Evaluating for Science: Processes & Protocols

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Colophon

ALLEA - is the Federation of 52 Academies of Arts and Sciences in 39 European countries

ALLEA - advises her member academies, acts as a platform for her members and offers advises in the fields of science and science policy

ALLEA - strongly supports ethic ways of dealing with science, science policy and public policy in general.

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Introduction

The general theme of the ALLEA Biennial Yearbook 2002 was 'Quality in Science', a subject that has always been of great concern to Academies of Sciences and Humanities. Academies in different European countries may vary substantially in structure and role, but they have at least two characteristics in common: being a place where scientists and scholars meet, exchange and discuss ideas in a spirit of absolute intellectual freedom and independence, and pursuing high quality in science and scholarship. This criterion of quality manifests itself in different tasks of Academies: evaluation (and possibly accreditation) of institutes, programmes and individuals, advisory activities vis-à-vis government, research councils or sponsoring agencies, and the promotion of high-class research, carried out either in own institutes or under Academy auspices.

In his Foreword to the ALLEA Biennial Yearbook 2002 European Commissioner Busquin complimented ALLEA for dealing with this topical issue of 'quality', which is in keeping with a central theme of the European Research Area. The creation of favourable conditions for Europe to become the most dynamic and competitive knowledge-based economy in the world lies far beyond the reach of individual research institutes or even whole countries and needs, therefore, to be taken up at the European level. Undeniably, research and technological developments of the highest quality are a sine qua non for the realization of Europe's ambition.

As already indicated, Academies are frequently asked to give advice for which quality assessment is needed. This could include advice about the continuation, termination or restructuring of certain lines of research, programmes or projects, or about the appraisal of individuals or research groups for the endowment of grants, scholarships and prizes. Academies can also play a useful role in the growing tradition of calling on so-called 'visiting committees' to evaluate departments, faculties or institutes for purposes of feedback and improvement, control and reorganization, or accreditation. In principle Academies are very well equipped for such an evaluative role: They can appeal to an abundance of scientific knowledge and experience either within their own walls, or mobilize such through their contacts and connections. Their members are (should be) disinterested in the sense of having no strings attached to political, economic or regional interests. They have a firm

scientific orientation and, in their pursuit of excellence, emphasize the free and uncontaminated nature of science and scholarship.

It is widely understood that many high quality research developments are too intricate and multifaceted as well as too demanding in terms of finances and infrastructure to be tasked to researchers in a single institute or even a single country. Many priority research themes (about the environment, climate, infectious diseases, transport, migration, and communication, for example) have an international character and cannot be studied properly from a purely national perspective. Moreover, if the European Union wants to strengthen the competitiveness of Europe and become a high level knowledge-based economy, it would need more than just the collaboration of research teams in different countries. It would have to promote research of the highest quality through European competition, and thus identify and support the very best researchers and research teams regardless of their geographical location. Such research should be assessed and selected by means of international peer review. This is exactly the idea behind the proposal of the European Research Council Expert Group (Ministry of Science, Technology and Innovation, Copenhagen, December 15, 2003) to establish a European Fund for Research Excellence, and to create a European Research Council (ERC) to manage such a fund. In response to an earlier version of this proposal, ALLEA expressed its willingness to assist a future ERC, amongst other things, with the (wo)manning of the peer review process.

Whether at the level of research performance, its promotion and support, or policy-making, the evaluation of scientific and technological development activities is becoming increasingly significant within both the national and European context. Given this, and taking into account the potential contribution that both National Academies of Sciences and Humanities and the European Federation of these Academies (ALLEA) can make to evaluative activities, it was decided to write a monograph on this topic and to put this publication at the disposal of ALLEA's members as well as other interested individuals or institutions.

The first chapter of the monograph provides a theoretical and conceptual discussion of the meaning and measurement of 'quality'. In the next two chapters the focus falls on an actual case study, namely, an evaluation exercise, which ALLEA carried out in 2002. The exercise involved a review of the structure, operations and achievements of the Standing Committees for the Social Sciences and Humanities of the

European Science Foundation (ESF). In conducting this review, ALLEA made a serious effort to design a methodology and to develop review instruments that could be used beyond the particular purpose of evaluating two of the ESF's Standing Committees. Both the overall approach and the specific methods that were used in this particular case are thus presented here on the assumption that in the same or in an adapted form they could prove useful in undertaking evaluations of a comparable nature.

In chapter four some of the lessons learnt from the ESF case study are used to pose a number of basic questions regarding the goals, context, and actors involved in the evaluation process. Ideally, these types of questions should be discussed and answered before an actual evaluation is undertaken in order to ensure that expectations can be met and that disagreements, which could hinder the intended benefits of evaluation, are avoided. It is, for instance, important that all parties involved share a clear conception of the objective of evaluation: is it intended to enable the management of an institution to make administrative or organizational decisions (about structural reorganization, the reduction of staff, etc.), or is it primarily meant to be a feedback mechanism, which facilitates organisational learning and improvement. Such a distinction in goals can make quite a difference, not only in terms of the questions to be asked and the type of answers received, but also as regards the role of evaluators in collecting evaluation data and, very importantly, the eventual implementation of their findings and recommendations.

Whilst much of the monograph draws on the experiences of a particular case study – the evaluation of two ESF Standing Committees – it is intended as a resource for those initiating and conducting different types of research evaluations as well. As such, the appendices reproduce not only the survey instruments used by ALLEA in the ESF review, but also include an example of a protocol used for purposes of reviewing the quality of (national) research performing institutions. This example refers to the so-called 'Standard Evaluation Protocol', which was jointly developed by the Royal Netherlands Academy of Arts and Sciences (KNAW), the Dutch National Research Council (NWO) and the Association of Universities in The Netherlands (VSNU), the three main Dutch organizations responsible for publicly funded research; and which is to be used for all future research evaluations conducted under their auspices.

Whilst the review of the ESF Standing Committees may be seen as a prototype for evaluating science organisations or research funding and advisory bodies, the Dutch Standard Evaluation Protocol can be regarded as a prototype for reviewing institutions that carry out research themselves. It is felt that these two prototypes, however varied in nature, do have a generic character and could be used as examples of how to design, set up and conduct research evaluation exercises. It should be stressed, however, that neither example is presented here as *the* ideal model to be imitated under all circumstances. Each has its own particularities and should be placed in its own proper context. Nevertheless, they may serve as evocative descriptions, which offer some useful guidelines and highlight some important questions to be asked during the review process.

It is our hope that this monograph will be of service to the scientific community and will provide Academies and other institutions charged with the duty of carrying out national or international research reviews with a useful resource.

Chapter 1
Quality Assessment: A Challenging Task for Academies of Sciences*

Quality seems to be a key word in many present-day deliberations on science policy and science promotion. Whether one is discussing the objectives of European institutes and networks, Framework Programmes, collaborative research projects, the criteria for ESF initiatives such as EUROCORES and research networks, or the guidelines for a European Research Council, 'quality' and 'excellence' are almost always regarded as the highest priority. Quality enjoys an indisputable and nearly sacred status.

Quality is furthermore given priority in the objectives and activities of Academies of Arts and Sciences. There may well be some variety in the roles and tasks of Academies, but they have one important objective in common: the desire to promote and develop excellent scientific and scholarly research. A great deal of the promotion of research quality by an Academy occurs through quality analyses of institutes, programmes and projects. These evaluations may lead to the allocation of resources, to growth, or even to decisions about retrenchment. They may also be used, primarily, to improve the quality of research performance. In addition, these evaluations may form the basis of an official acknowledgement or accreditation of a programme or department.

In this article we consider various theoretical issues regarding the nature and measurement of quality, and present some criteria in respect of quality assessment procedures. We conclude the chapter with a short discussion on the possible role of Academies of Arts and Sciences in quality assessment.

1.1 Definition and measurement

The introduction refers to the indisputable and almost sacred status of quality in present-day discussion on science policy. A few decades ago de Groot (1983) made a similar observation. He begins an interesting

* An earlier version of this chapter has been published as article in ALLEA's Biennial Yearbook 2002.

discussion on the question whether quality of education can be measured by referring to the fact that when the word 'quality' crops up, critical reasoning usually stops and contention is silenced. We all want quality. "The word is a dubious refuge to cover up the uncertainties and differences in what we actually mean" (p.57).

Yet, it is important to critically analyse the concept in question. Quality subsequently turns out to be a concept with a variety of different meanings. One should continuously demand specification if one intends to use it in scientific or policy analyses. It will then become apparent that the term is often employed in different contexts and on different levels of complexity and abstraction. This is even more applicable in the present-day debate on the quality of education and research. The pre-eminence of the concept meets with very little opposition. At the same time, however, it is often used in an undefined and multifarious fashion. "We shall attempt to keep the patient alive as long as possible, but not at the expense of the quality of life" is an example of an everyday expression that refers to a concept of quality that is far more general, and also more difficult to deal with, than when speaking of the quality of a computer or help desk service. In organisational science, 'quality' in the sense of 'quality control', 'quality guarantee', or 'product quality' is rather concrete and can be measured by means of the specific characteristics of the product to be manufactured or the service to be delivered. However, the expression 'quality of work', which has been in vogue for some 30 years now and which refers to the attempts to give work a more humane character through the restructuring of tasks, delegation of responsibilities, stimulation of autonomy and task enrichment, has a much higher level of abstraction.

The concept of quality (and its assessment) can, therefore, be handled at a low level of abstraction, leading to simple, often only quantitative specifications and operationalisations. Quality of research can then be attached to one (or more) single, simple measure(s): the number of publications per year, or the number of patents, invitations and rewards in a given period. Likewise, quality of education can be assessed in this vein by the number of graduates per year, the relation between the inflow and outflow of students, an average score on a student questionnaire evaluating a course or training offered, etc.

Quality can also be handled as a complex concept. It cannot then be defined in simple terms. The final evaluation of this type of quality will involve a multiple assessment of the constituent elements that can oc-

cur in varying interrelationships and interactions. In general, this approach will provide a more useful basis for understanding the complexity of multi-faceted phenomena like the quality of research or education. To arrive at such an understanding, it is necessary to clarify which elements comprise this notion of quality. It is likely that such an analysis will force one to divide the concept even further into sub-concepts.

1.2 Why quality assessment?

Why should the concern for quality and quality assessment at universities and research institutes be given such a high priority? First and foremost there is the fact that a researcher always remains accountable. This starts with the publication of experimental or analytical results and the presentation of research findings to the scientific forum. Accountability vis-à-vis the scientific community, and often even the public at large, is inherent in the scientific venture and by implication provides an essential motive for the evaluation of research.

A further answer to the above question stems from the recognition of the importance of scientific research for society. It is generally recognised that the preservation and further advancement of the present-day welfare society cannot be guaranteed without a major contribution by means of national research and development efforts. This applies to the entire spectrum of sciences and humanities. Economic and social progress largely depends on the creation, testing and application of new ideas, insights and theories on the nature of and connections between natural phenomena, on social, economic and legal structures, as well as on the cultural and spiritual products of the human mind. Undeniably, maintaining quality criteria and high standards is a sine qua non for this significant contribution.

However, and in the third place scientific research has become increasingly costly. The experimental equipment needed in modern life sciences, the advanced apparatus being used in today's physics and chemistry, the large scale data collection and handling in the social sciences, and even the growth of high tech information in the humanities, all demand expensive investments in both personnel and equipment. Naturally, research and development cannot distrain on an ever-increasing slice of the national cake. In fact, in many European countries universities and research institutes' research budgets have been

under pressure for quite some time now. Given these economic constraints, national research councils and boards of universities, academies, and research institutes are constantly compelled to make choices and set priorities. It is evident that the quality of research is one important criterion in making such choices.

It is also evident that although for scientists quality is the major and often the sole criterion for such a choice, this cannot be the case for governments and governmental institutions. A democratically elected and controlled government cannot be denied the right, or even the duty, to set priorities for the distribution of resources to different scientific fields, nor denied the choice of having certain societal or economic problems be urgently researched on the basis of deliberate socio-political considerations. In fact, this is the basic justification for a system of strategic research.

1.3 Aspects of quality

It has been argued above that quality can be defined and measured at a low level of abstraction, or can be seen as a complex and abstract concept. In our view the latter approach is more fruitful when speaking about the quality of research or education. Of course, for assessment purposes, quality should then be specified and distinctions be drawn in terms of sub-concepts so as to avoid subjective, global, and therefore unreliable, evaluations.

In the rest of this monograph we examine the matter further and in relation to a recent example of quality assessment carried out under the auspices of ALLEA. For the moment we avoid the impossible task of defining the quality of scientific or scholarly research in a comprehensive and generally applicable way. Instead, we reiterate that quality can best be seen as a multidimensional concept in which two main elements are to be incorporated: an element of competence, originality and intellectual contribution to science, to be judged by intrinsic standards; and an element of relevance or contribution to society, as judged by external, more utilitarian criteria.

Given this multidimensional character of research, no single or simple available performance indicator, such as the number of publications, a citation index, the number of graduates, or number of patents will suffice. The more complex the phenomenon to be evaluated, the

more we have to rely on judgmental processes in which both quantitative and qualitative data are combined. In this context it should be stressed that the well known and often criticised peer review procedure, fallible as it may be in certain points, continues to play a significant role in quality evaluation.

With respect to the second element, namely, societal relevance, the following point of view needs to be emphasised. It would be most inapt to think that this element only refers to applied research and technological development, and to narrow the concept of societal relevance to practical usefulness, or, even worse, to economic utility. In fact, a sophisticated conception of relevance applies to the whole range of research, from basic to applied. We would like to distinguish the following four types of 'relevance':

First of all, *intrinsic* relevance, which goes beyond economic value and practical applicability. Research, be it in the natural sciences, in the humanities or in the social sciences, leads to an augmentation of the body of knowledge, an intrinsically valuable and precious quality of civilisation. Questioning the nature and determinants of observed phenomena is a fundamental and unique characteristic of the human species and a motor of its development. It is clear that the continuity of this scientific discourse appears to its full advantage in the dialogue with the next generation. In other words, intrinsic relevance is strongly related to the educational mission of science: the transmission, re-evaluation and further development of scientific knowledge in training and education, and the enrichment of the next generation with knowledge and insight.

Secondly, there is *instrumental* relevance, *i.e*., the immediate or indirect application of research through the transformation of its findings into practical tools and instruments. Applied research has not only resulted in an abundance of measuring devices and analytical techniques, including tests, drugs and diagnostic aids, but has also provided the means of influencing people, supporting decision making and directing or changing societal systems.

In the third place, *innovative* relevance, refers to the contribution that scientific research can make to the creation of new knowledge and insights, and which may lead to important breakthroughs in technology and development. It should be emphasised that while instrumental relevance is often a product of what is called applied or problem-driven research, this is certainly not always the case with respect to innovative

relevance. Also pure, 'curiosity-driven' research may turn out - sometimes unexpectedly and unintentionally - to be highly 'practical'. Pure research can lead to surprising applications, sometimes many years later. A few well-known illustrations prove this point: the development of computer topography in the 50s was based on the Radon theory, which was more than 40 years old at the time, the application of polymer chemistry in the manufacture of plastics took place more than 30 years after its formulation, while the time lag between the development of Marconi's telegraph and Maxwell's groundwork on the transmission of electronic waves was also more than 25 years. In fact, it is this train of thought that has led many of today's science philosophers to question the usefulness of the classic distinction 'basic - applied science'.

The fourth form of relevance can be called *contributive* relevance. Here the aim is not instrument development or technological innovation, but rather to support or contribute to decision-making and policy development on the basis of scientific findings. The visibility of the scientist's involvement in this process can vary from being almost imperceptible to being explicitly recognisable. The scientist can actually be one of the partners in the decision-making or policy-formation process; the research results can be used as ammunition in a discussion or debate, either to defend or to attack a certain position, or to create positive or negative attitudes with respect to a certain stance or view; or the scientist could be asked to bring in his/her expertise into the various phases of policy formation or decision making. This expertise can, of course, originate from basic research as well as from applied, problem-driven research.

