Reforming research assessment

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European Commission, Directorate-General for Research & Innovation, Unit A.4 'Open Science'

UNESCO WG on Open Science
Funding and Incentives
9 June 2022

Towards a Coalition on reforming research assessment

- As of today, **334 organisations from 38 countries** have expressed their support to the principles outlined in a [scoping report](#) published in November 2021, and are involved in the co-creation of an agreement bringing together a coalition:

  ➢ 122 Universities, 22 Universities associations and 10 European Universities Alliances;

  ➢ 43 Research centers/institutes, 4 Research infrastructures;

  ➢ 23 Public funders, 4 Private funders, 2 Funders associations;

  ➢ 6 National/regional evaluation agencies, 5 Ministries, and 2 Regional authorities;

  ➢ 20 Academies, learned societies, researchers associations;

  ➢ 8 National reproducibility networks;

  ➢ 63 other organisations (research management, standardisation, consultancy, etc.).

- The call remains open: europa.eu/!DQMKYG

European Commission

Near-final Agreement

- **Signatories agree to:**
  - ➢ Base actions on common **Principles** (from scoping report)
  - ➢ Implement **Commitments** for change, incl**. timeframe** for implementation
  - ➢ **Organise and operate the coalition** along common principles

How will it support the implementation of the UNESCO Recommendation on Open Science?

- Recognition of a **diversity of outputs** (beyond publications), **practices** (incl. open science practices), and **activities** of researchers (incl. societal engagement, teamwork);
- **Assessment based primarily on qualitative judgement**, supported by responsible use of quantitative indicators;
- Respect the **autonomy of organisations** and **allow for differences in implementation;**
- **Piloting of changes** to research assessment practices, and **sharing of experience and evidence**.

European Commission

Next steps

3rd Stakeholder Assembly
8 July 2022

➢ Present final agreement
➢ Continue discussion on governance, organisation and operations of the coalition

Collecting signatures and Constitutive Assembly
Autumn 2022

European Commission

Thank you

European Commission

First meeting of the Working Group
<u>Open Science Funding and Incentives</u> -
UNESCO Recommendation on Open Science

Open science incentives in research assessment - Latin America and the Caribbean

Laura Rovelli, Latin American Forum for Research Assessment (FOLEC-CLACSO)

Open Access and Open Science in Latin America and the Caribbean

TENDENCIAS RECIENTES
EN LAS POLÍTICAS CIENTÍFICAS DE
CIENCIA ABIERTA Y ACCESO ABIERTO
EN IBEROAMÉRICA

DOMINIQUE BABINI
& LAURA ROVELLI

- **Region with highest % of open access adoption in scholarly journals**, with no APCs and no outsourcing to commercial publishers. Publicly funded, community owned and governed open access: bibliodiversity & multilingualism

IMPLEMENTATIONS

- **University-led regional cooperation for open access (diamond model)**

    * regional portals of scientific journals (Latindex-C, Redalyc-AmeliCA, SciELO)

    * institutional repositories are the privileged instrument by legislation and policies for sustaining and expanding open access

- **Inter-governmental cooperation** for repositories networking (La Referencia, 11 countries, regional harvester)

- Initial steps in

    * research data collections

    * preprints (SciELO Preprints)

    * co-production of knowledge with other societal actors+citizens science

- Open Science promoted in the region, mobilized by approval of UNESCO Recommendation on Open Science

PROPOSAL FOR A DECLARATION OF PRINCIPLES[1]

A new type of research assessment towards a socially relevant science in Latin America and the Caribbean

www.clacso.org/en/folec

TOWARDS A TRANSFORMATION OF SCIENTIFIC RESEARCH ASSESSMENT IN LATIN AMERICA AND THE CARIBBEAN

Diagnosis and Proposals for a Regional Initiative[1]

