EVALUATION OF THE SSH AND THE EVOLUTION TOWARDS OPEN SCIENCE

cost
EUROPEAN COOPERATION
IN SCIENCE AND TECHNOLOGY

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General outline

- Evaluation systems in Europe and the place of the SSH
- Challenges of SSH evaluation
- A new player in the field: ENRESSH (COST Action 15127)
- Gathering data about the SSH: main problems
- Some observations about the impact of the open science trend

Evaluation systems in Europe and the place of the SSH

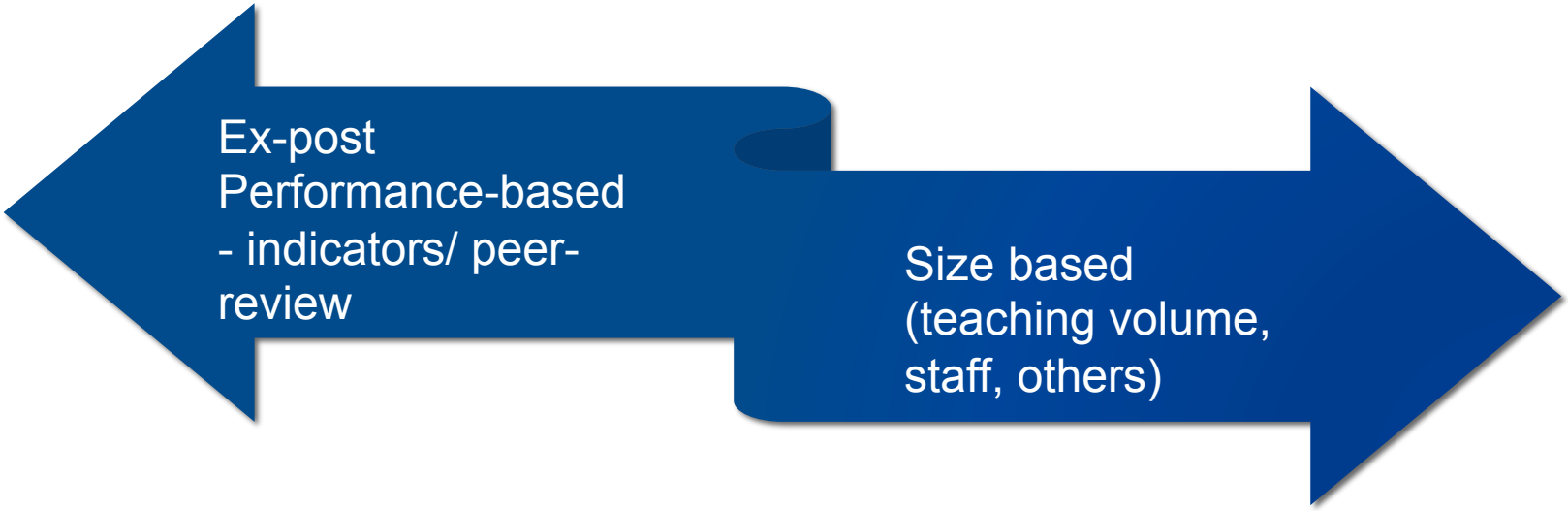
Description of evaluation systems (Geuna et al., 2001)

1° Evaluation performer	-> national or regional
	-> institutional
2° Evaluation purpose	-> funding allocation
	-> strategy formulation
3° Criteria for evaluation	-> quality
	-> quantity
	-> impact
	-> utility
4° Methods	-> bibliometrics/ scientometrics
	-> peer-review
	->peer-review supplemented with bibliometrics/ scientometrics (informed peer-review)

Evaluation systems in Europe and the place of the SSH

Classification of evaluation systems (Geuna et al., 2001, Hicks et al., 2010, Coryn et al. 2007)

- a continuum between two poles;



- a general trend towards performance-based ressource allocation system.

Evaluation systems in Europe and the place of the SSH

What about SSH evaluation?

- survey conducted previous to the beginning of the Action, so as to collect information about practices > typologies;
- 43 participants from 25 European coutries (full answers from 36 participants/ 23 countries)
- Questions about:
  - the level of the evaluation protocol;
  - disciplinary differentiation;
  - who is evaluating;
  - object of evaluation;
  - purpose (funding/ strategy);
  - methods;
  - timeline;
  - transparency;
  - costs.

Evaluation systems in Europe and the place of the SSH

- Good degree of agreement (amongst respondents from the same country) about who is evaluating, the methods applied and the link between evaluation and funding.
- Disagreement/ misunderstanding about terminology.
- National evaluation + performance-based funding systems (16/23)
- National publication database (13/23)
- SSH specific evaluation (14/23 countries)

(But low degree of agreement about existence of specific methods of evaluation for the SSH)

Evaluation systems in Europe and the place of the SSH

- Methods
  - Peer Review
    - Most countries use peer review procedures (21/23)
    - Only 9 countries report the use of informed peer review.
    - In most countries, respondents say peers apply criteria (15/23)
    - No agreement about criteria among participants from the same country
  - Bibliometrics/ scientometrics
    - Principal method in 6 countries.
    - No agreement about data used.
- Transparency:
  - 14 countries transparent, 11 countries opaque
  - Disagreement

Challenges of SSH research evaluation

- Scholars don't want it
- Managers don't like it
- RE scholars don't know how to do it
  - Shortcomings of bibliometrics
  - Problems of peer-review
  - Diversity of the SSH

Challenges of SSH research evaluation

Shortcomings of bibliometrics

- Ill adapted to the SSH
  - specificities of Lotka's distribution;
  - the tiers classification of publications channels does not apply in many SSH disciplines (Bradford's law): "no core literature in a field can be identified" (Nederhof et al., 1989)
  - poor coverage of SSH publications in major international databases (WoS, Scopus): under-coverage of books, coverage of journals biased with regards to the "language, country, publisher size and age" (Hicks, 2011)

Challenges of SSH research evaluation

Shortcomings of bibliometrics

- War on JIF
  - Concentrates on journal articles to the detriment of a much more diversified research output landscape;
  - A very approximate proxy of quality;
  - Conducive to multiple controversial behaviours (parroting, psittacism, parochialism…);
  - Under-evaluates/ under-represents the outreach of a publication > see altmetrics (views/ downloads/ shares/ discussions).

