Brussels, 25 April 2022

WK 5889/2022 INIT

LIMITE

RECH

This is a paper intended for a specific community of recipients. Handling and further distribution are under the sole responsibility of community members.

WORKING DOCUMENT

From:	General Secretariat of the Council
To:	ERAC (European Research Area and Innovation Committee)

Subject:	Strategic debate: "ERA Policy Agenda 2022 - 2024" - PPT presentation

Delegations will find attached PPT on the above mentioned subject with the view to the meeting of

the European Research Area and Innovation Committee (ERAC) on 12-13 April 2022.

ERAC Meeting

12 and 13 April 2022

Strasbourg

Strategic debate: "ERA Policy Agenda 2022-2024"

Information from the ERA Forum co-chairs on the first round of discussions

Anna Panagopoulou,

Director ERA & Innovation, DG R&I

Sergej Možina,

Counsellor for Research, Permanent Representation of the Republic of Slovenia to the EU

European Commission

ERA Forum – state of play

Based on the 2021 Council conclusions

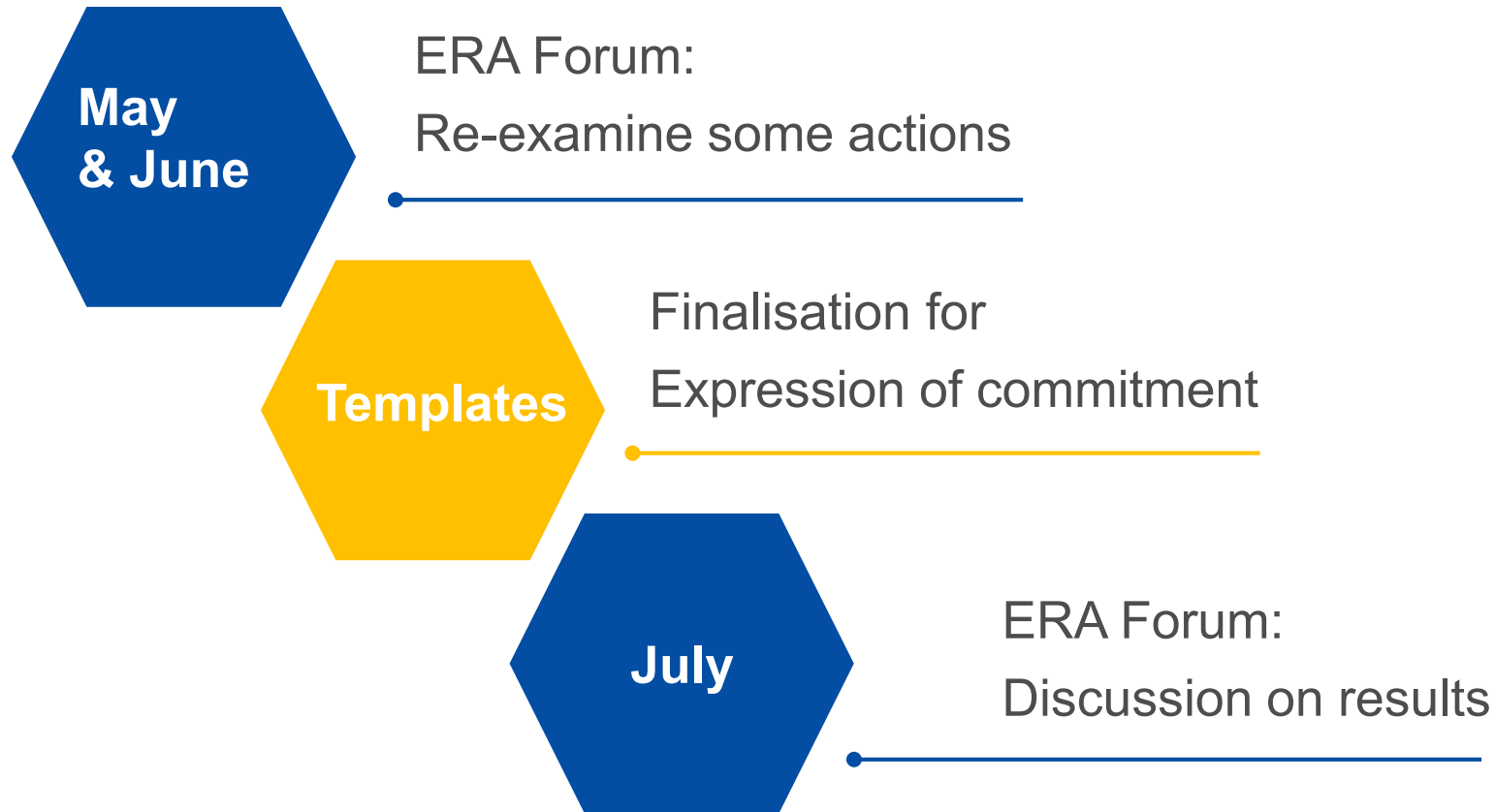**Establishment of the ERA Forum, February 2022**

