



METODIKA

**IPN Metodika project –
new concept of the Czech
research evaluation**

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**Ministry of Education, Youth
and Sports**

**Research Evaluation Seminar
Prague, 17.04.2014**

www.metodika.reformy-msmt.cz



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MINISTERSTVO ŠKOLSTVÍ,
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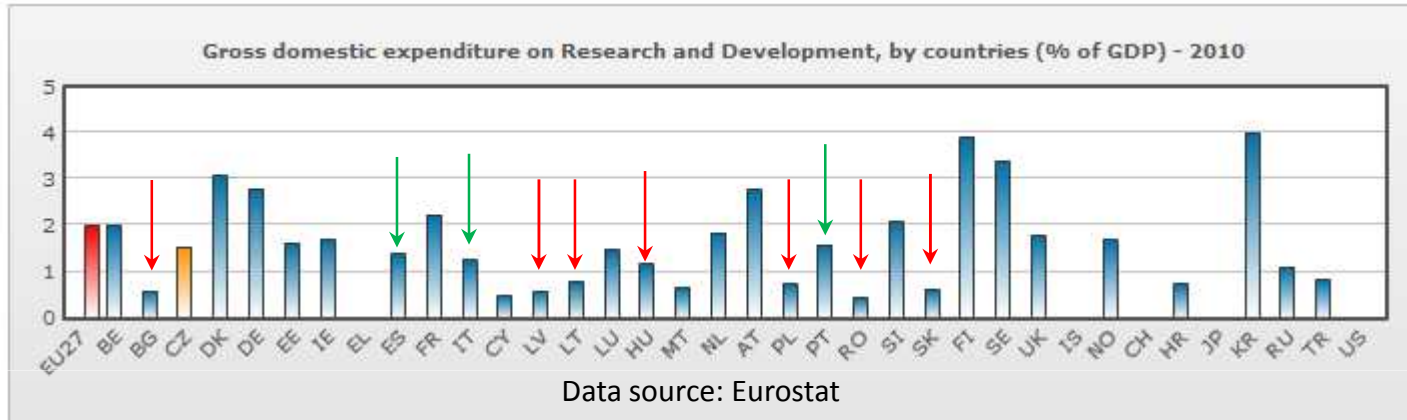


OP Vzdělávání
pro konkurenceschopnost

INVESTICE DO ROZVOJE VZDĚLÁVÁNÍ

Introduction

- Investment in R&D is still below the OECD average.



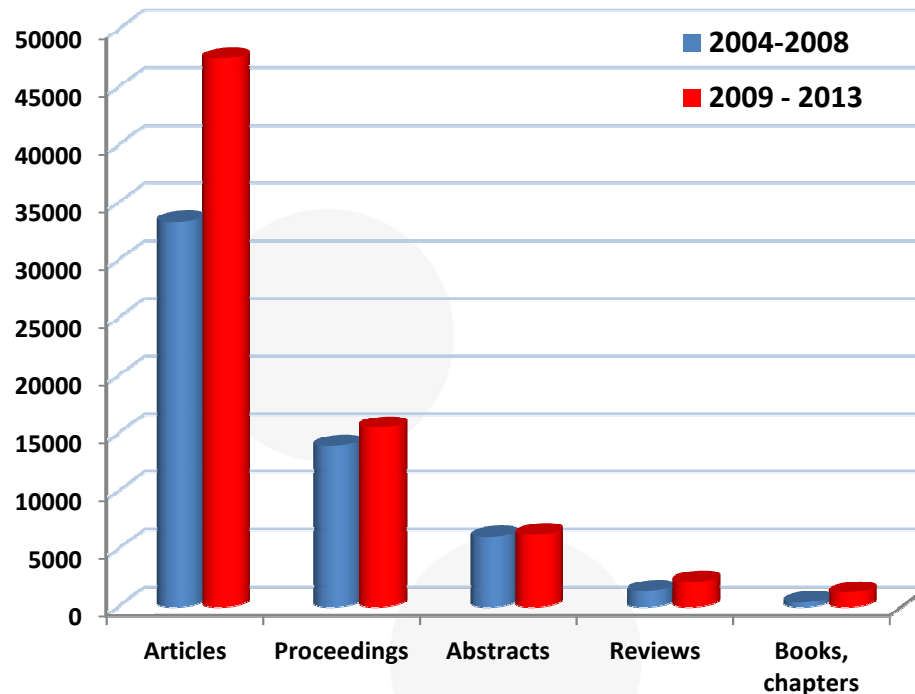
- Exhibits the highest level of investment intensity among the New Member States. ↓
- Invested remarkably more than the South-European Member States (Spain, Italy, Portugal). ↓

The problem is efficiency of public support.



