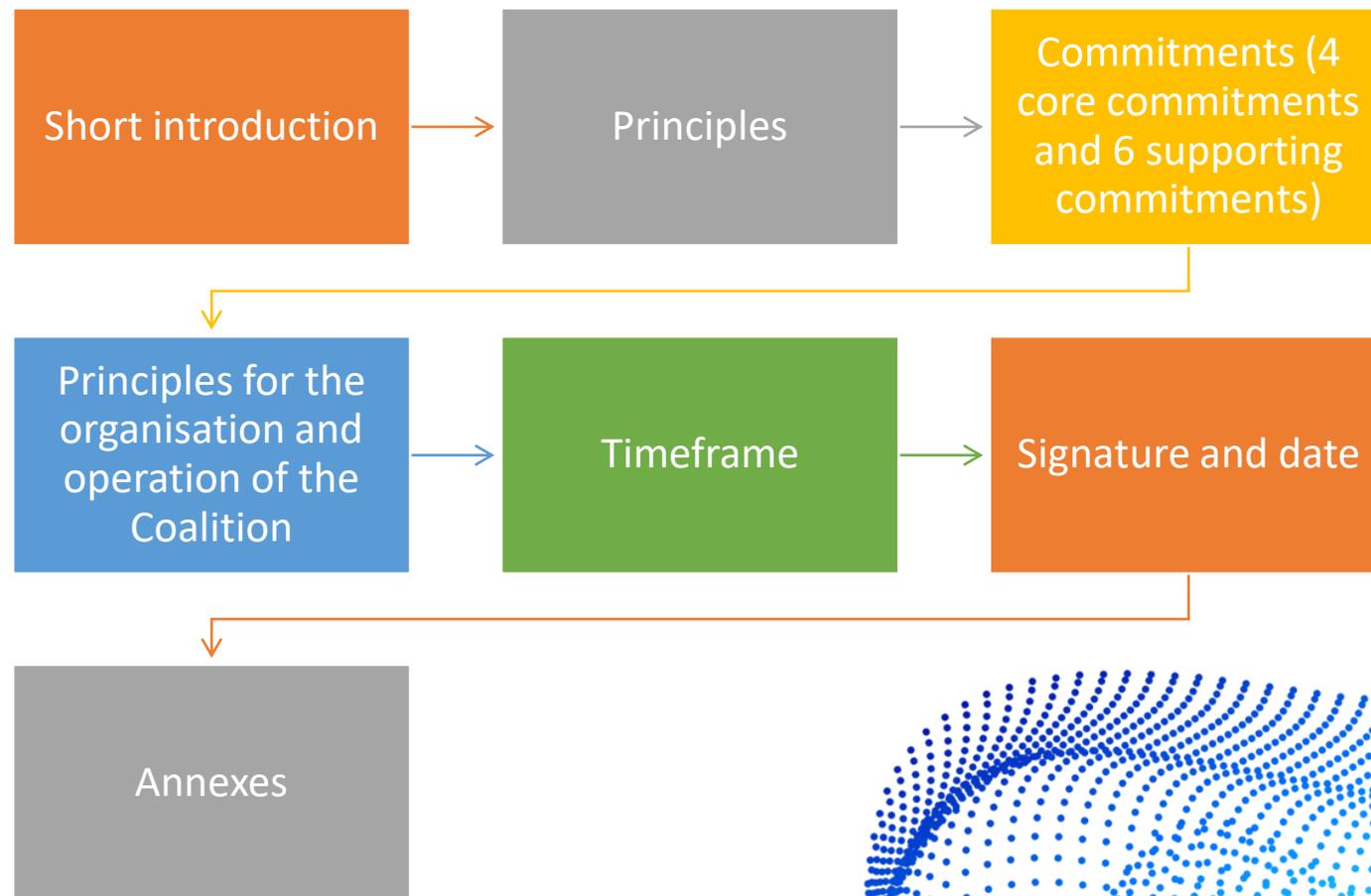
<https://coara.eu/agreement/the-agreement-full-text/>

Drafting an Agreement, a co-creation exercise





<https://coara.eu/agreement/the-agreement-full-text/>



Introduction

As signatories of this Agreement, we agree on the need for reform of research assessment practices.