Challenges of SSH research evaluation

- In spite of these known biases, bibliometrics applied to the SSH in several Eastern European countries

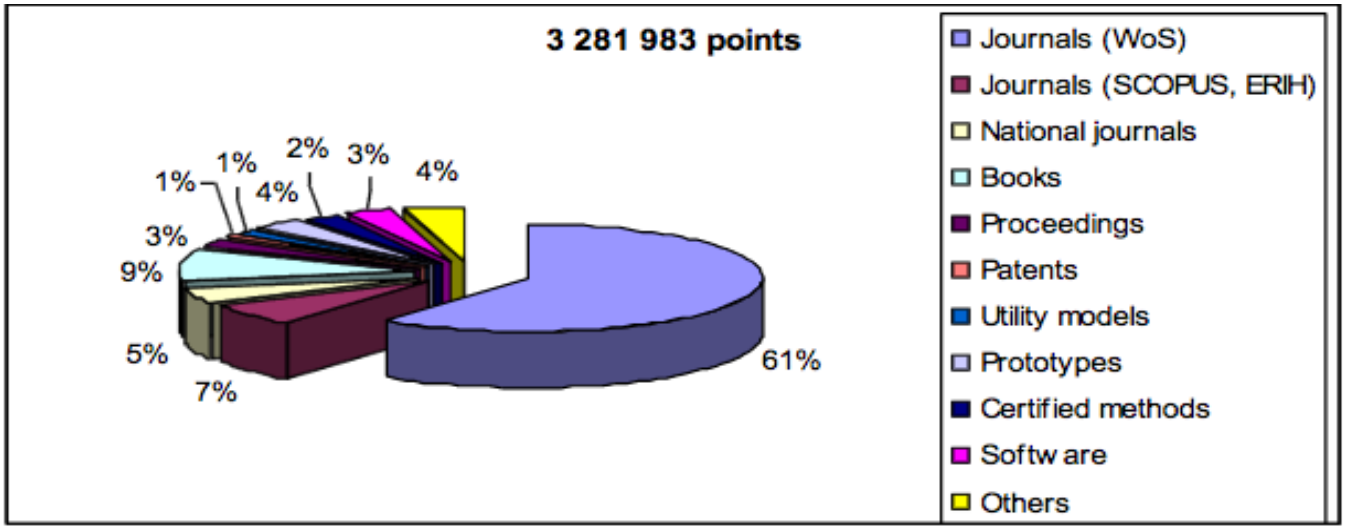


Fig.2. Distribution of points related to the results of Research institutions in 2012

Source: Malek et al. "System of evaluation of research institutions in the Czech Republic" (2014)

Challenges of SSH research evaluation

Table 1. The number of points assigned to research results in 2014 and 2015

Result category			Soc. Sci. a, b[1)]	Other fields
Jimp	Paper indexed in Web of Science[2)]		10 – 305[3)]	
Jsc	Paper indexed in Scopus[4)]		10 – 305[4)]	
Jneimp	Paper indexed in ERIH	INT 1	30	12
		INT 2	20	11
		NAT	10	10
Jrec	Paper in listed national journal[5)]		10[7)]	0
B	Scientific Book		4 - 120[8)]	
D	Proceedings[6)]		8 - 60[6)]	

1) Social Sciences and Humanities in subcategories A and B

2) Papers published in journals indexed in the database Web of Science (WoS), Thomson Reuters: Science Citation Index Expanded (SCI-EXPANDED) – 1945 – present; Social Science Citation Index (SSCI) – 1980 – present; Arts & Humanities Citation Index (A&HCI) – 1980 – present; Index Chemicus (IC) – 1993 – present; Current Chemical Reactions (CCR-EXPANDED) – 1986 – present. If the impact factor of the journal is not available the paper will be counted with lowest impact factor Jimp

3) Evaluation Jimp = 10 + 295 × Factor, where: Factor = (1 - N) / (1 + (N / 0,057)), where N is a normalized position, N = (P - 1) / (Pmax - 1), P = position of the journal in a given field according to the Journal Citation Report in the descending list of IF. Pmax = is total number of journals in a given field according to the Journal Citation Report

4) Papers listed in database SCOPUS will be evaluated in the similar way as Jimp according to citation index SJR2.

5) The list of reviewed journals is available at www.vyzkum.cz.

6) Proceedings should be listed in SCOPUS as Book Series or Conference Proceedings or in Conference Proceedings Citation Index of Thomson Reuters (Proceedings Paper, Conference Paper or Conference Review with ISBN, or ISBN and ISSN

7) All the Jrec results will be verified by the evaluation panels

8) The number of points will be assigned by the evaluation panels

Challenges of SSH research evaluation

Poland: the parametric evaluation

$$E = \frac{Rp + Rg}{N}$$

Books weighting in Romania

3.3 Carti publicate in edituri nationale, recunoscute CNCSIS, si edituri internationale de prestigiu (format hartie si/sau electronic)

n_{33}

$$n_{33} = \frac{N_{pag_n}}{N_{pr_n}\left(N_{cd} + N_c\right)} \cdot p_1 + \frac{N_{pag_{in}}}{N_{pr_{in}}\left(N_{cd} + N_c\right)} \cdot p_2$$

unde:

$N_{pag_{in}}$ = numar total de pagini publicate in lucrari la nivel international, in cursul anului 2010

N_{pag_n} = numar total de pagini publicate in lucrari la nivel national, in cursul anului 2010

$N_{pr_{in}}$ = numar de pagini de referinta pentru lucrari la nivel international (50) , in cursul anului 2010

N_{pr_n} = numar de pagini de referinta pentru lucrari la nivel national (100) , in cursul anului 2010

N_{cd} = numar total de cadre didactice, la 1 ianuarie 2010

N_c = numar total de cercetatori, la 1 ianuarie 2010

p_1 = ponderea componentei nationale, $p_1 = 0{,}3$

p_2 = ponderea componentei internationale, $p_2 = 0{,}7$

pentru universitatile din domeniul artistic si arhitectura

Lucrari monografice si lucrari de sinteza publicate in edituri nationale recunoscute, expozitii retrospective, filme si spectacole de autor, concerte de autor, discuri de autor sau interpret (LP, CD) editate de firme de prestigiu din tara, proiecte si opere monumentale de interes national.