Introduction

- An increasing trend in the output in the journals, the scientific collaboration, and the number of citations was found.



Number of the outputs, WoS

- But the number of articles in local Czech journals (non impacted) increased by 200 % during 2006-2010

The problem is support of excellence.

Introduction



What is the evaluation?

- **The European Commission definition is: “Evaluation is a process by which the quality, implementation, target relevance and impacts of RTD policies/programmes are investigated, interpreted and examined.”**

What is the evaluation in the Czech Republic?

- **It relies solely on the quantification of research outputs for the evaluation of research organisations and research programmes. It is predominantly monitoring exercise. Institutional support is allocated mechanically using the rule of three.**

The State of Art



Evaluation methodology in the Czech Republic

- Defines what results are eligible, how the data are collected and how they are converted into point values.
- Sends out a clear signal: no outputs, no institutional support.
- Aims to act against nepotism, corruption and lobbying by relying only on (proven) past achievements.
- Becomes the object of the never ending debate and scrutiny.
- Makes institutional funding as well as targeted funding short term and therefore a poor basis for planning, strategic investments ...
- Creates instability by allocation of institutional funding on an annual basis.
- Tends to fragment research effort.



The State of Art

Strategic RDI documents

- Reform of RDI (2008, annual actualisation)
- National policy of RDI for years 2009-2015 (outlook 2020)
- Strategy of international competitiveness for years 2012-2020
- National innovation strategy
- Long-term principles of evaluation, Counsel for R&D&I

The ultimate aim is to introduce periodic, systematic and objective evaluations of the RDI support system in the Czech Republic at all levels.

The State of Art



International Audit of the Czech RDI System, 2010-2011

- The Evaluation Methodology should be replaced by a system that combines the use of indicators, peer review and an element of prospective thinking.
- This can be implemented in conjunction with performance contracts but the whole process needs to remain transparent.
- What is needed is a combination of a rather short-term funding component (targeted funding, no more than 50 %) with a longer-term, more stable system of institutional funding.
- Research evaluation and allocation of institutional funding: Not necessarily a (direct) linked. Do not use solely indicator-based approaches.
- Move slowly. The system takes time to respond to changed incentives.
- Take small steps. Moving small amounts of money has big effects on behaviour.

IPN Metodika project



Individual National Project of Ministry of Education, Youth and Sports, 2012-2015

- A reform of evaluation to introduce also evaluation principles already developed and verified in Europe and make evaluation relevant to policymaking.
- A new system without a mechanical link between the evaluation of research and decisions about institutional funding. A combination of formula budget and performance contracts.
- Multi-annual funding periods.
- Different models of governance & funding for different types of organisations.
- Close collaboration with the R&D&I Council. Open discussion with all stakeholders and representatives. How to reach a consensus?
- **Evaluation as a tool for learning and institutional development.**

IPN Metodika project



Key activities

- Information support (access to databases, analysis and optimisation of Czech informational system, bibliometric analyses).
- Evaluation system (including small pilot study).
- Financing system (formula funding + performance-based contract, long-term institutional support, repressive component).
- Large-scale study (important feedback).
- Time schedule for transient period.
- Institutional support for evaluation process (feasibility study of independent evaluation body establishment, education of experts).
- Coordination of reform steps and creation of conditions for their acceptance.

IPN Metodika project



Evaluation as a tool for

- decision-makers
- the research organisation development
- the policy and programme development and planning
- the assessment of public fund efficiency
- the support of excellence
- the support of competitiveness

- the changing meaning of stakeholders and public space

Building trust in government and among members of the RDI community is a precondition for successful performance in the RDI system

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Evaluation principles

- Two-stage evaluation (critical mass).
- Evaluation of outputs and **impact**.
- Field-specified evaluation guidelines.
- Definition of an evaluation unit.
- Bibliometric analysis (selected best results).
- Set of other indicators.
- Respect to the research organization type and mission.
- Self-evaluation report of the evaluation unit.
- Informed peer-review (international peers, on-site visit in the second stage).
- Financing system (formula funding + performance-based contract, long-term institutional support, repressive component).