Vision: The assessment of research, researchers and research organisations recognises the diverse outputs, practices and activities that maximise the quality and impact of research. [...]

Scope: RPOs and research units, research projects, individual researchers and research teams. [...]

This Agreement establishes a **common direction** for research assessment reform practices, while respecting organisations' **autonomy**.

We commit to realise reform through a **coalition** of RFOs, RPOs, national/regional assessment authorities and agencies, as well as associations of the above organisations, learned societies and other relevant organisations, that is **global in scope**.

We will **work together** to enable **systemic reform** on the basis of **common principles** within an **agreed timeframe**, and to facilitate **exchanges of information and mutual learning** between all those willing to improve research assessment practices.

Core commitments

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



Supporting commitments (1)

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

6.1 Criteria for units and institutions

With the direct involvement of research organisations and researchers at all career stages, review and develop criteria for assessing research units and research performing organisations, while promoting interoperability

6.2 Criteria for projects and researchers

With the direct involvement of researchers at all career stages, review and develop criteria, tools and processes for the assessment of research projects, research teams and researchers that are adapted to their context of application



Supporting commitments (2)

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



Timeframe

Year 0 (2022)

Signature

Year 5 (2027)

At least one cycle of review
and development of own
assessment criteria, tools
and processes

Year 1 (2023)

Start the process of
reviewing or developing
criteria, tools and processes

NB: Organisations can sign the Agreement at any point in time beyond 2022.
The timeline for organisations signing after 2022 will be adjusted accordingly.

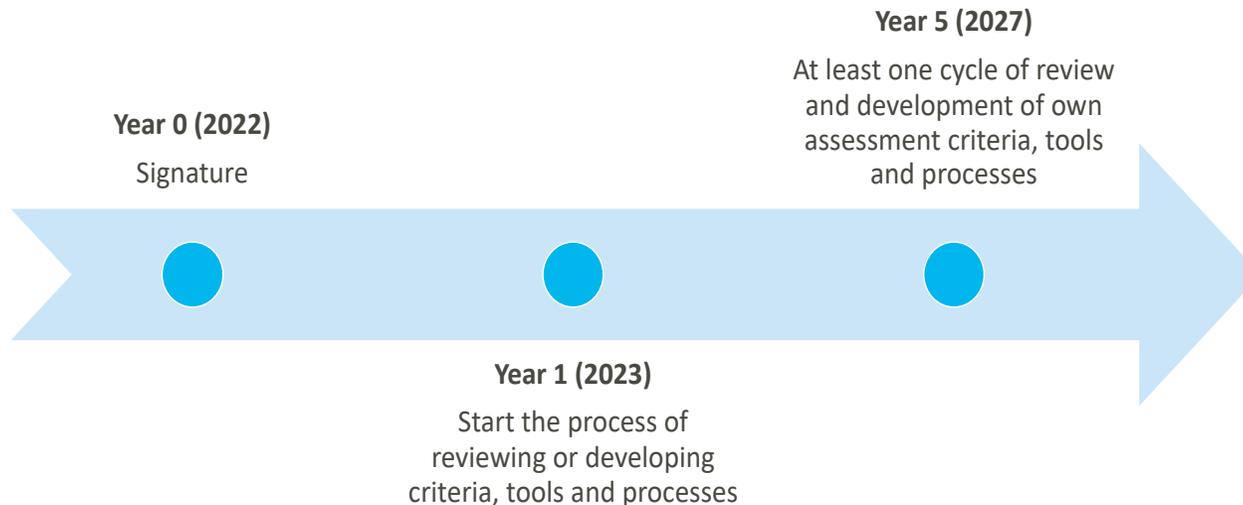
Annexes

- Do not form an integral part of the Agreement.
- Annex 1 outlines the need for reform.
- Annex 2 clarifies the terminology used.
- Annex 3 suggests a reform journey.
- Annex 4 provides an initial toolbox.



Signing the agreement

What does it mean for my institution? (1)



- Concrete steps and activities to be developed in Year 1 and up to Year 5 will be decided by each institution.
- Each institution will develop its own path in the implementation of the Agreement.
- No benchmarking with other institutions.

Participants will keep full control on the steps they make to implement the Agreement and the speed of their reform journey, which can vary from one organisation to another depending on many factors (...)