We have tried to clarify that 'relevance for society' has many faces and can mean quite different things, and certainly refers to more than technological development. There should be scope for research that is generated by intellectual curiosity and which aims at the augmentation of knowledge and insight as such, whether this refers to phenomena in the universe, the earth system, human or animal behaviour or cultural products like languages, economic or legal systems. Reflection on the nature and meaning of things, as is realised in philosophy and theology, also falls within this ken.

1.4 Criteria for quality assessment procedures

An important question to be considered when designing an assessment procedure is which criteria should be met in choosing or developing instruments or indicators of quality. The following criteria should be considered (see e.g. Drenth, 1986):

Relevance. This concerns the degree to which an index or rating instrument adequately represents the goals or the performance domain that the assessment hopes to cover. Two major questions arise here. Firstly, whether the essential elements of the intended goal are sufficiently accounted for. If not, we speak of deficiency. Secondly, whether it can be guaranteed that no extraneous aspects are included. In this case we speak of excessiveness. A rating system for research quality in which only output quantity is measured, is deficient, and a system that includes students' ratings of teaching quality may be excessive, since quality of teaching may not be part of the defined domain 'quality of scientific research'. The relevance of an assessment system is therefore mainly determined by the extent to which deficiency and excessiveness have been avoided.

Validity. This refers to the (empirical) question of whether an instrument or scale, intended to ascertain a certain characteristic or quality, actually does measure this characteristic or quality. The peer rating of project proposals may serve as an example. The extent to which the real quality of the proposal is rated is an indication of peer rating's validity. The extent to which such rating also reflects the reputation of the institute in which the author works, the quality of the proposal's English, or the author's age, gender or nationality invalidates peer rating.

Reliability. This notion refers to the degree to which all kinds of coincidental influences or error factors are eliminated from a given method of assessment or measurement. Ideally, two independent ratings should result in identical scores. It is clear that objective, quantifiable data are mostly more reliable than subjective, 'softer' data. On the other hand, these objective quantitative data are often more vulnerable in view of the demands made by relevance and validity. In many cases one is forced to take refuge in the more subjective methods in order to guarantee sufficient relevance and validity.

Transparency. This criterion refers to the degree to which the process of assessment and evaluation is clear and unambiguous. The elements that constitute the final assessment, and the weight attributed to

them should be transparent for those involved. The argument for this criterion is threefold. Firstly, transparency is a general requirement that can be set for all inferences and judgements. Inferential processes and elements in evaluation should be made as explicit as possible in order to create a rational, analysable and improvable procedure. Secondly, assessments often have consequences: measures will be taken, sometimes with serious consequences for the organisation, its personnel or finances. The people affected are entitled to have insight into the evaluation process and the weighing of various elements against one another. Moreover, where there are unpleasant consequences for individuals, the possibility of an appeal should be offered, which once again means that the grounds on which the evaluation rests should be made explicit. Thirdly, the objective of an assessment is often improvement. There is also the learning principle that feedback for learning and improvement should be specific. Qualities and shortcomings should be presented in a clear and detailed manner if a modification of behaviour in a desired direction is aspired to.

Acceptability. This criterion is not entirely different from the previous one. Totally non-transparent procedures are generally unacceptable for the people involved. Of course, the reverse is not necessarily true: high transparency is no guarantee of acceptability. What has been said about the importance of transparency for feedback and improvement is also true for acceptability. Change and improvement can be best achieved if the basis on which the assessment rests is acceptable for the institution or the individual concerned. The problem of consequences is another important factor in this discussion. The more serious these consequences for those involved, the greater the demand for acceptability. People are less troubled when a scientific prize or small grant is determined by less acceptable criteria, than when such criteria are used for the evaluation of their institute or department.

1.5 Role of Academies

Under certain circumstances I believe that Academies of Sciences and Humanities (and international Associations of Academies, such as ALLEA) are suitable organisations to take on the responsibility of assessing scientific research quality, as described above. In addition to its platform and meeting function, its administrative responsibility for re-

search carried out through Academy-projects or in Academy institutes, and to its advisory function with respect to the promotion of science, a fourth allotted task for the Academy may be an evaluative function - evaluation of individuals (prizes, scholarships, fellowships), programmes (research programmes, proposals for graduate schools), and institutes (research institutes within universities or other governmental organisations).

This evaluative function of an Academy can be defended on three grounds. In the first place the availability of the profuse scientific knowledge and experience within its walls and within its advisory councils and committees. Secondly, the impartiality of Academy members: no political, economic, regional or professional interest group could hope to be specially favoured by a serious and responsible Academy's judgements. Thirdly, the exclusively scientific and scholarly orientation of the Academy members: it is the promotion of good science and scholarship that determines their choices and judgements.

At this point it may be appropriate to take a closer look at the distinction between this 'Academic' evaluation function and the equivalent function of National Science Foundations or Science Research Councils. A number of years ago the Dutch Academy of Sciences (KNAW) and the Dutch National Science Foundation (NWO) concluded that their tasks could be best divided along the lines separating evaluation ex ante from evaluation ex post. NWO evaluates proposals for projects, programmes and individual activities to be financially supported in the future, and therefore works in a prospective context. The Academy evaluates whether and to what extent objectives set out in the past have been achieved and assesses the performance and achievements retrospectively. Of course, the distinction is not always 100% accurate, and does not preclude some Academy evaluations from having predictive connotations, or the ratings of NWO from being based on past performance.

Why would universities and research institutes want to call in the help of an external evaluation body such as the Academy? The answer to this question may be twofold. In the first place it can be argued that the universities could benefit greatly from outside, expert judgement regarding their own quality control system and the scientific level of their research. Such an exercise offers them an independent, external yardstick to place their research in a broader perspective, it can work preventively by guarding against a slackening of the university's vigi-

lance and concern for quality, it can promote inter-university co-operation and a division of tasks, and it will provide a way of parcelling out the various fields of research more effectively.

Secondly, the evaluative role of the Academy may be imposed upon the university by the Ministry, or be required by outside funding agencies if there are doubts whether the institutions themselves are capable or willing to achieve an objective and honest appraisal of their research. It is clear, however, that also in such circumstances the co-operation and agreement of the institutions to be evaluated are essential, and that the feedback will have to be directed primarily towards the object of the evaluation: the university or institute.

A comparable situation occurs at an international level. Take Europe as an example. Institutions, projects, programmes, and collaborative networks in Europe are increasingly dissociating themselves from the national perspective and have a real supra-national, sometimes pan-European, character. The same is true for European research efforts as initiated by the European Commission (Framework Programmes), the European Science Foundation (ESF) and the envisaged European Research Council. In these programmes the need for an *einmalige* or periodic independent evaluation is felt as well. It is our view that ALLEA, as the Federation of National Academies in Europe, can fill the hiatus and offer its expertise for such evaluations. ALLEA evaluation committees, or such committees composed by ALLEA and selected from the rank and file of Academicians, can fulfil a similar function at the European level as national Academies fulfil within their own country. It is in this context that the President of ALLEA has asked the member Academies to nominate up to five Academicians who would agree to be approached for such a review activity. ALLEA would then have a pool of potential reviewers to draw on, should the need arise.

There is still another advantage to the creation of such a pool of reviewers. We see a growing tradition of inviting foreign experts to serve in national review committees. This should be encouraged, since it will contribute to further internationalisation and counters provincialism through international benchmarking. Here, again, ALLEA members may render one another a service through the availability of foreign expert reviewers.

1.6 Conclusion

In this chapter it was maintained that 'quality' will remain one of the most salient criteria in reviewing educational systems and science research. Simultaneously the dissociation of the concept of quality from the sphere of slogans and political catch phrases, and defining the term in logical and empirical terms were defended. It was also asserted that the quality of more complex systems has to be assessed with the help of quantitative indicators as well as with qualitative, judgmental ratings. Important conditions for proper reviewing are expertise, independence and a strict scientific orientation. It was argued that Academies of Sciences and Humanities, and, at a European level ALLEA as the European Federation of Academies, would be suitable institutions to be invited for such quality assessment exercises.

Chapter 2
The Case Portrayed

In 2000 the ESF amended its Statutes to include a requirement for the quinquennial review of its system of Scientific Standing Committees. In partial fulfilment of this requirement, the Royal Society was asked to undertake a review of Standing Committees for the Medical Sciences (EMRC), Life and Environmental Sciences (LESC), and Physical and Engineering Sciences (PESC). This review was completed in 2001. Towards the end of the same year, the ESF requested the All European Academies (ALLEA) to undertake an integrated review of the remaining two Standing Committees, the one for the Humanities (SCH) and the other for the Social Sciences (SCSS).

What kind of an organisation is the ESF? What does it and its Standing Committees do, and how do these structures operate? By answering these questions, this chapter seeks to provide a comprehensive overview of the nature and functioning of the institutional actors – the ESF's Standing Committees for the Social Sciences (SCSS) and the Humanities (SCH) – that the ALLEA was asked to evaluate[1]. Such an overview is provided here as a background for the detailed description, in chapter 3, of the structure, design and management of the evaluation ALLEA undertook.

2.1 The European Science Foundation in broader outline

Beginnings and basic organisational characteristics

A useful first step towards understanding what kind of an organisation the ESF is, is to examine the wider circumstances surrounding its establishment in 1974. In terms of the development of European S&T policy, the early 1970s witnessed a growing consensus about the benefits to be gained from cross-national collaboration in research and technological development activities. However, this was also a time of widespread misgivings, at the national level, about the attempts of what was

[1] In compiling such an overview, the chapter draws directly on ESF corporate publications as well as the content of the ESF's website. In addition, it uses information that was obtained during interviews with ESF members of staff during the evaluation of the SCH and the SCSS.

then the European Community (EC) to launch and manage such activities. In the long term, these misgivings did not result in the withdrawal of member state support for the EC's pursuit of an S&T policy competence. They did, however, contribute to the parallel evolution of European initiatives in which the EC could participate, but which fell outside of its scope and legal framework. The ESF can be regarded as representing one such initiative. It was set up with the cooperation and support of the EC, but at the initiative of various national research councils and academies. Another well-known example of a non-EC initiative established at about the same time – in 1971 – is the 'Cooperation in the Field of Scientific and Technical Research' (COST) programme. A later example is the 'European Research Coordination Agency' (EUREKA), which was established in 1985.

What were the misgivings about the EC route to effecting cross-national collaboration, and what experiences had given rise to them? The answer to these questions lies in the attempts of the European Atomic Energy Community (EURATOM) to promote S&T as an instrument in the development of a self-sufficient European nuclear energy industry[2]. Post-war Western Europe had identified nuclear power, with its potential for advances in the military field and energy, as *the* research priority, and EURATOM stepped in to support it (Peterson & Sharp, 1998). It did so by means of multi-annual research programmes, as well as the establishment of a Joint Nuclear Research Centre[3]. Both activities were intended to (i) coordinate national research programmes so as to avoid the duplication of research efforts; (ii) complement such programmes in a way that would cover national research gaps; and (iii) promote and support the exchange of research ideas and methods, as well as the dissemination of research results (Hackmann, 2003).

By the end of the 1960s, EURATOM's research endeavour had ground to a halt. In 1968 the Secretary General of the European Commission concluded that EURATOM "(has) achieved very few of its

[2] EURATOM was one of the three original Communities of what was to become the EC and, later, the EU. The other two original Communities included the European Coal and Steel Community (ECSC), which was set up in 1951, and the European Economic Community (EEC), established together with EURATOM in 1957 (Nugent, 1995).

[3] The Centre was established by bringing together existing installations and laboratories in Belgium, Germany, Italy and The Netherlands. With time, and with changes in EC research policy and its priorities, the Centre was renamed and became known simply as the Joint Research Centre (JRC).

aims", and "generally has not succeeded in coordinating, and even less in drawing together in a coherent whole, the efforts of Member States" (cited in Guzzetti, 1995, p.31). The problems that had obstructed EURATOM's success and fostered misgivings about the EC's early forays into developing a S&T policy competence were manifold. In the first place, the political climate within which EURATOM operated was fiercely anti-integrationist and suspicious of any supranational ambitions that the EC may have harboured. Secondly, an absence of trust between national actors jostling for international position meant that EURATOM was besieged by concerns about inequality and demands for *juste retour*, which saw member states expecting a slice of funding proportionate to their contributions. And thirdly, fundamental differences in national S&T policies and priorities proved far more difficult to reconcile and coordinate than had initially been foreseen. All three of these problems served as major constraints to securing the consensus required by EURATOM for organising and funding cross-national collaboration and would, despite a relaxation of the political climate and an ever-increasing enthusiasm for cross-national collaboration, continue to plague many of the programmes and other research activities initiated by the EC from the end of the 1960s onwards (see, for example, Guzzetti, 1995; Peterson & Sharp, 1998).

Given EURATOM's problems, the perceived advantages of pursuing European collaboration outside of the EC framework were clear. Initiatives such as the ESF, COST and EUREKA took the form of inter-governmental or multi-lateral agreements, which avoided the politics of integration and guaranteed the independence and sovereignty of national governments or the organisational actors representing them[4]. In addition, these types of initiatives counteracted concerns about *juste retour* by offering their members the flexibility of so-called *à la carte* funding possibilities. In short, this meant that membership of an initiative did not necessarily oblige participation in all of its joint activities.

[4] In reality, S&T policy in the EC and later the EU essentially remained a matter of intergovernmental bargaining rather than one of supranationalism, at least until May 1999 when the Amsterdam Treaty came into force and the requirement of unanimity in Council decisions was finally removed from the decision-making procedures governing this particular policy sector. With reference to more recent developments, some argue that the idea of an European Research Area (ERA) entails the development of an independent, de-nationalised policy at the EU level and can, therefore, be seen as representing a move towards a supranational European S&T policy (see, for example, Trondal, 2002).

Instead, members could choose to take part in, and fund, only those activities they were interested in or believed they could benefit from. This in turn meant that they could commit themselves to the development of cross-national collaboration and common S&T policies whilst maintaining their own divergent policies and policy priorities.

Over and above these kinds of political and practical considerations, the establishment of the ESF could be motivated on two additional grounds, both of which further distinguished the organisation in structural and substantive terms from what the EC was doing. On the one hand, the ESF was to be a pan-European initiative which, like COST and EUREKA, would involve countries beyond the EC's range of member states. On the other hand, the ESF was to support and promote basic research, which was explicitly not an EC priority and would, therefore, have to be addressed via non-EC channels.

As identified above, the basic characteristics of the ESF at the time of its establishment are still those that define the organisation today. Thus, it is a pan-European organisation or, rather, association of organisations, which currently has 76 members from 29 European countries. Strictly speaking, it is a non-governmental organisation, although its membership consists primarily of publicly funded agencies, namely, national research councils and scientific academies. The ESF's designation as a foundation is somewhat of a misnomer as it receives no endowment funds from private benefactors (Smith, 2002). Instead, it pays for the bulk of its activities through the contributions of its member organisations. Such contributions take on one of two forms. On the one hand there are compulsory membership dues, which comprise the ESF's general budget, and on the other hand there are optional payments for specific, *à la carte* programmes and projects in which member organisations decide to participate. In addition, the ESF has received financial support from the European Commission for its European Research Conferences (EURESCO) scheme, as well its newly established EUROCORES programmes (see section 'Instruments and modes of funding' for a description of these instruments)[5].

As far as the ESF's sphere of operation is concerned, the organisation has maintained its focus on supporting and promoting basic research in Europe. It does so by means of two core activities. In the first place it provides the resources necessary to bring European scientists

[5] In 2002, the ESF's general budget amounted to 6.3 million Euros. The organisation's total annual cash flow is over 17 million Euros.

