

**METODIKA**



# Panel evaluation, processes and results

**Jelena Angelis**  
**Technopolis Group**

[www.metodika.reformy-msmt.cz](http://www.metodika.reformy-msmt.cz)



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EVROPSKÁ UNIE



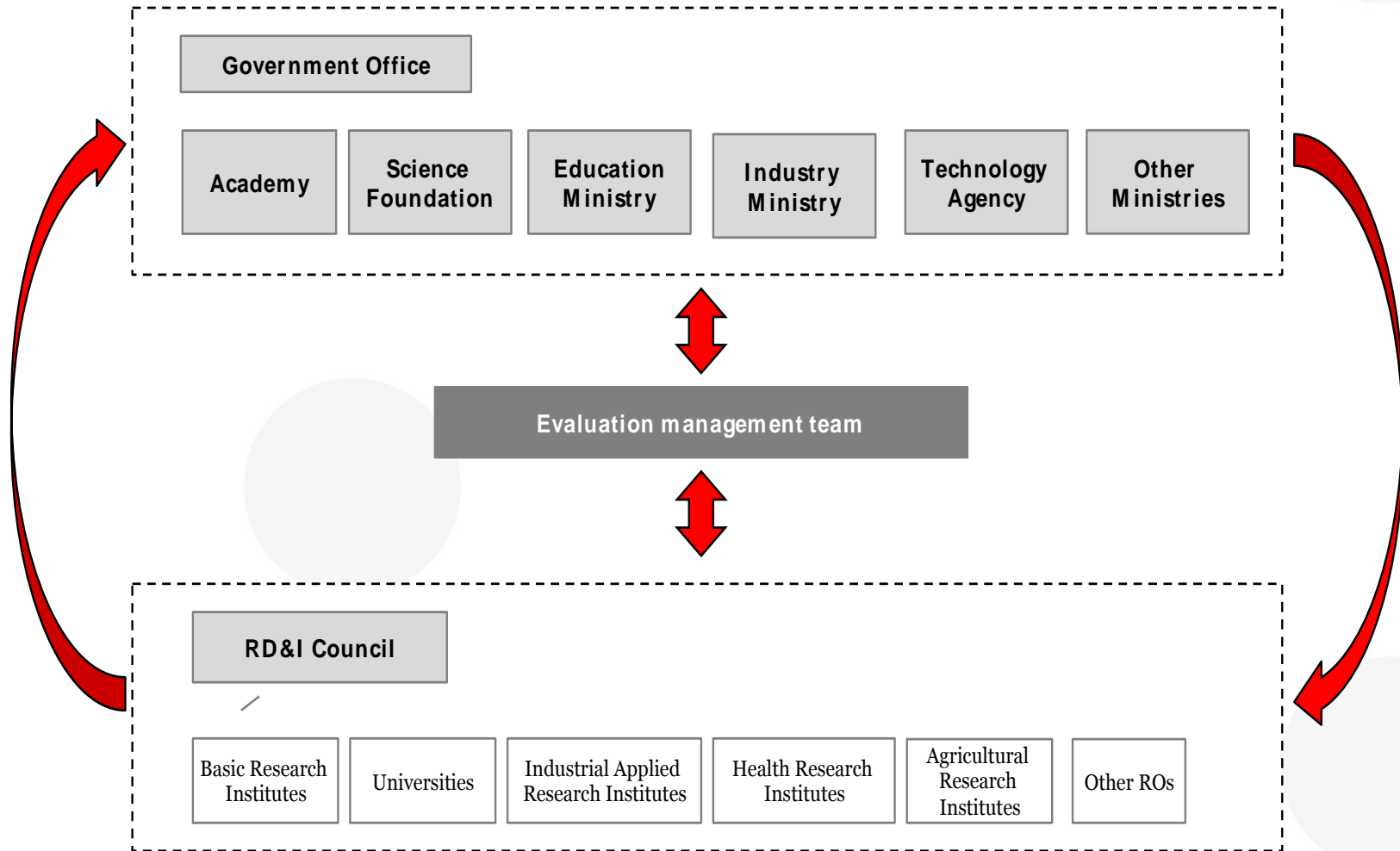
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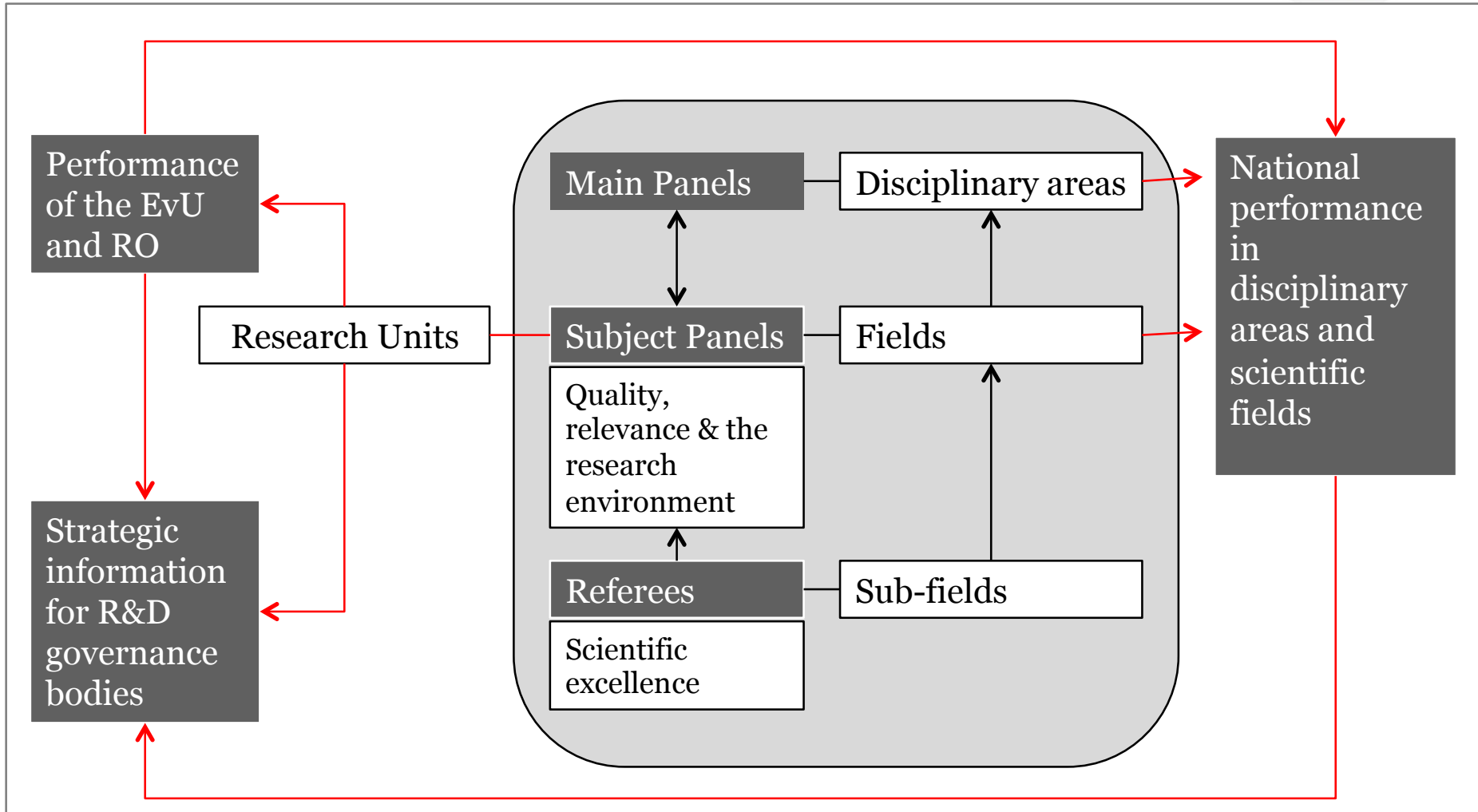
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INVESTICE DO ROZVOJE VZDĚLÁVÁNÍ

