

## **Research Evaluations and their Impact on University Governance**

*A Comparison of five European Countries*

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# Research questions

What are the **characteristic differences** between national Research Evaluation systems?

How are the Evaluation systems  
**“translated”** by universities?

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# 1. Methods and Sampling

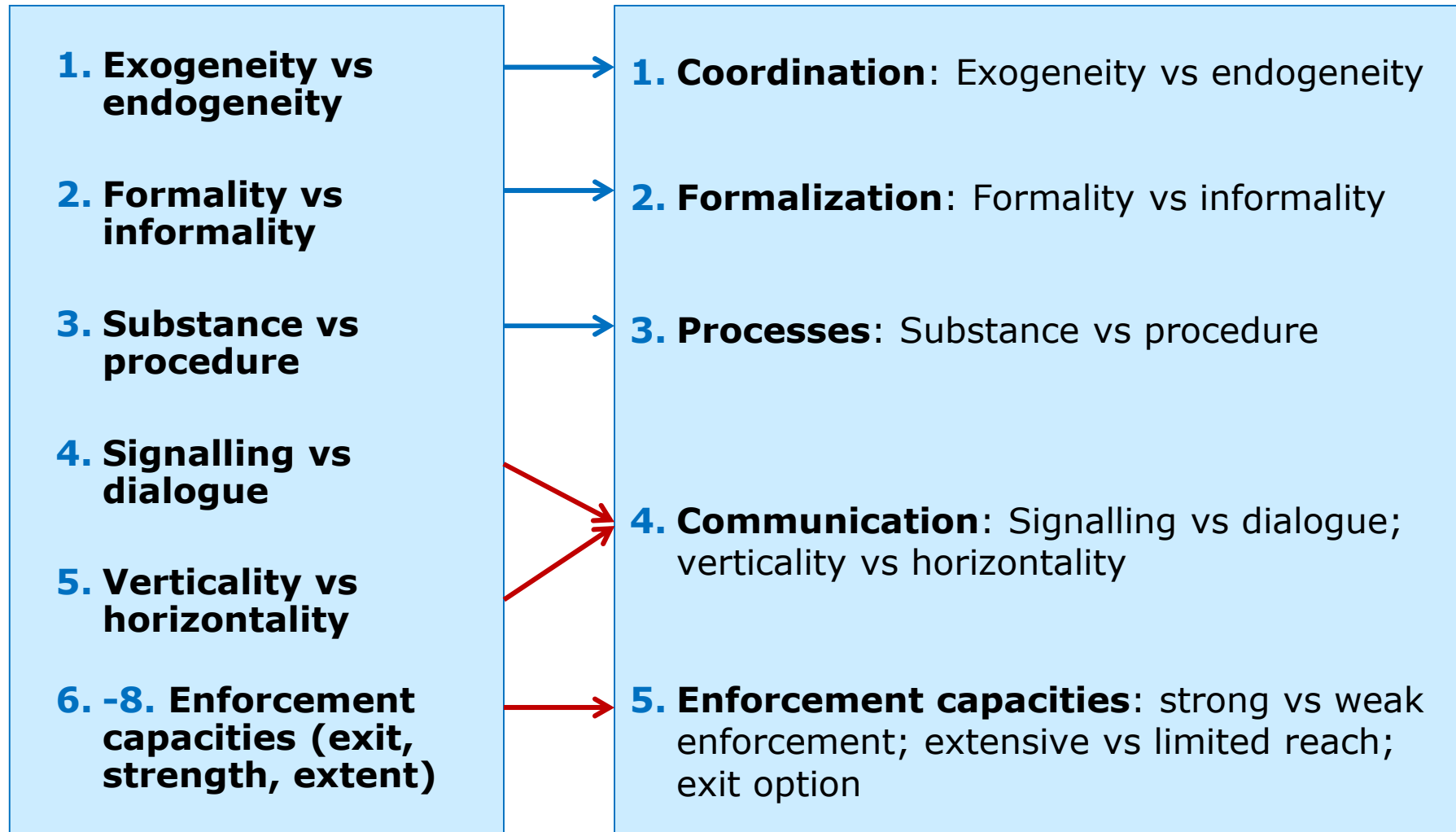
## National level

- Literature reports
- Document analyses (institutional documents, science policy documents, archival material)
- Interviews with national experts and state-representatives
- Selected Countries: Germany, Denmark, UK, Netherlands, France

## Organizational case studies (Research universities)

- Document analyses
  - 41 expert interviews with deans, presidents, rectors, vice-presidents from 13 universities (*→ interviews not completed, yet*)
- Focus on the content-analysis of **16 interviews among 5 universities** (one per country)

## 2. Analytical framework: Whitley's characteristics of governance relations



### 3. Results

What are the **characteristic differences** between national Research Evaluation systems?

