Information request to participating countries

MLE on Performance-based Research Funding Systems (PRFS)

Horizon 2020 Policy Support Facility
Information request to participating countries
1 INTRODUCTION

The purpose of the list of questions in this document is to collect background information on the context, characteristics, and challenges to the performance-based research funding systems (PRFS) that currently exist or are planned for implementation in your country.

This information will support the experts in focusing and tailoring the MLE as close as possible to your interests and needs.

As was mentioned during the kick-off meeting, the expectation is not that you provide a detailed response to all the questions. Feel free to single out those questions (especially those under the headings 2.3 and 2.4) that are the most relevant to you and the challenges you are facing.

You can provide your information directly in this document.

Once you have done so, please save the document with your country name as extension (eg "2655 MLE PRFS Information Request_Belgium") and upload it on the dropbox '2655 PSF – MLE on PRFS' in the folder 'Responses to background information request'.

We would appreciate to receive your response by Friday 27 January.
2 QUESTIONS TO MEMBER STATES PARTICIPATING IN THE MLE ON PRFS

Country: ........................................

2.1 The background and context to the (current or future) PRFS:

1. What are the problems in the country leading to a need for a PRFS? What are its policy purposes?

2. What aims were expressed explicitly in official documents at it was first implemented? Have other aims or purposes been expressed later on?

3. What is the extent and type of research assessment (at the national level) outside of the PRFS, focusing on or involving Higher Education Institutions? (For example, are there field evaluations, institutionally-based research evaluations?)

2.2 Approach to the design of the (current or future) PRFS:

1. Was there organised interaction or consultation between the authorities and the Higher Education Institutions and eventually other research performing institutions in the development of the PRFS model? How does this work?

2. What other country models for PRFS have you looked at? Did any of them influence your design?

3. Who did or is likely to do the design of the PRFS?

2.3 The current or intended implementation of the PRFS:

1. What are the techniques/models in use (bibliometrics, peer review, informed peer review, impact analyses etc)? Please explain why this particular design was chosen

2. What are the units of analysis and units of reporting? (Individual? Group? Department? Institution? Scientific field? Other?)

3. Do units of analysis and units of reporting differ at different stages of the assessment?

4. What are the criteria of assessment?

5. What kind of information and data are available to inform the assessment? What are the sources of these data? (eg national research information systems (RIS), Open Access Repositories, Scopus, Web of Science etc)
6. How do you handle different fields of research?

7. What are your experiences with metrics
   ◦ For scholarly quality
   ◦ For the ‘third mission’ or ‘impact’?

8. Is there a use of prospective or future orientated elements in the PRFS? If not, does the institutional funding system handle future development in some other way?

9. What are the funding formulae and their justification, in context?

10. What are the uses of the outcomes of the performance-based assessment? (only to inform funding, as field evaluation, policy input, strategic information for the research-performing organisations...)

2.4 Costs and benefits of the PRFS

1. What have been the strengths and benefits of the PRFS?

2. What problems or disadvantages have you experienced with the PRFS? (eg the costs you have experienced or expect)

2.5 Documentation

Please supply any relevant documentation or evaluation of your PRFS, detailing if possible the use of peer review, metrics, impact assessment and the funding formula. If possible, the documents should be in English, otherwise French, German, Spanish, Italian or a Scandinavian language.

Please upload this documentation on the dropbox ‘2655 PSF – MLE on PRFS’ in the folder ‘Documentation on national practices’. Please create a separate sub-folder with your country name as title.