*Organisations commit to share information on the progress made and lessons learnt in their reform journey, according to the timeframe included in the agreement. Sharing of information shall be done on the basis of **self-assessment and by no means the progress of individual organisations will be validated by the Coalition.***

(cf. [FAQ](#))

Signing the agreement

What does it mean for my institution? (2)

POSSIBILITY TO BECOME MEMBER OF COARA

RESOURCE ALLOCATION:

Commitment 5: Commit resources to reforming research assessment as is needed to achieve the organisational changes committed to

Purpose: “This commitment will ensure that organisations allocate the necessary resources, whether in the form of budget or staff capacity, to improve research assessment practices within their agreed timeframe.”

“Resources should be allocated as is needed for each organisation to achieve the changes that will enable adherence to the Principles and to implement the Commitments.”

Each institution will be autonomous in deciding the type and amount of resources they will commit to implement the Agreement. There is no minimum requirement.

Is this Agreement legally binding?

- Not legally binding, but...
- It is an Agreement, with clear commitments.
- Signing the Agreement is a precondition for joining the Coalition.
- Participation on a voluntary basis.
- Full autonomy of organisations, full control on the steps towards the implementation of the Agreement and the speed of the reform journey.
- More of a morally binding signature, towards peer organisations and own community.
- Organisations and their staff can leave the Coalition at any time.





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.