IPN Metodika project



The State of Art

- The project started 1.2.2012.
- The solution was interrupted between August 2012 and May 2013
- The main task: Realisation of the public tender “R&D EVALUATION METHODOLOGY AND FUNDING PRINCIPLES”
- Subject matter of the public contract:
 - Development of detailed and structured drafts of field-specific methodologies for the evaluation of evaluated units within research institutions with elements of international field-specific informed peer-review.
 - Development of a detailed draft of evaluation procedural rules.
 - Implementation of a small-scale pilot testing of research institution evaluation.
 - Development of principles for the R&D programme evaluation

IPN Metodika project



The State of Art

- **Subject matter of the public contract:**
- **Design of the system of institutional R&D funding (budget as prescribed and performance contract) and its links to the results of the evaluation.**
- **Analysis of targeted funding, compliance of the behavior of beneficiaries with research priorities of providers and the priorities of the providers with the priorities at the national level, the determination of an appropriate mix of targeted and institutional funding.**
- **A feasibility study of institutional solution to the proposed evaluation system.**

IPN Metodika project



Public contract – time schedule

- Preliminary announcement, **7.8.2013**
- Call for participation and qualification criteria, **18.9.2013**
- Evaluation of the bids, **31.10.2013**
- Requests for additional information
- Final evaluation, **6.12.2013**
- Call for participation in the negotiated procedure with publication, **10.1.2014**
- Evaluation of the bid, **4.2.2014**
- Negotiation with a potential tenderer, **17.2.2014, 3.3.2014**
- Final result, **10.3.2014**
- The contract is planned for 1 year, price is 39.6 mil CZK including VAT
- International consortium

We have been waiting for the administrative decision of the Ministry



New evaluation methodology

Do we really need a new evaluation guidelines for RD?

- Yes, we do.

Are stakeholders, politicians, providers, and research community open to accept it?

- No, they are more like not.

Why?

- „Charity begins at home“. The present system is simple. Anyone can calculate how much money will obtain for institutional support.
- Research institutions concern about possible cuts to their funding.
- We like numbers.

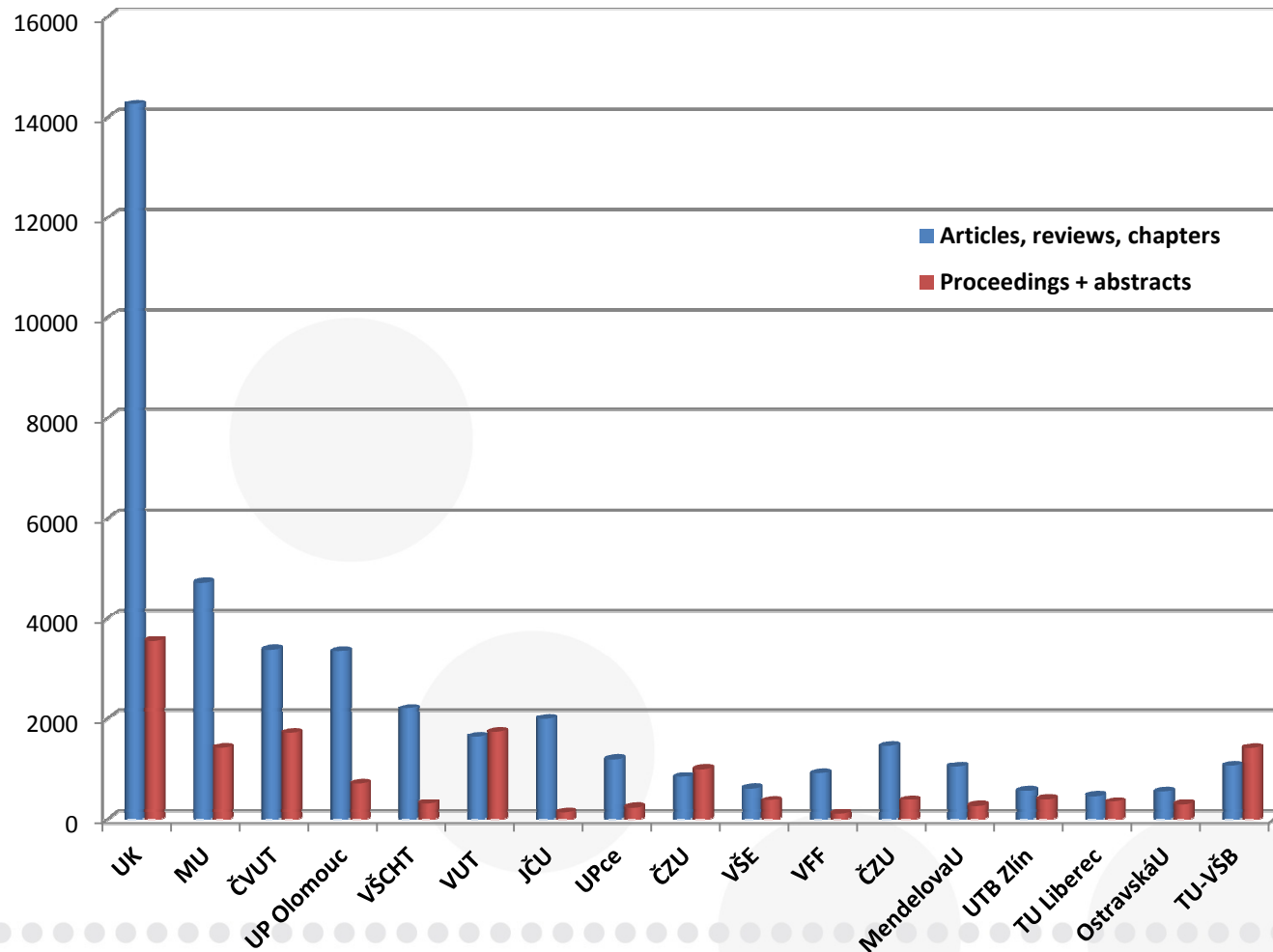
What we shall do?