Desde el lanzamiento de FOLEC[1], en noviembre de 2019, CLACSO[2] viene jugando un papel significativo en las discusiones acerca de la evaluación académica. Tres documentos fundacionales fueron publicados en junio de 2020. 1) *Evaluando la evaluación de la producción científica*[3], dedicado a reunir los elementos principales de los debates de fondo que atraviesan la evaluación académica en América Latina y el mundo. 2) *Diagnóstico y propuestas*[4] para una iniciativa regional, un documento propositivo que se ofrece como base a la discusión regional para la formulación de recomendaciones y 3) la *Declaración de Principios*[5] que se pone en discusión para construir un horizonte común que dé sustento a la iniciativa regional y su interacción con el mundo. En estos documentos se argumenta que las formas dominantes de evaluación no estimulan la investigación socialmente relevante y tampoco aseguran su calidad, dado el extendido uso de indicadores de impacto construidos por bases de datos comerciales como Scopus o Web of Science, que excluyen una gran parte de la producción de conocimientos de la región. En el documento de diagnóstico se analizaron los esquemas de ponderación dominantes para la evaluación de carreras e instituciones. Se planteó la necesidad de redefinir
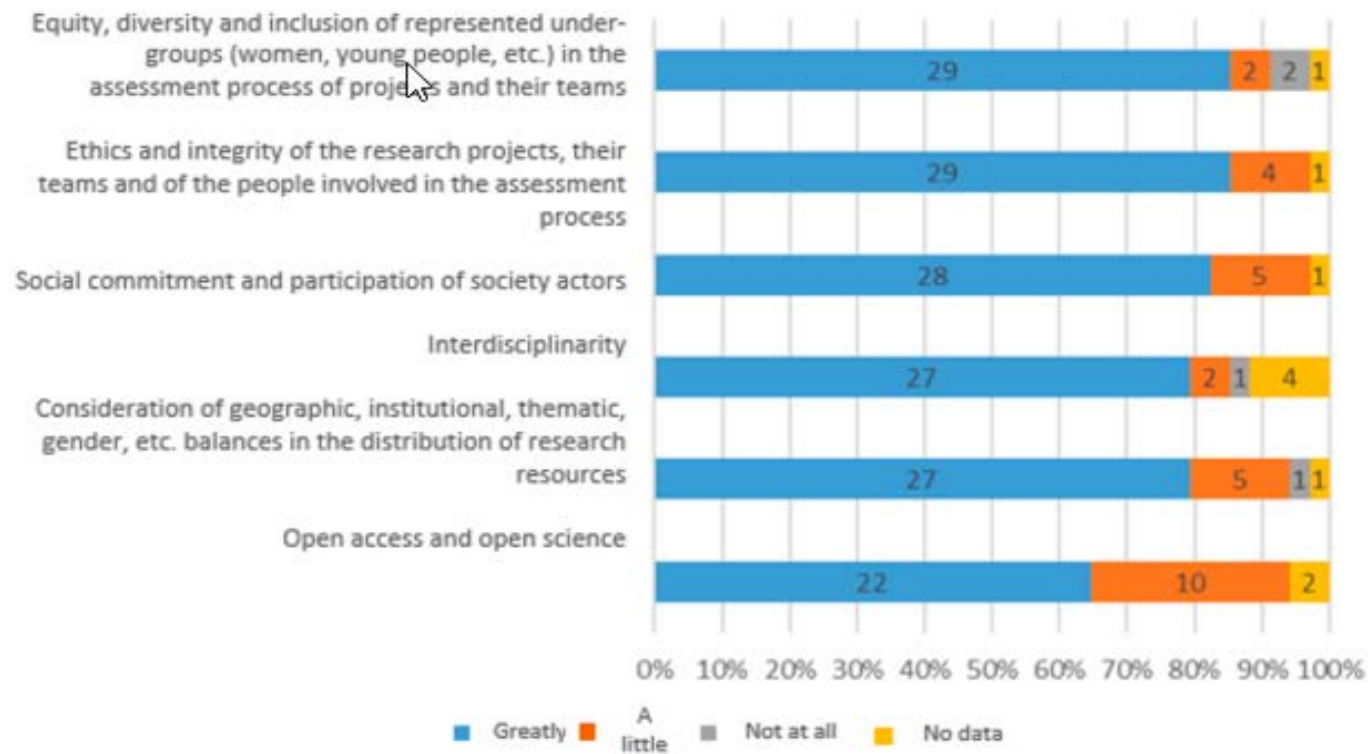
Research assessment

- In a region with strong tradition of community-led, non-profit, scholarly publishing (diamond model, no APC/BPC) this production is very poorly represented in WoS and Scopus research assessment indicators used in the region (In 2019: 416 LAC journals in WoS and Scopus, from a total of approx. 2.800 quality journals in the region, indexed by Latindex-C, Redalyc, SciELO and DOAJ)

  - *Challenges:*

    - ➤ ***regain control of the scientific and academic community over the evaluation processes and their indicators***

      - ➤ ***Eg. in LAC: complement WoS and Scopus indicators*** *with those mentioned above (already implemented in CONICET, Argentina, for SSH)*

- In social sciences and humanities, strong tradition of publishing within the region in local language (eg. Argentina: 80% publish in local journals in local language)

  - *Challenges:*

    - ➤ ***Add peer-review to contents in repositories***

    - ➤ ***Value bibliodiversity + multilingualism in research assessment***

- Underfunding of community-owned infrastructures because scarce funds are directed to subscriptions/APCs in commercial circuit

  - *Challenge:*

    - ➤ ***Stronger policies and financial support for community-owned infrastructures and services***

Open Access and Open Science presence in the assessment of proposals for research funding.

2021 Survey by FOLEC-CLACSO-IDRC
(based on 34 responses from Latin America & Caribbean)

Figure 7: Promotion of various aspects in the assessment processes of projects submitted to organizations

Equity, diversity and inclusion of represented under-groups (women, young people, etc.) in the assessment process of projects and their teams — 29 | 2 | 2 | 1

Ethics and integrity of the research projects, their teams and of the people involved in the assessment process — 29 | 4 | 1

Social commitment and participation of society actors — 28 | 5 | 1

Interdisciplinarity — 27 | 2 | 1 | 4

Consideration of geographic, institutional, thematic, gender, etc. balances in the distribution of research resources — 27 | 5 | 1 | 1

Open access and open science — 22 | 10 | 2

0% 10% 20% 30% 40% 50% 60% 70% 80% 90% 100%

■ Greatly ■ A little ■ Not at all ■ No data

From the open science perspective, most responses state that a very important or moderately important information input for the assessment is the written commitment that the data generated by the project and the research results obtained will be open access, thus promoting the dissemination of the solutions found. However, indicators on refereed publications with local/regional circulation that could potentially contribute to local/regional dissemination of research results are considered very important information inputs for assessment by less than a third of the organizations surveyed.