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 *

Last Name *

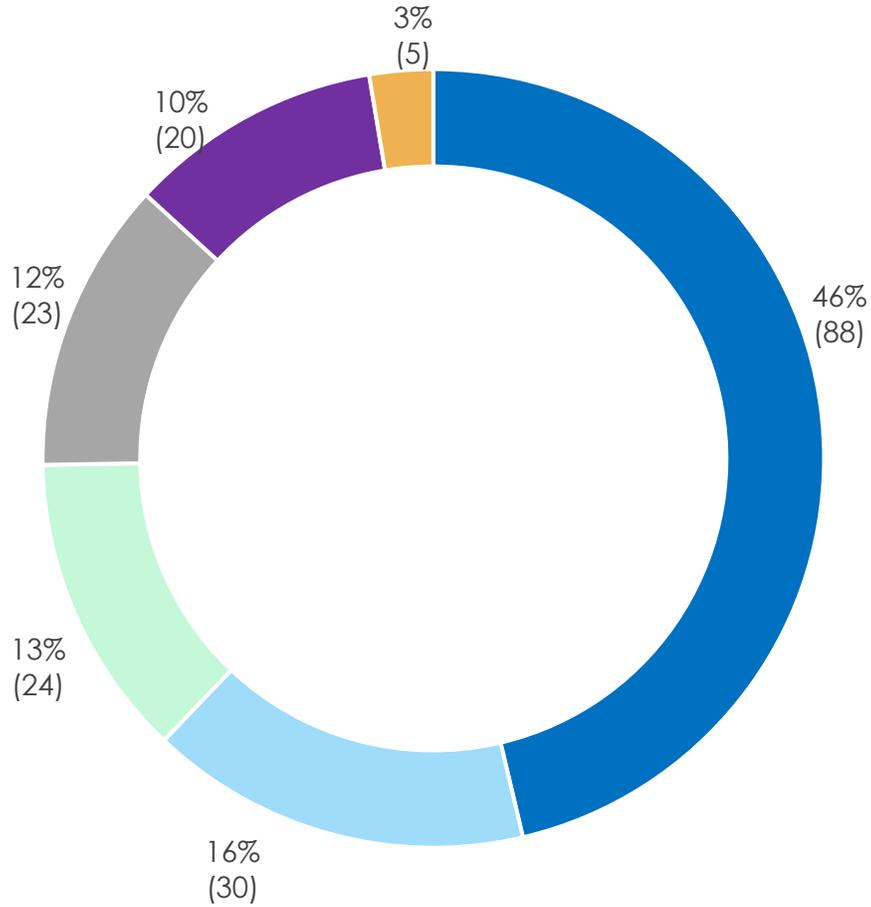
Full name of organisation *

Position with organisation *

www.coara.eu/sign

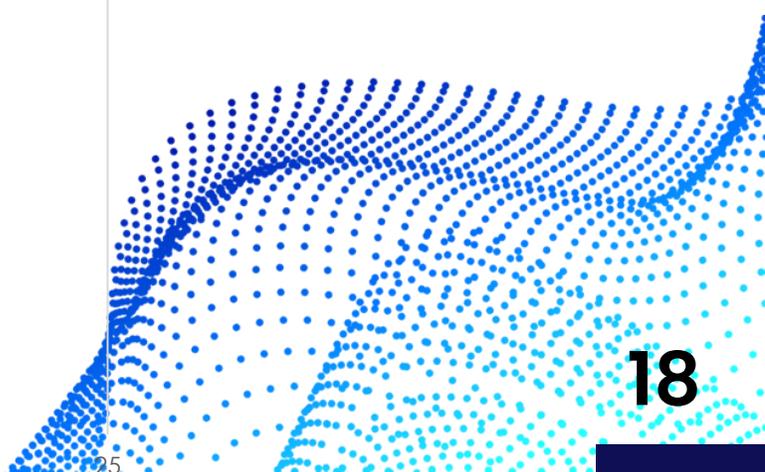
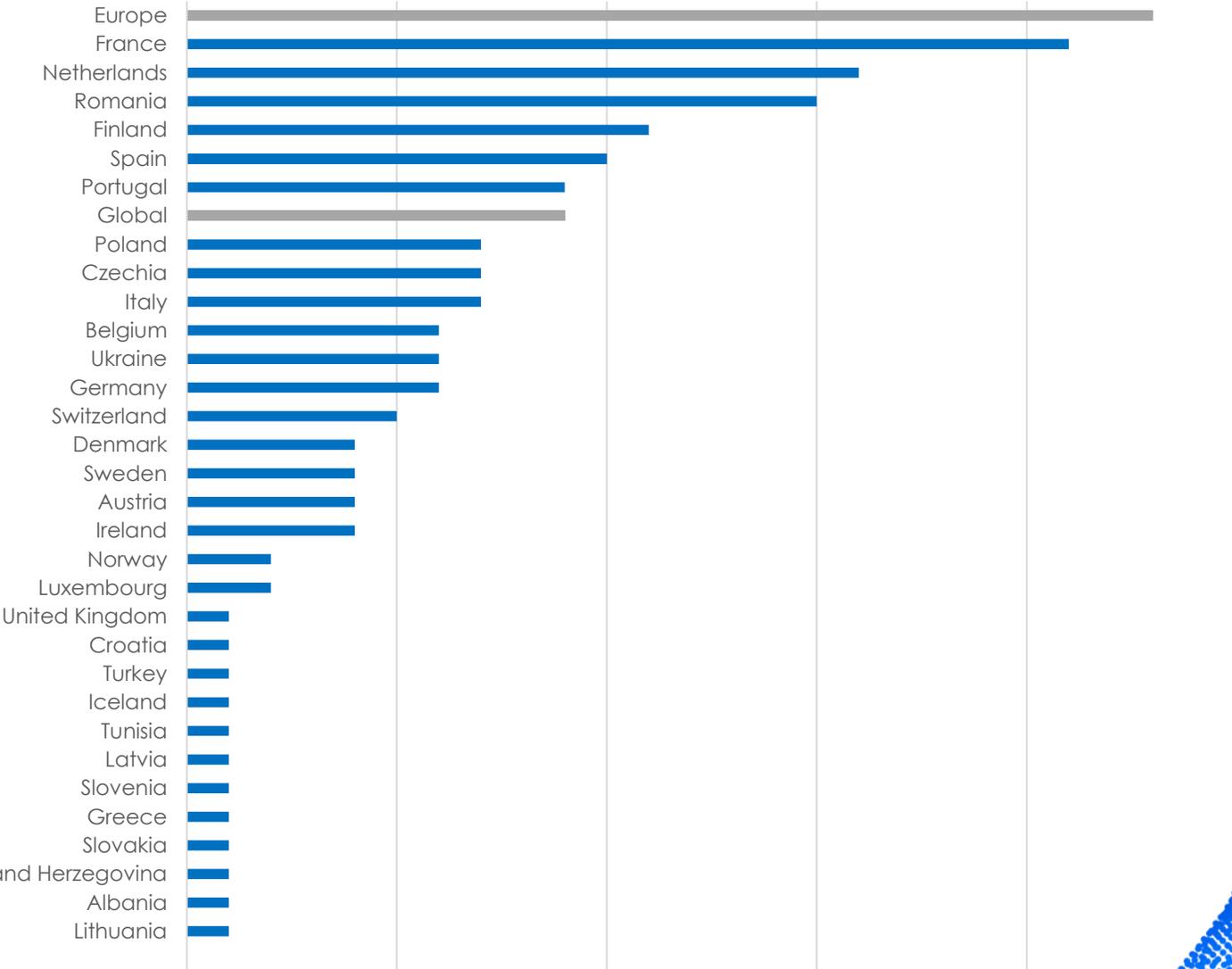
SIGNATORIES UPDATE