- To create a climate for evaluation.
- To organize discussions, meetings, workshops, conferences. To explain...
- To conduct well established pilot studies in order to prove the advantages of a new methodology.

New evaluation methodology

To create a new methodology, it is difficult and complex task.

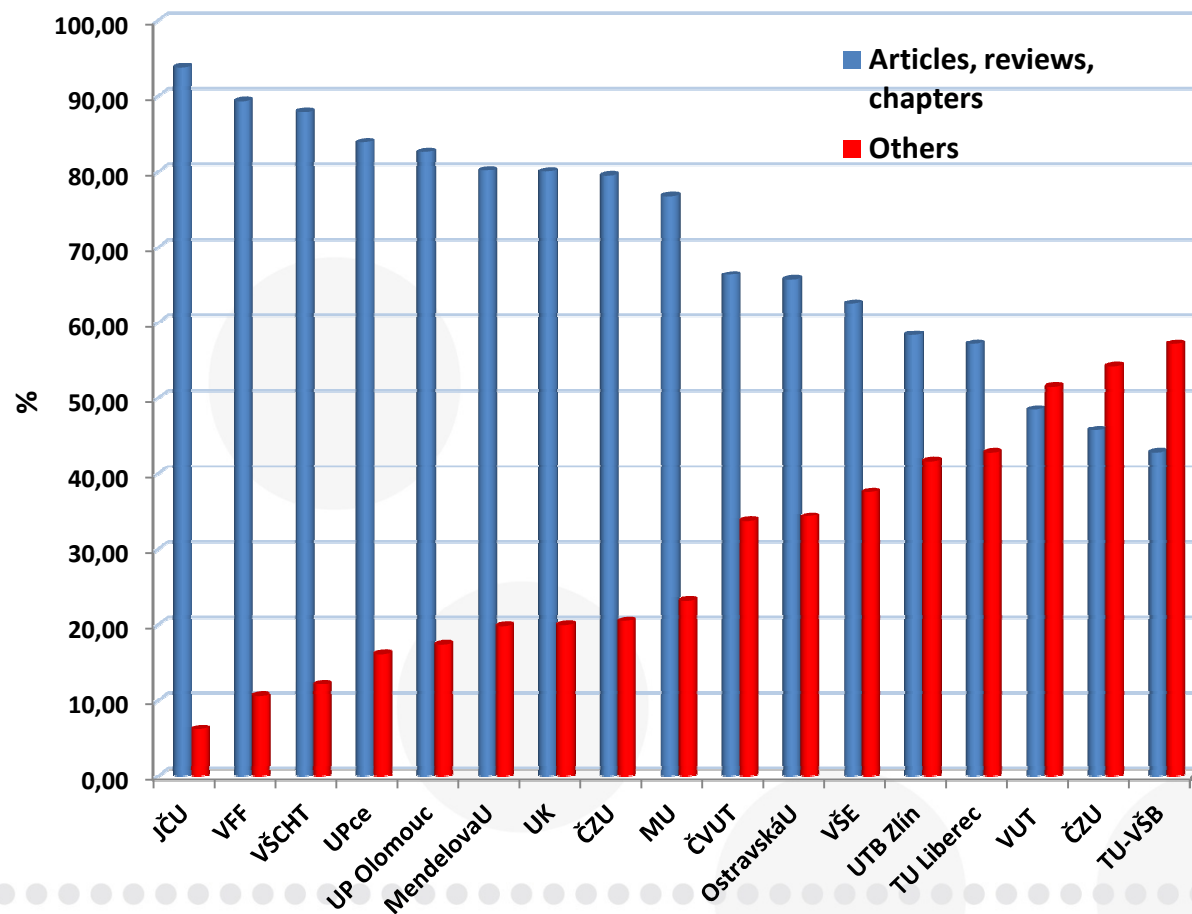
- Number of the outputs (WoS), Czech public universities, 2009-2013