Alignment of incentives in research assessment to enforce open science

Multilingualism

- Reduce the influence of the impact factor of journals, starting by eliminating all references to this indicator and the H-index in the texts of calls for projects and in the RA of careers.

Example: resolution for SSH research funded by the National Research Council from Argentina (CONICET), the only one in Latin America which also includes regional indexing indicators provided by Latindex-C, SciELO and Redalyc among the first levels indicators together with WoS and Scopus to classify journals researchers publish. The resolution is currently under revision for its expansion.

- Value open science and the diversity of scientific production in the evaluation of research and teaching staff, projects, universities and research organizations.

Example: FOLEC-CLACSO promotes bibliodiversity, multilingualism and favors development of socially relevant research that helps sustain cultural diversity. It also encourages to complement the notion of impact in research assessment with the notion of collaboration and participation in research processes, using indicators of relevance, social interaction and intervention and other measures drawn from the social sciences and humanities tradition.

CLACSO – Consejo Latinoamericano de Ciencias Sociales (2021). Tool 2: Promoting bibliodiversity and defending multilingualism. Tools to promote new research assessment policies. Latin American Forum for Research Assessment (FOLEC). CLACSO. https://biblioteca-repositorio.clacso.edu.ar/handle/123456789/16947

Peer-review and open science

UNESCO-CLACSO Project 2021-2022

- Open science: questioning the blind and confidential nature of journal evaluation.

- Openness that aims at transparency. Incipient process. Pre-print, is the most widespread form of open evaluation of journals.

- Resistance and uneven global distribution in the use of pre-print servers.

- In Brazil, the SciELO pre-print server, was launched in 2017. Heterogeneous progress per editorial team and disciplines.

- Central role of institutional repositories in Latin America. Proposals for "next-generation repositories" incorporating peer-review (La Referencia-OpenAIRE-COAR)

- Source: FOLEC (2022). "La evaluación de pares en discusión: evolución, nuevas tendencias y buenas prácticas". HERRAMIENTAS PARA PROMOVER NUEVAS POLÍTICAS EVALUATIVAS, in press.

Thank you very much

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The Intersections between DORA and Open Science (and Equity)

Let's change
what we value
in research.

Sign
DORA

Stephen Curry

Imperial College and DORA

UNESCO Open Science Working Group |Online | 09 June 2022
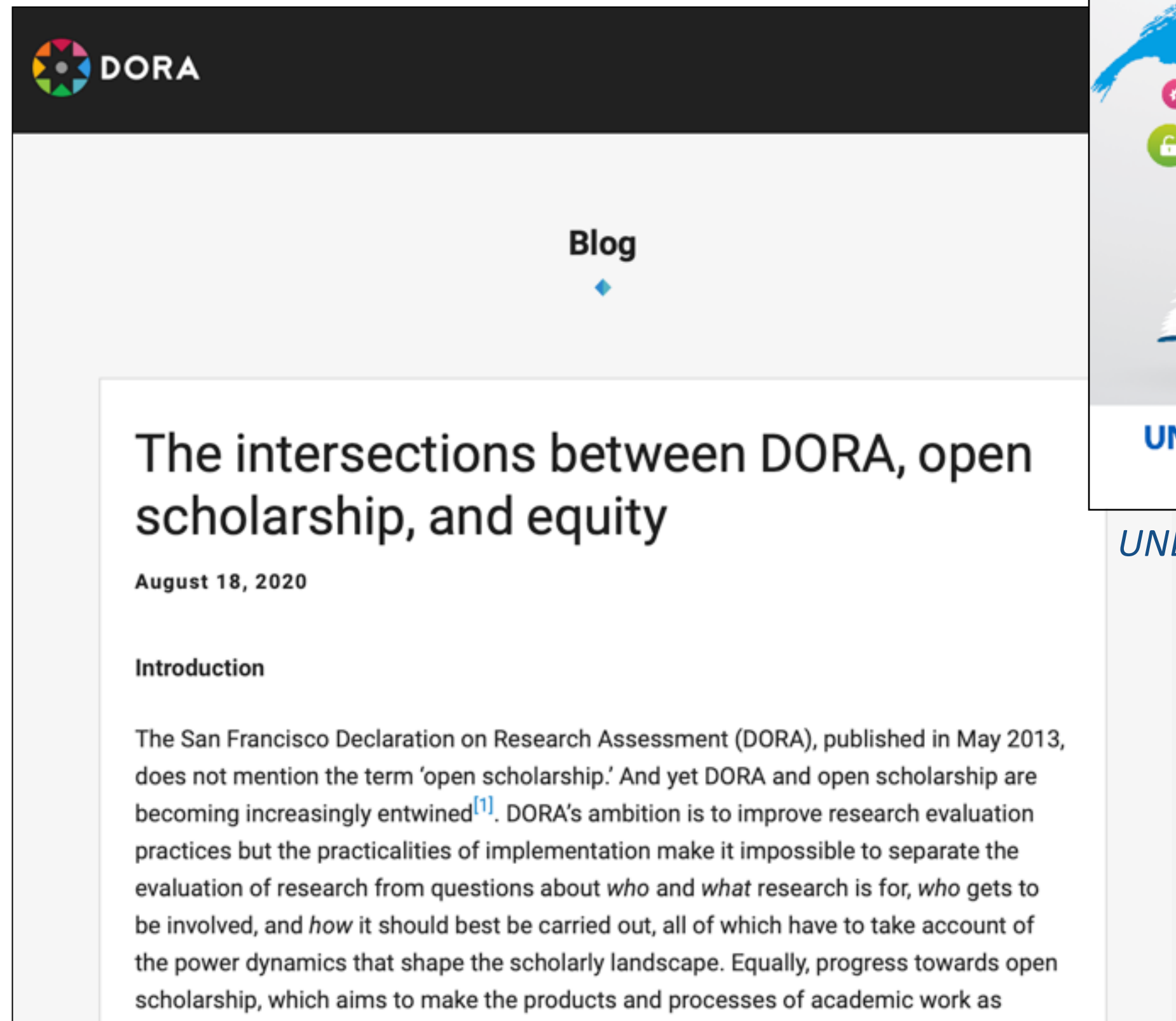
DORA: a declaration *and* an organisation