Challenges of SSH research evaluation

Problems of peer - review

- Known biases
- Blind or not, prior to publication peer-review may be anti-innovative, can lead to gatekeeping.
- In small countries/ small disciplines, the pool of evaluators may not be sufficient.
- Better do it internationally, but criteria and expectations are not the same.
- It is time consuming (costs may exceed benefits).

Challenges of SSH research evaluation

Problems of the peer – review evaluation

- Specific SSH biases

  - Lack of transparency about methods and criteria, selection of reviewers, treatment of CoI.
  - Low degree of organisation and quality control over peer-reviews.
  - Acute intra- and interdisciplinary conflicts about quality.

Challenges of SSH research evaluation

Peer-review in (prestigious) publishing houses

- Survey organised in 2014-2015 within an Italian project subsidised by ANVUR;
- Questions asked (selection):
  - Has the PH a scientific committee assessing the book proposals?
  - Has the PH a blind review system?
  - Does the PH provide referees with an assessment sheet or guidelines for the evaluation of book proposals?
  - Does the PH reject negatively-reviewed book proposals or asks for revision that take into account the reviewers' reports?

Challenges of SSH research evaluation

Peer-review in (prestigious) publishing houses

- Selection of publishing houses with specialised series in philosophy, history, literature, languages and linguistics.
- More than 250 publishing houses contacted (100 in Slavic area, 96 in UK and USA, 61 in Italy), 54 answers.
- Up to 9 reminders, high level of opt-out for numerous questions.
- Italian PH: 25% declare not having a scientific committee; more than 33% do not practice blind peer-review; when a peer-review is in place, 35% affirm not using an assessment sheet as a guidance for peer –reviewers; only 2 PH communicated their assessment sheet.

Challenges of SSH research evaluation

Peer-review in SSH journals/ PH

- Huge discrepancies with regards to review practices (length, argumentation, style) from one discipline to another
  - Information difficult to access, but small corpus built out of personal communications of members
  - From 1 word (“bof…”) to 10 pages of observations
- National incentives/ authority involvement probably needed to gather a more accurate picture
- The Flemish initiative: a label awarded to PH putting into place thorough peer-review procedures

Challenges of SSH research evaluation

Peer-review in the French assessment exercise

- analysis of 104 reports of evaluation of SSH research units (all research units in two regions, Bretagne and Rhône-Alpes)
- evaluated period: 2004-2008
- conducted using corpus linguistics methodology and tools (Atlas.Ti and AntConc)

Challenges of SSH research evaluation

Official criteria (AERES)

Good research is:

1° New (original, breaking through, generates new patents, methods, norms, etc.)

2° Partenarial (multidisciplinarity is encouraged, as well as extra-academic cooperation).

3° Impactful (to the academic community: citation indexes, number of thesis, etc.)

4° Useful (to the economy; to the society)

5° Recognised (by peers: publications, selection as speaker, leadership, membership; by other: expertise, rewards)

Challenges of SSH research evaluation

Good research in SSH is:

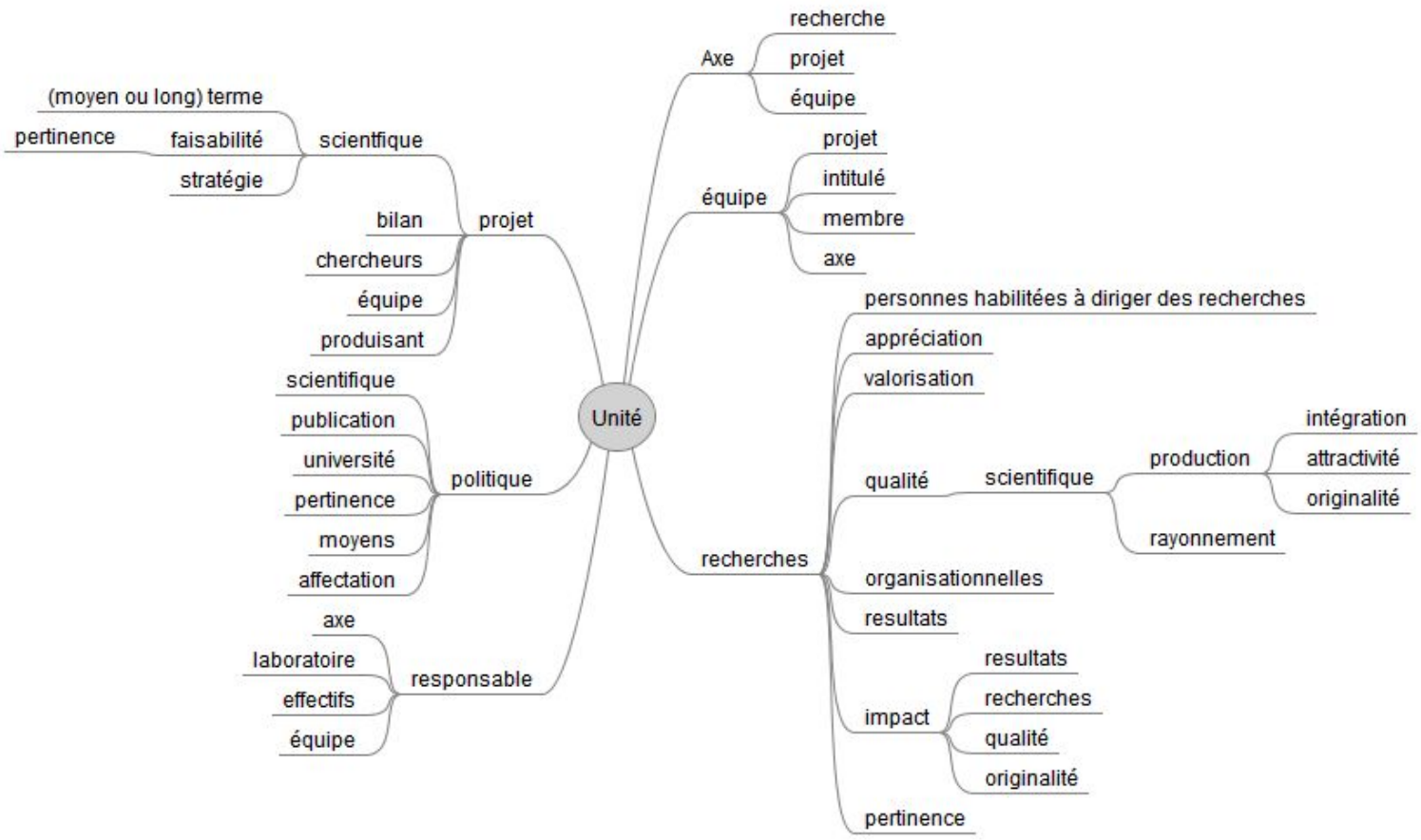
- published in certain journals (« périmètre de scientificité »)