New evaluation methodology

To create a new methodology, it is difficult and complex task.

- Relative proportion of the outputs (WoS), Czech public universities, 2009-2013

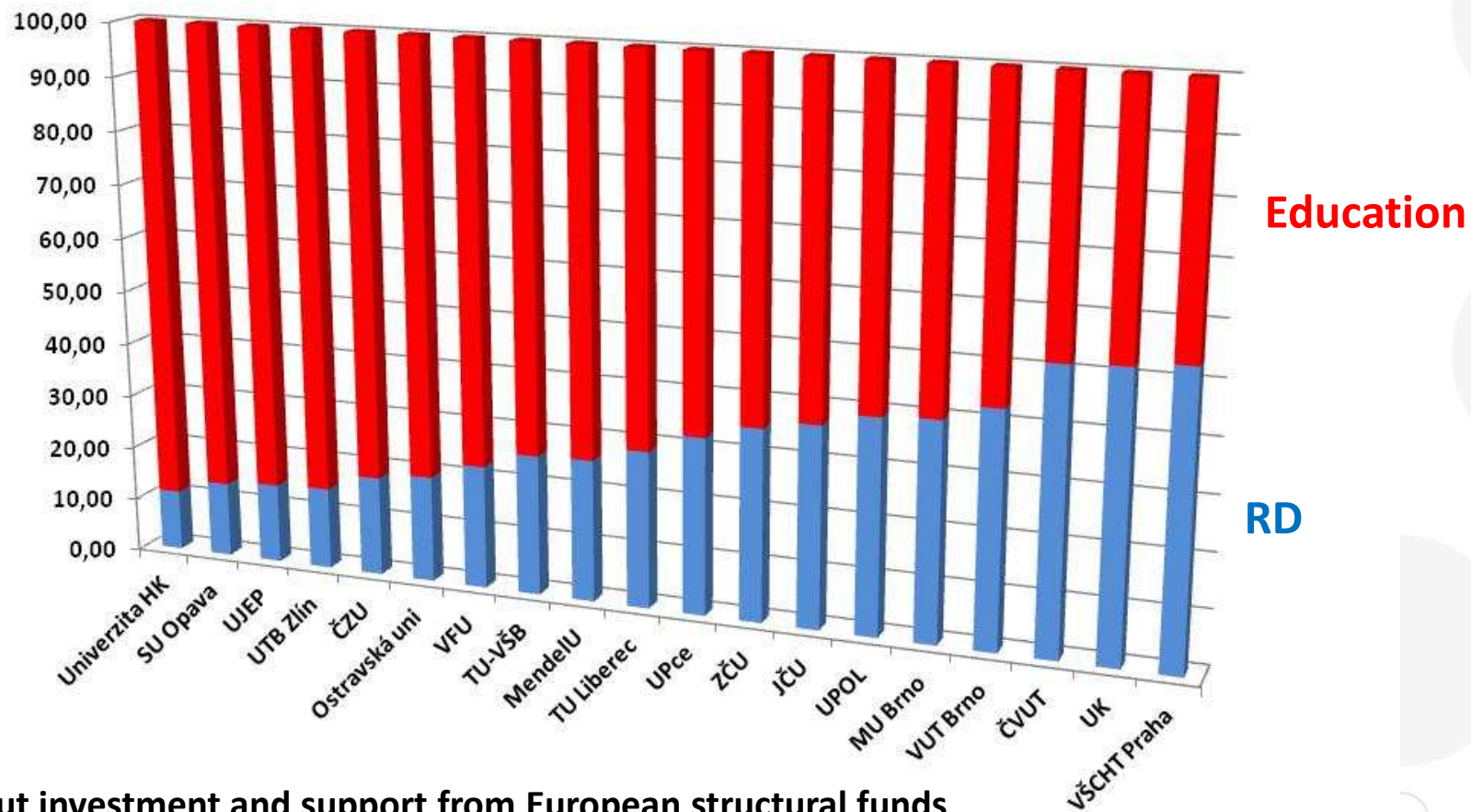




New evaluation methodology

To create a new methodology, it is difficult and complex task.