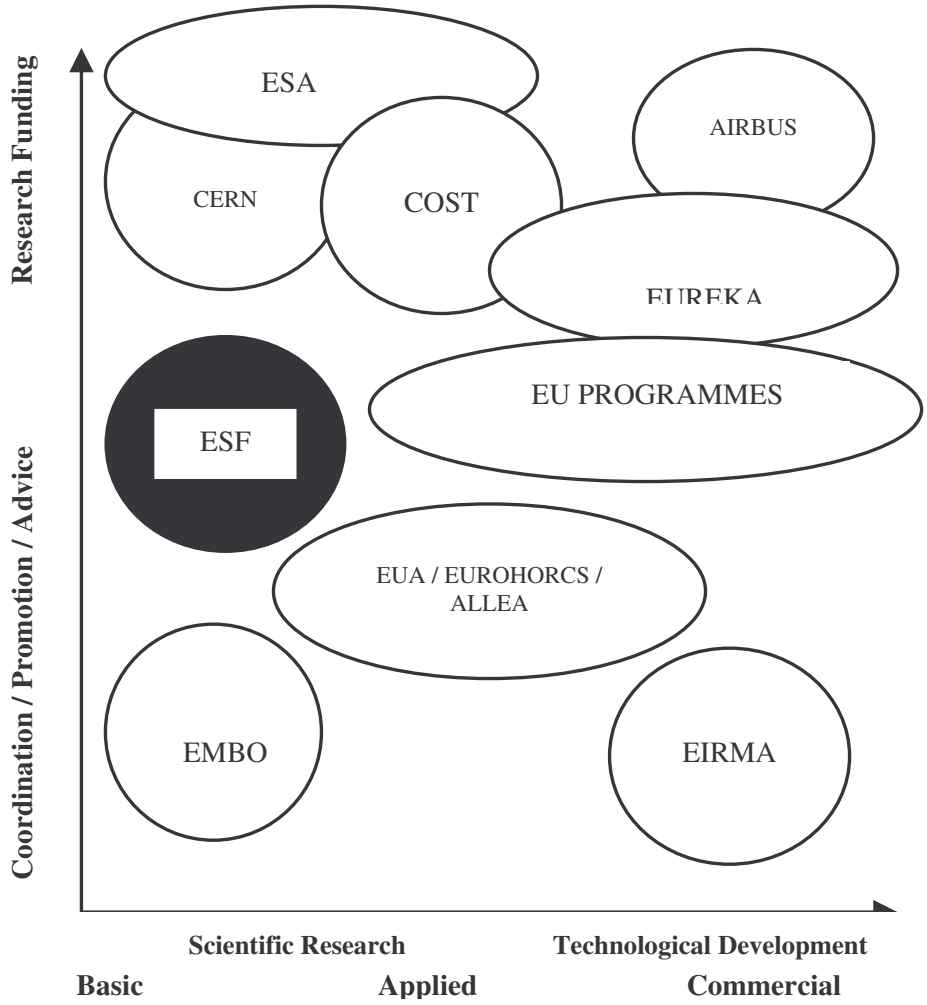
together to work on topics of common concern, to facilitate cooperation in the use of research facilities and infrastructure, and to identify new endeavours that will benefit from a cooperative approach. Secondly, it cooperates with its member organisations in acting as a policy advisor on S&T policy issues of strategic European importance. With regard to both types of activity, the ESF operates as a non-thematic and non-disciplinary organisation, *i.e.*, it does not focus on a particular area of research and covers all scientific fields, from medical, life and environmental, as well as physical and engineering sciences, to social sciences and the humanities.

A niche within Europe's S&T policy landscape

Using what has been learnt about the ESF thus far, Figures 1 and 2 below illustrate its position amongst a sample of other players in Europe's S&T policy landscape. The figures go some way towards demonstrating that within this landscape, an organisation's niche can be identified on the basis of a range of structural and substantive factors. The latter include:

- The thematic and disciplinary scope of an organisation: Compare, for example, the inclusivity or comprehensiveness of the ESF with the thematic and/or disciplinary specificity of the ESA, CERN, AIRBUS or EMBO. In this regard the ESF also stands out amongst other European initiatives for its support not only of social scientific research, but of research in the humanities as well.
- The nature of an organisation's core business: As opposed to AIRBUS, the ESA, CERN, COST, and EUREKA, the ESF is not only a research funder. Neither does it exist purely to coordinate or promote the policies and activities of its members or to provide them and others with policy advice.
- The type of research activity an organisation supports: Like the CERN and EMBO, the ESF concerns itself with basic research rather than applied research or, further down the spectrum of S&T activities, pre-competitive and commercial technological development.
- The geographic scope of an organisation's membership profile: The issue here is whether or not membership extends beyond the confines

Figure 1. The ESF within the European S&T policy landscape: Core business and type of research activity supported[6].



[6] AIRBUS: Airbus Industrie; ALLEA: All European Academies; CERN: Centre Européen pour la Recherche Nucléaire; COST: Programme of Cooperation in Scientific and Technical Research; EIRMA: European Industrial Research Managers Association; EMBO: European Molecular Biology Organisation; ESA: European Space Agency; ESF: European Science Foundation; EUA: European Universities Association; EU: European Union; EUREKA: European Research Coordination Agency; EUROHORCS: Meeting of Heads of National Research Councils in the EU.

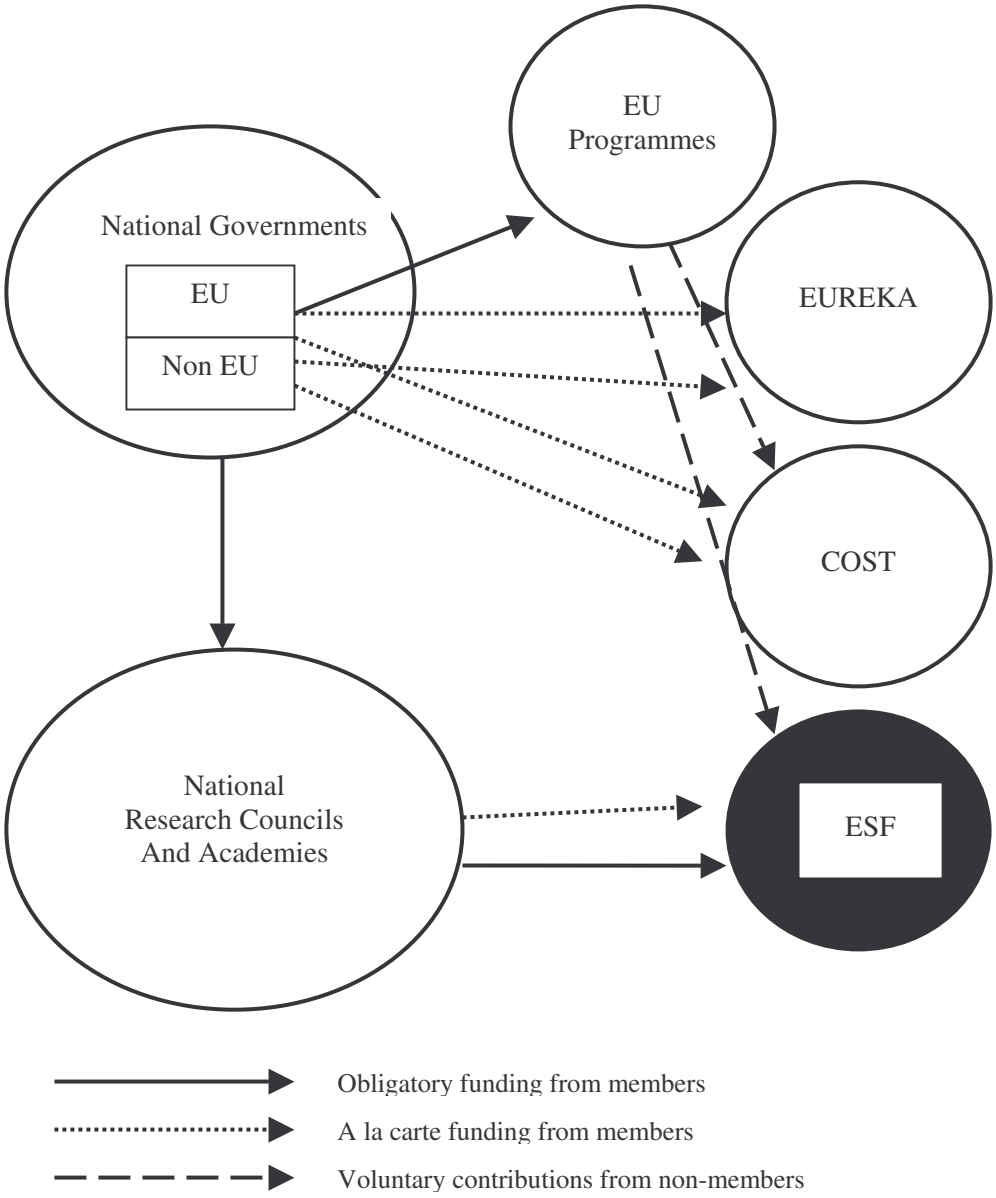
of the EU, as it does in the case of the ESF and organisations such as COST, EUREKA or ALLEA.

- The type of actors comprising an organisation's membership profile: Actors can include national governments (EU programmes, the ESA, COST and EUREKA); intermediary research agencies such as research councils and/or academies (ESF, EUROHORCS and ALLEA); universities (EUA); public or private research institutes (EMBO); and industrial actors (EIRMA). In addition, membership of European collaborative initiatives can include trans-national bodies, as is evident from the EU's membership of EUREKA.
- The main lines of financial support received by an organisation: Support can consist of obligatory payments by an organisation's members, voluntary payments (*à la carte* funding and other contributions) by members and non-members or, as in the case of the ESF, a mixture of these options.

From the above one can conclude that the ESF occupies a rather distinctive niche in the European S&T policy landscape; that in terms of its particular structural and substantive contours, it does not overlap in any significant way with other European players or find itself in direct competition with them. However, recent and ongoing developments both internal and external to the practice of S&T itself suggest that this niche is less distinctive than may first appear to be the case. Over time, the ESF's niche boundaries have become blurred. During the past two decades, for example, we have increasingly come to understand that, in practice, basic and applied research form part of a complex whole, the elements of which are difficult if not impossible to distinguish from one another[7]. This implies that, in reality, there is likely to be an overlap

[7] Such an understanding has accompanied a shift in how the research and innovation process is conceptualised. The shift has been away from a linear model, which advocated a straight line of development from basic to applied research (and, more generally, from scientific to technology development, production and commercialisation), towards a chain-link model, which emphasises the complex interaction between these component elements of the process in a series of repeated feedback loops (Peterson & Sharp, 1998, p.47). In the linear model, basic and applied research were separated; the former regarded as curiosity-driven and the latter as use-driven. In the chain-link model this dichotomy has disappeared. Today it is widely held that "much of the fundamental knowledge generated in the last century has been the result of basic research with specific applications in mind" and, hence, that "basic research can be both use- and curiosity-driven" (Boesman, 1997, p.47).

Figure 2. The ESF within the European S&T policy landscape: Geographic scope, type of members and lines of financial support.



between the different types of activities organisations claim to support. In the case of the ESF, the overlap would be particularly noticeable with other non-thematic initiatives like COST or EU programmes that, in terms of policy rhetoric, are typically pigeonholed as supporting applied research. With regard to the EU, the overlap has actually become more manifest as Framework Programmes now place an increasing emphasis on funding basic research.

A further blurring of the ESF's niche boundaries concerns its disciplinary scope. Here it is particularly interesting to note the growing rate at which social scientific and even humanities research are included in the activities supported by organisations traditionally associated with the natural sciences. Good examples of this include EUREKA (where institutes such as the Royal Danish Academy of Fine Arts have participated in projects such as one aimed at the establishment of technical standards for the examination and treatment of monuments), and the ESA (where philosophers, historians and theologians are involved in examining the ethical issues of space exploration, and design students have been challenged to create products featuring new interior storage concepts by applying 'space methods' to life on Earth). In the case of the EU, we have also seen a growing recognition not only of the importance of supporting the social sciences directly (e.g. by means of programmes such as the Targeted Socio-Economic Research (TSER) programme, first launched in 1994 as part of the Fourth Framework Programme), but also of ensuring the incorporation of social scientists in a broader spectrum of EU funding activities. The blurring of disciplinary and, hence, of niche boundaries that these examples highlight can be related to the ever-increasing emphasis contemporary S&T policy places on inter- or trans-disciplinarity. Such an emphasis has been further boosted by the so-called social turn in S&T policy, which calls for harnessing the broader social benefits of science and tends to bring social and natural scientists into closer alliance.

In more structural terms, a blurring of boundaries between the ESF and other European S&T initiatives can be attributed to broader political processes that continue to lead to an expansion of the geographical scope of organisational membership profiles. Provoked by events surrounding the dissolution of the Soviet Union, such processes have altered conceptions of the boundaries of Europe itself, and have consistently stressed the need for Western Europeans to reach out to Central and Eastern European partners. In some cases (e.g. the ESF and

EUREKA) this led to the expansion of organisations' membership profiles, which in turn distinguished these organisations from others (e.g. the ESA and, most notably, the EU) as being pan-European in nature. Today, the most obvious challenge to that distinction is posed by processes of EU enlargement. As far as the ESF's distinctiveness in relation to the EU goes, these processes will render as increasingly irrelevant the measure of pan-Europeanness.

In addition to the developments already discussed, an attempt to identify the ESF's position in Europe's S&T landscape must consider the consequences of current developments related to the building of a European Research Area (ERA). One of these consequences will involve new alignments and closer working relations between existing European initiatives and, by implication, a further blurring of the niche boundaries between such initiatives. A striking example of this can be found in the recent agreement to locate responsibility for the scientific management and support of COST within the ESF (ESF, 2003b). According to the ESF itself, this agreement brings together European research networking in a 'one stop shop' and can be seen as a stepping-stone towards the establishment of a European Research Council (ERC) (ESF, 2003a).

Mission and operating principles

According to its mission statement, the ESF *promotes the development of European science at the forefront of knowledge by bringing together leading scientists and scholars and research and funding agencies to debate, plan and implement European research*. In more specific terms, the organisation seeks to promote:

- the integration of the European research community;
- the development of multidisciplinarity;
- contact and cooperation between European countries (both 'larger and smaller') and their science communities, building on scientific and cultural diversity;
- the development of a coordinated European approach to global programmes;
- the synchronisation of the activities of the ESF member organisations; and

- the development of an ESF 'voice' as an independent scientific organisation.

In terms of delivering this mission, the ESF takes into account the potential of a European added value, the priorities of its member organisations, and the needs and aspirations of the wider European research community. Furthermore, it commits itself to a set of operating principles, which see the organisation striving to:

- ensure scientific excellence at all times, while promoting good and ethically sound research practice;
- actively stimulate the implementation of innovative research at a European level and reinforce European scientific capacity and capability;
- take into account the interests of all those involved in the ESF and its activities and to reconcile them in a common European approach;
- ensure swiftness, flexibility and efficiency of response; and
- operate in an open and transparent variable geometry mode.

Instruments and modes of funding

Since its relatively small beginnings and limited budget in 1974, the ESF has considerably expanded its repertoire of instruments for promoting European science (see also Smith, 2002). The mainstay of this repertoire has always been the ESF's *scientific programmes*. Funded on an *à la carte* basis, these programmes comprise longer term activities (covering a period of 3 to 5 years) focussed on specific themes. They bring together substantive research projects carried out by multinational teams of researchers and provide them with resources for meetings, conferences and workshops, as well as publications, publicity, data preparation, the creation of databases, and administrative costs. Programmes are aimed at uniting nationally funded research activities, promoting high quality research, and coordinating and developing European expertise in specific fields. Whilst programme funds do not cover fieldwork or other direct research activities, provision can be made for limited fellowship schemes that enable researchers to undertake collaborative projects of relevance to a programme's activities.

In the early 1980s the ESF introduced a *scientific networks* scheme. Networks are intended to bring scientists together in order to coordinate their activities, stimulate and consolidate European science in specific

fields, promote mobility and mutual awareness within the relevant scientific community, and explore the potential of developing and carrying out research at a European level. Unlike scientific programmes, scientific networks are funded from the ESF's general budget. They are funded for up to 3 years, and the funding makes provision for meetings of the network's coordinating committee, workshops, costs involved in the dissemination of research information, some publication costs and, occasionally, inter-laboratory exchanges.

The ESF's European Research Conferences or *EURESCO* scheme was launched towards the end of the 1980s and has, until recently, received significant financial support from the EU's Framework Programmes. The scheme involves a series of top-level scientific meetings or conferences in all areas of research. These conferences aim to stimulate free discussion of research frontiers, and to encourage dialogue between younger researchers and leading experts in specific fields.