- Member State co-chair
- Full involvement of observers
- Sub-groups
  - Only established, if required for content, expertise and time
  - Standing sub-group on Global Approach
- Avoidance of duplication and conflict

Five meetings to discuss all ERA actions

- Diverse nature of actions
- Balance between EU and Member States' involvement

European Commission

Next steps

May & June

ERA Forum:

Re-examine some actions

Templates

Finalisation for

Expression of commitment

July

ERA Forum:

Discussion on results

European Commission

Lessons learned

- Different maturity, time intensity, nature of work for implementation

- **Areas for improvements:** clarifications, focus, responsibilities (actors, levels)

- Need for **outlining clear implementation activities** on EU, national and institutional levels in order to collect commitments

Role of the template

  - information on the nature of commitments should constitute evidence-base for work plan

  - different intensities of engagement into an ERA Action (resources, subset of activities)?

  - commitments of stakeholders?

- **Actions with poor mobilisation**: activation later or removal at interim revision?

European Commission

Thank you

European Commission

Advancing towards the reform of research assessment

Kostas Glinos

Head of Unit for Open Science, DG R&I

European Commission

Council Conclusions on the Future Governance of the ERA
ERA Policy Agenda 2022-24

Action 3	Outcomes
Advance towards the reform of the Assessment System for research, researchers and institutions to improve their quality, performance and impact	• Analysis of legal and administrative barriers at national and trans-national level for a modern assessment system • Create a coalition of European research funders and research performers who agree on a new approach for research assessment, following wide and inclusive consultations at European and international levels • Implementation plan of the coalition to roll-out the new approach, including pilots in different domains

European Commission

Bottom-up & Top-down

National authorities

➢ Support to organisations willing to implement changes (importance of national framework conditions)

➢ Help preventing contradictions across different assessment systems and types (metrics trickle down)

Stakeholder-driven coalition

➢ Members committed to pilot and implement changes in their research assessment criteria and processes

➢ Active mutual learning and sharing of experiences

European Commission

Analysis of national & transnational legal and administrative barriers

Some examples[1] of barriers:

Institutional funding based on position in rankings / on inappropriate or narrow bibliometric indicators such JIF, n. of publications, etc.

Qualifications for the profession & institutional accreditation criteria based on narrow bibliometric indicators.

National laws defining procedures for accreditation and evaluation using narrow bibliometric indicators.

