



K O N I N K L I J K E N E D E R L A N D S E
A K A D E M I E V A N W E T E N S C H A P P E N

QRIH and SEP 2015-2021

Comprehensive Assessment of Humanities Research

**Impact taxonomies
ReAct project, Royal Danish Library
1 September 2017
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TOPICS

- Dutch Policy Context of Academic Research
- National Approach to Research Evaluation: SEP
- Special project for Humanities research: QRIH
- Questions / issues



- **2012: TOP SECTOR POLICY/NWO:** Stimulating collaboration in the golden triangle between science, industry, policy/society: Energy, high tech, water, agriculture and food, creative industry, ...
- **2014: SCIENCE VISION:** International Excellence, Maximum Societal Impact, Cradle for talent
- **2015 NATIONAL SCIENCE AGENDA:** combining forces, strategic choices
<http://www.wetenschapsagenda.nl/home-2/?lang=en>
- **EU HORIZON 2020; GRAND SOCIETAL CHALLENGES:** health, food, energy, climate, transport, secure and inclusive societies

- **UN SUSTAINABLE DEVELOPMENT GOALS:** poverty, hunger, clean water, inequality, responsible production and consumption, peace,
- **RRI**



MAIN FEATURES OF R&I POLICY

- High level political goals ('responsible research for a better world'), all aggregation levels, national, supra-national organisations (EU, ASEAN, UN)
- Increasing role of society/economy (industry, challenges): new knowledge + new markets
- Funding programs stimulate new connections between academia, industry, public sector, civil society
- Distributed agenda setting and governance (round tables), consensus orientated, RRI, sustainability, inclusiveness, ..



QUESTIONS FOR RESEARCH EVALUATION

- What about traditional evaluation mechanisms, peer review and bibliometrics
→ critique from inside and outside, new developments (f.e. extended peer review, altmetrics)
- How to measure / assess societal impact, RRI: context dependent, under developed mechanisms, narratives, case studies
- Bureaucratic overload, preference for simple numbers



STANDARD EVALUATION PROTOCOL SEP 2015-2021

- All academic research, every six years, self evaluation reports, international review committees, no hard (financial) consequences
- Scientific quality and societal relevance assessed in a balanced way
- Indicators three categories: **output, use and recognition**
- Quantitative and qualitative indicators (narratives, case studies)
- Allow for stakeholder involvement in review process



SEP CRITERIA

- **Quality:** international recognition, innovative capacity
- **Productivity:** output in the SCI-journals, or SSCI, AHCI
- **Relevance:** societal impact
- **Viability** (flexibility, management aspects, leadership)
 - PhD training
 - Integrity
 - Diversity

verdicts in four discrete categories (excellent (1), very good, good, unsatisfactory (4)), supported by written statements

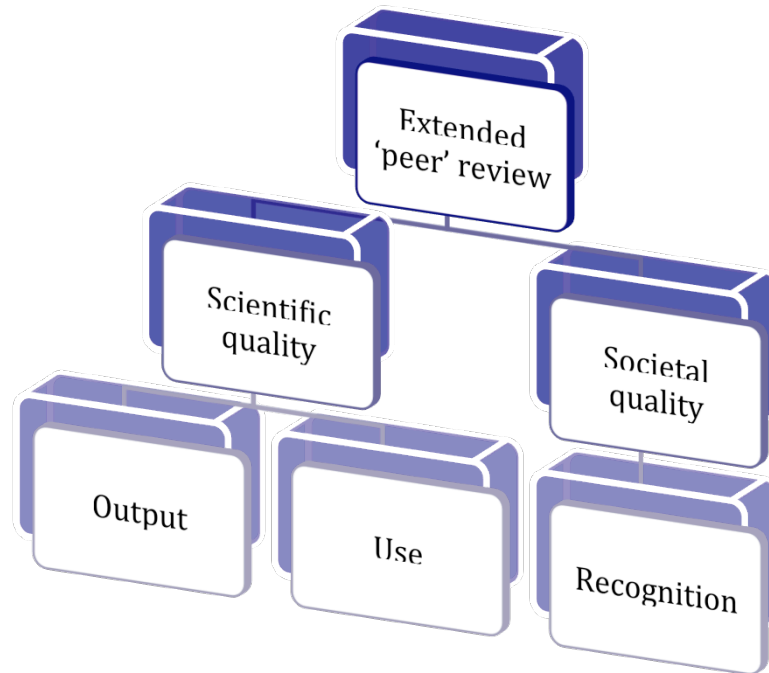


ARCHITECTURE OF SEP

PEERS, OTHER
EXPERTS and
STAKEHOLDERS

EQUAL ATTENTION IN
ASSESSMENT

INDICATORS
BOTTOM UP





WHAT DOES THIS MEAN FOR WORK FLOOR

- Local: Self evaluation report: includes SWOT, data for the indicators, and a perspective on the policy context: *Top sectors, Strategic choices of the universities, H2020, contribution to technological and social innovation, National Research Agenda*
- National/field: Bottom up development of indicators, the research field / discipline decides which indicators represent best how work is done in the field, and how it is communicated, stakeholders can be included