Exploratory workshops, which are funded from the ESF's general budget, were introduced by the ESF in the early 1990s. Workshops are intended to facilitate the exchange of knowledge and experience between European researchers in an emerging area of research. They are also meant to help establish new collaborative links between different disciplines, and encourage researchers to put forward and test innovative ideas and develop potential collaborative research projects.

Together, the four instruments described above comprise what the ESF calls its "system of traditional networking instruments" (ESF, 2002, p.11). Since 2001, this system has been complemented with a series of new instruments, which have been designed to meet changing needs within Europe for the support of science, and to ensure the ESF's development and repositioning within the ERA. The first of these instruments is the ESF Collaborative Research Programmes or *EUROCORES* scheme. EUROCORES meet identified research needs by coordinating national research funding on priority topics through a common call for proposals and a single peer review system[8]. EUROCORES thus provide a variable geometry mechanism for actually funding basic research (over and above facilitating research networking) at a European level. The further development of this mechanism as a major European funding initiative has been ensured by its receipt of a grant of

[8] In comparison, the ESF's scientific programmes are based on a dual system of assessment and review; one at the European (ESF) level and one at the national (member organisation) level.

up to 20 million euros for the period 2003 to 2006 from the EU's Sixth Framework Programme.

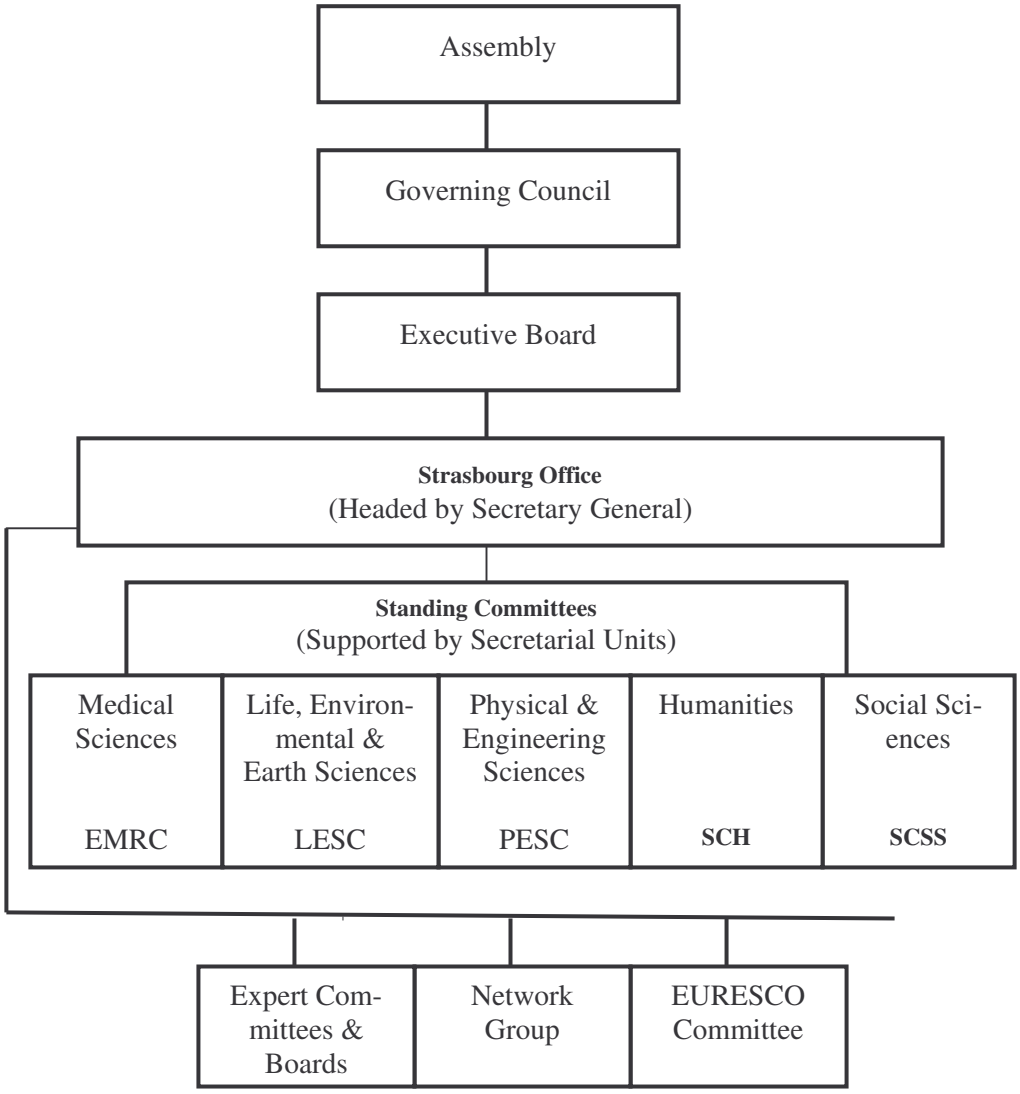
The ESF's second new instrument is the *Scientific Forward Look*. This instrument has been designed to enable Europe's scientists and science policy makers to interact in developing medium- to long-term views and analyses of future research developments in multi- and trans-disciplinary topics. The aim is to bring together scientific foresight and national and European planning for research funding, and to provide the templates for future actions at both the national and the European level.

The European Young Investigators or *EURYI Awards* comprise the ESF's third, and latest, new instrument. Launched in 2003, these awards were instigated by EUROHORCS, the Heads of National Research Councils in the EU. Their aim is to enable and encourage outstanding young researchers from all over the world to work in an European environment for the development of European science and the building of the next generation of leading European researchers.

The mode of funding attached to the ESF's repertoire of instruments is largely responsive, i.e., the ESF does not seek to set the agenda of activities to be supported by prior specification of thematic topics. It is only in the case of exploratory workshops and EUROCORES that priority topics are specified and, hence, that a directed mode is employed. But even in the case of the former, the annual call for proposals always includes an open element, which enables applicants to put forward their own ideas for workshop topics.

Within the responsive mode of funding, ideas for research or networking activities to be supported by the ESF can be generated in a bottom-up or top-down manner. Whereas the bottom-up route sees scientists themselves proposing specific topics, the top-down route sees the ESF's Standing Committees or member organisations suggesting or requesting that specific topics be addressed. In both cases exploratory workshops, which are aimed at spearheading new areas of research, can and do serve as potential sources of topics for scientific networks, programmes and EUROCORES. The outcomes of Forward Looks are also intended to provide the basis for the future development of EUROCORES.

Figure 3. Structure of the European Science Foundation (ESF)



Organisational structure

As shown in Figure 3, the ESF's main decision-making body is its *Assembly*. Represented by each of the ESF's member organisations, the Assembly is responsible for admitting new members to the ESF and for approving its budget, accounts, and statute changes. It is also the Assembly that appoints the ESF's President, its Secretary General, and the members of its Executive Board. The ESF's *Governing Council* consists of representatives from national research councils and/or academies nominated by national groups of member organisations, and two observers, namely ALLEA and the European Commission. The Council assumes responsibility for setting, approving, directing and monitoring the overall strategic direction of the ESF. Implementing the strategy and policy set by the Governing Council, and developing the ESF's science policy activities, is the function of the *Executive Board*. The latter structure includes the ESF's President, its two Vice-Presidents, the Secretary General, as well as four members elected by the Assembly on the advice of the Governing Council.

A system of *Scientific Standing Committees* comprises the ESF's principal means of engaging with Europe's scientific community and realising ESF strategies and policies. The Standing Committees are composed of leading scientists or members of ESF member organisations, all of whom are nominated by the latter. They direct and manage the funding processes associated with the ESF's repertoire of instruments, are responsible for identifying scientific priorities, formulating strategies, and developing interdisciplinary activities, and tackling relevant science policy issues. The five Standing Committees cover broad scientific disciplines. They include:

- The European Medical Research Councils Standing Committee (EMRC);
- The Standing Committee for the Life and Environmental Sciences (LESC);
- The Standing Committee for the Physical and Engineering Sciences (PESC);
- The Standing Committee for the Humanities (SCH); and
- The Standing Committee for the Social Sciences (SCSS).

Each of these Standing Committees is supported by a *Secretariat*, which is located in the Offices of the ESF in Strasbourg and is headed by a Senior Scientific Secretary.

Together with the ESF's President, General Secretary and one other member of the Executive Board, the Chairs of the five Standing Committees comprise the ESF's *Network Group*. On the basis of recommendations made by the Standing Committees, this body serves to review and approve the launching of new scientific networks.

The *EURESCO Committee* oversees the ESF's scheme of European research conferences. At least one member of each Standing Committee is represented on the EURESCO Committee, and their responsibility there relates to the annual process of reviewing and funding EURESCO applications.

In addition to the abovementioned structures, the ESF includes a number of specialised groups or *Expert Committees and Boards.* In association with the ESF's Standing Committees, these groups are established as necessary and are intended to address the coordination of science and the development of science policy in specialist scientific subjects. Currently there are five groups, including:

- The ESF Marine Board (ESF-MB);
- The European Polar Board (EPB);
- The Committee on Radio Astronomy Frequencies (CRAF);
- The European Space Science Committee (ESSC); and
- The Nuclear Physics European Collaboration Committee (NuPECC).

2.2 Specifics of the Standing Committee on Humanities and the Standing Committee on Social Sciences

As already indicated, the ESF's portfolio of activities is directed and managed by five disciplinary Standing Committees, including one for the humanities (the SCH) and one for the social sciences (the SCSS). These two Committees cover a wide range of fields. Those covered by the SCH include:

- Archaeology
- History
- Ethnology and folklore
- Literature and arts
- Linguistics
- Philosophy
- Theology

And fields covered by the SCSS include:

- Economics
- Political Science
- Sociology
- Psychology
- Geography
- Management and business studies
- Social anthropology
- Education
- Socio-legal studies

Committee structure and membership

For purposes of fulfilling their objectives and tasks (see section 'Activities and objectives' below), the SCH and SCSS hold two plenary meetings per annum. The number of committee members comprising these two Standing Committees (28 each) corresponds with the number of countries that have one or more ESF member organisations working in the social sciences and humanities. There is, in other words, one representative per country rather than one per member organisation.[9] All committee members are, however, nominated by member organisations. This is a country-specific procedure, which is determined by the particular structure and ecology of different national research systems. National procedures would, for example, differ depending on the degree of fragmentation and division of labour between two or more member organisations such as the Netherlands Organisation for Scientific Research (*Nederlandse Organisatie voor Wetenschappelijk Onderzoek* or NWO) and the Royal Netherlands Academy of Arts and Sciences (*Koninklijke Nederlandse Akademie van Wetenschappen* or KNAW).

Both the SCH and the SCSS have a Core Group, which consists of eight Standing Committee members. Representatives from France, Germany, Italy and the United Kingdom are permanent members of these Core Groups. The other four members are selected by the SCH and the SCSS themselves. Core Groups serve to prepare some of the

[9] Belgium, which has two representatives on the SCSS, is the exception to the rule.

decisions and activities undertaken during plenary meetings of the SCH and SCSS. In addition, members of the Core Groups meet once a year with senior administrative representatives of ESF member organisations. The purpose of these meetings is to exchange information and discuss scientific and policy issues relevant to current and projected activities of the SCH and SCSS (see also section 'Primary relationships' below).

Both the Standing Committees being considered (and their respective Core Groups) are lead by a Chairperson. For the appointment of this position, the ESF requests its member organisations to nominate suitable candidates, not necessarily from their own countries. These nominations are considered by a Search Committee, which is chaired by the President or Vice-President of the ESF and includes members of the SCH or SCSS Core Group. The Search Committee's recommendation to appoint a Standing Committee Chairperson is approved by the ESF's Governing Council. Apart from presiding over SCH and SCSS meetings, Standing Committee Chairpersons are members of the ESF's Network Group (see section 'Organisational structure' above). They are also expected to meet at least once a year with the ESF's Executive Board, to report on Standing Committee activities at annual meetings of the General Assembly, and to act in an advisory capacity at meetings of the ESF's Governing Council. All Standing Committee members, including Chairpersons, are appointed for a period of between three and five years.

Apart from Standing Committee Members, SCH and SCSS plenary meetings are attended by a limited number of observers from research agencies in non-ESF countries, including the United States of America, as well as other relevant organisations such as the European Commission's Directorate General for Research. The participation of observers in Standing Committee meetings serves not only to ensure information exchange, but also to enlarge the ESF's base for potential research collaboration beyond its membership borders.

Secretariats

Both the SCH and the SCSS receive administrative and scientific support from a Secretariat, which is headed by a Senior Scientific Secretary. The two Committees also share a Scientific Secretary, who carries

a special responsibility for areas of shared interest between them (see also section 'Primary relationships' below). The main tasks of the Secretariats include:
- General administration (organisation and supervision of);
- Financial administration (planning and supervision of, as well as accountability for);
- The preparation of all SCH or SCSS meetings and the management and support of SCH or SCSS funding processes (see section 'Instruments of funding processes' below);
- Internal coordination with other ESF Standing Committees and other Committees or Expert Boards;
- Liaison with member organisation on all matters related to SCH or SCSS business;
- Networking with international organisations or national funding organisations outside of Europe;
- Communications and the dissemination of information about SCH or SCSS activities; and
- Contributing to the initiation and development of SCH or SCSS science policy activities.

Activities and objectives

Like other ESF Standing Committees, the SCH and SCSS manage two lines of activity. The first of these involve *scientific activities*; more specifically, the financing, support and coordination of European research. With regard to these activities, the two Committees describe their objectives as follows. The SCH strives to:
- encourage interdisciplinary work through the independent evaluation of collaborative research proposals emanating from the scholarly community;
- identify priority research areas; and
- play an integrative and coordinating role by creating links between research communities, which in the humanities are often small and fragmented.

In addition, the SCH emphasises the importance of acting as the voice of the humanities and pleading their position in the European research landscape. In this regard the SCH underlines the ESF's position as the

Table 1. Overview of SCH and SCSS funding processes

The Funding Process	Exploratory Workshops	Scientific Networks	Scientific Programmes
Procuring applications	Publication of an annual call for proposals	No formal calls for proposals are published. Applications can be submitted at any time, although there are two closing dates per annum (in May and November of each year).	
	Information about these instruments, including calls for proposals, are available on the ESF website and are communicated via targeted emails and newsletters from the SCH and SCSS Secretariats. In some instances, this information is also made available to scientists by the grants information offices or newsletters of their nationally based home institutions or research funding organisations.		
Application preparation and submission	General guidelines for proposal preparation and submission are available on the ESF website.	General guidelines are provided on the ESF website. An initial approach to the SCH/SCSS Secretariats (or, in the case of networks, to the Network Secretariat, which supports the Network Group) is recommended. This involves the submission of a preliminary outline on the basis of which considered advice can be given to applicants.	
Refereeing and selecting applications	Applications are sent to 3 or 4 referees selected by the Heads of the Secretariats. Applicants may suggest referees, only one of whom may be contacted by the ESF.		
	Applicants are not given the opportunity to revise their proposals on the basis of the comments or feedback of referees.	Applicants are typically given the opportunity to revise their proposals on the basis of the comments or feedback of referees.	