  Not clear if it is an added criterium, a specification, or the only criterium of quality.

Challenges of SSH research evaluation

rank	frequency			rank	frequency	
13	461	unité		40	149	laboratoire
20	286	recherche		42	136	membres
23	259	nombre		43	131	doctorants
24	257	chercheurs		44	131	shs
27	210	projet		46	125	formulaire
31	195	axe		49	119	recherches
32	190	scientifique		51	111	axes
33	188	équipe		54	108	enseignants
35	176	université		56	105	qualité
36	167	dossier		64	94	production

Challenges of SSH research evaluation



Challenges of SSH research evaluation

- good research is not individual.
- the group must have thematic coherence.

- the individual works under three constraints
  - Establishment
    - Strongly incited to be a member of a research group of the establishment
  - Research unit
    - Incitation to conformity with the group
  - Discipline
    - Necessity to conform both in choice of research group and evaluation criteria of the CNU

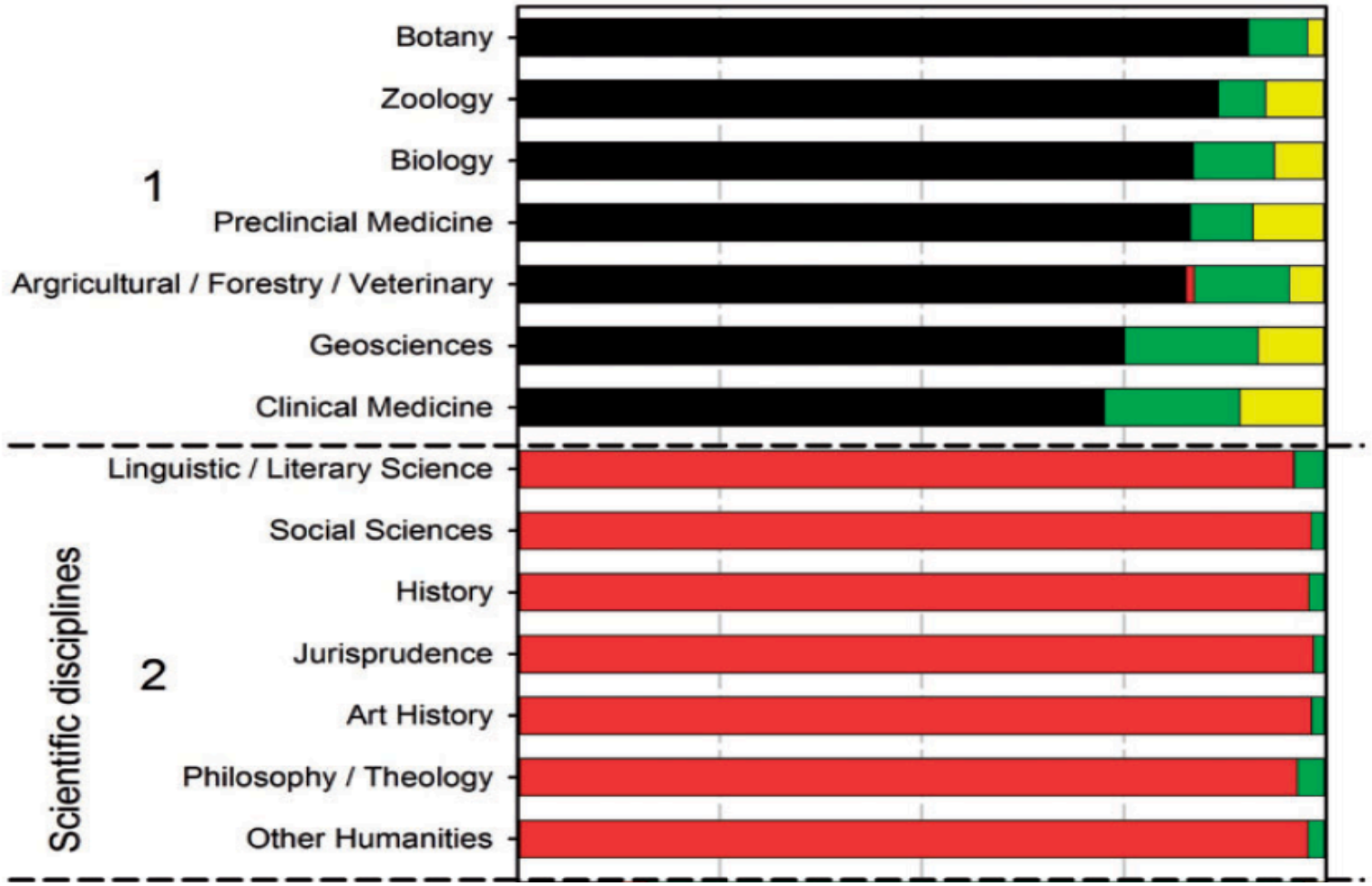
Challenges of SSH research evaluation

Diversity of the SSH

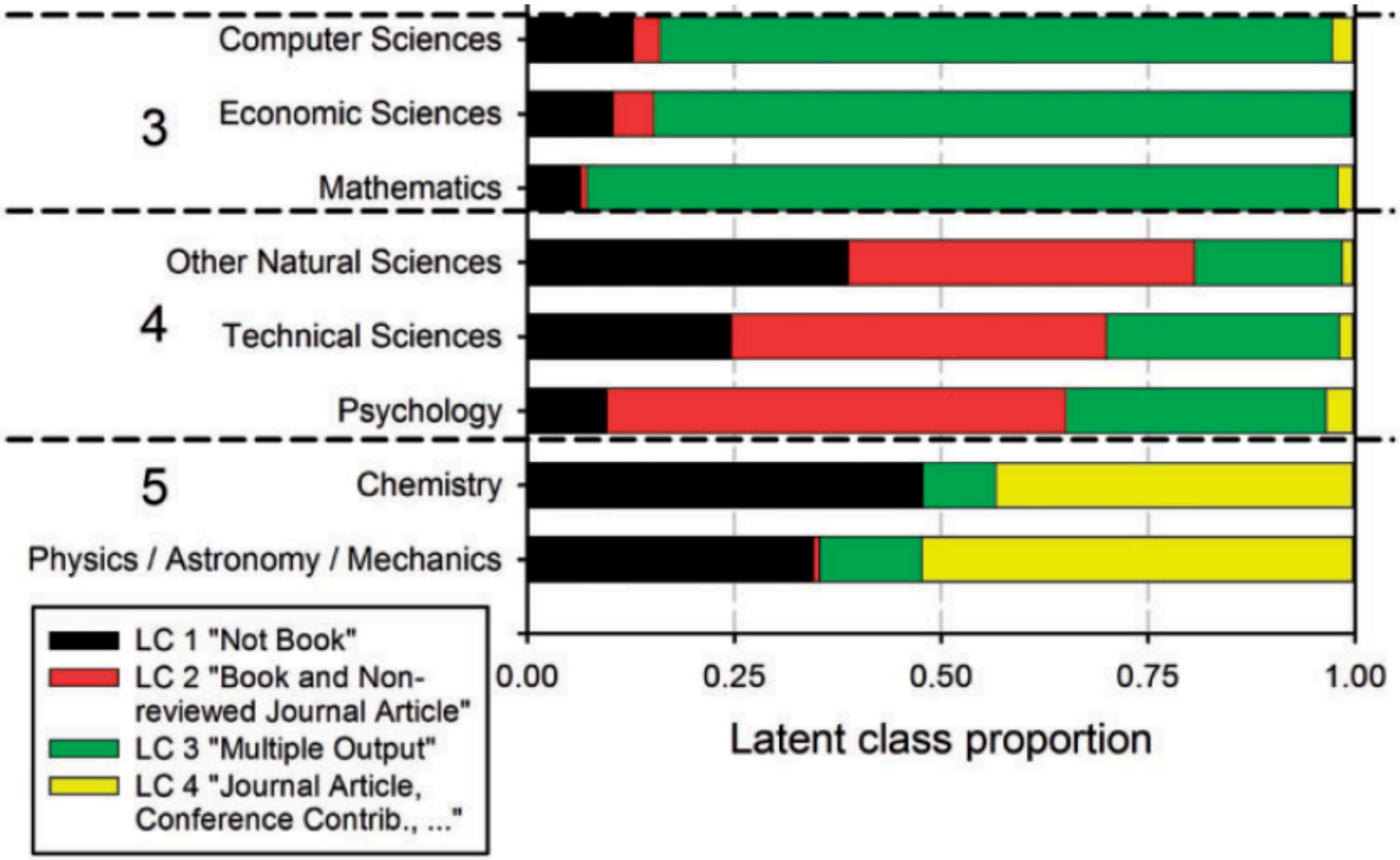
- A general umbrella for a very contrasted landscape with regards to the publishing habits and underlying representations of quality
- Traditional classification in STEM/ SSH disciplines not verified when looking at publication habits

(see Mutz et al. “Types of research output profiles: A multilevel latent class analysis of the Austrian Science Fund’s final project report data”, 2013)

Diversity of the SSH



Diversity of the SSH



Diversity of the SSH

- Project at the ETH Zurich, funded by CRUS in Switzerland in 2012
- Repertory grid interviews with 21 scholars from 3 disciplines: German literature studies, English literature studies, art history

(see paper by Ochsner et al. “Four types of research in the humanities: Setting the stage for research quality criteria in the humanities”, 2013)

