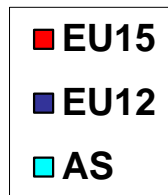
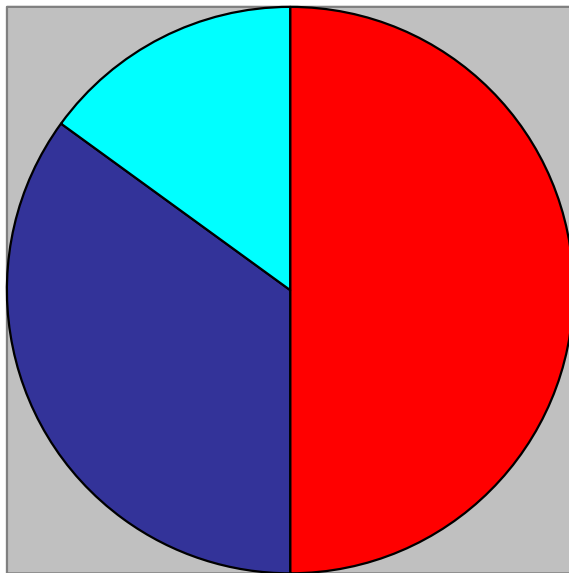


OUTCOMES OF THE SURVEY ON RESEARCH EVALUATION CAPACITY

A survey on research evaluation capacity was undertaken by the EU RTD Evaluation Network to gauge the current level of capacity in research evaluation and to contribute to discussions on how to build research capacity in Member States and Framework Programme Associated States.

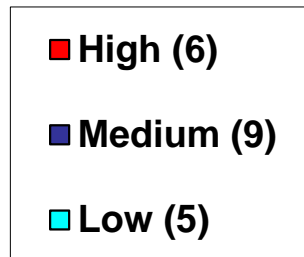
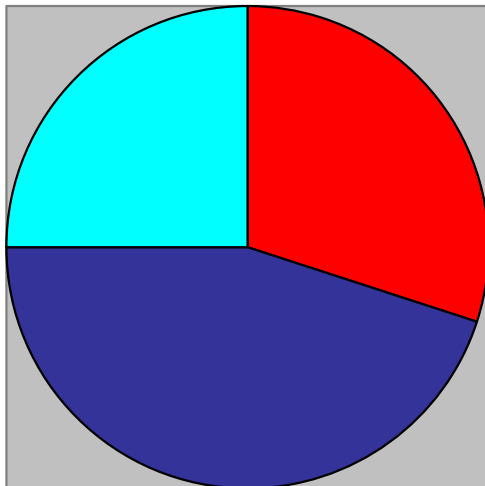
This survey was responded to on a personal basis.

The sample



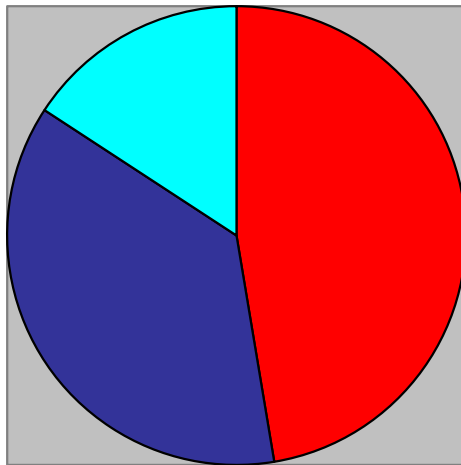
- 20 responses
- AT, CH, CY, CZ, DE, DK, EE, ES, FI, IS, IT, LU, LV, MT, NL, NO, PL, RO, SE, UK
- Some very detailed responses

Level of national government support?