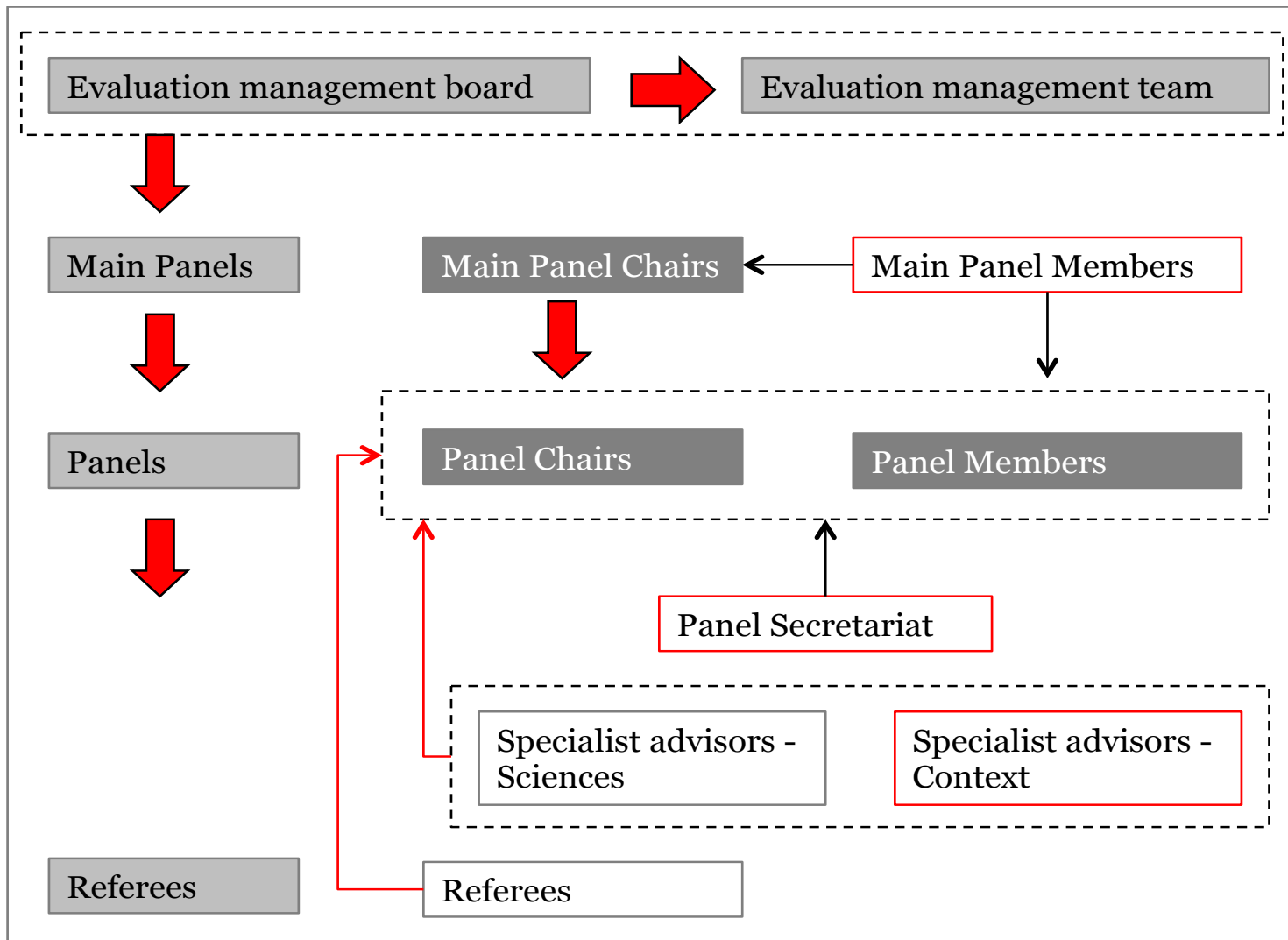
# Governance structure for the evaluation implementation