Diversity of the SSH

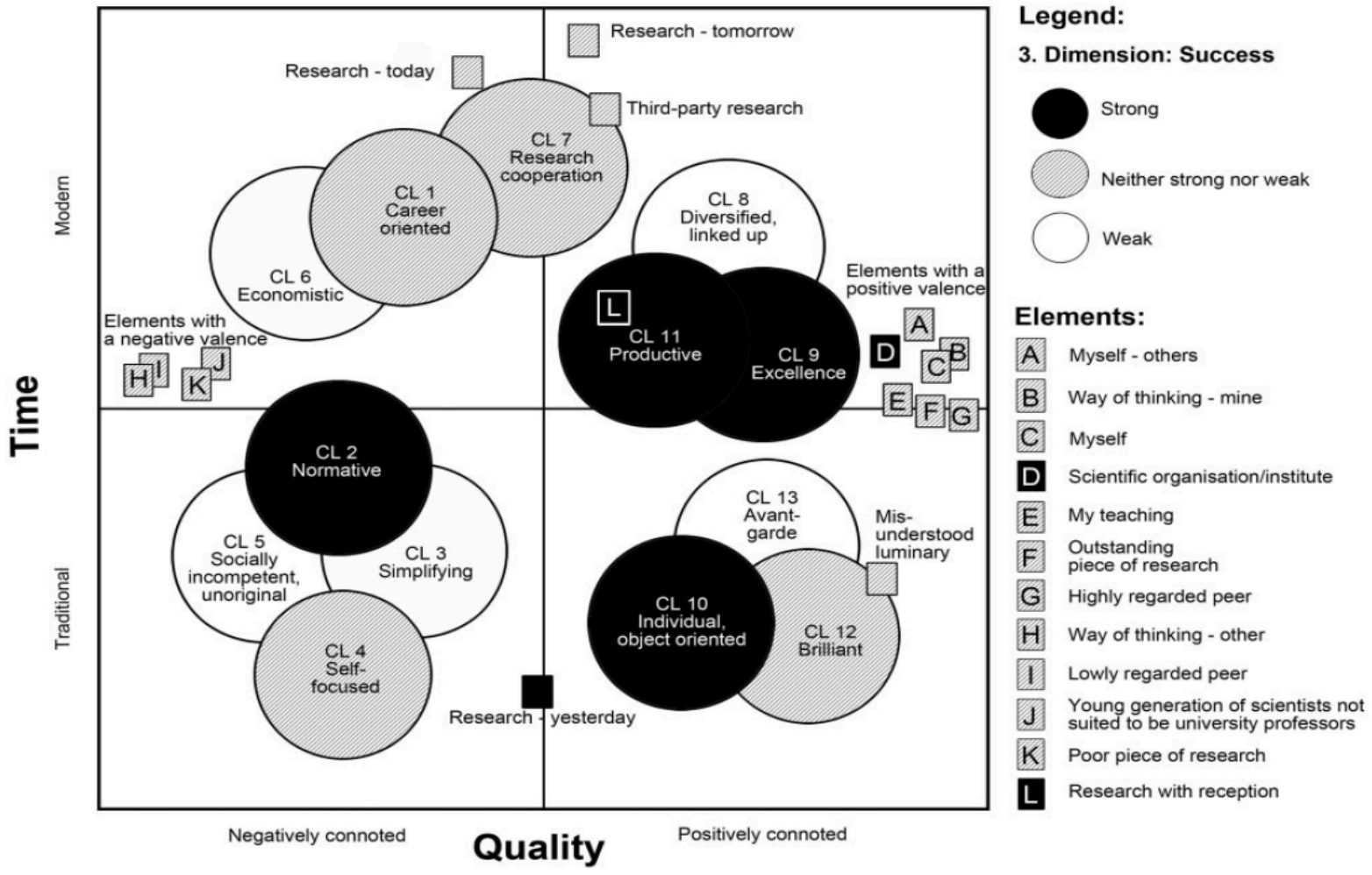


Figure 1 Schematic representation of the clusters and elements in the discipline 'German literature studies'

COST Action 15137: ENRESSH

- European Network for Research Evaluation in Social Sciences and Humanities
- Started April 2016 > End March 2020
- NOT a research project: coordination of existing research
- 33 European countries involved (proposers from 20 countries initially), observers from South Africa, Mexico, Moldova
- Objectives:
  - to improve the understanding of how SSH fields generate knowledge;
  - to observe what kind of scientific and societal interactions characterize SSH;
  - to observe patterns of dissemination and quality representations in the SSH.

COST Action 15137: ENRESSH

Work groups

WG1. Conceptual frameworks for SSH research evaluation.

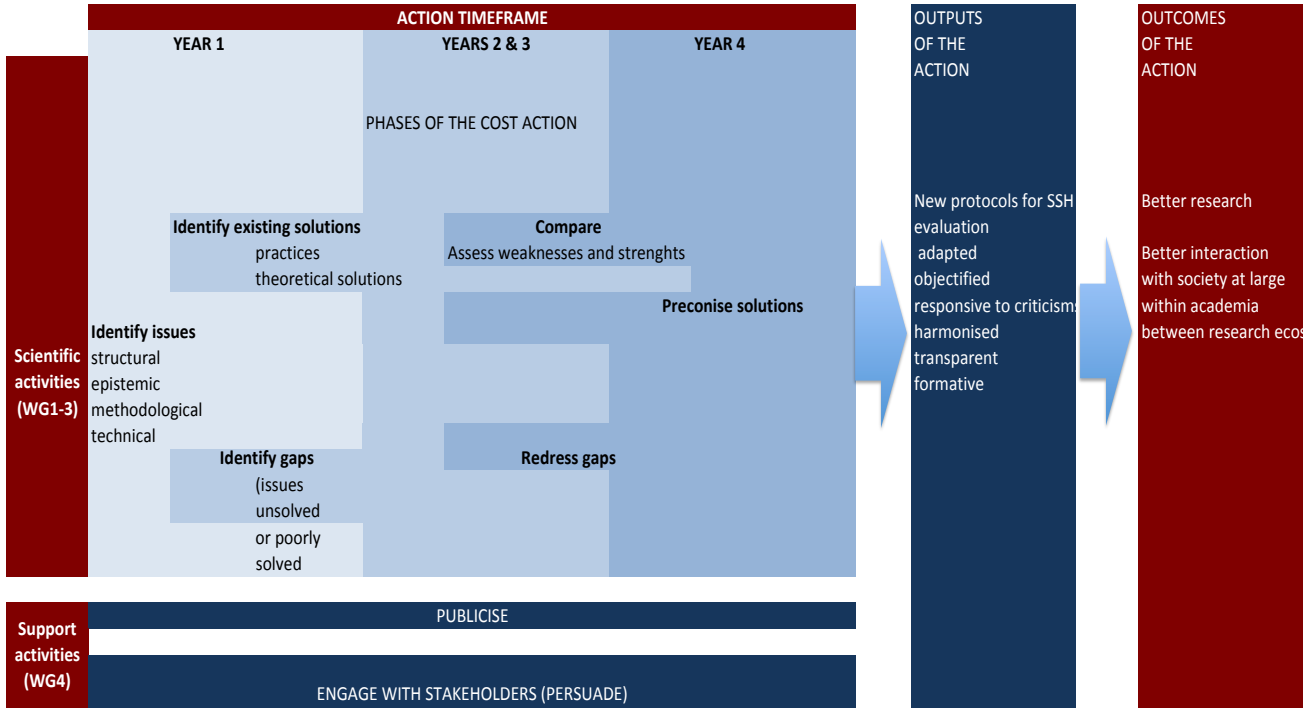
WG2. Societal impact and relevance of the SSH research.