190
signatories



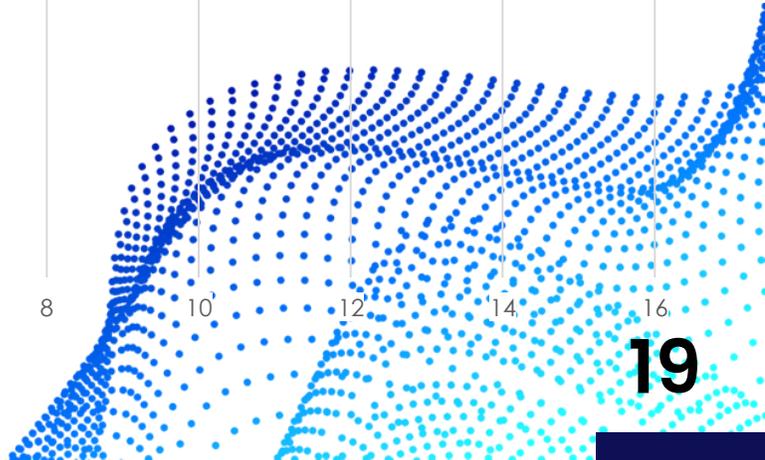
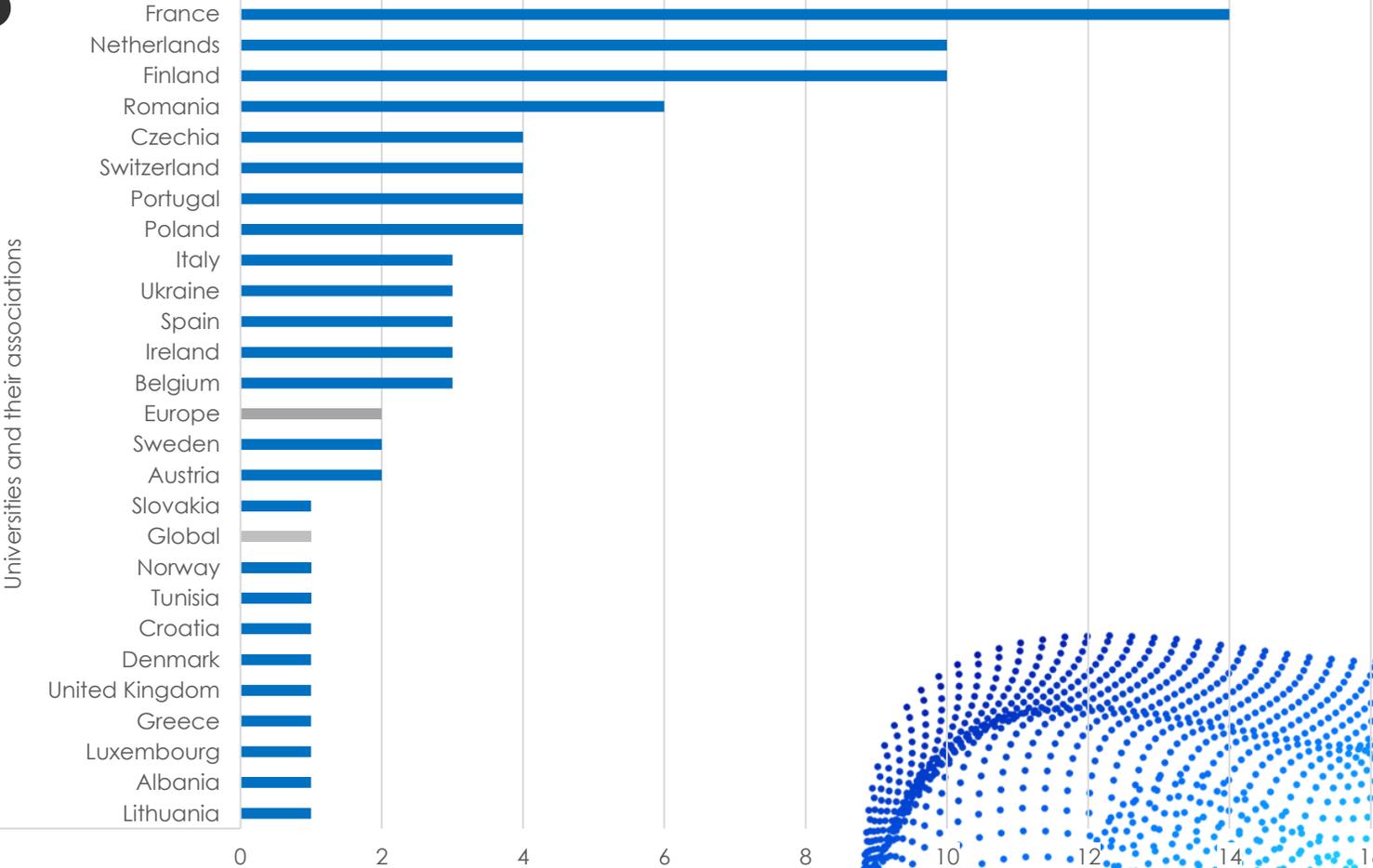
- Universities and their associations
- Research centres, research infrastructures, and their associations
- Public or private research funding organisations and their associations
- Academies, learned societies, and their associations, and associations of researchers
- Other relevant non-for-profit organisations involved with research assessment, and their associations
- National/regional authorities or agencies that implement some form of research assessment and their associations