- *sfdora.org*

- >19,000 individuals and >2,500 organisations have signed

- **International funding**: 2 members of staff (plus an intern)

- Steering group with **worldwide representation**

- Strategy:

  - More signatories

  - Greater global & disciplinary impact

  - **Develop & promote best practice in research assessment**

Do not use journal-based metrics, such as Journal Impact Factors, as a **surrogate measure** of the quality of individual research articles, to assess an individual scientist's contributions, or in hiring, promotion, or funding decisions.
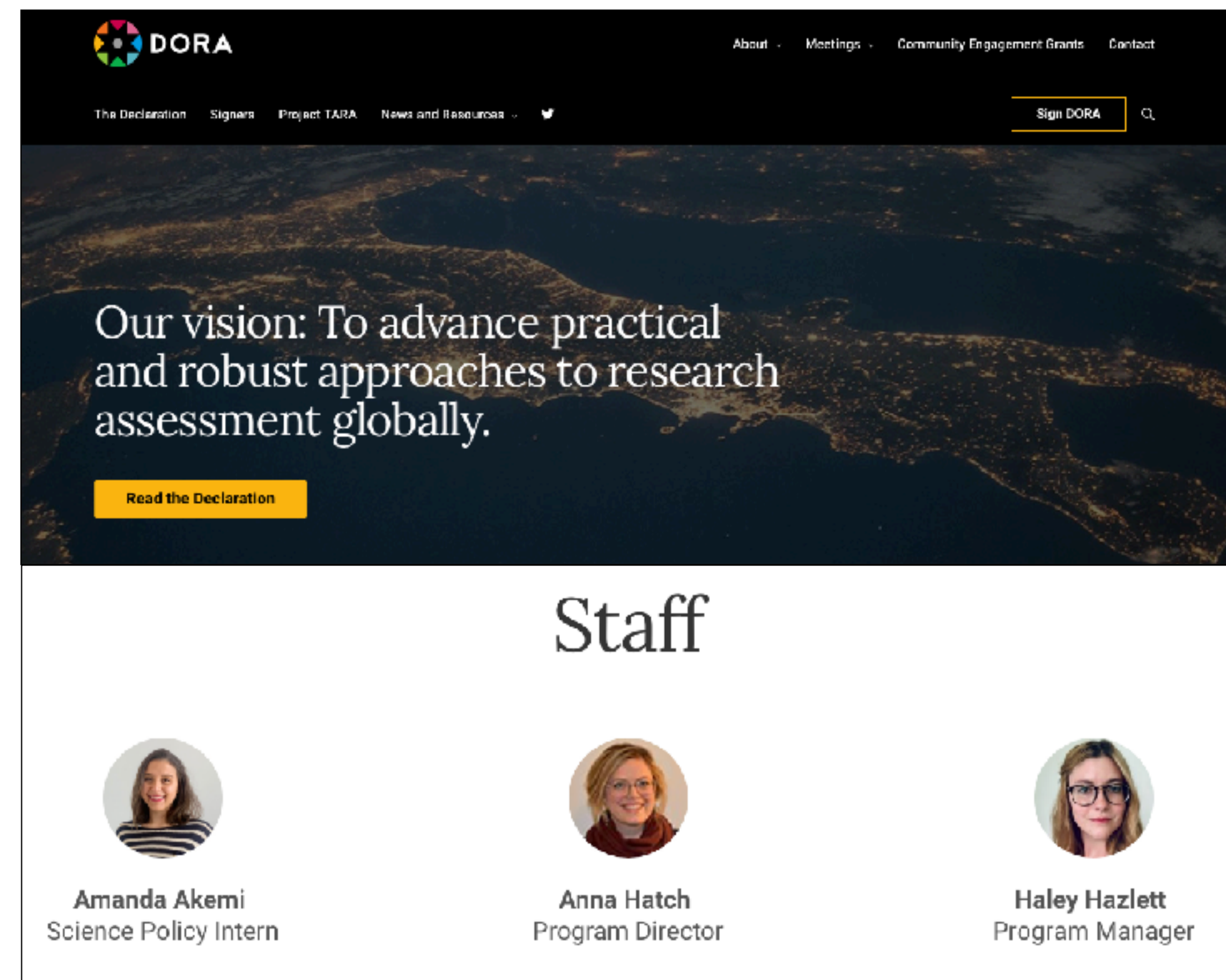
DORA: research assessment is an important part of a bigger picture

