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The new Evaluation Methodology

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INVESTICE DO ROZVOJE VZDĚLÁVÁNÍ

Why reform the evaluation methodology?



- **Need to improve the performance of the research and innovation system**
 - Outputs and competitiveness
 - Formative as well as summative information needed
- **Cope with a need for competitiveness at the international level**
 - Train for the Olympics, not the national games
- **Need for information at both policy and performer levels**
- **Address limitations of the Coffee Mill, including**
 - Unstable outcomes
 - Lack of formative information
 - Inability to contribute to wider evaluations or policymaking
 - Not anchored at the international level
 - All numbers, no judgement



The EM in its historical context

- **Evolution after the reform of 2008:**

- Progressive restriction of the scope: research outputs only
 - Reduction of the complexity of performance to an overly simple category of outputs
 - Lack of consideration for disciplinary differences and for the missions of ROs
- Narrowing of the function of evaluation: only as component of the PRFS
 - Concept of evaluation as part of a policy cycle providing strategic information is not perceived; it provides information that is at the best of limited relevance
- Increasing breadth of coverage: from funding bodies to individual researchers
- Metodika 2013-2015: an improvement but still focused exclusively on outputs

- **Result:**

- Evaluation is perceived as counting outputs = points = funding
- It constitutes the key factor for R&D management throughout the entire system
- It is detached from any discourse on policy and strategy related to the national R&D system

Our mandate



- **Objectives: to develop an evaluation methodology**
 - Conducted on a **national** basis
 - Providing strategic **information** for the actors at all levels in the R&D system
 - Evaluation results inform the institutional **funding** system (PRFS)
- **The expectations:**
 - A peer-review evaluation process
 - Fulfil formative and summative functions
 - Cover outputs, impacts, and institutional projections of research development
 - Take into consideration the different missions of research organisations and the field specifics
 - Evaluation processes resistant to clientelism and conflicts of interests
 - Take into account 'gaming'
 - Total costs should not exceed 1% of public institutional support for R&D in a five-year time period