SIGNATORIES – COUNTRY DISTRIBUTION



SIGNATORIES – UNIVERSITIES AND THEIR ASSOCIATIONS

81 universities
4 NRCs
3 other univ networks
(88 in total)



THE COALITION GOVERNANCE AND NEXT STEPS



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.

PRINCIPLES GUIDING THE CONDUCT AND EVOLUTION OF THE COALITION

- **Openness** – to signatories of agreement; globally; accessible outputs
- **Responsibility** – general assembly responsible for rules and procedures of operation
- **Collaboration and mutual support** – supportive environment; mutual learning and collaboration; also with other initiatives
- **Inspiration** – inspire organisations inside and outside the Coalition
- **Commitment and autonomy** – supports implementation of commitments; respect autonomy
- **Voluntary and community-driven** – volunteer members; driving force
- **Dialogue** – in research and academic communities and beyond; representation
- **Inclusiveness** – global; different levels of progress
- **Trust** – self-assessment shared publicly
- **Funding** – voluntary in-kind; potential cash contributions from members
- **Non-profit** – no commercial activities; open and re-usable outputs

DOCUMENTS ON GOVERNANCE AND OPERATION OF THE COALITION

- [Governance Document](#) – Describes the guiding principles of the Coalition, its structures, their powers, authority and responsibilities, and their relationship
- [Rules of Procedure for Working Groups](#) – Describes the conditions and procedures for the creation and management of Working Groups (WGs) within the Coalition
- [Rules of Procedure for the Chair, Vice-Chair\(s\) and Steering Board](#) – Describes the processes governing the establishment and renewal of the Chair, Vice-Chair(s) and Steering Board members of the Coalition
- [Code of Conduct](#)

All documents available at coara.eu/resources/

[Call for candidacies](#) for SB, Chair and Vice-Chair(s) available

MEMBERSHIP

- Organisations that have **signed the Agreement** on Reforming Research Assessment, and that are:
 - Universities, and their associations;
 - Research centres, research infrastructures, and their associations;
 - Academies, learned societies, and their associations, and associations of researchers;
 - Public or private research funding organisations and their associations;
 - National/regional authorities or agencies that implement some form of research assessment and their associations; and
 - Other relevant **not-for-profit** organisations involved with research assessment, and their associations.
- Membership **approved by the Steering Board** (Interim Chairs before the Constitutive Assembly)
- Members **may leave** the Coalition at any time