The Funding Process	Exploratory Workshops	Scientific Networks	Scientific Programmes
	Proposals (and relevant referee reports) are considered for final selection at plenary meetings of the SCH or SCSS. For each proposal considered, one Committee member acts as a rapporteur, presenting both the proposal and the assessments received by referees.	Final proposals (and relevant referee reports) are considered at plenary meetings of the SCH or SCSS. For each proposal considered, one Committee member acts as a rapporteur. The Standing Committees' recommendations are forwarded to the Network Group for final selection.	Final proposals (and relevant referee reports) are considered at plenary meetings of the SCH or SCSS. Proposals recommended by the Committee are sent to participating member organisations for final approval. Member organisations are free to use their national standards and processes for refereeing and approving proposals. Subject to financial support having been obtained from member organisations, proposals for new programmes are sent to the ESF's Executive Council for launching.
	There is no possibility of appealing against the SCH's or SCSS's rejection of a proposal.		
Monitoring funded activities	N/A	N/A	Secretariats are regularly informed about main programme activities and budget use. In addition annual progress reports, prepared by the programme coordinator or leader, are considered at plenary meetings of the SCH or SCSS.
Administering activities	The ESF does assist with the sending out of workshop invitations.	Networks and programmes are essentially self-managed. Nevertheless, a member of the Secretariat is made available to assist the network or programme with the dissemination of information and publicity of activities, managing of budgets, etc.	
Evaluating completed activities	Financial and scientific reports are submitted to the Secretariats and provided for information to the SCH and SCSS.	Completion Reports are submitted to the Secretariats and are supposed to be reviewed by 1 or 2 external evaluators and a panel of SCH or SCSS members. Reports and their reviews are considered at plenary meetings of the SCH or SCSS.	Final Programme Reports are submitted to the Secretariats and reviewed by 2 or 3 external evaluators. Reports and their reviews are considered at plenary meetings of the SCH or SCSS. They are also sent to participating member organisations.

only European agency where the humanities have a place next to the other sciences. The objectives of the SCSS are to:
- promote high quality social science research at the European level;
- bring 'added value' to nationally funded research through European collaboration between ESF member organisations;
- help support innovative research ideas and approaches emanating from the scientific community; and
- play an institutional role in strengthening European social science research infrastructure.

The second line of activity the SCH and SCSS concern themselves with are *science policy activities*. The latter see the Committees contributing to the development of the ESF's science policy agenda and providing independent expert advice to outside bodies such as the EU on relevant science policy actions and/or the strategic contribution of social scientific and humanities research to policymaking.

Instruments and funding processes

With one exception, all of the instruments described in the section 'Instruments and modes of functioning' above are employed by both the SCH and the SCSS. The exception concerns EUROCORES, which have not yet been implemented by the SCSS. However, in 2001, 15 national funding organisations represented in the social sciences agreed on a protocol for the establishment of a scheme of European Collaborative Research Projects in the Social Sciences (ECRP). Like EUROCORES, ECRPs coordinate funding from signatory research councils and funding agencies to finance research at a European level. Unlike EUROCORES, however, ECRPs employ a responsive mode of funding, *i.e*., calls for ECRP proposals do not have pre-determined priority topics attached to them. The ECRP scheme was set up to operate for an initial trial period of four years, from 2001 to 2004.

With reference to the scientific activities managed by the SCH and SCSS, the main instruments used are exploratory workshops, scientific networks, programmes and EUROCORES or ECRPs. The funding processes associated with these instruments are complex and vary, if only slightly, from one instrument to the next. By way of example, Table 1 (see above) provides an overview of the main features of these

processes, focussing on each of the sub-components of what is involved in the funding and support of exploratory workshops, scientific networks and programmes by the SCH and SCSS. Amongst other things the table reveals the centrality of the SCH and SCSS Secretariats in ensuring the success of the processes in question. Thus, for example, the Secretariats are responsible for soliciting funding applications from the wider European scientific community by disseminating relevant information and, where relevant, calls for proposals related to the various instruments used. They also assist applicants with the preparation and submission of proposals, select referees for the evaluation and assessment of such proposals and, in the case of scientific programmes, secure financial support from participating member organisations for proposals recommended by the SCH and SCSS. With regard to ongoing activities, the Secretariats become involved in monitoring their progress and assisting in their administration. And on the completion of activities, the Secretariats ensure that final reports are submitted and, if necessary, evaluated by external referees and considered by the SCH or SCSS and relevant member organisations.

Primary relationships

For the SCH and the SCSS, three sets of relationships are of primary importance in fulfilling their own objectives as well as the broader mission of the ESF. The first of these involve relationships with other ESF Standing Committees; relationships which are intended to promote and coordinate the development of joint, inter-disciplinary activities. To foster these relations, heads of all the ESF's Standing Committee's Secretariats meet at least once a month. In the case of relations between the SCH and the SCSS, collaboration and coordination is further fostered by the fact that these Committees share a Scientific Secretary.

The second important set of relationships for the SCH and the SCSS are those with the ESF's Network Group and its EURESCO Committee. As already indicated in section 'Organisational structure' above, these relations are maintained by the representation of Standing Committee members on both these bodies (the SCH and SCSS Chairs in the case of the Network Group, and elected Standing Committee members in the case of the EURESCO Committee).

The third, and arguably most important set of relationships that the SCH and SCSS need to maintain, are those with ESF member organisations represented in the humanities and social sciences. These relationships are critical, not least of all for purposes of securing financial support in the case of *à la carte* programmes and EUROCORES or ECRPs. Accordingly, the ESF expects both Standing Committee members and staff of the Standing Committees' Secretariats to take responsibility for ensuring effective linkages and communications with member organisations. In addition, opportunities for information sharing and the discussion of issues of mutual interest are provided by means of an annual meeting between senior representatives of member organisations and the core groups of the SCH and SCSS.

Chapter 3
Evaluating the ESF Standing Committees for the Humanities and the Social Sciences

The way in which ALLEA conducted the evaluation of the ESF's Standing Committees for the Humanities (SCH) and for the Social Sciences (SCSS) comprises the focus of this chapter. Its purpose is to provide a practical description of the structure, design and management of the entire review process. Such a description is in turn meant to serve as a generic protocol for evaluating the activities, structures and operations of institutional actors (such as organisations, departments or committees) involved in the support and promotion of S&T at a regional, national or international level.

3.1 The Review Committee

Structure and composition

For purposes of evaluating the SCH and SCSS, ALLEA decided to convene an international Review Committee of leading scientists in the humanities and social sciences. The Committee was composed on the basis of nominations, which ALLEA requested from its member organisations, i.e. 48 Academies of Sciences and Humanities from 38 European countries. The final selection of specific candidates for the Review Committee was constrained by the number of nominations actually received. Nevertheless, ALLEA sought to ensure a balanced distribution of regional, disciplinary and gender representation. The final composition of the Review Committee included representatives from Belgium, Finland, France, Germany, The Netherlands, Poland, Turkey, and the United Kingdom. The disciplinary background of its members was wide ranging, including for example, psychology, sociology, demographic studies, history, archaeology, and philology. Two of the ten Committee members were women.

Taking into account potential differences between the structure, activities, objectives and modus operandi of the SCSS and SCH, ALLEA decided that the Review Committee should comprise two panels: a *Humanities Panel* and a *Social Sciences Panel*. The idea was not for the

two panels to operate separately from one another by, for example, employing different evaluation methods or standards. Instead, it was to guarantee that such methods and standards were not biased in any way towards one of the two Standing Committees under review. In more practical terms, the use of two panels effectively served to delineate a logical division of labour between members of the Review Committee, particularly when it came to reading and commenting on documents of specific relevance to either the SCH or the SCSS. This in turn ensured that the expected workload of Committee members could be kept within reasonable limits.

The President of ALLEA served as Chair of the Review Committee as a whole, acting as a link between its two panels. Each of these panels was in its turn chaired by a member of the Royal Netherlands Academy of Arts and Sciences (*Koninklijke Nederlandse Akademie van Wetenschappen* or KNAW). The reason for choosing Panel Chairs from The Netherlands, which is also where ALLEA is based, was to ensure their active involvement throughout the review process by means of regular meetings with the Review Committee's Chair and those appointed by ALLEA to support the Committee's work. The latter included two Scientific Secretaries (one for each of the Committee's two panels), as well as a part-time administrative assistant. One of the Secretaries (Dr. H. Hackmann, the co-author of this monograph) was asked to play a coordinating role: planning, managing and integrating the work of both panels. Additional logistical support, as well as advice and substantive input, was provided to the Committee by the executive staff of ALLEA.

Meetings, communications and decision-making routines

Over and above regular meetings between the Review Committee Chair, the Panel Chairs and the Panel Secretaries, the Review Committee as a whole met twice during the nine months (April to December 2002) of the review process itself. Both meetings were held in Amsterdam in The Netherlands. The first meeting was held at the end of May 2002. It served to familiarise Committee members with the nature and functioning of the objects of evaluation, namely, the SCH and SCSS. In addition the meeting focussed on interpreting the ESF's terms of reference and, in light of this, discussing a proposed evaluation design and methodology, as well as a programme of work and timetable for the

review process as a whole. The second meeting took place at the end of the review process, in December 2002. At this meeting, the results of the various evaluation methods used were discussed, and recommendations were formulated for incorporation into a final report to the ESF. For both meetings all Committee members were required to undertake the necessary preparations, namely, providing feedback to the Secretaries on work-in-progress, and reading documents as well as other materials prepared for purposes of these meetings.

With only two opportunities for the Review Committee to meet, the input of all Committee members during the various stages of the review process was secured by means of regular electronic communications. This strategy resulted in the following division of labour between Committee members, Chairs (Panel and Committee), and the Scientific Secretaries: In consultation with the Chairs, the Secretaries would plan and design specific tasks such as the development of questionnaires or the selection of interviewees. The proposed plans would be circulated amongst all Committee members for comment and feedback, which the Secretaries would use to amend their original plans. In cases of conflicting opinions or ideas, the Secretaries would turn to the Committee Chairs for a final decision. In terms of actually executing the Committee's work plans, the two Secretaries were responsible for taking day-to-day decisions and supervising the work of the administrative assistant.

3.2 The ESF's terms of reference

The ESF's terms of reference for the review of its five Standing Committees were as follows:

- To review the operation of the ESF Scientific Standing Committees in accordance with Article XI (1.2) of the ESF Statute.
- To consider the operation of the Standing Committees within the overall ESF structure and the links with other ESF Standing Committees and ESF Expert Committees.
- To consider the effectiveness, impact and recognition within the wider European scientific community of the Standing Committees in promoting science actions within their domains, including matters of science policy.

- To consider the operation of links between the Standing Committees and relevant ESF Member Organisations.
- To consult with the past and current chairpersons of the Standing Committees and with other Standing Committees and Member Organisations or other organisations outside the ESF as appropriate.
- To report to the ESF Governing Council, through the Executive Board, in 2002.

In the Review Committee's opinion, the ESF's terms of reference were rather abstract and needed further specification as to what the scope of the review should be. Accordingly, the Committee determined the substantive parameters of the review (see below) and decided that the review should cover a period of five years, from 1997 to the end of 2001. In making these decisions, the Committee took into consideration the broad contours of the evaluation protocol followed by the Royal Society in its 2001 review of the ESF's other three Standing Committees (the EMRC, LESC and PESC). Accordingly, the ESF could be guaranteed a degree of comparison between the two reviews, if not in methodological terms, then at least as far as the types of issues examined and the timeframe of the examination were concerned.

With regard to the ESF's terms of reference, the Committee also noted that the review, which calls for an evaluation of the past in order to make recommendations for the future, was being undertaken at a time when the ESF had already published its plans for the period 2002 to 2006. This created some uncertainty about the intended purpose of the review, and highlighted the necessity for the Committee to compare its final recommendations with the ESF's plans and, in its final report, to comment on the latter where appropriate.

3.3 Evaluation design and methodology

The conceptual framework

To guide the collection of a comprehensive set of data about the SCH and SCSS for the review period (1997 to 2001), the Review Committee developed a conceptual framework, which identifies a set of generic evaluation variables and questions[10]. The evaluation variables include:

[10] This framework has been adapted from work done by Arnold and Balázs on the evaluation of basic research (Arnold & Balázs, 1998).

- Policy: Objectives, priorities and/or decisions against which other variables can be examined
- Resources: Funding, personnel, expertise, instruments and infrastructure available
- Structure: Organisation, relationships and divisions of labour
- Process: Operation, functioning and management of activities
- Outputs: Direct results of activities
- Outcomes: Effects of outputs; changes and benefits resulting from their availability

And the evaluation questions include questions about:

- Appropriateness: Is it the right thing to do? Is it adequate?
- Effectiveness: Has it produced the expected effects or results?
- Efficiency: Is it functioning well or in an optimal way?
- Quality: How good or satisfactory is it?
- Impact: What has happened as a result of it?
- Additionality: What has happened over and above what would have happened anyway?
- Improvement: To what degree is improvement needed? How can it be made better? What should happen next?

Whilst it is possible, in theory, to ask each question about each variable, this would have generated an impossibly large and in large part useless set of data. The Review Committee thus had to decide which of the abovementioned questions needed to be asked about which variables. For this purpose, the two Panel Chairs made a proposal, which was then discussed and ultimately approved at the first meeting of the Review Committee. This exercise produced a generic matrix of evaluation variables and related questions, which was not based on a standard or prescribed formula but on the expertise and judgement of the Review Committee itself. The matrix, which is presented in Table 2 below, thus represents the broad substantive parameters that the Review Committee deemed to be appropriate for the purpose of evaluating the SCH and SCSS.

With this generic matrix at hand, the next step was to operationalise what each of the evaluation variables referred to in the case of the SCH and SCSS. The point was, in other words, to specify what items of data would actually need to be collected about these two Standing Committees. To accomplish this task, the generic matrix was applied to four broadly defined areas of evaluation, each of which focuses on different

Table 2. Generic matrix of evaluation variables and questions

Variables	**Questions**						
	Appro-priate-ness	**Effective-ness**	**Effi-ciency**	**Quality**	**Im-pact**	**Addi-tio-nality**	**Im-prove-ment**
Policy	✓						✓
Resources			✓	✓			✓
Structure	✓	✓	✓				✓
Process		✓	✓				✓
Outputs		✓		✓			✓
Outcomes					✓	✓	✓

aspects of the SCH and the SCSS. The four areas included:
- General features of the two Standing Committees being reviewed;
- The Standing Committees' scientific activities;
- The Standing Committees' policy activities; and
- The Standing Committees' Secretariats.

With regard to each of these four areas of evaluation, the Review Committee had to do two things: firstly, to decide which variables (and related questions) were necessary or relevant to examine; and secondly, to operationalise the chosen variables or specify what they entail. In effect, therefore, the Committee developed and worked with four specific matrices. As presented in Tables 3 to 6 below, these matrices provide a detailed, operational outline of the substantive scope of the review. They were used throughout the review process to structure and guide the Review Committee's data gathering, analysis and reporting activities.

Data gathering

The various sets of data comprising the evidence on which the Review Committee based its conclusions and recommendations, was gathered in four stages. In what follows the purpose of each stage as well as the techniques and sources of information used are briefly described.