→ Indicators for scientific quality, for societal relevance,



Goal: criteria and indicators that help humanities research to meet SEP 2015-2021

How: guidelines and website (<https://www.qrih.nl/nl/>) to be developed this with the help of all humanities faculties and research schools

What: Look at how journals and monographs are used in different subfields, options and limitations, language issues o.a., usability of databases like Google, Bing, Google Scholar, specialist databases (f.e. parliament, Nexis Lexis)

- *Develop Qualitative measurements (narratives, case studies)*
- *Societal impact*
 - Look at different audiences, the products/output, patterns of communication
 - The role of stakeholders
 - Development of methods for societal impact evaluation



SEP INDICATOR SCHEME differences per disciplines allowed

	Scientific quality	Relevance to society
Demonstrable output	<ul style="list-style-type: none"> • Sc. articles (refereed vs. non-refereed) • Sc. Books, classification of publishers • Other research outputs (instruments, infrastructure, datasets, softwaretools, designs) • Dissertations 	<ul style="list-style-type: none"> • (policy) reports • Articles in professional journals • Other output (instruments, infrastructure, datasets, softwaretools, designs) • Outreach-activities, public lectures, exhibitions,
Demonstrable use	<ul style="list-style-type: none"> • Citations • Use of datasets, softwaretools, etc. by peers • Use of research facilities by peers • Reviews in scholarly journals 	<ul style="list-style-type: none"> • Patents/licences • Use of research facilities by societal partners • Projects with societal partners • Contract research
Demonstrable recognition	<ul style="list-style-type: none"> • Scientific prizes • Personal sc. subsidies • Invited lectures • Membership of sc. committees, editorial boards, etc. 	<ul style="list-style-type: none"> • Public prizes • Valorisation funding • Positions paid for by public parties • Memberships of public advisory bodies

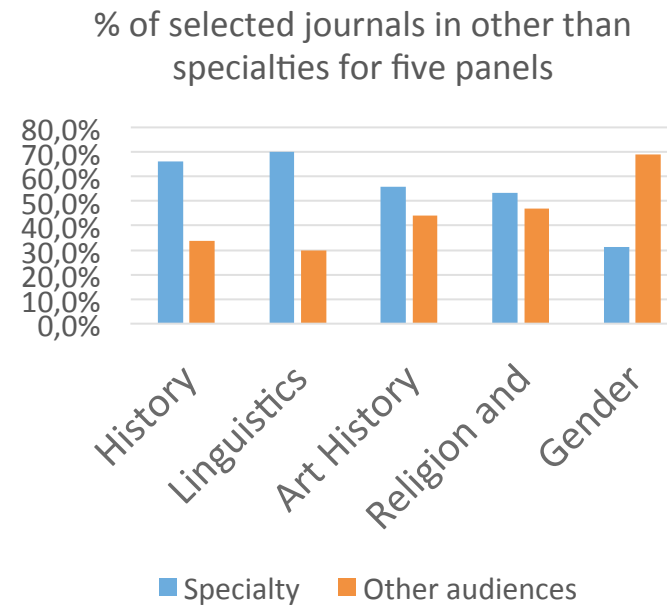


OPERATIONAL STEPS

- Working group, and scientific committee (chair Frank van Vree)
 - Start writing adequate guideline for use of SEP by humanities, and website
 - Involvement of the community: faculties, panels per research schools
 - Panels give information about the use of publication channels (journals, publishers, other), and the variegated output
-
- Test profiles in a number of fields
 - Suggestions for indicators, quantitative and/or qualitative
 - Guideline for use of SEP
-
- Panels have the authority to decide the status of indicators (national – local)

Diversity in publication channels & sub domains

- Panels selected journals and publishers per (sub)domain and per type of audience
- ± 2000 journals put forward by 17 panels (VABB & CRISTin: each 10.000 journals)
- Diversity in subdivisions: from 0 to 18 specialties and subdomains
- Diversity of audiences in communication channels:
 - Specialty
 - Discipline
 - Multi- or interdisciplinary
 - Hybrid (both scientific and societal communication combined)