- Public financing 2012, education vs RD, Czech public universities

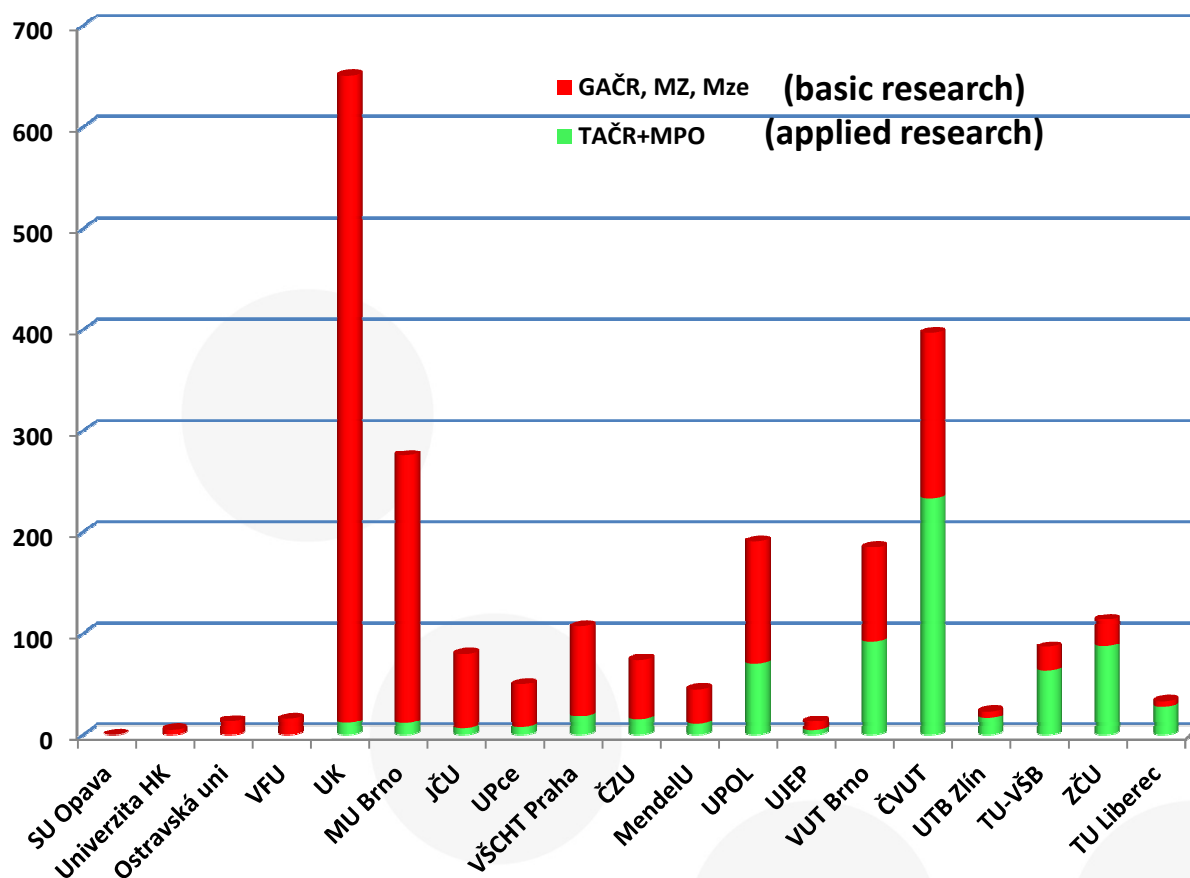


without investment and support from European structural funds

New evaluation methodology

To create a new methodology, it is difficult and complex task.