DORA

Blog

The intersections between DORA, open scholarship, and equity

August 18, 2020

Introduction

The San Francisco Declaration on Research Assessment (DORA), published in May 2013, does not mention the term 'open scholarship.' And yet DORA and open scholarship are becoming increasingly entwined[1]. DORA's ambition is to improve research evaluation practices but the practicalities of implementation make it impossible to separate the evaluation of research from questions about *who* and *what* research is for, *who* gets to be involved, and *how* it should best be carried out, all of which have to take account of the power dynamics that shape the scholarly landscape. Equally, progress towards open scholarship, which aims to make the products and processes of academic work as

https://sfdora.org/2020/08/18/the-intersections-between-dora-open-scholarship-and-equity/

unesco

UNESCO Recommendation on Open Science

OPEN SCIENCE

UNESCO Recommendations

Open Scholarship

DORA: reform of research assessment

Equity & inclusion

Research culture: people & values

Focus on outputs: qualities and varieties

Who has a say?
Who gets in?
Who has the power?

Bias & injustice: challenging history & stereotypes
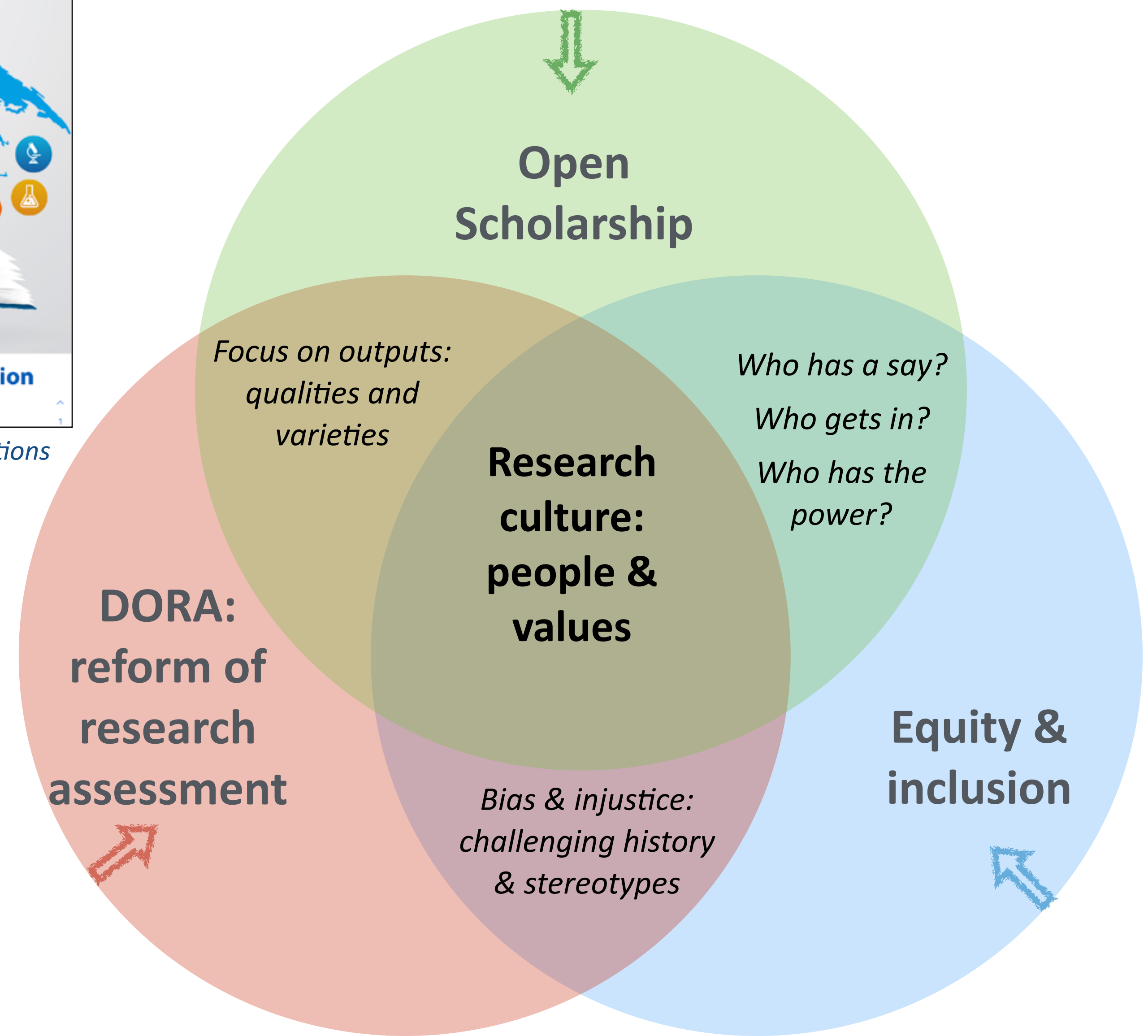
DORA: developing and promoting good practice