The key principles

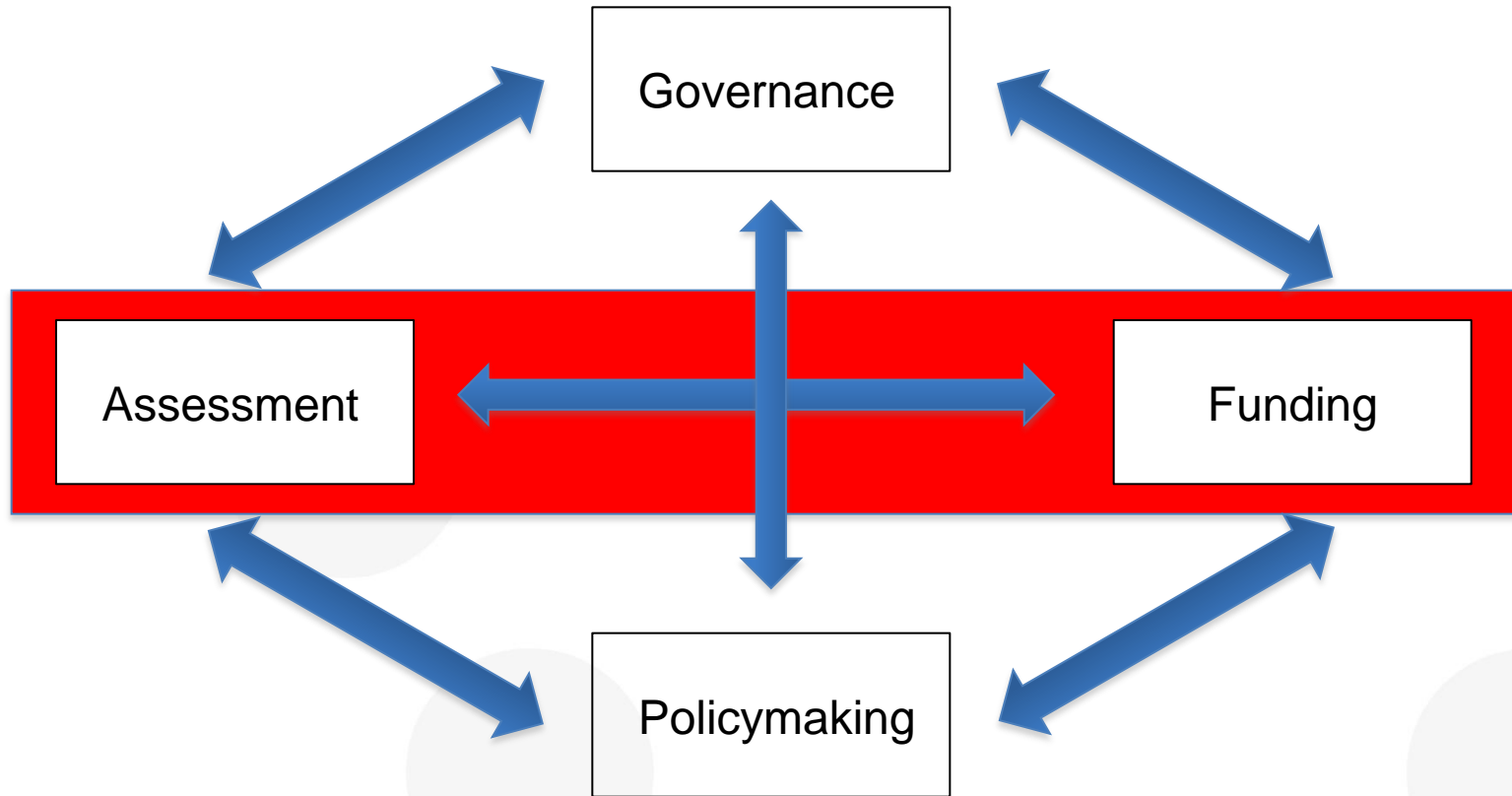
- **The EM**

- Reflects the **strategic policy objectives** for the R&D system
- Functions = to act as source for **strategic information** & directly inform public **institutional funding** for research