- Targeted financing 2012, mil. CZK, Czech public universities

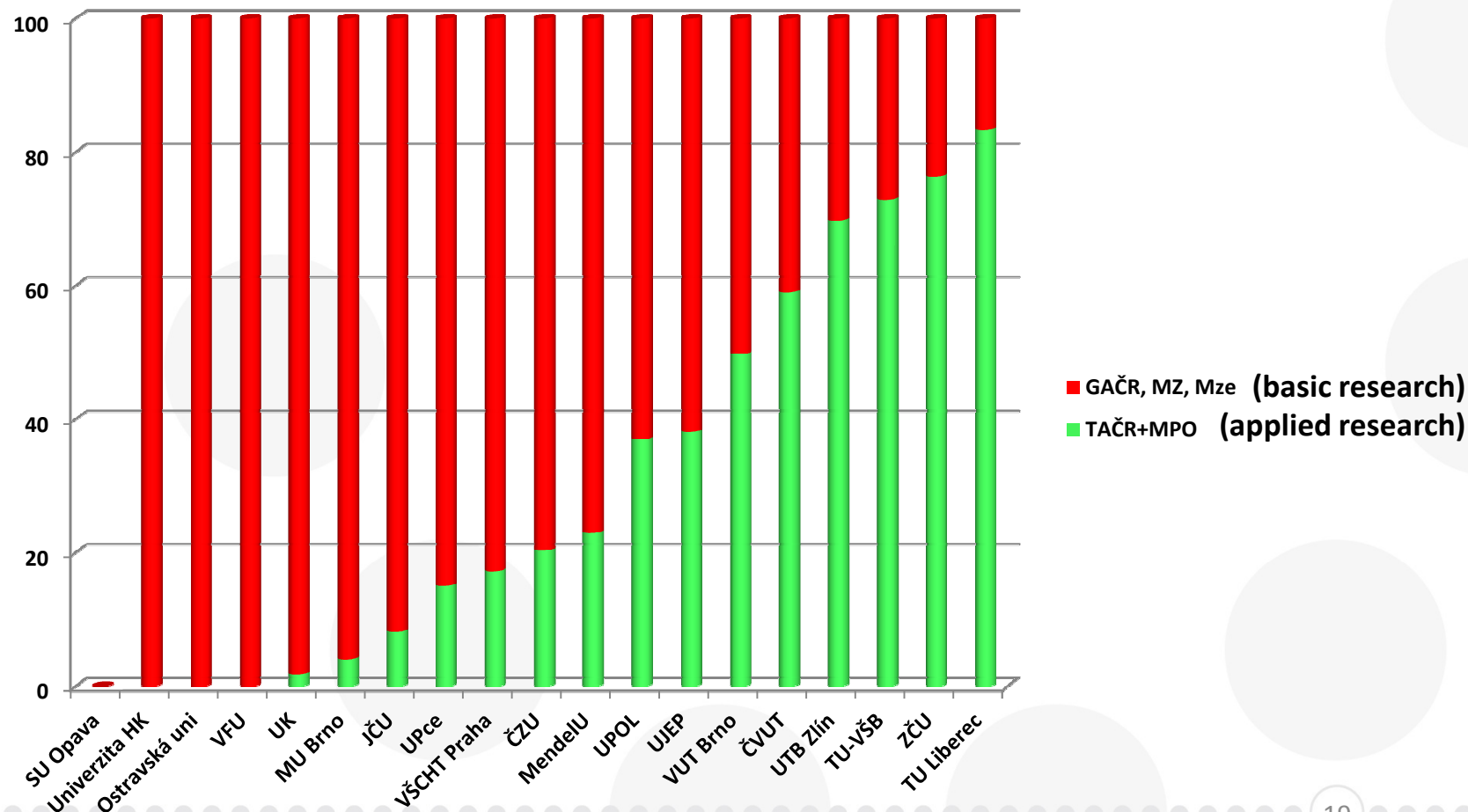




New evaluation methodology

To create a new methodology, it is difficult and complex task.