Table 3. General features of the Standing Committees

Variables		Questions						
Generic	**Specific**	**Appropriateness**	**Effective-ness**	**Efficiency**	**Qual-ity**	**Impact**	**Additio-nality**	**Improve-ment**
Policy	Tasks of Standing Committee members	✓						✓
Resources/ Process	Standing Committee membership: composition, nomination criteria, appointment procedures and membership period	✓			✓			✓
Structure	Two separate Standing Committees for the humanities and social sciences	✓						✓
Structure/ Process	The division of labour between the Standing Committees and their Core Groups		✓	✓				✓
Structure/ Process	Coordination between the ESF's five Standing Committees		✓	✓				✓
Structure/ Process	The relationship and division of labour between the Standing Committees and other ESF Committees (the EURESCO Committee and the Network Group)		✓	✓				✓
Process	Meetings of the Standing Committees		✓	✓				✓
Process	Communications between the Standing Committees and ESF member organisations		✓	✓				✓

Table 4. The Standing Committees' scientific activities

Variables		Questions						
Generic	**Specific**	**Appro-priateness**	**Effective-ness**	**Efficien-cy**	**Quality**	**Impact**	**Addi-tio-nality**	**Im-prove-ment**
Policy	The Standing Committees' objectives	✓						✓
Policy/ Process	The Standing Committees' essential tasks/goals	✓	✓					✓
Policy	The distinctiveness of the Standing Committees at a European level	✓						✓
Re-sources	Financial resources available to the Standing Committees	✓		✓				✓
Re-sources	Instruments used by the Standing Committees		✓					✓
Process	Standing Committees' funding modes and procedures, includ-ing the procurement of applications; assisting applicants with the preparation of proposals; refereeing and selecting applica-tions; monitoring activities; the administration of activities; and the evaluation of completed activities		✓	✓				✓
Process	Application success rates	✓						✓
Process	The distribution of Standing Committee support (across disci-plines and throughout the wider European scientific commu-nity)	✓						✓
Outputs	The outputs of Standing Committees' supported activities	✓			✓			✓
Out-comes	The outcomes and impacts of Standing Committees' supported activities					✓	✓	✓

Table 5. The Standing Committees' policy activities

Variables		Questions						
Generic	**Specific**	**Appropri-ateness**	**Effective-ness**	**Efficiency**	**Quality**	**Impact**	**Additio-nality**	**Improvement**
Policy/ Process	The Standing Committees' objectives/goals	✓	✓				✓	✓
Resources	Standing Committee member-ship: Expertise				✓			✓
Resources	Forward Looks				✓			✓
Outputs/ Out-comes	The Standing Committees' policy outputs and their impacts				✓	✓		✓

Table 6. The Standing Committees' Secretariats

Variables		Questions						
Generic	**Specific**	**Appropri-ateness**	**Effective-ness**	**Efficiency**	**Quality**	**Impact**	**Additio-nality**	**Improvement**
Policy/ Process	Tasks of the Secretariats	✓	✓					✓
Resources	Administrative capacity	✓		✓				✓
Resources	Senior appointments			✓	✓			✓
Structure	Sharing of one Scientific Secre-tary			✓				✓

Stage 1: Compilation of SCH and SCSS dossiers

The purpose of the first stage of data gathering was to provide the Review Committee with comprehensive overviews of the structure, mission, activities, operating principles and finances of the ESF and, more importantly, of the SCH and SCSS. The information included in these overviews was obtained by means of:

- Personal interviews with the Senior Scientific Secretaries of both the Standing Committees under review;
- A telephone interview with these Committees' former Scientific Secretary (who had resigned from her position towards the end of the review period);
- Documentation (corporate publications, reports, minutes of meetings, lists of Standing Committee members, etc.) made available on the ESF website or by members of the SCH and SCSS Secretariats; and
- Requests for information (expenditure patterns, lists of activities, etc.) from the SCH and SCSS Secretariats and other ESF Units, including the ESF's Finance and General Administration Unit and its Network Group.

The dossiers were compiled by the Review Committees' Secretaries. Prior to being distributed amongst Review Committee members, they were submitted to the SCH and SCSS Secretariats for completion and correction. They were sent out to the Review Committee at least two weeks in advance of its first meeting in May 2002. At this meeting, the Committee's two Panels worked through the dossiers, raising questions of clarification and specifying additional information needs. Committee members also used the dossiers to identify specific SCH or SCSS supported activities, *i.e.*, exploratory workshops, scientific networks and programmes, which they could examine in more detail (see also Stage 2 below). On the basis of such feedback, the Panel's Secretaries updated the dossiers and requested further documentation from the ESF. As such, the dossiers prepared the way for the second stage of data gathering.

Stage 2: Documentary insights

The second stage of data gathering was intended to enhance the Review Committee's grasp of the SCH and SCSS, and to enable it to formulate perceptions of the nature and quality of the scientific and policy activities of these Committees. Review Committee members were thus provided with copies of relevant documents pertaining both to the ESF in

general and to the SCH and SCSS more specifically. Such documentation was requested from the SCH and SCSS Secretariats, and included:
- ESF annual reports;
- ESF plans;
- ESF science policy briefings;
- Brochures and newsletters of SCH and SCSS activities;
- Reports and publications of ongoing or completed SCH and SCSS supported scientific activities (as selected by each Review Committee member); and
- Position papers related to policy developments in the social sciences and/or humanities.

The insights gained by Review Committee members from a reading of these documents contributed to the body of evidence on which the Committee based its final conclusions and recommendations.

Stage 3: The survey

The third stage of data gathering yielded the bulk of the evidence on which the review of the SCH and SCSS was based. It involved a survey of a target population consisting of the following three groups of ESF stakeholders:
- Members of the SCSS and SCH, between 1997 and the end of 2001;
- Current representatives (heads of councils, agencies, or their representatives) of ESF member organisations participating in the SCH and SCSS; and
- Recipients (principal initiators or proposers) of SCH and SCSS support for exploratory workshops, scientific networks and scientific programmes, between 1997 and the end of 2001.

With regard to the third group of stakeholders listed above, it should be noted that recipients of support for EUROCORES (in the case of the SCH) and ECRPs (in the case of the SCSS) were not included in the population, as these instruments were only launched in 2001, the last year of the review period[11]. It is also worth pointing out that the Review Committee considered including non recipients – *i.e.*, applicants whose proposals have been rejected by the SCH and SCSS – in the sur-

[11] This fact did not, however, prevent the inclusion of EUROCORES and ECRPs in questions posed to survey respondents and interviewees about SCH and SCSS funding processes, outputs and outcomes. As such the Review Committee was in a position to reflect in its conclusions and recommendations on these two instruments as well.

vey population; this as a way of securing a more representative sample of views from what the ESF (in its terms of reference) called the wider European scientific community. However, the necessary records (names and contact details of all those who had unsuccessfully applied for support during the five year review period) were unavailable and certainly too cumbersome and time consuming for the SCH and SCSS Secretariats to reconstruct.

The chosen groups of respondents were surveyed by means of semi-structured, e-mailed questionnaires, copies of which are provided in Appendix A. The questionnaires were pilot tested amongst a number of individuals selected, with the help of the SCH and SCSS Secretariats, from each of the three groups of respondents. The Secretariats further assisted the Review Committee with the survey by sending an email to all (past and present) Standing Committee members, urging them to participate in the survey. A reminder to submit returns was also emailed to all respondents by the Review Committee itself. Because the survey was conducted during the summer months, the original deadline was extended by a month (from August to September) to ensure that respondents had actually received the request to participate in the survey and to give them additional time to respond.

Response rates secured for each group of respondents are shown in Table 7 below. Compared to figures usually reported in similar surveys, and in light of the length of the questionnaires used, the Review Committee deemed the overall response rate of 46.4% to be satisfactory. Nevertheless, the relatively low response rate (34.3%) amongst member organisation representatives was regarded as being disappointing and indeed puzzling, not least of all because the ESF's statutory requirement for reviewing its Standing Committees must be assumed to directly reflect the demands and expectations of its member organisations. The Review Committee thus wondered about the extent to which the relatively high degree of non-response amongst this particular group of respondents could be interpreted as reflecting a more generalised disinterest amongst ESF member organisations in the activities and operations of the organisation's Standing Committees. However, in light of time constraints, no attempt was made to further examine this issue, or indeed to analyse the extent to which the survey might have been biased due to issues of non-response (see also the next Stage 4 about interviews conducted as part of the review).

Table 7. Survey response rates

Respondents	Number of Questionnaires		Response Rate
	Sent Out	Returned	
SCH Committee Members	43	21	48.8%
SCSS Committee Members	58	23	39.7%
Total Committee Members	**101**	**44**	**43.6%**
Member Organisations represented on the SCH	32	12	37.5%
Member Organisations represented on the SCSS	35	11	31.4%
Total Member Organisations	**67**	**23**	**34.3%**
Recipients of SCH support	75	38	50.7%
Recipients of SCSS support	78	44	56.4%
Total Recipients	**153**	**82**	**53.6%**
GRAND TOTAL	**321**	**149**	**46.4%**

Stage 4: Interviews

A preliminary analysis of the survey results was used by the Review Committee to identify a set of critical issues and questions of further clarification, which could be explored during a series of in-depth interviews with a number of key informants. The latter included (current and former) Chairs of the SCH and SCSS, senior members of the ESF's central staff, as well as two observers of SCSS plenary meetings (one from COST and the other from the European Commission's Research Directorate General). An interview was also requested with an observer of SCH meetings, but the individual in question declined due to his limited experience in this role.

According to its original plans, the Review Committee had decided also to interview a selected number of survey respondents and non-respondents. The idea was, on the one hand, to follow-up on those who had responded with particularly interesting ideas or expressed ex-

tremely negative or positive views about the issues covered in the questionnaires and, on the other hand, to gain insight into the significance underlying the issue of non-response. Members of the Review Committee were to conduct these interviews. However, both time and budgetary constraints convinced the Committee not to go ahead with these plans. In the end, therefore, only nine interviewees were selected, and the interviews were conducted by the Chairs and Scientific Secretaries of the Review Committee's two Panels.

In addition to these in-depth interviews, the Review Committee approached the Chairs and Senior Scientific Secretaries of the ESF's other three Standing Committees (the EMRC, LESC and PESC) with a request to respond to a brief set of questions via email. Two Senior Scientific Secretaries — from the LESC and PESC — responded to this request. The list of interview themes covered can be found in Appendix B.

3.4 Analysis and reporting

To prepare for the Review Committee's second and final meeting in December 2002, the Committee's Secretaries undertook an integrated analysis of the data collected for the SCH and SCSS dossiers (Stage 1 of the data gathering process), as well as by means of the survey and in-depth interviews (Stages 3 and 4). The analysis, which was sent to Committee members well in advance of the meeting itself, followed the lines of the four specific matrices presented in Tables 3 to 6 above, i.e., it reported on the results obtained with reference to each of the evaluation variables included in these matrices. However, the purpose of the Review Committee's (day long) discussion of such results was not to draw conclusions about each and every one of these variables. Rather, it was to identify a set of key issues, to agree on a shared understanding of the important implications of such issues for the future activities and operations of the SCH and SCSS, and on this basis, to formulate a set of practical recommendations for the ESF. The key issues identified by the Review Committee were the following:

- Expectations about the roles and responsibilities of being a member of the SCH or SCSS.
- The membership composition of the SCH and SCSS.

- The purpose and subject matter of plenary meetings of the SCH and SCSS.
- Obstacles to the effectiveness of plenary meetings.
- Relations between the SCH and SCSS and ESF member organisations.
- The transparency of SCH and SCSS and, more broadly, of ESF decision-making procedures.
- The nature and extent of scientific collaboration between the SCH and SCSS as well as between these Committees and the ESF's other three Standing Committees.
- Identifying and exploiting the niche of the SCH and SCSS.
- The range of funding instruments employed by the SCH and SCSS and the distinctiveness of each of these instruments.
- Access to SCH and SCSS support throughout the wider European scientific community.
- The refereeing and selection of funding applications submitted to the SCH and SCSS.
- The ex post evaluation of SCH and SCSS supported scientific activities.
- The quality and visibility of the outputs and outcomes of activities supported by the SCH and SCSS.
- The role of the SCH and SCSS in contributing to the ESF's science policy function.
- The performance of the SCH and SCSS Secretariats.

These issues and the Review Committees' related recommendations, were written up and presented in a report, which was submitted to the ESF in January 2003 and formally presented to its Governing Council by the President of ALLEA in April 2003. The report was drafted by the Review Committee Secretaries and amended on the basis of feedback secured from individual Committee members. It included a description of the evaluation design and methodology on which the review of the SCH and SCSS was based, as well as copies of the three questionnaires used in the survey, the list of interview topics covered, and the integrated analysis of all review data collected.

3.5 Reactions and follow-up actions

In February 2003 the ESF elicited the reactions of its Executive Board as well as the SCH and the SCSS to the Review Committee's report. These reactions identified a number of points on which the Review Committee was asked for clarification. The points related to specific comments made or phrases used in the text of the report and did not actually raise questions about the validity of any of the conclusions or recommendations it contained.

At the beginning of April 2003 the ESF's Governing Council considered the evaluation report as well as the reactions of the Executive Board and the Standing Committees themselves. The Council expressed its appreciation for the quality and usefulness of the work done by the Review Committee. It noted that the Review Committee's conclusions and recommendations contained many valuable practical suggestions, which the ESF would consider for possible application and implementation. The President of ALLEA in turn urged the ESF and, more specifically, the SCH and SCSS to actively engage with the results of the evaluation by using the wealth of data collected during the review process and included in the report itself as a basis for further internal discussions about organisational challenges and, where appropriate, strategic change.

With the submission of its report, the obligation of the Review Committee had been fulfilled. The Committee was neither requested nor expected to become involved in any way in the use of its work for purposes of organisational learning and development.

3.6 The programme of work and its timetable

The ESF had accepted ALLEA's proposal for the structure and composition of the Review Committee in March 2002, and expected it to submit a final report by the end of the same year. This meant that the review itself was to be conducted over a period of approximately nine months, from April to December 2002. In practice the exercise took a little more than two weeks extra to be completed. This is reflected in Table 8, which provides an outline of the programme of work and corresponding timetable that the Review Committee followed in evaluating the SCH and SCSS.

Table 8. Programme of work and timetable for the completion of the review

Timetable	Main Tasks
Beginning of April to mid May 2002	Compilation of SCH and SCSS dossiers
	Preparation of a proposed evaluation design, methodology and programme of work
27 May 2002	First meeting of the Review Committee
June 2002	Design of survey questionnaires and collection of survey population's contact details
	Pilot testing of survey questionnaires
July 2002	Distribution of questionnaires and follow-up actions
October 2002	Preliminary analysis of survey results and identification of critical issues to be covered during interviews
Mid November 2002	Interviews
End November 2002	Integrated analysis of review data (dossiers, survey, interviews)
19 December 2002	Second and final meeting of the Review Committee
Second half of December 2002	First draft of the evaluation report
Beginning of January 2003	Completion of final evaluation report
17 January 2003	Submission of final evaluation report to the ESF
Mid February 2003	Response to ESF's request for clarification of specific points
3-4 April 2003	Formal presentation of the report to the ESF Governing Council

The various limitations, which the restricted timeframe allocated to the Review Committee imposed on various aspects of the evaluation exercise, have been highlighted throughout this chapter. What has also been revealed, however, is that within this relatively short span of time it was possible to conduct a comprehensive and in-depth rather than superficial review that has been well received in terms of its overall qual-

ity. This must ultimately be attributed not only to value of using a clear conceptual framework, but also to the quality – the expertise as well as commitment – of those who were asked to do the review and, more particularly, of the members of the Review Committee itself.

Chapter 4
Basic Evaluation Questions, Decisions and Problems

In a recent report prepared by the Danish Institute for Studies in Research and Research Policy for the European RTD Evaluation Network, Kalpazidou Schmidt provides a useful overview of fundamental issues related to the initiation, design and use of public research evaluations (Kalpazidou Schmidt, 2003). This chapter draws on Kalpazidou Schmidt's work to reflect on the various questions posed, decisions made and problems confronted during the evaluation of the ESF's SCH and SCSS. The purpose of such reflection is not to provide a definitive set of answers or solutions to each of the questions and problems posed. Instead, it is to alert evaluators – as well as those who commission evaluations – to the importance of asking these questions or anticipating the problems at the outset of an evaluation and, further, to offer some practical insights into how to deal with the issues raised.

4.1 Why evaluate?

What are the motives for initiating an evaluation? What purpose(s) should it serve? Given that the answers to these questions can shape almost every other aspect of the evaluation process, it is important for evaluators to begin their work by considering why exactly the evaluation is to be undertaken. The motives and purposes attached to research and development (R&D) evaluations can and do vary greatly. Evaluation can, for example, serve to ensure accountability to one's stakeholders. At the same time, it can serve to justify and legitimate the pursuit of specific activities. Evaluation can also be used for guiding processes of selection and prioritisation involved in the allocation or reallocation of resources. It can also function, more broadly, as a learning tool; a basis for organisational development at the policy or the operational level (Georghiou, 2001 in: Kalpazidou Schmidt, 2003, p.8-9).

Often, the motivation for undertaking or commissioning an evaluation will comprise a combination of reasons such as those mentioned above. Just as often, the reasons will not have been explicitly articulated or conveyed to the evaluators themselves. In the case of the evaluation of the SCH and SCSS it was difficult to deduce the exact

purpose of the review from the terms of reference specified by the ESF. The Review Committee assumed that the primary purpose of the evaluation was to ensure accountability and to facilitate policy learning within the ESF. Discussions with ESF members of staff confirmed that this was the case.

By requesting those who have commissioned an evaluation to clarify its intended purpose, evaluators stand to gather important information on which to base the design of their work. In addition, they are able to ensure that the results of such work will more closely match the expectations of those they are evaluating.