Next steps for the analysis:

- Short structured questionnaire was sent to ERA Forum members

- Findings to be presented at meeting in June. Initial inputs could be complemented by coalition members

- Possible Mutual Learning Exercise (MLE) on this topic

[1]Some examples are illustrated in a JRC report providing a comparative assessment of Research Performance Based Funding Systems:
https://publications.jrc.ec.europa.eu/repository/handle/JRC101043

European Commission

Creation of a stakeholder-owned coalition

- Objective : **facilitate and accelerate reforms to research assessment**
- Way forward: **alliance/coalition** of funders, research performing organisations (including universities) and their associations, national/regional assessment authorities and agencies, as well as learned societies, all willing to take the lead in reforming the current research assessment system

  ➢ Agreement on **principles** and **actions** between funders and performers;

  ➢ Building on DORA and other declarations;

  ➢ **Committing signatories to act** according to a roadmap for delivery;

  ➢ **Joint ownership** of the initiative by the participating organisations;

  ➢ **Role of the Commission**: facilitate the establishment of an alliance/coalition, and participate as a R&I funder

European Commission

Call for interest: overview of answers

- As of 7 April, 303 organisations from 34 countries (+ international organisations) expressed interested in being part of the coalition

- This includes:

  - ➢ 103 Universities, 22 Universities associations and 10 European Universities Alliances;
  - ➢ 40 Research centers/institutes, 4 Research infrastructures;
  - ➢ 21 Public funders, 4 Private funders, 2 Funders associations;
  - ➢ 4 National/regional evaluation agencies and 3 Ministries;
  - ➢ 19 Academies, learned societies, researchers associations;
  - ➢ 8 National reproducibility networks;
  - ➢ 63 other organisations (research management, standardisation, consultancy, etc.).

- **The call remains open for organisations to join**: **europa.eu/!gy8BU3**

Steps towards the co- creation of a stakeholder-owned coalition

Call for interest
Organisations to formally manifest their interest in being part of the coalition

Paris Call on research assessment & FR Presidency Conference **OSEC 2022**

Start up phase:
Constitutive assembly; Signing in; Country and topic-specific groupings; Outreach

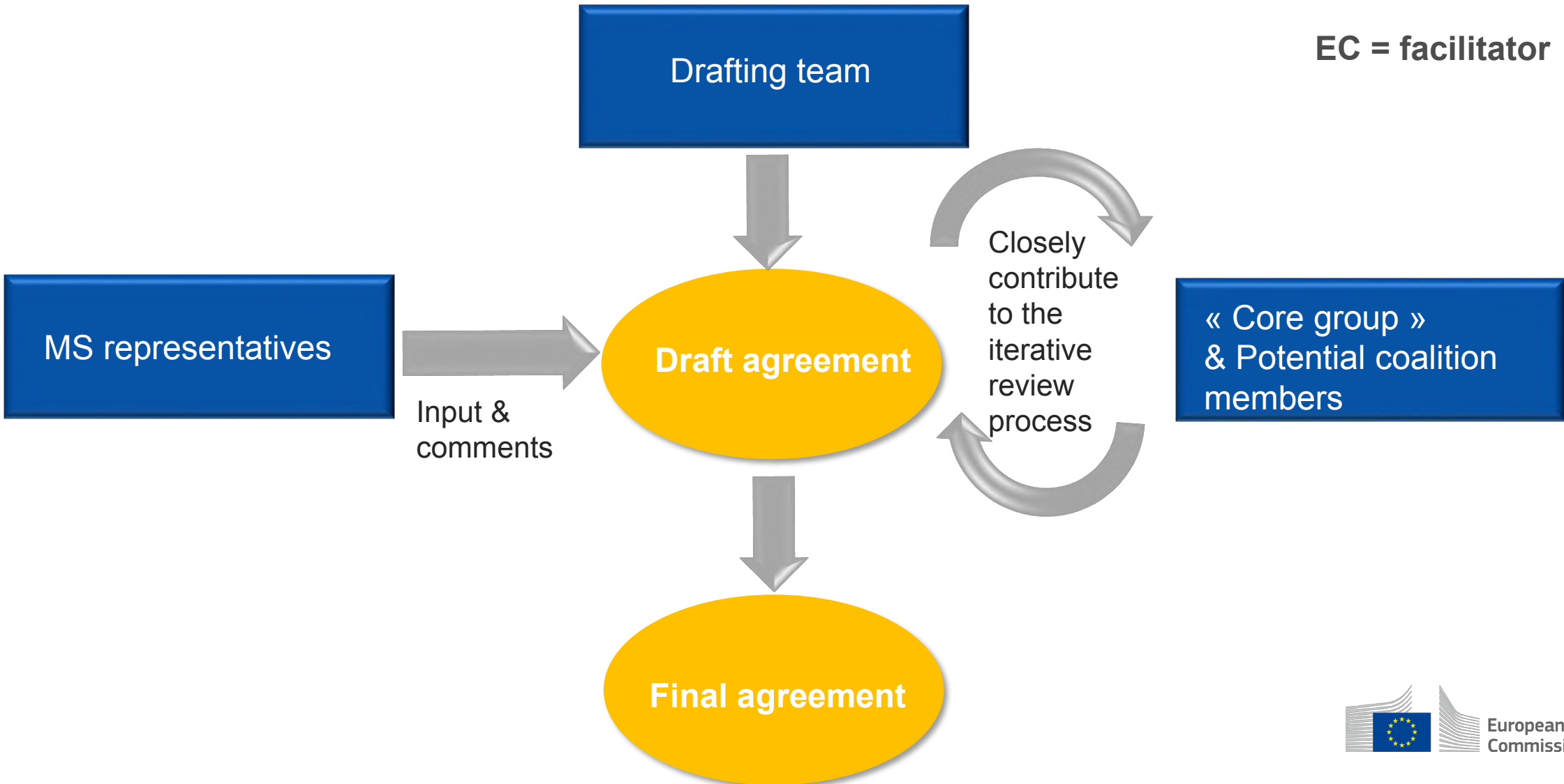| Nov. 2021 | Dec. 2021 | Jan. 2022 | Feb. 2022 | March 2022 | September 2022 (indicative) |