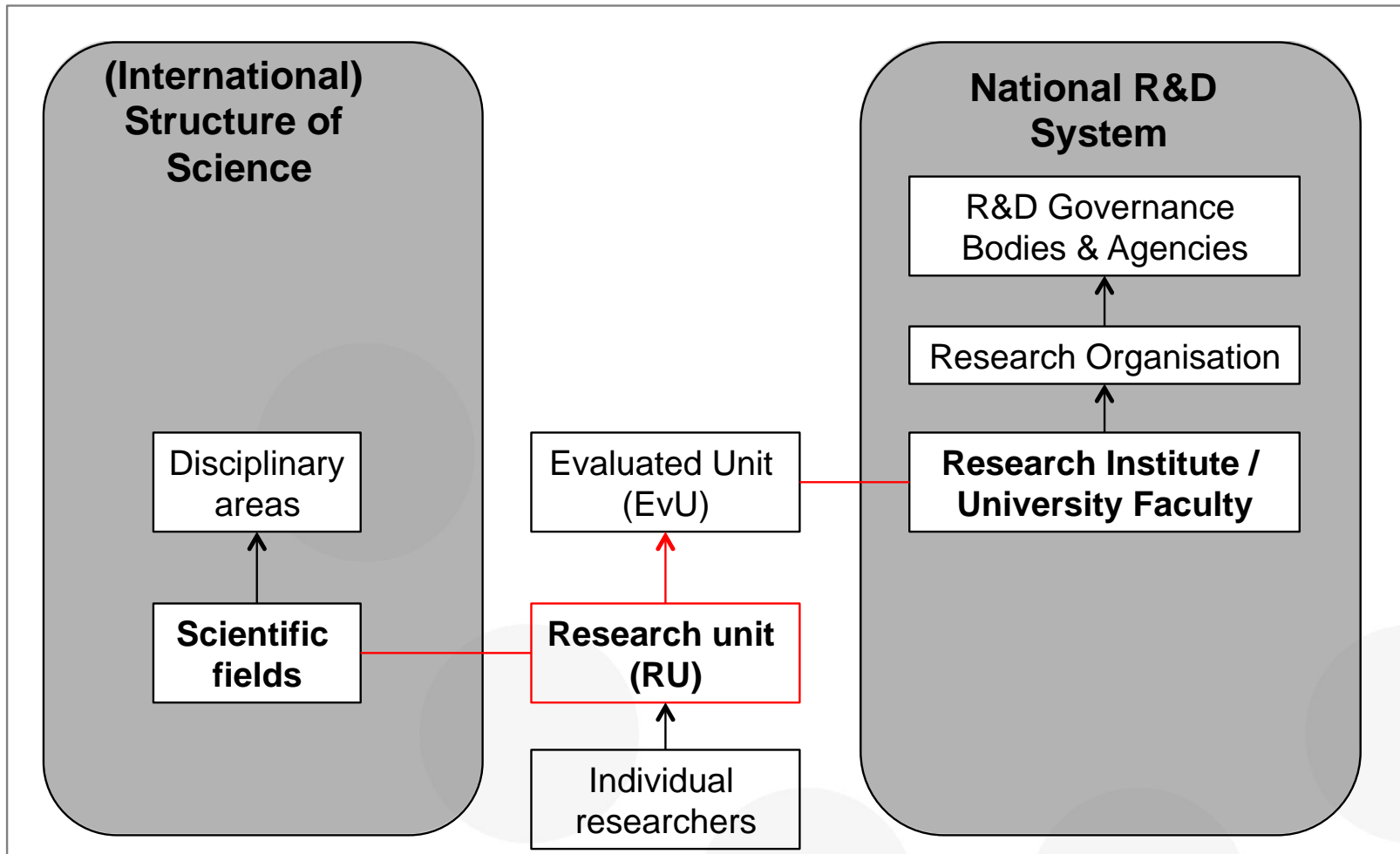
- **The evaluation**

- Is **comprehensive**: all dimensions of the research activities and its outputs, outcomes and impact
- Is at the level of field-defined **Research Unit** (RU) within an Evaluated Unit, i.e. a research organisation or in the case of the public HEI, a faculty
- Covers **all research organisations** of a critical size, on a voluntary basis
- Is a process of **informed peer review**, based on a mix of appropriate quantitative and qualitative data to support their professional judgement
- Is a **fair and egalitarian** system: a single framework for assessment while allowing for a reasonable level of field- and RO typology-specific variations
- The **minimum possible** cost and burden to deliver a robust and defensible process

