

Monitoring Research Infrastructures

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Why Monitoring?

- ◊ Showing performance, progress, goals to Funders
 - ◊ Transparency, Accountability
- ◊ Learning from each other
 - ◊ Service Providers, other Research Infrastructures
 - ◊ Learn from mistakes
- ◊ Dashboard for Management



CESSDA – SAW-project

- ◆ Quality Assessment of Service Providers

- ◆ CoreTrustSeal



- ◆ Monitor on European Countries (2016)

- ◆ For Countries: checklist on policy, implementation, ..., and a Manual to set up policy, service provider, ...

- ◆ For Service Providers: 'checklist'



ESFRI – Monitoring System

- ◆ Towards key performance indicators for monitoring of Research Infrastructures
 - ◆ *KPIs – indicators for monitoring of the performance of a RI with regard to progress towards its stated objectives



Decision of the Competitiveness Council

May 2018 on Accelerating knowledge circulation in the EU:

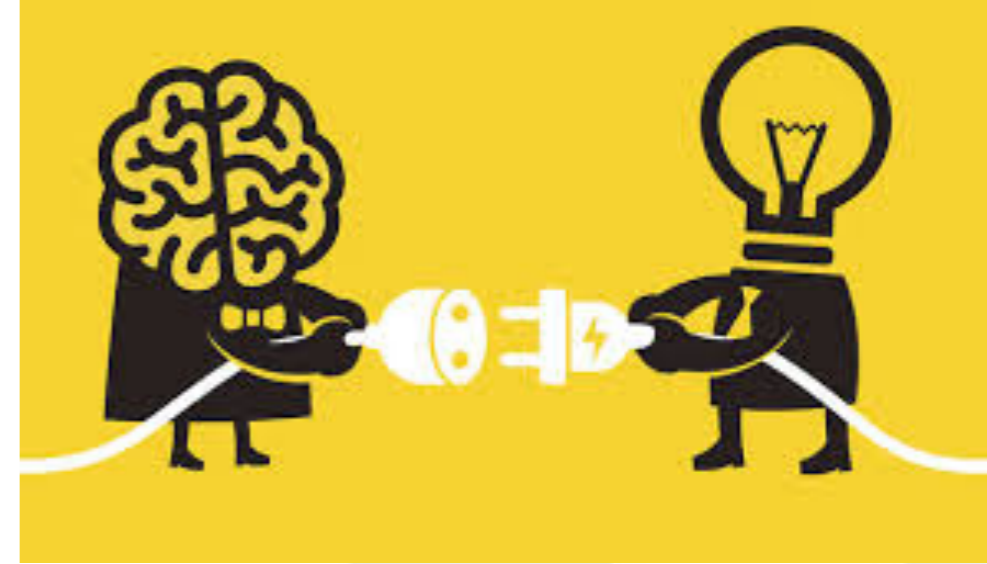
- ◆ “INVITES Member States and the Commission within the framework of ESFRI to develop a **common approach** for monitoring of their (RIs) performance and INVITES the Pan-European Research Infrastructures, on a **voluntary basis**, to include it in their governance and explore options to support this through the **use of Key Performance Indicators***”.

Deliverables



- ◆ A proposal on the **methodology**
 - ◆ to be adopted for the ESFRI Landmark periodic update
- ◆ A proposal on common elements
 - ◆ options for KPIs to be applied on a voluntary basis,
 - ◆ by RIs and funding authorities

Approach: Co-creation



- ◊ Review of the **objectives** of the Ris
 - ◊ Public consultation about the objectives
- ◊ Scientific Excellence, Education & Training, Data,
Provision of Scientific Advice Facilitating Regional and Transnational Collaboration
- ◊ Innovation & Knowledge Transfer Outreach to Public and Policy Makers
- ◊ International Cooperation Governance & Management
- ◊ Draft KPIs addressing the objectives, Draft Report
 - ◊ Public consultations, Stakeholders workshops in Brussels and La Palma
- ◊ Final report to be delivered to ESFRI in December 2019
 - ◊ In parallel with report by HLEG (Giorgio Rossi) on RI Instruments

Lessons learned from consultations



Strong support, but:

- ◇ Diversity of RIs means that ‘one size does not fit all’
 - ◇ No single KPI can currently be applied to all RIs
- ◇ Diversity means details on KPIs need to be adapted
- ◇ Lack of tools or methods to gather necessary data
- ◇ Lack of experience for developing or applying KPIs
 - ◇ need to support the implementation
 - ◇ sharing best practice and lessons learned

KPIs – Recommendations



1. All KPIs should be aligned with the objectives of RIs and **fulfil RACER criteria**:
Relevant, Accepted, Credible, Easy to monitor, Robust.
Each KPI should be accompanied by a reference sheet that provides a definition, data source(s), method of calculation, and other issues concerning calculation or applicability.
2. Given the diversity of RIs, their objectives and state of development and the varying relevance of specific KPIs for each RI, the KPIs are **not suitable for a comparison of the performance of RIs**.

KPIs – Recommendations



3. The WG recommends that each RI uses the proposed KPIs, which are **relevant** to their objectives.

While the proposed objectives are relevant for most RIs, many of the suggested KPIs cannot currently be used by all of them. The WG acknowledges that some adaptation may be needed in order for a certain KPI to be applicable for a RI. RIs should also provide a short narrative for each of the quantitative KPIs, putting it in its specific context.

4. Specific methods or tools to gather the data will need to be developed or agreed by RIs

to be able to reliably report on some of the proposed indicators. The WG recommends that ESFRI facilitates such a development.

E.g. for tracking data usage in open access environments

KPIs – Recommendations



5. RIs should collect data, and calculate the KPIs periodically

in a manner that can be presented to the evaluators during the periodic evaluation by ESFRI.

In dialogue with the RI and its Governing Board, the evaluators will assess the quality of the indicators, as evidenced by the reference sheets, against the RACER criteria.

We recommend that the data be made available by the RIs for future consultation.

Need for establishing a dialogue process to

- ◇ *ensure that necessary objectives are met by the KPIs provided while*
- ◇ *restrict KPIs to those that can be provided with reasonable effort and*
- ◇ *that meet the RACER criteria*

Need to discuss the storage system – who owns the data, who stores, who has access?

KPIs – Recommendations



6. It is recommended that **ESFRI establishes a Committee for the implementation** of KPIs and monitoring of pan-European RIs

to help establish best practice in developing and implementing KPIs, and to ensure that such experience is shared widely across European RIs and their stakeholders.

Further discussion is needed (beyond the current working group) to establish a system for guidance on the application, the use and the further development of the monitoring system

7. We recommend to the RIs, beyond the pan-European ones, and their stakeholders to **consider applying the proposed objectives and KPIs** for their own monitoring purposes.

ESFRI – Next steps



- ◆ Further reflection with stakeholders
 - ◆ La Palma 6th-8th November 2019
- ◆ Finalizing the report by the WG
 - ◆ November 2019
- ◆ Presentation to the ESFRI Forum for final approval
 - ◆ December 2019

CESSDA Plan



- ◊ Integrate own experiences with ESFRI report
 - ◊ Set up a system of KPI's (Dashboard)
 - ◊ Determine focus: consortium, main office, national providers?
 - ◊ Beware of adding up scores – use narratives instead

KPI's should serve the RI

– and its funders, management, users, etc –
but not the other way round



Thank you for your attention!

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