- Briefings
- Articles
- Webinars
- Conferences
- Workshops
- Curated resource library
- Case studies
- Community grants
- Collaborative work (e.g. policy discussions)
- Tools development (e.g. TARA)

https://sfdora.org/
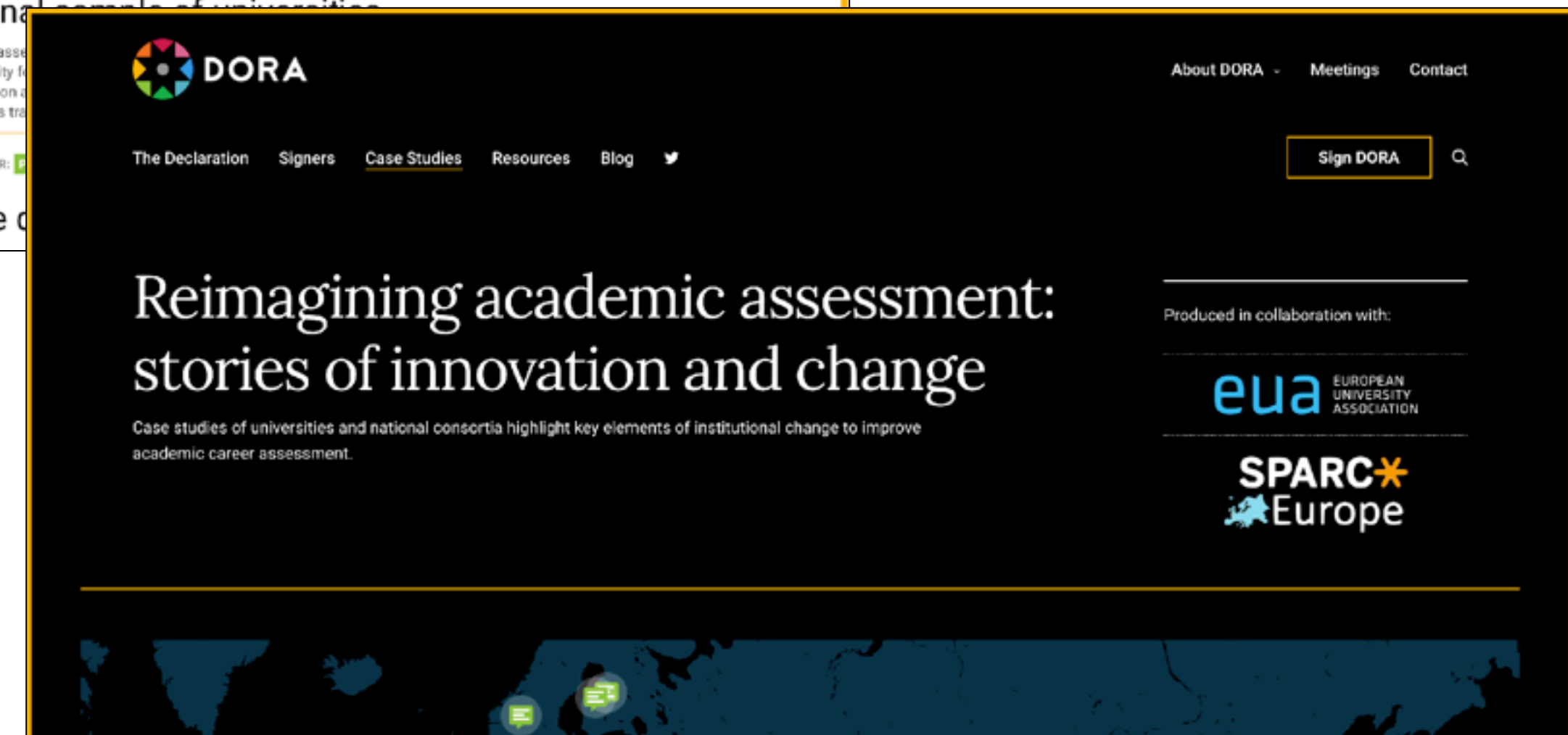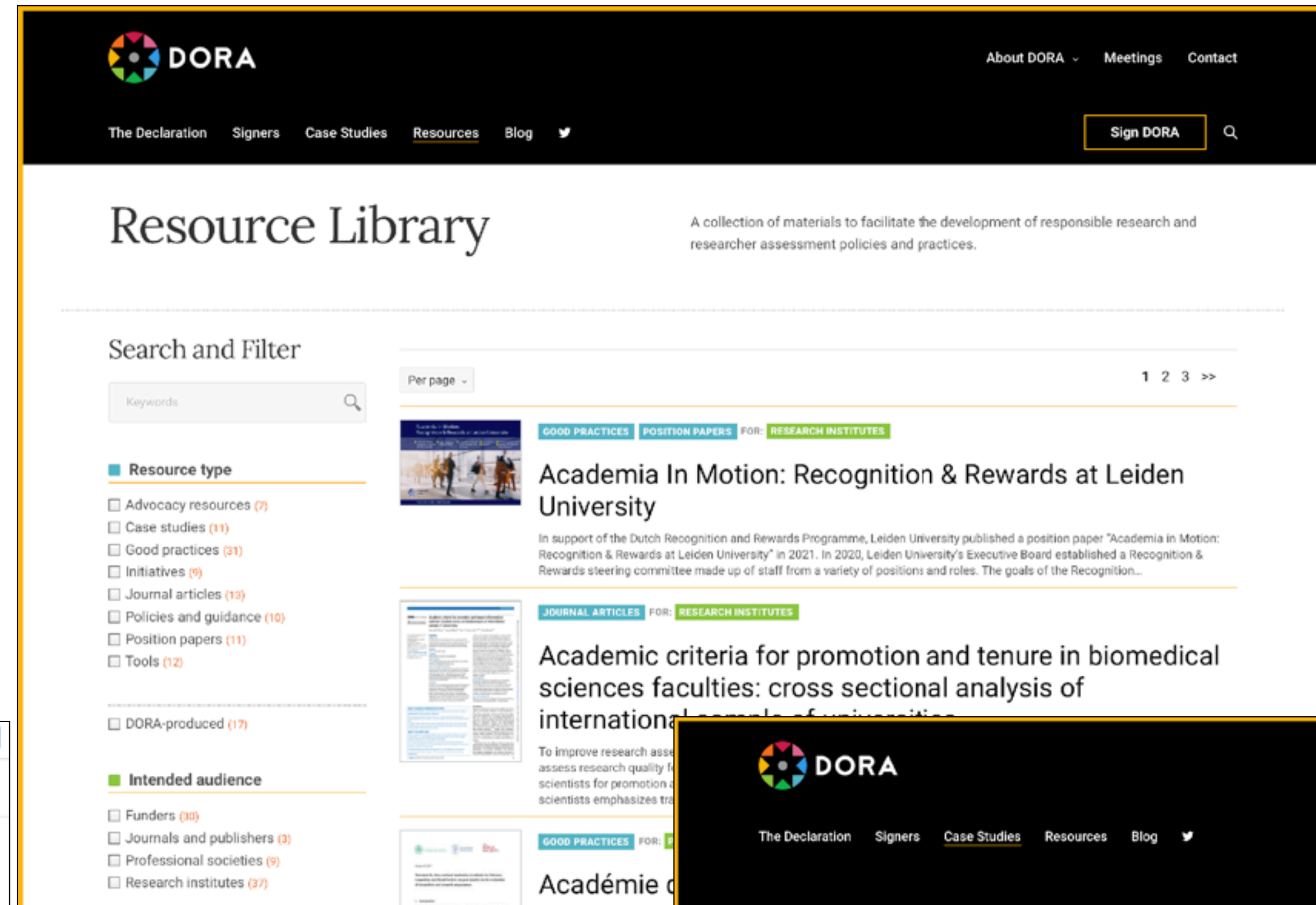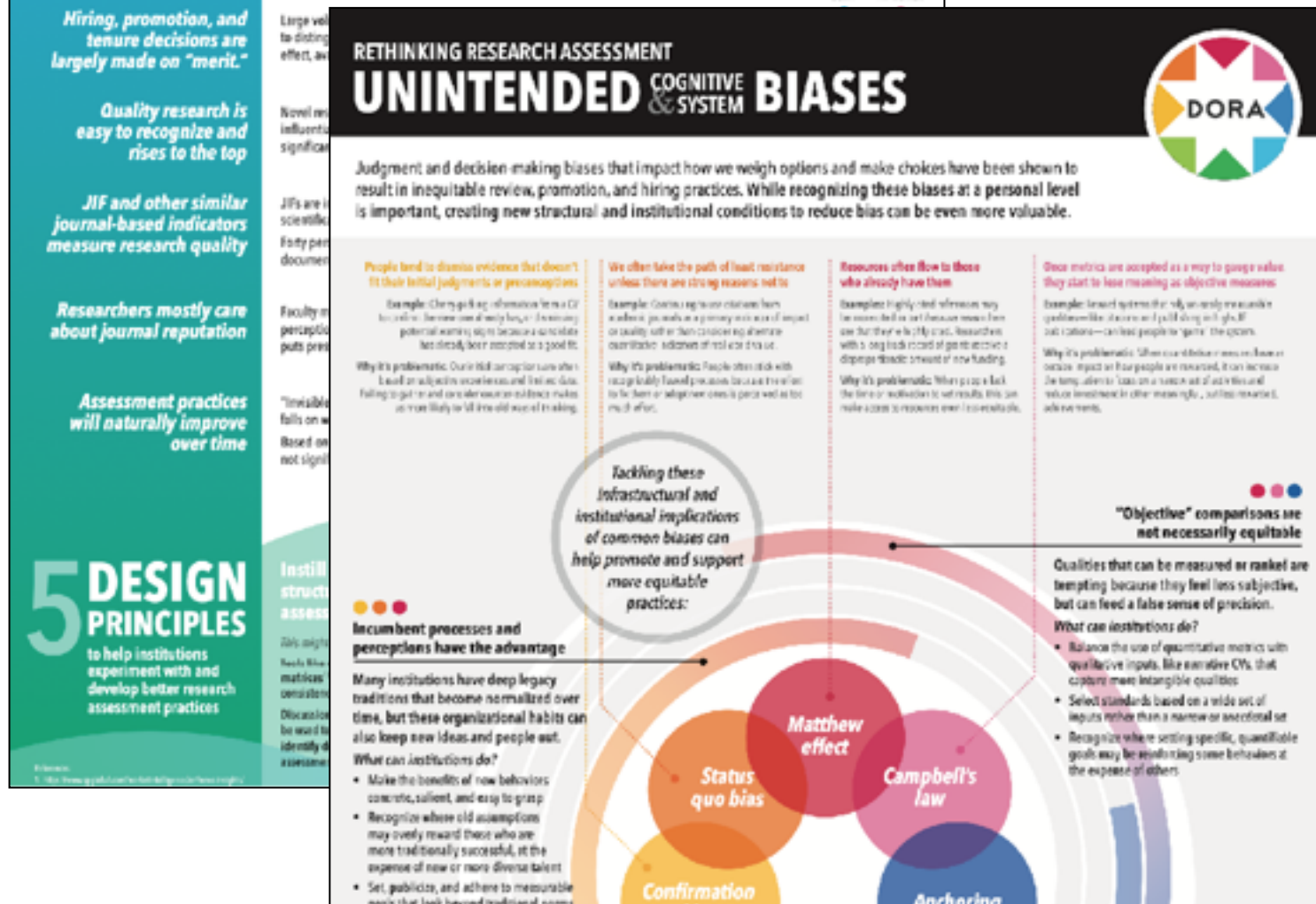
DORA: we collaborate on tools and policies