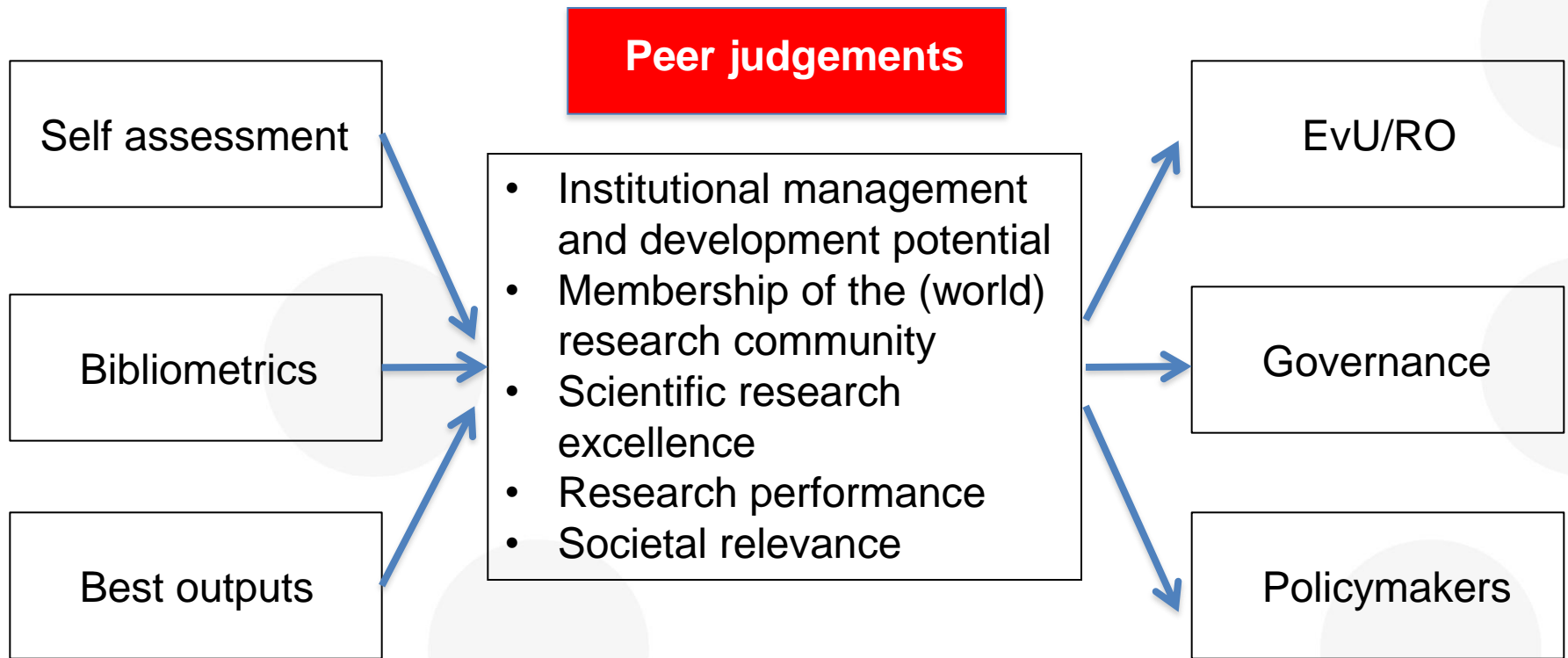
Policy development and implementation are at the heart of the new methodology