- Broad interpretation of 'government support' – actions + resources + legal measures
- In some cases distinction drawn between rhetoric and reality
- Reasons for 'low' - no evaluation of (or limited No.) programmes; evaluation only of EU-funded programmes
- EU-15: most high or medium (2 low)
- A diverse picture within both EU12 and EU15

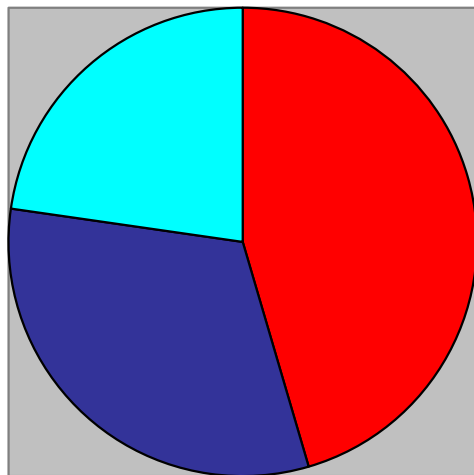
Evaluation/assessment of university research?



- Advanced (9)
- Medium (7)
- Minor (3)

- Different interpretations of what is 'advanced' system - advanced not necessarily linked to funding
- Balance between 'advanced' and 'medium' position
- Diversity of practice regarding ad hoc initiatives

Legal framework?



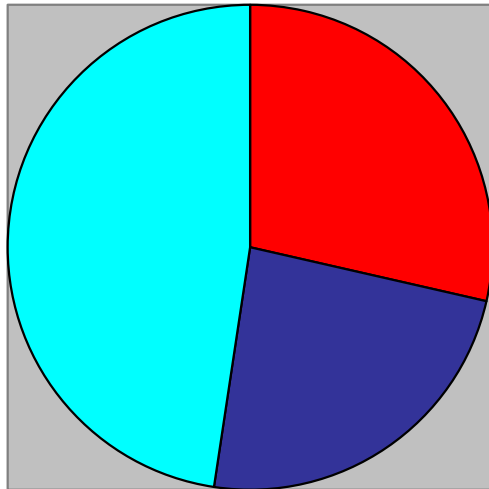
■ Part of legal set up (10)

■ No formal framework (7)

■ Specific law (5)

- Overlap between the categories – some responses in several categories – depends on context
- Definition of 'legal' is uncertain – does this cover an evaluation 'protocol'
- EU-15: diverse picture – 4 countries without any formal legal framework
- Most of EU-12 have some form of legal framework

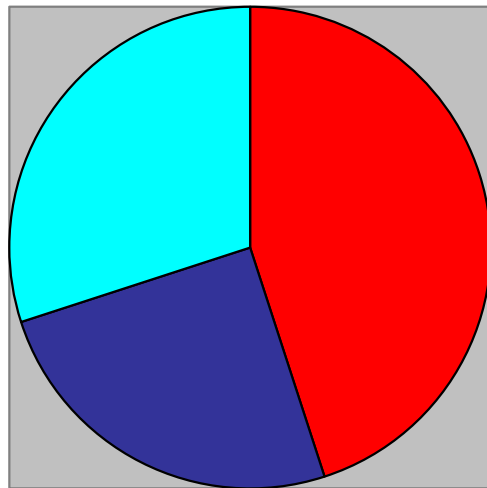
National independent Institution for evaluation?



- Yes (6)
- Yes, but part of other (5)
- No, only ad hoc (10)

- Different interpretations of 'institution' – does this cover committees?
- Size matters – very small national systems don't support a separate institution
- Institution recently created in 2 cases
- Diversity of institutional frameworks within both EU12 and EU15

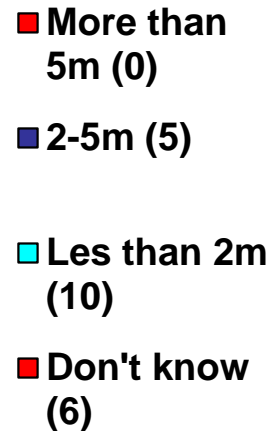
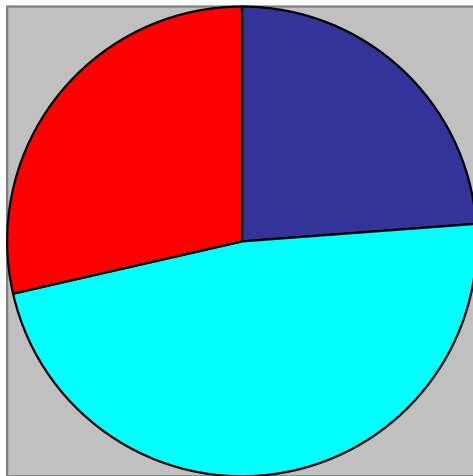
Approximate scale of national expertise?