4.2 When to evaluate?

In the case of external evaluations – those undertaken by independent academics, professionals or consultants – evaluators do not determine when an evaluation is to be initiated. Nevertheless, evaluators will draw conclusions on the basis of the timing of an evaluation. In the case of the SCH/SCSS evaluation, for example, the Review Committee noted that ESF plans for the following five years had already been published by the time the evaluation exercise was to begin. This left some doubt as to the purpose of the review (Why evaluate?). More practically, it raised important questions about the impact – the potential absorbability and implementation – of the evaluation results. The case illustrates the importance of the question 'When to evaluate?'. For initiators of evaluations it compels them to clarify the purpose of evaluation and, accordingly, consider the message sent to evaluators about the potential significance of their task. For evaluators it ensures that they understand the initiator's expectations and are able to determine their own role in fulfilling such expectations.

4.3 What to evaluate?

With reference to R&D evaluations, Kalpazidou Schmidt enumerates the different levels of aggregation according to which the object of evaluation can be identified (Kalpazidou Schmidt, 2003, p.9). These range from the micro- and meso- to the macro-level, and include:

- Individual researchers
- Research groups or departments
- Research projects
- Research programmes
- Institutions
- Policy instruments
- Fields of science
- R&D systems

Multi-level evaluations combine different levels of aggregation. The evaluation of the SCH and SCSS was essentially one at the level of institutions, with the two Standing Committees comprising the object of evaluation. Yet, to the extent that the evaluation included an assessment of the various funding and other policy instruments used by the SCH and SCSS, as well as an appraisal of the outputs and outcomes of scientific activities (projects or programmes) supported by these Committees, this can be regarded as a case of multi-level evaluation.

Beyond the level of aggregation used to identify the object of evaluation, the question of what to evaluate requires evaluators to make decisions about which specific aspects of that object they should examine. In line with the conceptual framework used in the case of the SCH/SCSS evaluation (as described in point 3.3 of the previous chapter), such decisions entail choosing which generic evaluation variables – policy, resources, structures, processes, outputs and outcomes – to include in the scope of an evaluation. By including all six of these variables, the evaluation of the SCH and SCSS can be characterised as comprising what Kalpazidou Schmidt refers to as being a comprehensive rather than partial evaluation (Kalpazidou Schmidt, 2003, p.9).

Initiators of evaluations can provide evaluators with a clear indication of what is to be evaluated by means of so-called terms of reference. In the case of the SCH/SCSS evaluation, the terms of reference were deemed to be rather abstract and, hence, the evaluators themselves, *i.e.*, the Review Committee, could decide on what exactly was to be evaluated and, accordingly, how comprehensive the evaluation should be. In making such decisions, evaluators should keep in mind what the expectations of initiators are and, if necessary, should seek to gain clarity about these. There are also practical issues to consider, for example, the timeframe within which an evaluation is to be completed. The more comprehensive an evaluation, the more time-consuming it

will be to undertake. In addition, it is important for evaluators to consider whether and how their work could be used for comparative purposes, both with regard to past or possible future evaluations of the same object, as well as concurrent evaluations of other similar objects (such as the Royal Society's review of the ESF's other Standing Committees).

4.4 Who should evaluate?

Initiators of evaluations will determine whether an evaluation is to be externally or internally conducted[12]. In the case of external evaluations, the question of who should evaluate involves a number of important considerations. The cost of contracting specific evaluators is one. More fundamental, however, are the qualifications - i.e., relevant knowledge and expertise, not only of R&D evaluation but also of the evaluation object's domain of activity - and the wider credibility (reputation, authority, independence and representivity) of evaluators. Both factors will determine the weight assigned to evaluation results and, ultimately, the prospect of their absorbability.

In the case of the SCH/SCSS evaluation, the choice of external evaluators involved a two-tiered decision-making process. As initiator of the evaluation, the ESF chose ALLEA to assume overall responsibility for the evaluation. ALLEA in its turn decided to appoint an international Review Committee. Its members were selected not so much because of their experience of R&D evaluations, but rather, because of their international standing as leading figures in those fields of scholarship (social sciences and humanities) in which the objects of evaluation (the SCH and SCSS) operate. At the same time, ALLEA recruited the services of an independent professional, with expertise in the field of S&T policy analyses, who could guide the evaluation process as a whole and serve as one of the two Scientific Secretaries to the Review

[12] Kalpazidou Schmidt points out that it is not always straightforward to classify evaluations as being external or internal. She questions, for example, whether an evaluation that relies on second order material produced by the evaluated unit but performed by external evaluators is a purely external evaluation (Kalpazidou Schmidt, 2003, p.10). For purposes of this discussion, internal evaluations are assumed to refer to self-evaluations, which are carried out by those comprising the evaluation unit, and external evaluations to evaluations in which actors independent of the evaluation unit carry evaluation responsibility.

Committee. Having secured the right qualifications for purposes of the evaluation, ALLEA took additional steps to guarantee the wider credibility of its team of evaluators. On the one hand it ensured that the composition of the Review Committee reflected a balanced distribution of regional, disciplinary and gender representation. On the other hand, it consulted with and sought the approval of the ESF before appointing members of the Review Committee and its Scientific Secretaries. In this way the ESF itself, *i.e.*, those representing the objects of evaluation, were brought on board from the word go.

4.5 What methods to employ?

R&D evaluation methods include both quantitative and qualitative techniques, each of which have their own strengths and weaknesses[13]. The choice of methods to be employed in a particular evaluation exercise will be determined by both the purpose(s) of evaluation (Why evaluate?) and the nature of the evaluation object (What to evaluate?). ALLEA's Review Committee intended its evaluation of the SCH and SCSS to serve, first and foremost, as a tool for policy learning and organisational development. Accordingly it opted for a comprehensive evaluation, an exercise that would enable the Committee to review various aspects of the activities, structures and operations of these Committees. In line with these ambitions, the Review Committee chose as its primary method of evaluation a questionnaire survey of SCH and SCSS members, stakeholders and participants. This method enabled the systematic gathering of a wide range of (expert) opinions and experiences, which were then tested and validated by means of follow-up interviews with key informants. The review data generated by means of the survey and interviews was further supplemented by what was essentially a form of (informal) peer review whereby the scientists comprising the Review Committee undertook a qualitative assessment of the outputs of specific SCH and SCSS supported activities.

As important as it is to match methods to the objectives and scope of an evaluation, the choice of methods will also depend, at least in part, on the resources – human, financial and time – available to the evalua-

[13] The R&D evaluation literature provides an abundance of overviews of the strengths and weaknesses of numerous evaluation methods (see for example Arnold & Balázs, 1998).

tors. In the case of the SCH/SCSS evaluation, for example, resource constraints played an important role in dissuading the Review Committee from employing a number of additional methods for purposes of reviewing the quality of outputs produced by SCH and SCSS activities. Such methods could have included bibliometric analyses, case studies, as well as a more elaborate and structured peer review exercise.

In considering the possible constraints imposed by the availability of resources, it is important for evaluators to include in their calculations the resources of those being evaluated. Often, evaluators will be reliant on members of the so-called evaluation unit (e.g. the Secretariats of the SCH and SCSS) for necessary inputs (e.g. background information or records of the names and contact details of survey respondents). The amount of work and time that this involves should not be underestimated and should be borne in mind in the overall design of the evaluation exercise.

4.6 Who will use the evaluation?

Although the availability of the results of R&D evaluations is often quite limited, the potential audience for such evaluations includes the following groups of actors:

- Politicians
- Policymakers (within and beyond the institution being evaluated)
- Research (programme/institutional) managers
- Researchers who participate in the activities being evaluated
- Stakeholders (member organisations or other actors affiliated to or involved in the unit of evaluation)
- Specific user groups (users of the results of research activities being evaluated)
- The society in general

Kalpazidou Schmidt points out that the question of who the users of R&D evaluations are is related to the motives underlying such evaluations. She also argues that the answer to this question will (or should) determine the strategy for disseminating the results of such evaluations (Kalpazidou Schmidt, 2003, p.12).

With organisational accountability and policy learning as the main motives for conducting the SCH/SCSS evaluation, the Review Committee assumed that the users of this work should include ESF stakeholders (member organisations represented in the humanities and social sciences), policymakers (central ESF staff and members of ESF executive bodies), the Chairs and members of the two Standing Committees under review, as well as the staff of these Committees' Secretariats. For the Review Committee, the practical significance of this assumption had to do with decisions about the appropriate level of detail and confidentiality to include in the content of its final report. Decisions about the dissemination of that report were left to the ESF itself.

4.7 What impacts can be expected as a result of the evaluation?

The expected impacts or consequences of an evaluation are those that correspond to the motives underlying the evaluation. Where evaluation is intended as a learning tool, as it was in the case of the SCH/SCSS evaluation, the expected impact is an improved performance (where necessary) by those evaluated.

Whether expected impacts have actual effects raises questions about the implementation of evaluation results; questions that ultimately fall beyond the responsibility of the evaluators themselves. Nevertheless, it is necessary for evaluators to be aware of, and to overcome or avoid, potential barriers to the implementation of their findings. They can, for example, strive to ensure the absorbability and credibility of their evaluation results.

The absorbability of evaluation results refers to the chances of such results being taken up and acted upon by the users of evaluations. Evaluators can increase the absorbability of their findings by formulating practical and realistic recommendations that are neither too specific nor too general. Evaluators can also ensure that the format, structure and content of their report are such that evaluation results are made easily accessible to users. The credibility of evaluation results refers to the extent to which such results are trusted, and depends in large part on the perceived credibility of the evaluators themselves: their competence, standing and independence and, more importantly, the quality of their work (Kalpazidou Schmidt, 2003, p.13-14).

Little has been documented in the evaluation literature about the short-term or longer-term impacts – expected or unexpected – of evaluations at different levels of operation within evaluation units (Kalpazidou Schmidt, 2003, p.13). Nevertheless, it is clear that whether or not the results of an evaluation are used, as well as how they are used, will be shaped in large part by decisions made in response to a number of the other questions posed in this chapter. Thus, for example, the utilisation of evaluation results will depend partly on who the evaluators are and how they perform their work. It will also depend on who the primary users of such results are deemed to be. Who the users are will in turn be determined by what the purpose of the evaluation is.

If considered in combination, the answers to the various questions one needs to ask in order to understand (if not predict) the possible utilisation of evaluations add up to what can be regarded as being different evaluation strategies or approaches. Drenth, for example, distinguishes between a motivational and administrative approach to R&D evaluations (Drenth, 1996, p.154-155). In essence, a motivational approach is aimed at facilitating (research or organisational) improvement by relying on the participation of those being evaluated both in the production and utilisation of evaluation results: they not only receive direct feedback about such results but are also responsible for taking action on the basis of them. In the administrative approach decisions about the actions to be taken in response to evaluation results are not (primarily) in the hands of those being evaluated but are taken for them by others, e.g. by central university administrators in the case of university research evaluations or central ESF staff in the case of the SCH/SCSS evaluation. This approach is typically aimed at making resource allocation decisions that affect individuals (rewards, promotions, retrenchments, etc.) or groups of individuals (personnel, finances, time, etc.) (Drenth, 1996, p.154).

4.8 Conclusion

The above reflection on some of the basic, practical questions, decisions and problems encountered by those initiating and undertaking R&D evaluations completes the case study that has been the focus of this monograph, namely, ALLEA's review of the ESF's SCH and SCSS. This case study has been presented as one example of the type

of role Academies can and do play in evaluating for science. The purpose in presenting this case study has been to provide European Academies – members of ALLEA – with a resource on which to draw as they seek to expand that role. The case study should by no means be regarded as representing the only, let alone the most exemplary, model of the processes and protocols involved in conducting R&D evaluations. Nevertheless it can be regarded as an interesting and, hopefully, useful model, which can serve as a guide in the successful undertaking of similar evaluation exercises or as a comparative base on which to design and develop evaluations intended for other purposes and other audiences. To encourage such comparison, and to further extend the R&D evaluation resource that this monograph was intended to provide, an example of another type of evaluation protocol – related to a new national evaluation system for publicly funded research in The Netherlands – has been included in Appendix C. ALLEA is also considering a proposal, made at its recent 2004 General Assembly meeting, to establish an Evaluation Workgroup. One of the (possible) tasks of this group would be to build on this monograph by collecting and comparing additional examples of evaluation protocols and analysing these with a view to distilling critical lessons and identifying a strategic role for ALLEA and its members in successfully evaluating for science.

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Appendices

Appendix A
Survey Questionnaires

The three questionnaires used for the survey, and reproduced in this Appendix, include:

- *Standing Committee Member Questionnaire*: Sent to those who were members of the SCSS and SCH between 1997 and the present

- *Member Organisation Representative Questionnaire*: Sent to current ESF MO Representatives in the Social Sciences and Humanities

- *Recipient Questionnaire*: Sent to those recipients (principal initiators or proposers) who received SCSS and SCH support (for Exploratory Workshops, Networks or Scientific Programmes) between 1997 and the present.

Evaluation of the European Science Foundation's Standing Committees for the Social Sciences and Humanities

Standing Committee Member Questionnaire

Please note:

Responses to this questionnaire will be treated in the strictest of confidence. Only aggregated responses will be presented in either written or oral reports to the European Science Foundation. No person or institution will be identified by name.

When answering the following questions, either type the information requested in the blank spaces provided, or mark with an 'x' those categories of information, which apply to you or which best reflect your opinions.

Where open-ended questions have been asked, you are encouraged to keep your responses as brief and concise as possible. In this regard, please note that if you complete the questionnaire electronically, response fields will expand automatically; if not, please feel free to provide responses on a separate piece of paper.

Where questions refer to the "social sciences or humanities", you need only respond with regard to the field in which you are a Standing Committee member.

1. Personal Information

1. Surname		
2. First Name(s)		
3. Sex		Female ☐ Male ☐
4. Year of birth		
5. Disciplinary background/affiliation		
6. Current employer	Organisation	
	Country	

7. Current Position	
8. Work telephone	

2. Nature of involvement WITH the ESF

1. Which Standing Committee are (or were) you a member of?

Soci l Scien-ces		Hum nities	

2. During which of the following years were you a member of the Standing Committee?

1997		1998		1999		2000		2001		2002	

3. Were you, or are you currently, a member of the Standing Committee's Core Group?

Yes		No	

4. Please specify the nature of your involvement with the ESF before you became a member of the Standing Committee (e.g. coordinator of, or participant in, an ESF workshop/programme/network, etc.)

5. If you are no longer a Standing Committee member, please specify the nature of your involvement with the ESF since your membership terminated (e.g. coordinator of, or participant in, an ESF workshop/programme/network, etc.)

3. The Standing Committee: General Issues

1. How appropriate do you think it is for the ESF to have separate Standing Committees for the social sciences and humanities?

1 Highly Appro-priate	2 Appropriate	3 Neutral	4 Inappropriate	5 Highly inap-propri-ate	6 Don't know

Why do you think this?

2. How appropriate do you think it is to expect you (in your capacity as a member of the Standing Committee, a member of its Core Group, or its Chair) to be personally involved in each of the following tasks?

1 = Highly appropriate; 2 = Appropriate; 3 = Neutral; 4 = Inappropriate; 5 = Highly inappropriate; 6 = Don't know

Task	1	2	3	4	5	6
a) Proactive soliciting of funding applications from scientists						
b) Guiding or assisting scientists with the preparation of funding proposals						
c) Liaising with member organisations on all matters related to Standing Committee business						
d) Networking with international organisations (such as the European Commission) or national funding agencies outside of Europe						
e) Communications, including dissemination of information about Standing Committee activities						
f) Initiating and developing science policy activities in the social sciences or humanities						
g) Other (please specify)						

3. The division of labour between the Core Group and the Standing Committee as a whole is effective. Do you agree or disagree?

1 Strongly agree	2 Agree	3 Neither agree nor disagree	4 Disagree	5 Strongly disagree	6 Don't know

If you think the division of labour should be changed, please indicate why, and how it should be changed.