Building up from the fundamental unit of assessment: the Research Unit



Assessment is based on peer judgements, not calculation

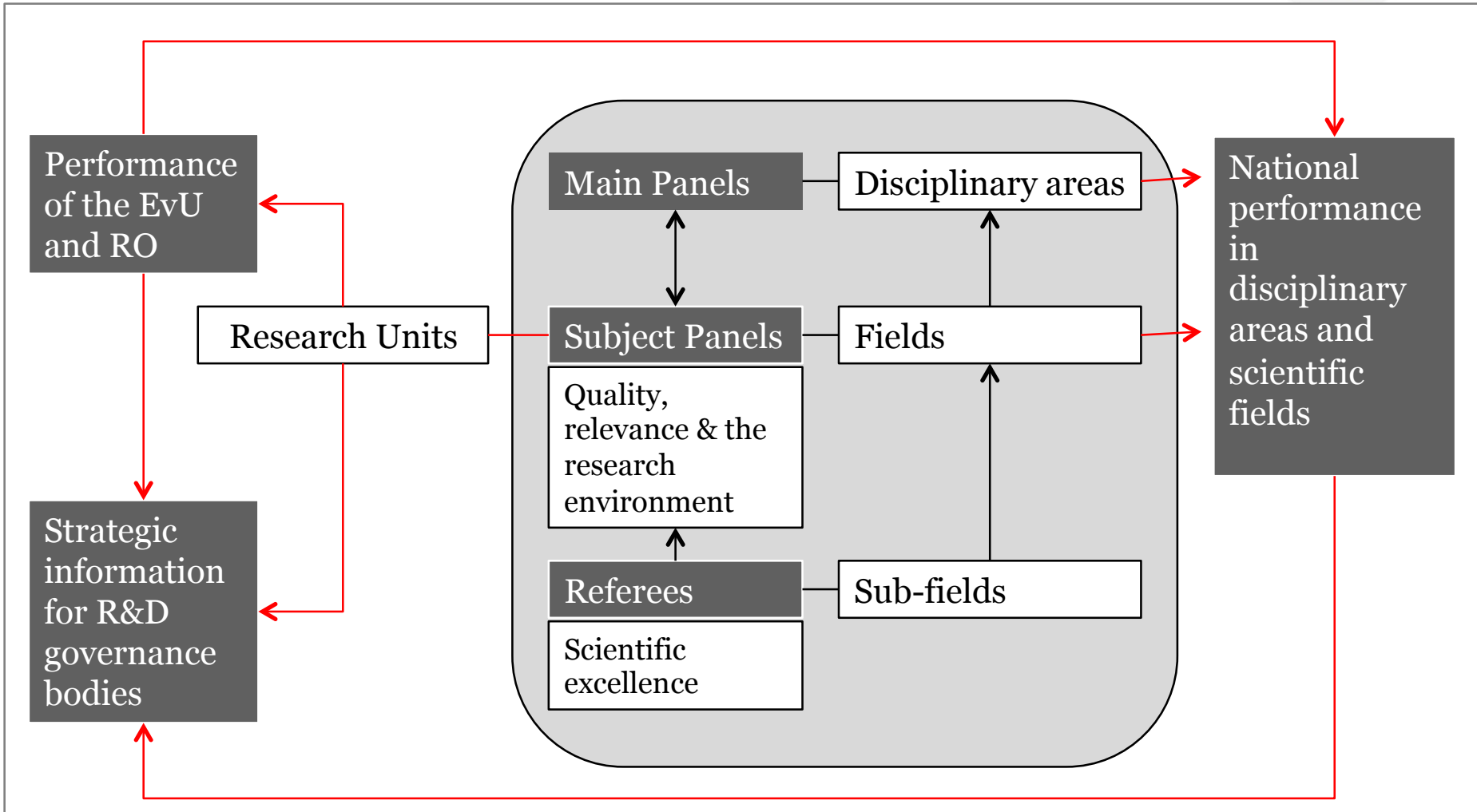


Some of what the 'users' get

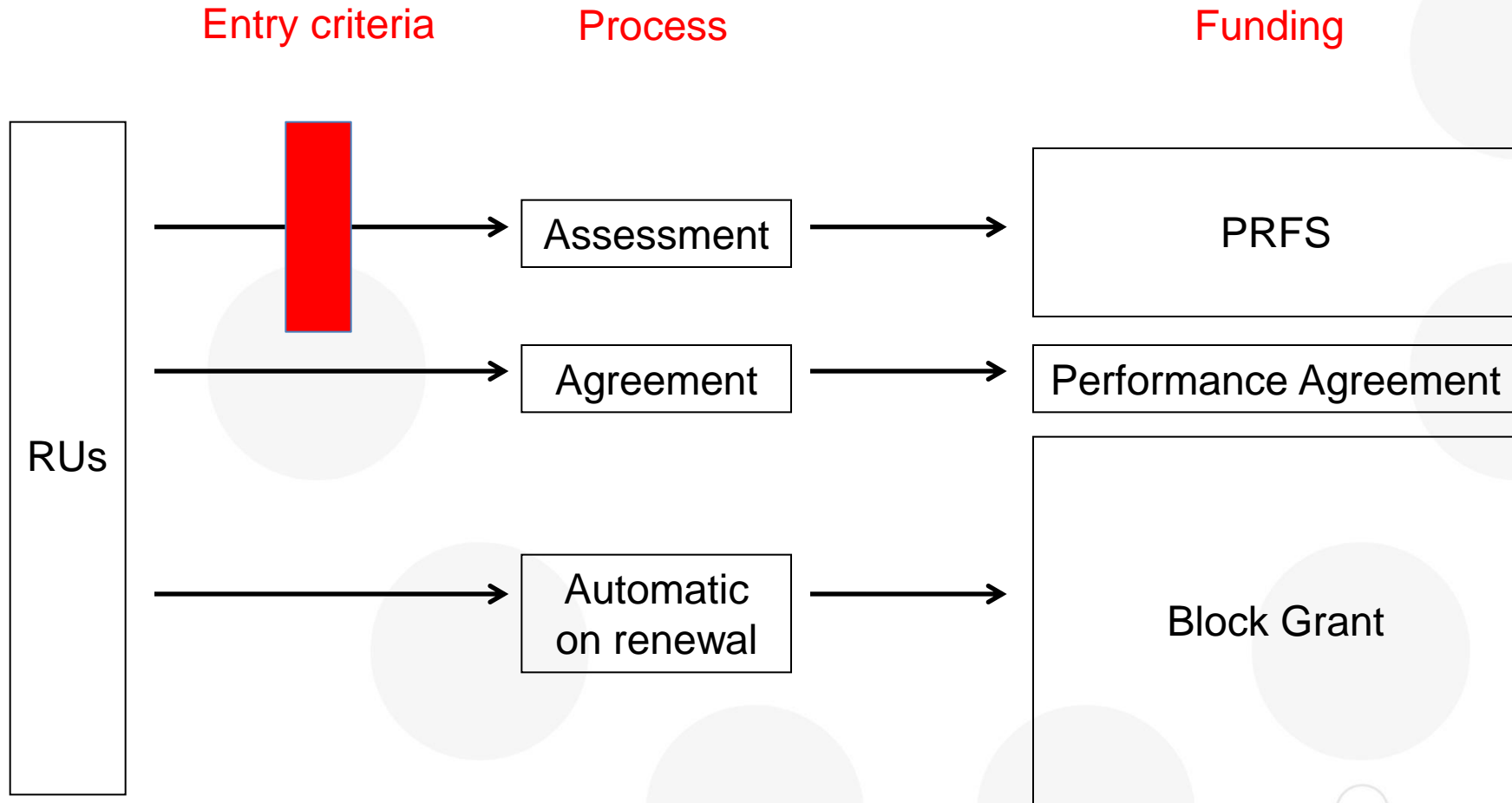


EvU/RO	Governance	Policymakers
Institutional and research strategy Institutional and HR management Positioning at national level International positioning Models of good practice	Strengths and weaknesses Needs for policy interventions Sectoral R&D strategies International positioning Priorities for performance contracts	National research strategy Alignment with RDI priorities International positioning Needs for policy intervention