COALITION BODIES

- **General Assembly of Members** – All Members. The organ representing all the members of the Coalition. The highest-level decision-making body, that meets at least once a year (at least three times during the first year)
- **Working Groups** – Voluntary participation. To exchange knowledge, learn mutually, discuss and investigate any topic to advance research assessment and help with the implementation of the Members commitments
- **Steering Board** – Elected. A collegial body, responsible for the overall oversight, strategy, business plan and sustainability of the Coalition. Taking decisions by mutual agreement
- **Coalition Secretariat** – Supports the administrative, managerial, logistical, communication, engagement, networking, outreach, leadership and other activities of the Coalition

GENERAL ASSEMBLY

- As the highest-level decision-making body, the General Assembly will:
 - Approve the **Governance and Rules of Procedure** of the CoARA
 - **Elect** a Chair and Vice-Chair(s), and Steering Board members
 - Approve the **annual work-plan and budget** of the CoARA
 - Appoint the organisation(s) that host the **Coalition Secretariat** by simple majority vote
 - Approve the **strategy guiding the operations and activities** of the Coalition as a whole
 - Approve the **strategy for the outreach** (including at global level)
 - Approve the **procedures and criteria** for the establishment of the **Working Groups**, for their follow up and coordination, and for the endorsement and publication of their outputs

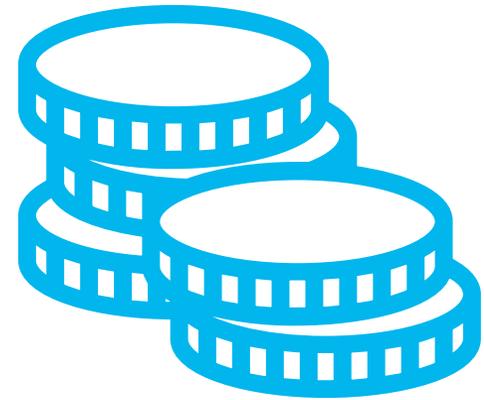
Signing the Agreement by 17 November 2022, will allow institutions to be invited to the Constitutive Assembly in early December.

WORK OF THE COALITION

- **Working Groups** operating as '**communities of practice**' and offering space for mutual learning and collaboration. Examples:
 - "**Interest communities**", on ad-hoc horizontal topics
 - "**Discipline communities**", on approaches to tailor criteria and processes by discipline, interdisciplinary field, thematic area
 - "**Institution communities**", on topics specific to a given type of organisation
 - "**National communities**", on issues specific to different types of organisations of a given country or group of countries
- **Other complementary means** like workshops, webinars, (annual) conferences, seminars, trainings, etc.

A word on coalition funding

- *Support to the operation of the Coalition will consist primarily of **voluntary in-kind contributions** from its members, as well as **funding obtained from research funding organisations and/or cash contributions from members** (cf. FAQ).*
- Options for more detailed funding models are currently being prepared .
- **Initial discussion** on funding model for the coalition took place during the 4th Stakeholder Assembly.
- Specific options for funding models will be submitted for approval during the Constitutive Assembly.



TIMELINE

- **20 July** – Publication of the Agreement on Reforming Research Assessment
- **20 October** – Publication on the CoARA website of finalised Governance Document, Rules of Procedure and Code of Conduct
- **20 October** – Publication on the CoARA website of call for candidacies for Chair, Vice-Chairs and Steering Board members
- **17 November** – Deadline for signature of the Agreement in order to be invited to participate in the Constitutive Assembly
- **17 November** – Deadline for candidacies for Chair, Vice-Chairs and Steering Board members
- **24 November** – Sharing of information on candidates, by the Interim Secretariat
- **1 December** – Constitutive Assembly meeting (online), chaired by the Interim Chairs until the Chair is elected

Universities needed to bring about change



It is crucial that universities are actively involved in the reform of research assessment



Universities should make an informed decision on this process



Universities should be properly represented in the future coalition and its governing bodies



Only a substantial number of universities joining the coalition will guarantee that the interests of the sector are taken into account in the reform process

Thank you for your attention