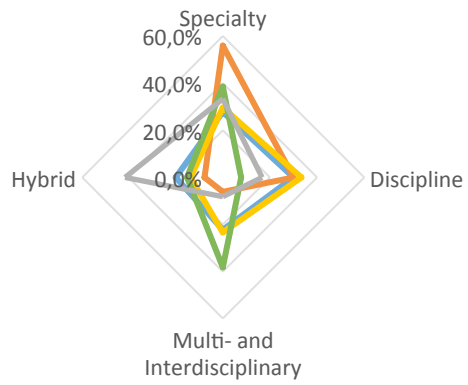


Publication channels per research school

Research School	Specialty	Disciplinary	Multi- or interdisciplinary	Hybrid	Grand Total
OSL - literature	354	127	34	17	532
NOSTER - religion		376			376
LOT - language	169	17	46	11	243
Huizinga - history	104	20	17	19	160
NICA - culture	129			2	131
OSK – art history	66	18	15	6	105
OIKOS - classics	79	13	4	5	101
NOG - gender	51	15	23	8	97
NWP – economic and social history	41	30	19	3	93
RMeS - media	72			6	78
NISIS - islam	17	20	22	9	68
ARCHON archeology	36	23			59
Medievistiek	16	16	16	1	49
OPG – political history	15	16	8	9	48
WTMC – STS	20		19	7	46
OZSW - philosophy	20	9	9	4	42
DigHuman		14			14
Grand Total	1189	714	232	107	2242

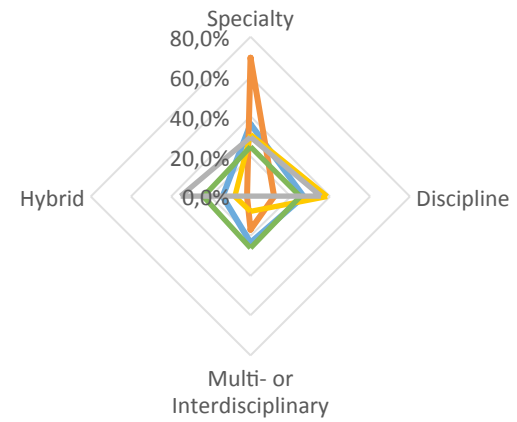
TEST PROFILES

Profiles Leiden University



- History
- History of Art
- Linguistics
- Cultural Studies

Profiles Univ. Amsterdam



- History
- History of Art
- Religion and Theology
- Linguistics
- Cultural Studies

Hybrid publications in several domains

Title	Societal stake-holders	Scholar Cites per 8 sept 2016	Domain
Annemarie Mol (2003) <i>The Body Multiple</i> , Duke UP	277	3359	Science Studies
José van Dijck. (2013) <i>The Culture of Connectivity</i> , Oxford UP	207	729	Literature
<i>James C. Kennedy (1995), Nieuw Babylon in aanbouw. Boom</i>	391	280	Political History
<i>Piet de Rooy, (2002) Republiek van rivaliteiten, Metz & Schilt</i>	277	151	Political History
Ernst van de Wetering. (1996) <i>Rembrandt. The Painter at Work</i> , AUP	168	150	History of Art
<i>Trudy Dehue (2008) De depressie epidemie, Augustus</i>	285	103	Science Studies
<i>Frits van Oostrom, (2013) Het woord van eer</i>	78	74	Philosophy
<i>Leo Lucassen & Jan Lucassen (2011) Winnaars en verliezers. Prometheus</i>	128	65	Economic History
M. de Winkel, (2006) <i>Fashion and fancy</i> , AUP	90	49	History of Art
<i>Henk te Velde, (2002) Stijlen van Leiderschap. Wereldbibliotheek</i>	232	41	Political History
<i>Marita Mathijssen (2002) De gemaskerde eeuw. Querido</i>	120	38	History
<i>Floris Cohen (2008) Herschepping van de wereld. Bert Bakker</i>	107	35	History
Wagenaar (2011) <i>Town planning in the Netherlands since 1800,</i>	69	25	History of Art



DRAFT GUIDELINE

- ❑ Narrative as core of the self evaluation, not only about results, but also about interaction with relevant stakeholders (not only 'sending')
- ❑ Toolbox for indicators, quantitative and qualitative
- ❑ Casestudies (not mandatory)
- ❑ A SWOT-analysis directed towards future direction of the group



QUESTION / ISSUES

- Evaluation: process oriented or output oriented?
- Ownership: public or private, stakeholders?
- Peer review: extended peer review, mixed review, stakeholders
- Methods: quantitative or qualitative? Robustness of data
- Focus: on mutual learning or accountability
- Altmetrics useful?



EVALUATION IN NEW CONTEXT

Evaluation should

- Be innovative and aim at including inter- and transdisciplinarity
- Include notions about the wider societal context and methods to evaluate societal impact
- Involve stakeholders from early on
- Explore new ways of approaching evaluation through network / process methods, and on intermediate indicators / indications (altmetrics a.o.)

Address the exchange / circulation of knowledge and expertise in innovation networks, 'productive interactions' (SIAMPI)