The use of peers ties the system to the field level

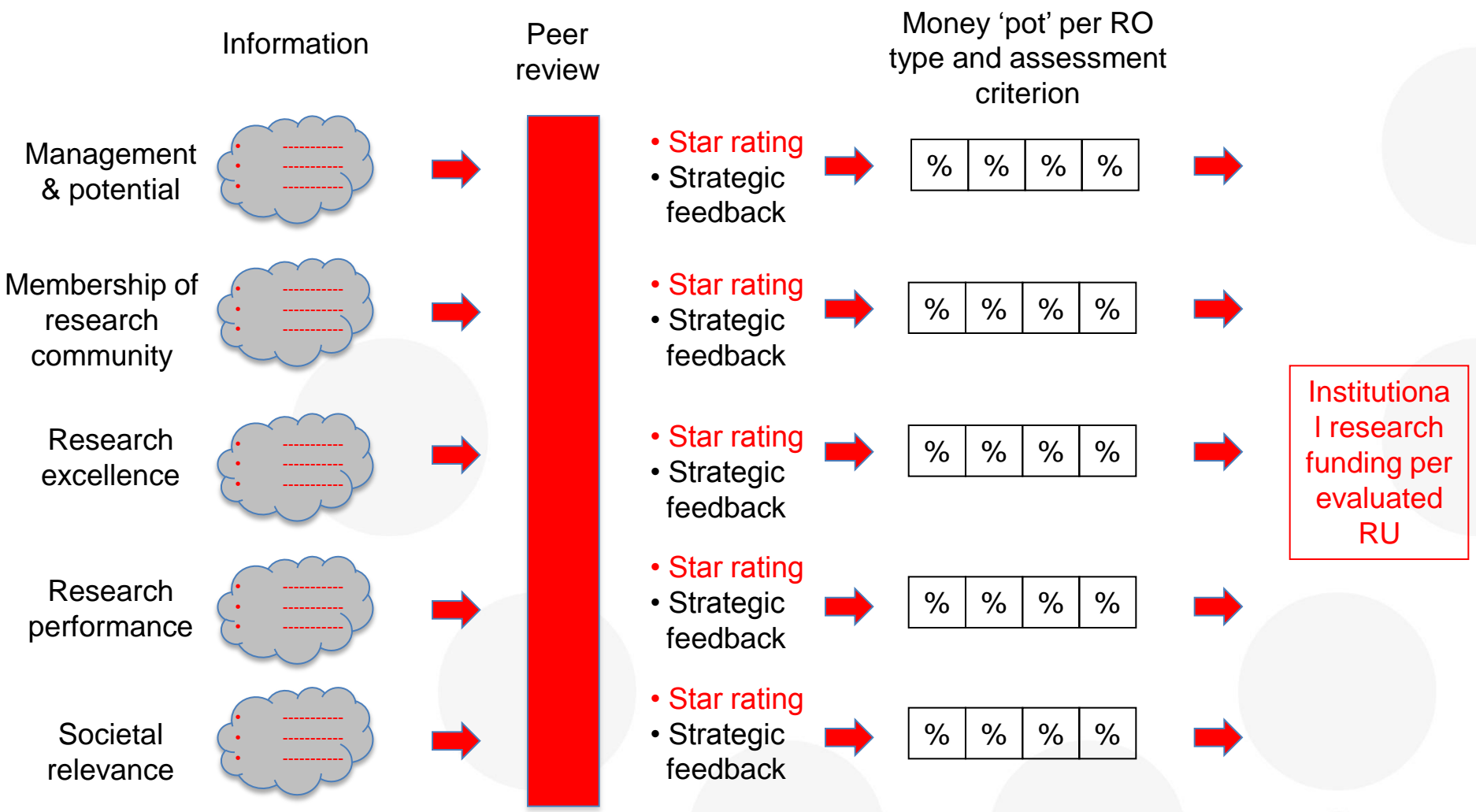


Overview of the funding system





PRFS at a more detailed level



Benefits



- **Performance improvements**
 - Self-evaluation and interaction with the assessment generates a learning process
 - Evaluation Method encourages improved research management in the organisations
 - Better positioning for international collaboration, eg Framework Programme
- **International inputs to the process**
 - Providing an 'Olympic' benchmark
 - Independence and objectivity of peer review
- **Information for both policy and organisational levels, to underpin strategy**
- **Funding – giving incentives but also a basis for planning**
 - Some stability
 - Rewards for past performance
 - Strategic 'space' for future investment

Some issues to tackle: Governance



- **Governance**
 - Increasing capacities, especially in sector ministries
 - Institutionalising the evaluation methodology
- **Reducing uncertainties about the research budget as a whole through multi-year planning**
- **Process for evolving % allocations to performance and funding categories, eg rising PRFS and contractual components over time**
 - Research Organisation categories
 - Assessment dimensions
 - Balance among the three components
 - Stability
 - PRFS
 - Performance contracting



Some issues to tackle: Policy

- **Periodicity – adjusting frequency as system performance improves**
- **Some principles**
 - ASCR and the universities in the same pot?
 - Defining FTEs and untangling research from teaching
 - Defining ‘Research Organisation’ and eligibility rules
 - Widening the scope for applied inputs without reviving ‘gaming’
- **Timetable for implementation – moving fast enough to address the underlying needs**
 - Minimise the time we have to live with a transitional system
 - Exploit the great interest in the debate about assessment and funding within the research community
 - Use the resources and momentum build up in the IPN project
 - **Carpe diem!!**



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**Thank you for your
attention!**

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