WG3. Databases and uses of data for understanding, monitoring and evaluating SSH research.

WG4. Dissemination.

+ transversal special interest group for early stage researchers.

COST Action 15137: ENRESSH



Gathering data about SSH research

- Full bibliographical coverage (visibility of publications not indexed in WoS or Scopus)
- Not for citation counts: monitoring and understanding the system
- Focus on metadata rather than on datasets and publications.
- Successful development in countries where full coverage is part of a funding related evaluation system: eg. Norway and Belgium (Flanders)

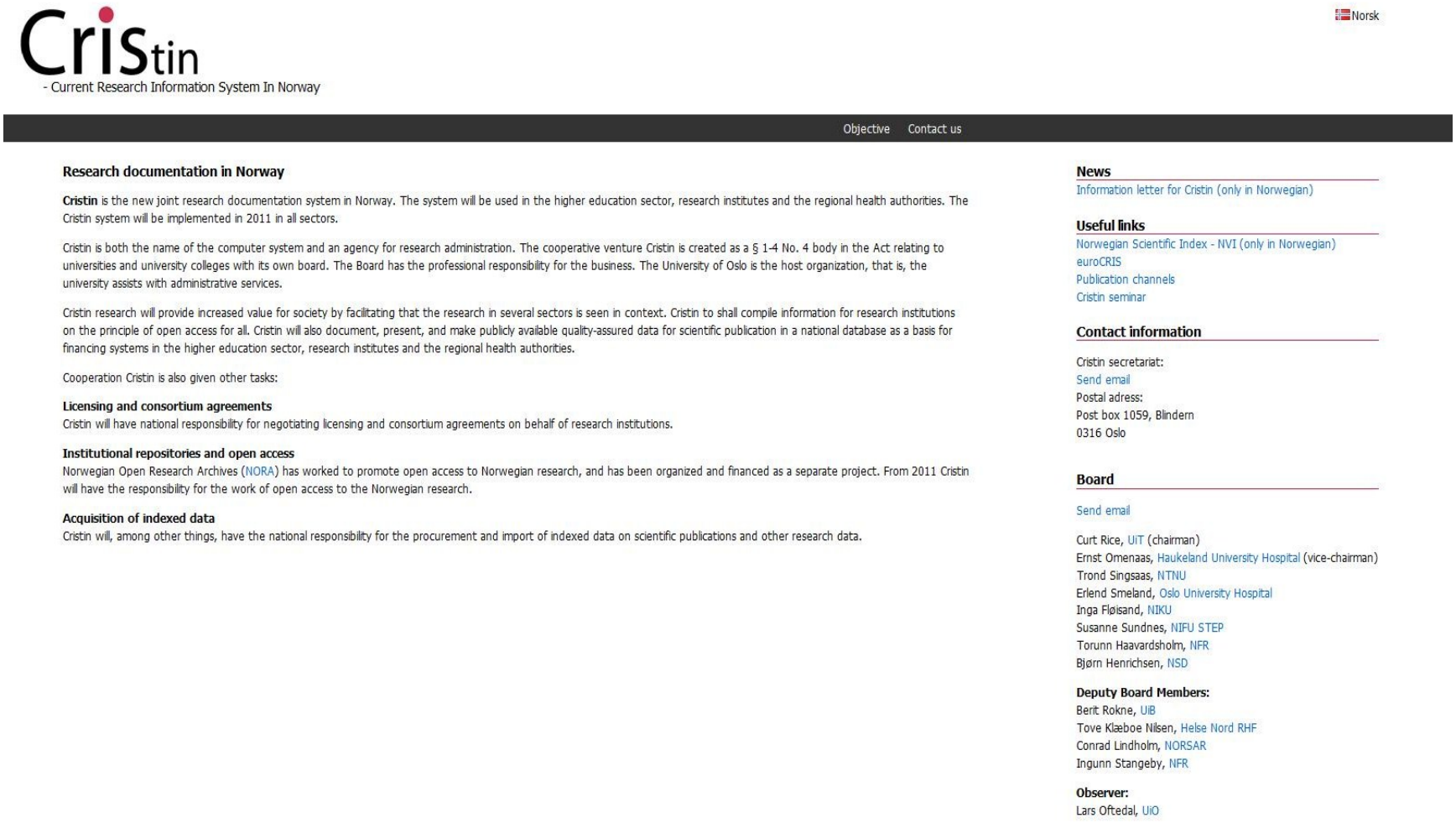
Gathering data about SSH research

Countries where data are gathered about SSH research:

- Belgium (VABB-SHW)
- Scandinavia: Norway (CRISTin), Sweden, Denmark, Finland (KOTA)
- Czech Republic
- France (RIBAC)
- Italy (CINECA)
- Lithuania
- Latvia
- Poland
- Portugal
- Spain
- Switzerland
- UK (RIN)

Important differences of coverage, methods, categories.

Gathering data about SSH research



CRIStin
- Current Research Information System In Norway

Norsk

Objective Contact us

Research documentation in Norway

Cristin is the new joint research documentation system in Norway. The system will be used in the higher education sector, research institutes and the regional health authorities. The Cristin system will be implemented in 2011 in all sectors.

Cristin is both the name of the computer system and an agency for research administration. The cooperative venture Cristin is created as a § 1-4 No. 4 body in the Act relating to universities and university colleges with its own board. The Board has the professional responsibility for the business. The University of Oslo is the host organization, that is, the university assists with administrative services.

Cristin research will provide increased value for society by facilitating that the research in several sectors is seen in context. Cristin to shall compile information for research institutions on the principle of open access for all. Cristin will also document, present, and make publicly available quality-assured data for scientific publication in a national database as a basis for financing systems in the higher education sector, research institutes and the regional health authorities.