- Relative proportion of targeted financing 2012, Czech public universities

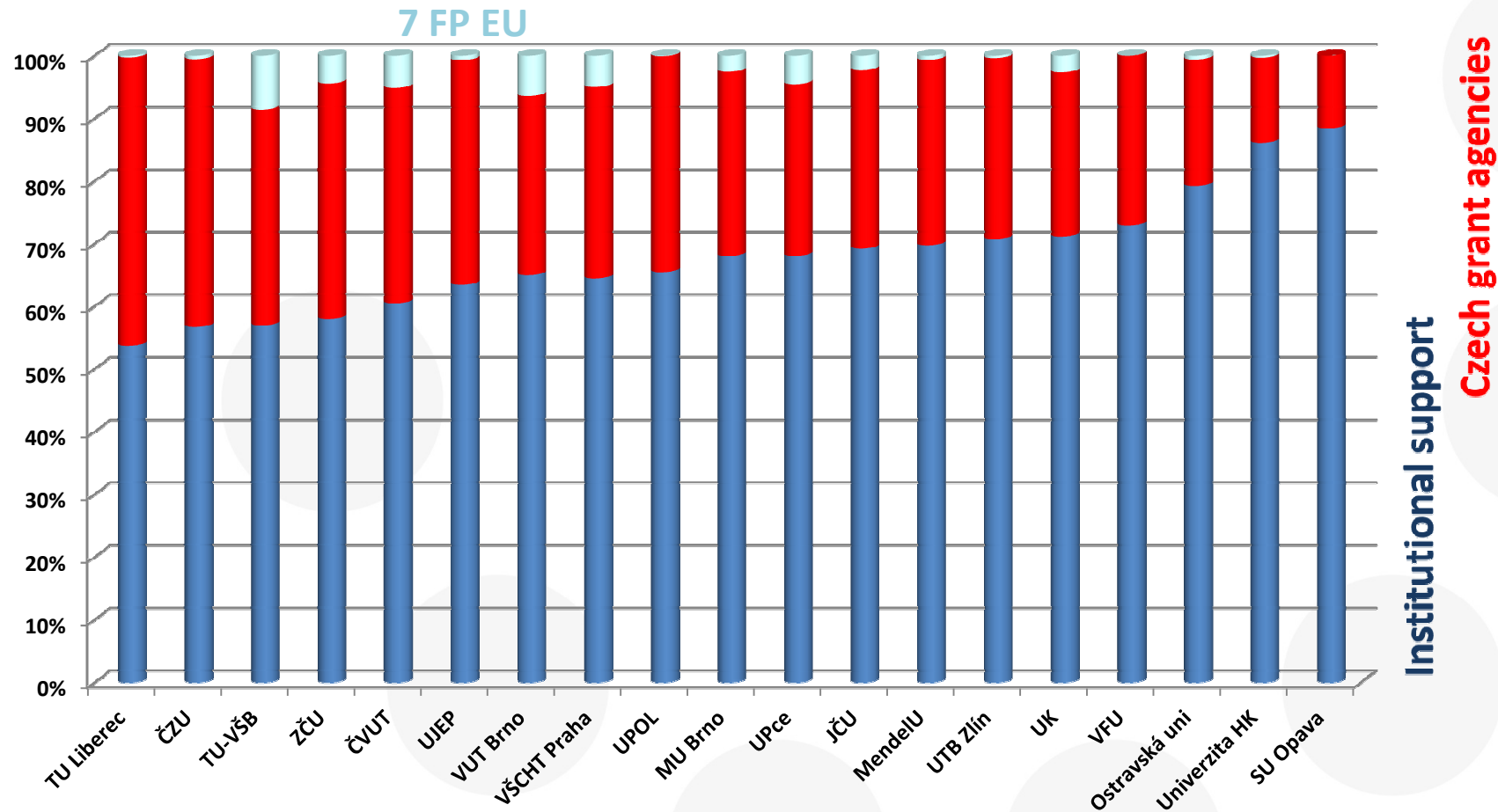


New evaluation methodology



To create a new methodology, it is difficult and complex task.

- Relative proportion of RD financing 2012, Czech public universities





- We need urgently the signing of the contract.
- We feel small but distinguishable changes in the public attitude to a new evaluation methodology.
- The solution of the project must be put in motion very quickly.
- The frequent replacement of the responsible high state officers causes a retardation.

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