# The panel evaluation structure



# Panel evaluation: Process flow





# Roles and functions

- **Main panels:**

- Check the procedures of the panels on the conformity to the rules and consistency in the approach with the other panels. For this purpose at least the chairman will participate in the meetings of the panels
- Monitor and confirm the fairness of the procedures
- Handle eventual claims of gaming, take decisions, advise who should intervene
- Handle eventual cases of inter-disciplinary work for which attribution to a certain panel is contested, looking into the issue and take the decisions
- Take any other 'policy' decisions for which the need may arise

- **Subject panels:**

- Primary function is to conduct the performance assessment, i.e. formulate a judgment on the EvUs' performance in a specific field (so: RU) against 5 different assessment criteria categories.
- NOT in charge of formulating an overall judgment of the performance of an RU



# Roles and functions

- **Specialist advisors**
  - Provide context information, upon request by and in response to the needs of the panel members.
- **Referees will have a fine-grained expertise**
  - Assess (remotely) the best research outputs (but a limited set) submitted by RUs
  - Produce a written assessment about the research output and send it to the subject panel.
- **Panel Secretariat (with 2 staff members)**
  - Ensures that the rules are followed, guaranteeing consistency in the approach among different panels
  - Handles the submissions
  - Provides templates for assessment reports (e.g. send assessment report template to referees)
  - Takes minutes of the meetings and registers the panel assessment results

# Avoiding conflict of interest and similar issues



- **Peers cannot have *conflict of interest***
  - Chair main panels, members subject panels and referees are independent international experts
  - Procedures to avoid conflict of interest: statement for panel members and referees and panel members are obliged to report possible conflict of interest.
- **Ensuring *consistency* of the assessments: In a common review framework it is important to ensure a common understanding of the assessment criteria, standards and the application of the quality scores.**
  - Universal guidelines; a system with overarching main panels and subject panels
  - Calibration exercises by the main panel and the subject panels
  - Main panel members attend subject panels meetings; advise on the interpretation and use of the evaluation protocol
  - Panel secretariats have a controlling function

# Avoiding conflict of interest and similar issues



- **Transparency of the review process can contribute to the fairness and validity of the assessment, help guard against scholarly bias and may also help to identify and address conflicts of interests.**
  - Protocol, text of confidentiality agreement, additional guidelines publicly available
  - Names of the panel chair are public; names of the other panel members & referees are made public after finalisation of the evaluation process
  - Meetings of the Governing Board, main and subject panels are taken down in minutes (will not be made public)
  - Assessment per RU, EvU and the analytical report per field of discipline are made public





# Evaluation results

- **Results to have summative and formative dimension**
- **Summative dimension**
  - Input into the PRFS, informing institutional funding for research
- **Formative dimension**
  - Results useful for different actors in the Czech R&D system (i.e. from individual research organisations to the national policy makers)
  - No aggregate score as it is not about rankings of units or creation of competition
  - Instead: results presented through information on performance against different assessment criteria
  - Emphasis is on qualitative information which can be used to support R&D government at the institutional and national levels

# Evaluation results



- **Value to evaluated units:**

- View on the Research Unit's performance against each of the 5 assessment criteria
- Panel experts conclusions and recommendations for future development of the RUs
- A comprehensive view on the Unit's international and national level of competitiveness in R&D

- **Value to national policy makers:**

- A comprehensive view of research performance in the country at the level of fields
- Identification of areas of weaknesses and strengths at the level of fields
- An overview of performance against each of the 5 assessment criteria, suggesting the areas of major failure in the R&D system

# Lessons from Small Pilot Evaluation



- **Useful for panel members to meet and work as a group. Remote work is easier after that.**
- **Calibration exercise performed by Panel experts was extremely useful.**
- **Presence of the Czech partners and access to the knowledge about the Czech system was welcomed by Panel experts.**
- **Confusion in definitions: RU vs EvU; field vs sub-field.**
- **Easier when RU is a real physical unit.**
- **Parts of some criteria were a bit confusing to experts, e.g. national and international.**
- **Institutions not used to this type of exercise and certain terminologies were not familiar / confusing.**
- **Research Units had questions but it was not always clear where they can get answers from.**

# Lessons from Small Pilot Evaluation



- **Quality and consistency of RU data was missing on most occasions.**
- **Too little time was given to prepare and submit RU information.**
- **Information was submitted too late before the panel work started.**
- **Experts lacked certain background information, e.g. an organisation chart of the overall institution and the place of the RU in it; a list of researchers with their clear responsibilities; distribution of researchers by age and gender etc.**
- **Numbers presented in the reports were not always clear. Lack of qualitative explanation made it more difficult for experts to make their judgement.**
- **By not providing enough or inaccurate information RUs missed an opportunity to ‘market’ themselves.**



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