Cooperation Cristin is also given other tasks:

Licensing and consortium agreements
Cristin will have national responsibility for negotiating licensing and consortium agreements on behalf of research institutions.

Institutional repositories and open access
Norwegian Open Research Archives (NORA) has worked to promote open access to Norwegian research, and has been organized and financed as a separate project. From 2011 Cristin will have the responsibility for the work of open access to the Norwegian research.

Acquisition of indexed data
Cristin will, among other things, have the national responsibility for the procurement and import of indexed data on scientific publications and other research data.

News
Information letter for Cristin (only in Norwegian)

Useful links
Norwegian Scientific Index - NVI (only in Norwegian)
euroCRIS
Publication channels
Cristin seminar

Contact information

Cristin secretariat:
Send email
Postal adress:
Post box 1059, Blindern
0316 Oslo

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(Courtesy of Gunnar Sivertsen, 2011)

Gathering data about SSH research

CRISTin: principles behind the use of institutional data in a national information system

- **Completeness:** All scholarly publications should be included
- **Transparency:** Every institution can see and check all other institutions' data. The national database is also online and open to society at large.
- **Participation:** The indicator is developed and maintained in collaboration between the institutions and the authorities
- **Multiple use of the data:** CV's, applications, evaluations, annual reports, internal administration, bibliography for Open Archives, links to full text, etc.

Imported data (from ISI) + added data (about other publications)

Gathering data about SSH research

VABB-SHW

(source Engels et al., “Changing publication patterns in the Social Sciences and Humanities, 2000–2009”, 2012)

- Legal framework created in 2008
- ‘‘Expertisecentrum Onderzoek en Ontwikkelings-monitoring’’ (ECOOM) in Antwerpen to build the database
- Creation of an “authoritative panel” to select publications (other than indexed in WoS) to be covered by the database
- Five categories of output:
  - (a) articles in journals;
  - (b) books as author;
  - (c) books as editor;
  - (d) articles or chapters in books;
  - (e) proceedings papers that are not part of special issues of journals or edited books.

Gathering data about SSH research

VABB-SHW

- Four conditions:

  (a) be publicly accessible;

  (b) be unambiguously identifiable by ISBN or ISSN number;

  (c) make a contribution to the development of new insights or to applications resulting from these insights;

  (d) have been subjected—prior to publication—to a demonstrable peer review process by scholars who are experts in the (sub)field to which the publication belongs. Peer review should be done by an editorial board, a permanent reading committee, external referees or else by a combination of these.

Gathering data about SSH research

Challenges

- Gaining sufficient political support and funding for achieving systematic data collection in all European countries (Flanders: 9 universities, 1 year of intensive work by librarians)
- Interoperate RIS, in spite of differences in:
  - Scope
  - Degree of exhaustivity
  - Typology

Gathering data about SSH research

Differences in scope

Beyond publications

- Criterium of societal impact brought to the fore the question of how to document engagement with society.
- What place for research data?
- What about submitted/ funded research projects as an indicator of activity and excellence?

Perimeter of scientificity

- Flanders: published papers > 4p.
- Lithuania: book = 40000 characters * field coefficient (SSH=8)

Gathering data about SSH research

Incomplete reporting and auto-censorship

- Technical barriers: HAL, RIBAC vs. Research gate, Academia
- But incomplete coverage in RG, Academia, Google scholars… (almost same coverage biases as WoS)
- Increase of researcher's workload (double, triple declaration)
- Lack of institutional incentives
- On-line CVs: exclusion of "not prestigious enough" outputs

Gathering data about SSH research

Various typologies

- euroCRIS (CERIF):
  - comprehensive, but incomplete

    eg. prosopography, footnotes, glossary; excavation report
  - debatable:

    PhD Thesis/ doctoral thesis;

    authored book/ monograph/ book: what is a monograph? Book = ISBN or not?

Gathering data about SSH research

IMPRESHS	RIN	AERES
Monographs	Monographs	Ouvrages scientifiques
Collected works	Collected essays	Direction d'ouvrages
Scholarly edition	Scholarly edition	
Popular books	Popular book	Ouvrages de vulgarisation
Textbooks	Textbooks	
Proceedings	None or conference	
Translation		Autres productions (AP)
Collected documents		
Other (eg. dictionary)		

Gathering data about SSH research

IMPRESHS	RIN	AERES
Article	Peer reviewed article	Article (ACL, ACLN...)
Review paper	Review paper	
Pedagogical	Pedagogical	
Discussion paper	Discussion paper	
Chapter	Chapter in books	Chapitre d'OS
Notes		
Glossary		
Encyclopaedie entry		
Book review		Compte rendu (AP)
Prosopography		

Gathering data about SSH research

Beyond typologies:

- Genre analysis reveals huge discrepancies between products from the same category: i. e. bilingual abstract and keywords are NOT an universal feature
- Quotation and bibliographical habits are not the same in the various SSH disciplines (“art of the footnote”)
- Absent metadata: eg. Institutional subsidies and their uses…

SSH evaluation and the open access

- Stimulates the production of metadata (with the above-mentioned problems of standardisation/ mapping)
- Modifies research practices (more cooperation: intra, inter and international cooperation; more articles than books) > changes the symbolic weight of outputs, and even types of outputs to be taken into account in the evaluation.
- Changes some evaluations habits (post-publication evaluation)
- Imposes new metrics (altmetrics rather than JIF)

BUT: a limited influence (perceptions remain biased towards hard copies of books, see interviews conducted in IMPRESSH project, France, 2013)

SSH evaluation and the open access

Less desirable effects:

1° Large offer of “predatory open access journals”
- Stimulates fake productivity
- Lowers quality checking (“we publish within a week”; everybody is an expert…)

2° Costs of open access
- puncture already limited budgets;
- pay capability vs. quality?

3° A model to be found for books, proceedings and chapter of books.

EVALHUM

Working for the SSH

Thank you for your attention!

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