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Open Science and Research Assessment
Trends and State of Play in Europe
Current situation of OS in research assessment at European universities
The EUA surveys

Expert Group on Science 2.0/Open Science

Key priorities
#1 OA to scholarly outputs
#2 FAIR research data
#3 Institutional approaches to research assessment

Institutions:
2014: 260
2015-2016: 321
2016-2017: 272
2019: 260

Countries:
2014: 32
2015-2016: 36
2016-2017: 36
2019: 36

2020-2021: From principles to practices: Open Science in Europe’s universities
Open Science in universities’ strategic priorities

Existence of an institutional OS policy
Number of respondents: 271

- Yes: 54%
- No: 9%
- No, but we are developing a policy: 37%

Level of importance and implementation of OS areas
Number of respondents: 265-270

Source: Open Science in university approaches to academic assessment. Follow-up to the 2020-21 EUA Open Science survey (2021)
Limited role of OS in university academic assessment approaches

**Open Science elements included in academic assessment**

Number of respondents: 172 / 272

- Depositing of research articles in repository: 77%
- Open access publishing of research articles in open access journals: 49%
- Open access books: 39%
- Science outreach and communication: 39%
- Depositing of data in a repository: 33%
- Open education: 31%
- Research data management plan: 26%
- Data sharing: 21%
- Open source research software and code: 20%
- Preprints: 20%
- Citizen science: 19%
- Open access archival or special collections: 17%
- Transdisciplinary research platforms: 14%
- Co-design of research projects: 14%
- Open collaborative tools: 12%
- Open research protocols: 9%
- Open evaluation: 9%
- Co-creation platforms: 5%
- Crowdsourcing practices: 2%

34% surveyed institutions reported not using any Open Science elements in their academic assessments.

Source: *Open Science in university approaches to academic assessment. Follow-up to the 2020-21 EUA Open Science survey (2021)*
Academic activities for research careers (2019 survey data)

Number of respondents: 191-195

Source: Open Science in university approaches to academic assessment. Follow-up to the 2020-21 EUA Open Science survey (2021)
Assessment methods for research careers (2019 survey data)
Number of respondents: 194-195

How is this assessment performed?

- Metrics measuring research output based on number of publications and citations: 14% (Don't know), 29% (Of little importance), 53% (Important)
- Qualitative, peer-review assessment: 17% (Don't know), 26% (Of little importance), 48% (Important)
- Research impact and knowledge transfer indicators: 19% (Don't know), 33% (Moderately important), 30% (Important)
- Metrics measuring collaborations within academia based on co-authorship: 25% (Don't know), 30% (Moderately important), 30% (Important), 15% (Very important)
- Open Science and Open Access indicators measuring the open accessibility of research outcomes and data: 24% (Don't know), 23% (Of little importance), 20% (Moderately important), 19% (Important), 9% (Very important)
- Altmetrics measuring the societal outreach of journal publications, books, reports, data and other non-traditional publications based on downloads, tweets, news mentions, etc.: 31% (Don't know), 23% (Of little importance), 19% (Moderately important), 16% (Important), 9% (Very important)
- Metrics measuring academic attention and uptake based on number of views anddownloads: 27% (Don't know), 24% (Of little importance), 19% (Moderately important), 18% (Important), 7% (Very important)

How is this assessment performed?

Publication metrics used for research careers
(2019 survey data)

Number of respondents: 185

- Journal Impact Factor (JIF): 75%
- h-index: 70%
- Field normalised citation impact: 39%
- SCImago Journal Rank (SJR): 31%
- CiteScore: 25%
- Source Normalized Impact per Paper (SNIP): 9%
- Eigenfactor: 5%
- Don't know: 4%

Main difficulties for reviewing approaches to research assessment

Changing the assessment implies an institutional dilemma

The external environment

The academics

- Complexity of research assessment reform: 46
- Lack of institutional capacity: 38
- Resistance to research assessment reform from researchers: 33
- Concerns over increased costs: 33
- Limited awareness of research assessment reform and its potential benefits: 31
- Absence of incentivising policies or guidelines from external actors: 29
- Alignment of institutional assessment procedures with nationally and internationally dominant procedures: 26
- Lack of evidence on potential benefits of research assessment reform: 21
- Lack of coordination among the relevant actors within the institution: 19
- Lack of institutional autonomy due to national/regional rules and regulations: 19
- Resistance to research assessment reform from academic leadership: 10
- Lack of institutional autonomy due to rules and regulations imposed by research funding organisation: 9

(2019 survey data)
Number of respondents: 233

Source: Open Science in university approaches to academic assessment. Follow-up to the 2020-21 EUA Open Science survey (2021)
The future of OS in academic assessments

Likelihood that the range of OS elements considered in academic assessments will increase

Number of respondents: 271

Source: Open Science in university approaches to academic assessment. Follow-up to the 2020-21 EUA Open Science survey (2021)
Reforming academic assessment
Some initiatives at institutional level

Open Knowledge Action Plan (2018)

6 specific areas
- Open access publications
- Open FAIR data
- Open learning
- Open innovation
- Open to society
- Research evaluation models

3 universal themes
- Training, communications, and awareness raising
- Open infrastructure
- Participation in areas of influence

More info @ https://sfdora.org/dora-case-studies/
Some initiatives at national level

More info @ https://sfdora.org/dora-case-studies/
Gaining momentum: a European joint action

3 ADVANCE TOWARDS THE REFORM THE ASSESSMENT SYSTEM FOR RESEARCH, RESEARCHERS AND INSTITUTIONS TO IMPROVE THEIR QUALITY, PERFORMANCE AND IMPACT

OUTCOMES

- Analysis of legal and administrative barriers at national and trans-national level for a modern research 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 level
- Implementation plan of the coalition to roll-out the new approach, including pilots in different domains
Gaining momentum: a European joint action

The goal

“to have research proposals, researchers, research units and research institutions evaluated on their intrinsic merits and performance rather than on the number of publications and where they are published, promoting qualitative judgement with peer-review, supported by responsible use of quantitative indicators.”
Gaining momentum: a European joint action

The process

• The EC is acting as a facilitator to speed up changes to research assessment.
• The goal is to bring together a critical mass of such committed stakeholders.
• Signature of an agreement by all willing and committed to reform the current research assessment system. The agreement may be accompanied by support measures.
CHANGE
JUST AHEAD