## 3.1 Characterisation of Evaluation Types

### (1) Evaluations as Reports

- **NL**: Standard Evaluation Protocol (SEP) since 2003
- **F**: Evaluation by High Council (HCERES) since 2007

### (2) Evaluations as Performance Based Research Funding (PBRF)

- **UK**: Research Excellence Framework (REF) since 2014/1986 (as RAE)
- **D/NRW**: Leistungsorientierte Mittelvergabe (LOM) since 1999
- **DK**: Taximeter-System since 1992

## 3.1 Characterisation of Evaluation Types

	<b>Evaluation (Report): HCERES (FR) / SEP (NL)</b>	<b>PBRF: LOM (D) / Taximeter-system (DK) / REF (UK)</b>
<b>1. Coordination</b>	<i>Mostly endogenous</i>	<i>Exogenous and endogenous</i>
<b>2. Formalization</b>	<i>Formalised &amp; systematised</i>	<i>Highly formalised &amp; systematised</i>
<b>3. Processes</b>	<i>Substantial and procedural control</i>	<i>Substantial and procedural control</i>
<b>4. Communication</b>	<i>Horizontal dialogue</i>	<i>Signalling through market- like outcomes; rather vertical communication</i>
<b>5. Enforcement capacities</b>	<i>No formal enforcement; Exit option in France, no exit option in the Netherlands</i>	<i>Strong enforcement; limited reach in DK+D, extensive reach in UK; no exit option (UK: theoretically)</i>



## 3.2 Empirical findings from case studies

How are the evaluation systems  
**“translated”** by universities?

### 3.1.1 Netherlands: “these evaluations help”

*“So you have to do the SEP and you have to follow the SEP protocol and we have some **additional questions** and in these additional questions, sometimes the board has questions and sometimes the faculty itself as well. **We like to get feedback on choices we've made or choices we like to make** whether they say that it would be beneficiary for the research.” (NL\_TU\_Dean\_211)*

### 3.1.2 France: „the gentle method“

*"Yes, we favor, that is to say that we are not exclusively in the evaluation of the performance [...], but **we also look at organizational efficiency and quality.**" (F\_Uni\_Deans\_38)*

*"I think it's a good thing that units are evaluated, because it forces units to look at **whether they have met the goals they set for themselves and to set goals.**" (F\_Uni\_VicePres\_113)*

### 3.1.3 UK: “REF is reputational and quite a lot follows it”

*“So in terms of the control around publications **we have an [annual performance review]**, lots of universities have similar systems. [...] there's a **peer review managed through the schools**, the school research directors, we'll have a team who are reading and assessing the quality.” (UK\_VP for Research\_34)*

### 3.1.4 Germany/NRW: “actually, it does not matter”

*“We steer slightly different. [...] the LOM is just a discussion result at the state level, and **we have a different result internally** in the university.”*  
(D\_Chancellor\_25)

*“[...] we have an agreement with the faculties in the funding of the university [...] that says **they will get that and that budget in the next few years, regardless of the LOM developments.**”*  
(D\_Chancellor\_31)

### 3.1.5 Denmark: “we don't even spend minutes thinking about it”

*“I think, the reason for [our university] not to work very specifically with [...] the bibliometric indices, [...] is that you actually **risk to micromanage** something which was better in a different way. So, to be explicit, would I want to decide which journal our researchers should publish in? No, because I have no idea in the various areas. [...] And **for the [internal] research evaluations we do bibliometric assessments** of all the senior researchers in all departments. [...] we look at the numbers, but with a relatively broad perspective”.  
(DK\_Vice President\_152)*

## 4. Conclusion (Work in Progress): *Different Effects of Evaluations on Inner-Organisational Governance*

### **(1) Administrative Effects**

- *Evaluations becomes the fulfilment logic of university administration and affects the scope of action minimally*

### **(2) Administrative Effects and Effects on Micro-Level**

- *As it makes reputation visible and has a direct influence on financing its important for administration of university*
- *And, as panoptic instrument, which develops its effects especially on the micro-level (rather than the meso-level)*

### **(3) Effects on Organizational Level**

- *Contributes to organizational development/ strengthening*
- *Action-relevant knowledge is provided*



# DZHW.

Thank you  
for listening!



# Main References

- Geuna, A. & Martin, B.R. (2003). *University Research Evaluation and Funding. An International Comparison*, *Minerva* 41, 277-304.
- Gläser, J., Lange, S., Laudel, G., & Schimank, U. (2010). Informed Authority? The Limited Use of Research Evaluation Systems for Managerial Control in Universities. In R. Whitley, J. Glaser, & L. Engwall (eds.), *Reconfiguring Knowledge Production: Changing authority relationships in the sciences and their consequences for intellectual innovation*. Oxford: Oxford University Press, 149-183.
- Whitley, R. (2011). Changing Governance and Authority Relations in the Public Sciences, *Minerva* 49 4, 359–385.

# Research project

*“Governance and performance of research - an international comparison of scientific systems and their organizations”*

[www.dzhw.eu/en/forschung/projekt?pr\\_id=572](http://www.dzhw.eu/en/forschung/projekt?pr_id=572)

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