Consultation Report published

Drafting of the agreement initiated by the drafting team, with contributions by the core group - Iterative process

First Stakeholder Assembly meeting

Continue iterations with coalition members: Present and review the agreement, discuss organisation and mutual learning mechanisms; **Meetings with MS representatives**

European Commission

Drafting process

Draft agreement

- **Content:**
  - ➤ Preamble (rationale and motivation for reform)
  - ➤ Part 1: Commitments for change, incl. timeframe for implementation
  - ➤ Part 2: Steps in the reform journey
  - ➤ *Work in progress (not yet included in the draft):* Governance of coalition, Mutual learning between signatories and Monitoring of progress made
  - ➤ Annexes:
    - ➤ Principles for a reformed research assessment system (from Scoping report)
    - ➤ Toolbox

- **Next steps:** draft currently under revision, based on comments from Core Group, ERA Forum and ERAC
- Expected next draft version to be released before Easter
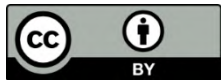
Core Commitments (draft 8 April)
Revised formulation based on further discussions with the Core Group

1. Recognise **the** diversity of contributions to, and careers in research according to the needs and the nature of the research.

2. **Base research assessment primarily** on qualitative evaluation with peer-review, supported by responsible use of quantitative indicators.

3. Abandon the **inappropriate uses**[1] **in research assessment** of journal- and publication-based metrics, in particular the use of journal impact factor (JIF) and h-index.

4. Discontinue the use of **international rankings of research organisations** in research assessment.

- [1] Where 'inappropriate uses' of metrics include: i) relying purely on metrics (e.g. counting papers, patents, citations, grants, etc.) to assess quality; ii) assessing outputs based on metrics relating to publication venue, format or language, rather than on merit; iii) relying otherwise on quantities that do not properly capture intrinsic aspects of merit.

Questions for discussion

1. What are your overall **views on the draft agreement**?

2. Which **barriers** exist in your country in terms of national policies or legislation that might prevent implementing the commitments in the draft agreement? Would you be willing to tackle some of these barriers, and of providing support to the agreement signatories?

Thank you

European Commission