- Well developed (9)
- Partial (5)
- Very basic (6)

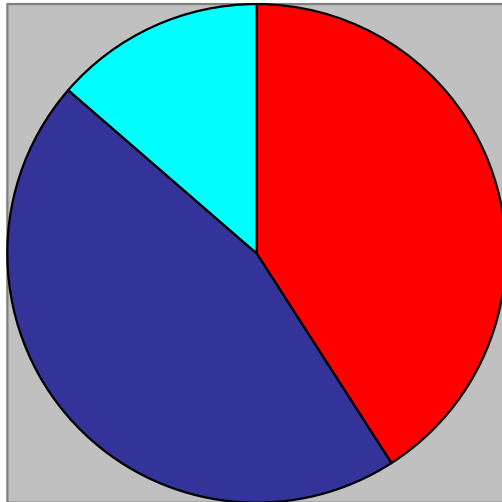
- Definitions of 'well developed' varied – some highlighted just a few fields e.g. bibliometrics
- Also reference to business schools, social science capacity, consulting companies as examples of expertise
- Several examples of significant improvements
- EU12 - varied picture between extremes
- EU15 – also varied but majority 'well-developed'

Annual cost of external studies?



- Does include staff levels but overall impression of 'modest' spending i.e. below norms suggested
- Difficult to estimate for 3 large countries
- Some 'DKs' suggest >5m
- Picture may be distorted by one off large studies (one example)
- EU12 –homogeneous picture (rare)

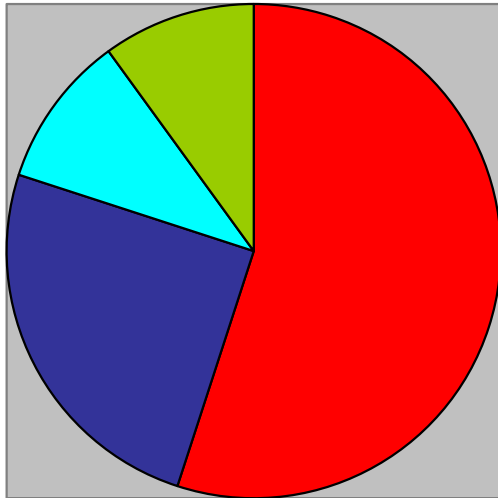
Impact on policy and funding?



■ Yes (9)
■ Partial (10)
■ No (3)

- Some interesting YES examples – e.g. policy to support improved FP participation; amend policies & impact on the funding of programmes; feeding into political debates and the legal procedures; funding decisions in the future
- Some instances of mid-term programme evaluation influencing funding
- Generally direct impact seen to be rare

Changes and attitudes at national level (last 5 years and foreseeable future)?



■ Yes (11)

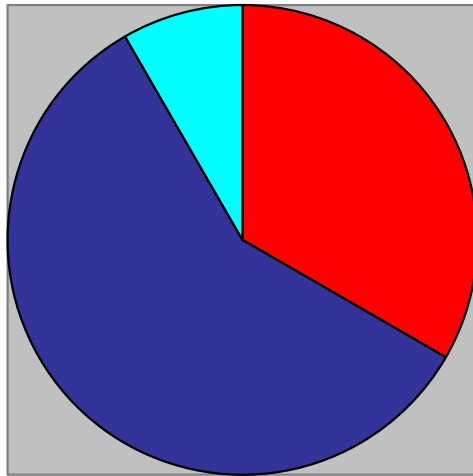
■ Partial (5)

■ No (2)

■ Don't know
(2)

➤ Overall impression is there has been steady positive improvement over last 5 years

Attitude of the research community to evaluation?



- Useful too (8)
- No complex response (14)
- Opposition (2)

- Attitude depends on the discipline - those in strong position often in favour and the reverse
- Distinction between principles and implementation i.e. it's a good idea but often badly done e.g. reporting burden
- Widespread view that it's a 'necessary evil'