Resume for Researchers

Charité University Hospital, Berlin

- Scientific contribution to your field
- Your 5 most important papers
- Contribution to **open science**
- Your most important collaborations

DORA & FORGEN report

Wellcome Trust Policy

RoRI working paper for GRC

DORA latest: new tools and projects

https://sfdora.org/project-tara/

Project TARA website screenshot:

Project TARA

- Stephen Curry, DORA
- Anna Hatch, DORA
- Haley Hazlett, DORA
- Sarah de Rijcke, Center for Science and Technology Studies (CWTS) at Leiden University
- Alex Rushforth, Center for Science and Technology Studies (CWTS) at Leiden University
- Ruth Schmidt, Institute of Design at the Illinois Institute of Technology
- 4Site Studios

Tools to Advance Research Assessment (TARA) is a project to facilitate the development of new policies and practices for academic career assessment.

Dashboard
An interactive online dashboard that tracks criteria and standards academic institutions use for hiring, review, promotion, and tenure around the world.

Toolkit
A toolkit of resources informed by the academic community to support academic institutions working to improve policy and practice.

Survey
A survey of U.S. academic institutions to gain a broad understanding of institutional attitudes and approaches to research assessment reform.

- Interactive online **dashboard** to track adoption and implementation of responsible research assessment practices in institutions worldwide

- **Survey** of US institutions to understand attitude and approaches to research assessment reform

- An expanded **toolkit** of resources informed by best practice in the community

Project TARA is supported by Arcadia – a charitable fund of Lisbet Rausing and Peter Baldwin

Questions

- How to foster a culture   of open science and aligning incentives for open science and removing the barriers for open science?
  - Open access mandates?
  - Clarify the meaning of academic freedom…
  - Talk about the value of open science
  - How to include openness as a performance criterion in hiring/promotion/funding
  - Get the public onside
  - Build costs into research costs (e.g. publishing, data/code/reagent sharing)
  - Create space for Diamond OA

- How to identify and establish regional and international funding mechanisms for promoting and strengthening open science
  - Good question! – sustainable infrastructure is needed
  - How to promote DiamondOA in regions where commercial publishers dominate?
  - Is GRC up to the task or is it too loose a coalition of national funders?

- Innovative approaches to long-term sustainability of funding mechanisms?
  - Needs to be considered in answer to the Q above

Thank you

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