4. The division of labour between the Standing Committee and other ESF committees (i.e., the Networks and Euresco Conferences Committees) is effective. Do you agree or disagree?

1 Strongly agree	2 Agree	3 Neither agree nor disagree	4 Disagree	5 Strongly disagree	6 Don't know

If you think the division of labour should be changed, please indicate why, and how it should be changed.

5. It is sufficient for the Standing Committee to have two plenary meetings per annum. Do you agree or disagree?

1 Strongly agree	2 Agree	3 Neither agree nor disagree	4 Disagree	5 Strongly disagree	6 Don't know

Why?

6. If there are any factors, which you regard as posing obstacles to the effectiveness or efficiency of either plenary or core group meetings, please specify what these are and how they could be avoided or overcome.

a) Plenary meetings	
b) Core Group meetings	

7. It is sufficient for the Standing Committee's Core Group to meet with representatives of Member Organisations once a year. Do you agree or disagree?

1 Strongly agree	2 Agree	3 Neither agree nor disagree	4 Disagree	5 Strongly disagree	6 Don't know

Why?

8. How do you rate the effectiveness of communications between the Standing Committee and Member Organisations?

1	2	3	4	5	6

Very effective	Effective	Neutral	neffective	Very in-effective	Don't know

If there are any factors, which you think pose obstacles to the effectiveness of such communications, please specify what these are and how they could be avoided or overcome.

9. How satisfied are you with procedures for selecting and appointing the Chair of the Standing Committee and members of the Core Group?

1 = Very satisfied; 2 = Satisfied; 3 = Neutral; 4 = Unsatisfied; 5 = Very unsatisfied; 6 = Don't know

Procedures for the selection and appoi tment of:	1	2	3	4	5	6
a) The Chair of the Standing Commit ee						
b) Members of the Core Group						

If you find these procedures unsatisfactory, please indicate how you think they should be changed.

Procedures or the selection and appointment of:	Suggestions for change
a) The Cha · of the Standing Committee	
b) Member: of the Core Gr< ıp	

10. Do you think the Standing Committee's membership period of between 3 and 5 years is appropriate?

Yes		No		Don't know	

If no, why and how long do you think membership tenure should ideally be?

11. How would you assess the composition of the Standing Committee (of which you are or were a member of) in terms of the following issues?

1 = Very adequate; 2 = Adequate; 3 = Neutral; 4 = Inadequate; 5 = Very inadequate; 6 = Don't know

Issues	1	2	3	4	5	6
a) The coverage of disciplines (in either the social sciences or humanities)						
b) Gender balance						
c) The range of scientific expertise						
d) The scientific standing of committee members in the research community						
e) Geographic representation						
f) Age of committee members						
g) The range of expertise in research administration						

If you wish to comment on this matter, please do so.

4. The Standing Committee: Scientific Activities

1. What do you consider to be the Standing Committee's niche, i.e. the one most important task it is best fitted for in terms of supporting and promoting the social sciences or humanities at a European level?

2. What (if anything) do you regard as being the (one) main obstacle to the Standing Committee's successful fulfilment of the task you mentioned in response to question D.1 above? How do you think this could be avoided or overcome?

3. What do you perceive to be the (one) main implication of the increasing emphasis on 'basic research funding' in the European Union's Framework Programmes for the distinctiveness of the ESF?

4. Do you agree or disagree with the idea that there is a serious risk of potential overlap and duplication of efforts between the scientific activities supported by the Standing Committee and those supported under the sixth Framework Programme and the Cost Action Programmes.

1 Strongly agree	2 Agree	3 Neither agree nor disagree	4 Disagree	5 Strongly disagree	6 Don't know

If you wish to comment on this matter, please do so.

5. Which instrument do you see as being the most effective in terms of fulfilling each of the following Standing Committee objectives? Mark one instrument per objective.

Objectives	Most effective instrument				
	Exploratory Workshops	Networks	Scientific Programmes	Eurocores or ECPR*	Euresco Conferences
a) To promote high quality research at the European level					
b) To bring 'added value' to nationally funded research through European collaboration between ESF member organisations					
c) To help support innovative research ideas and approaches emanating from					

	the European scientific community					
d)	To define the future research agenda in European social sciences or humanities					
e)	To play an institutional role in strengthening European social science or humanities research infrastructure					
f)	Other (please specify)					

* European Collaborative Research Projects in the social sciences

6. Given the existing availability of resources, do you think there is a case for changing the balance of instruments (i.e. exploratory workshops, networks, programmes, Eurocores or ECRP, Euresco Conferences) used by the Standing Committee to support the social sciences or humanities?

Yes		No		Don't know	

If yes, please specify why, and how you think it should be changed (which activities should there be more of, which less of?)

7. How effective do you think the Standing Committee has been in terms of realising the following (possible) policy goals?

1 = Very effective; 2 = Effective; 3 = Neutral; 4 = Ineffective; 5 = Very ineffective; 6 = Don't know

Policy goals	1	2	3	4	5	6
a) To promote internationally comparative research in priority topic areas						
b) To identify European priorities in the social sciences or humanities						
c) To strengthen the necessary infrastructure requirements for European-level research						
d) To foster new mechanisms for funding European research						
e) To maximise the potential for interdisciplinary collaboration both within the social sciences or humanities, and with the natural or medical sciences						
f) To contribute towards European research capacity-building through specific initiatives for young researchers						
g) To promote the role of women in European research						
h) To promote 'best practices' in research funding and management at the European level (e.g. international peer review)						
Other (please specify)						

8. How would you rate the effectiveness of each of the following procedures related to the Standing Committee's funding process?

1 = Very effective; 2 = Effective; 3 = Neutral; 4 = Ineffective; 5 = Very ineffective; 6 = Don't know

Procedure	1	2	3	4	5	6
a) Procuring applications for funding from the wider European scientific community						
b) Assisting applicants with the preparation and submission of proposals						
c) Selecting high quality referees						
d) Having proposals assessed via peer review						
e) Selecting proposals to be supported						
f) Monitoring scientific activities (workshops, networks, programmes, etc.) being funded						
g) Evaluating scientific activities (workshops, networks, programmes, etc.) after their completion						

9. If you think there are any problems associated with one or more of these procedures, please specify what these are and how you think they could be avoided or overcome.

Procedure	Nature of the problem	Recommended solution
a) Procuring applications for funding from the wider European scientific community		
b) Assisting applicants with the preparation and submission of proposals		
c) Selecting high quality referees		
d) Having proposals assessed via peer review		
e) Selecting proposals to be supported		
f) Monitoring scientific activities (workshops, networks, programmes, etc.) being funded		

g) Evaluating scientific act vities (workshops, networks, p o-grammes, etc.) after thei comple-tion		

10. How efficient do you think the coordination between ESF Standing Committees is (e.g. in cases where activities are jointly supported by one or more of these committees)?

1 Very Ef-ficient	2 Efficient	3 Neutral	4 Inefficient	5 Very in-efficient	6 Don't know

Do you have any suggestions for improving such coordination?

11. The financial resources available to the Standing Committee for purposes of meeting its objectives (those listed in question D.5 above) are adequate. Do you agree or disagree?

1 Strongly agree	2 Agree	3 Neither agree nor disagree	4 Disagree	5 Strongly disagree	6 Don't know

12. The balance of resources committed by Member Organisations and other sources is optimal. Do you agree or disagree?

1 Strongly agree	2 Agree	3 Neither agree nor disagree	4 Disagree	5 Strongly disagree	6 Don't know

If you wish to comment on this matter, please do so.

13. How would you assess the rate at which the Standing Committee rejects proposals?

1 Too high	2 High	3 Optimal	4 Low	5 Too low	6 Don't know

Why?

14. The process of securing financial support from Member Organisations for à la carte programmes is satisfactory. Do you agree or disagree?

1 Strongly agree	2 Agree	3 Neither agree nor disagree	4 Disagree	5 Strongly disagree	6 Don't know

If relevant, how do you think this process should be changed.

15. The Standing Committee is pro-active enough in terms of identifying strategic thematic priorities to be attached to its various funding instruments. Do you agree or disagree?

1 Strongly agree	2 Agree	3 Neither agree nor disagree	4 Disagree	5 Strongly disagree	6 Don't know

Why?

16. The balance of Standing Committee spending across disciplines in the social sciences or humanities is adequate. Do you agree or disagree?

1 Strongly agree	2 Agree	3 Neither agree nor disagree	4 Disagree	5 Strongly disagree	6 Don't know

If you wish to comment on this matter, please do so.

17. Access to Standing Committee funding is equally distributed throughout the wider European scientific community. Do you agree or disagree?

1 Strongly agree	2 Agree	3 Neither agree nor disagree	4 Disagree	5 Strongly disagree	6 Don't know

If you disagree, why do you think this is and how do you think the issue should be addressed?

18. How, on the whole, do you rate the research supported by the Standing Committee in terms of the following criteria?

Criteria	1 Very High	2 High	3 Middle of the road	4 Low	5 Very Low	6 Don't know
Scientific quality						
Scientific innovativeness						
Relevance to national or European policy development						

19. What do you consider to be the most important output that each of the following types of activities produces?

Type of activity	Most important output
a) Exploratory Workshops	
b) Networks	
c) Scientific Programmes	
d) EUROCORES or ECRP	
e) Euresco Conferences	

20. In your opinion, do activities generally produce the outputs you listed in response to question D.19 above?

Type of activity	1 Always	2 Mostly	3 Now and then	4 Hardly ever	5 Never	6 Don't know
a) Exploratory Workshops						
b) Networks						
c) Scientific Programmes						
d) EUROCORES or ECRP						
e) Euresco Conferences						

21. How would you assess the visibility of outputs produced by activities supported by the Standing Committee?

1 = Very adequate; 2 = Adequate; 3 = Neutral; 4 = Inadequate; 5 = Very inadequate; 6 = Don't know

Visibility of outputs	1	2	3	4	5	6
a) Within the wider European scientific community						
b) Amongst national policymakers						
c) Amongst EU policymakers						

If you wish to comment on this matter, please do so.

22. Please provide two memorable examples of what you consider to be important outcomes (or impacts) that have resulted from an actual activity supported by the Standing Committee during the past five years.

Type of activity (exploratory workshop, network, programme, etc.)	Title of activity	Important outcome

23. What, in your view, is the main impact of the Standing Committee's work on both the wider European scientific community and on national funding agencies?

a) Impact on the wider European scientific community	
b) Impact on national funding agencies	

5. The Standing Committee: POLICY Activities

1. In your opinion, what is the most important factor for giving the Standing Committee a strong position to act as an adviser to outside bodies with regard to the following two issues?

a) The strategic contribution of social science or humanities research to policymaking	

b) Policy for European social sciences or humanities research	

2. What do you regard as being the two most important (social science or humanities) policy documents to be produced by the Standing Committee during the past five years?

Title (or topic) of document	Year of publication (if known)
a)	
b)	

3. What impact did these documents have on those organisations to whom they were distributed?

Document	Impact on			
	The ESF	The European Commission	Member Organisations	Other (please specify)
a) As above				
b) As above				

4. In your opinion, what are the two most critical science policy issues confronting the social sciences or humanities in Europe today?

a)
b)

5. Forward Looks represent a promising addition to the scientific instruments available to the Standing Committee. Do you agree or disagree?

1 Strongly agree	2 Agree	3 Neither agree nor disagree	4 Disagree	5 Strongly disagree	6 Don't know

Why?

6. The social sciences or humanities are taken sufficiently into account in wider processes of decisionmaking about the ESF's strategic orientation? Do you agree or disagree?

1 Strongly agree	2 Agree	3 Neither agree nor disagree	4 Disagree	5 Strongly disagree	6 Don't know

6. The Standing Committee's Secretariat

1. The following is a list of tasks performed by senior staff of the Standing Committee's Secretariat. How important do you regard each of these tasks as being for the work of the Standing Committee?

1 = Very important; 2 = Important; 3 = Neutral; 4 = Unimportant; 5 = Very unimportant; 6 = Don't know

Task	1	2	3	4	5	6
a) Financial administration (planning and supervision of; accountability for)						
b) General administration (organisation and supervision of)						
c) Proactive soliciting of funding applications from scientists						
d) Guiding or assisting scientists with the preparation of funding proposals						
e) Internal coordination with other Standing Committees and ESF units						
f) Preparing Standing Committee meetings						
g) Liaising with member organisations on all						

matters related to Standing Commi tee business						
h) Networking with international orga nisations (such as the European Commissio or national funding agencies outside of urope						
i) Communications, including dissem nation of information about Standing Comm ttee activities						
j) Initiating and developing science p olicy activities in the social sciences or hu anities						
Other (please specify)						

2. In your opinion, how effective is the Secretariat in performing these tasks?

1 = Very effective; 2 = Effective; 3 = Neutral; 4 = Ineffective; 5 = Very ineffective; 6 = Don't know

Task	1	2	3	4	5	6
a) Financial administration (planning nd supervision of; accountability for)						
b) General administration (organisati n and supervision of)						
c) Proactive soliciting of funding app ications from scientists						
d) Guiding or assisting scientists with the preparation of funding proposals						
e) Internal coordination with other St nding Committees and ESF units						
f) Preparing Standing Committee me tings						
g) Liaising with member organisation on all matters related to Standing Commi tee business						
h) Networking with international orga nisations (such as the European Commissio or national funding agencies outside of urope						
i) Communications and disseminatio of information about Standing Committ e activi-						

ties						
j) Initiating and developing science policy activities in the social sciences or humanities						
Other (please specify)						

3. The Secretariat is adequately staffed with respect to administration. Do you agree or disagree?

1 Strongly agree	2 Agree	3 Neither agree nor disagree	4 Disagree	5 Strongly disagree	6 Don't know

4. The arrangement whereby one Scientific Secretary is shared between two Standing Committees (Social Sciences and Humanities) is satisfactory. Do you agree or disagree?

1 Strongly agree	2 Agree	3 Neither agree nor disagree	4 Disagree	5 Strongly disagree	6 Don't know

Why?

5. What do you regard as being the three most important criteria for selecting the Head of the Secretariat and the Scientific Secretary? Please list the criteria in order of importance.

Position	Main criteria
a) Head of Secretariat	1st
	2nd
	3rd
b) Scientific Secretary	1st
	2nd
	3rd

6. If the structure or the functioning of the Secretariat were to be changed in any way, what (if anything) would you say the main change should entail?

7. ADDITIONAL ISSUES

1. Please tell us if there are any additional issues that you would like us to raise as part of this evaluation.

2. Would you mind being interviewed by a member of the Review Panel about the issues raised in this questionnaire?

Yes		No	

Thank you for taking the time to complete this questionnaire!

Please return your completed questionnaire to the
All European Academies (ALLEA)

By email: Allea.esf@allea.nl
By fax: +31-20-6204941
By post: P.O. Box 19121; 1000 GC Amsterdam; The Netherlands

Evaluation of the European Science Foundation's Standing Committees for the Social Sciences and Humanities

Member Organisation Representative Questionnaire

Please note:

Responses to this questionnaire will be treated in the strictest of confidence. Only aggregated responses will be presented in either written or oral reports to the European Science Foundation. No person or institution will be identified by name.

When answering the following questions, either type the information requested in the blank spaces provided, or mark with an 'x' those categories of information, which apply to you or which best reflect your opinions.

Where open-ended questions have been asked, you are encouraged to keep your responses as brief and concise as possible. In this regard, please note that if you complete the questionnaire electronically, response fields will expand automatically; if not, please feel free to provide responses on a separate piece of paper.

Where questions refer to the "social sciences or humanities", you need only respond with regard to the field in which you represent your organisation. If you represent your organisation in both fields, please select the field (Standing Committee), which you think you have the most experience or knowledge of, and complete the questionnaire with regard to this field (Standing Committee) only. Your selection will be made in Question B.1 below.

8. Personal Information

9. Surname	
10. First Name(s)	

11. Sex			Female		Male	
12. Curren Employer	O ganisation				
	C untry				
13. Current Position					
14. Work telephone					

9. Nature of involvement WITH the ESF

6. In which of the following two fields do you represent your organisation as far as ESF Standing Committee business is concerned?

Soci l Sciences		Hum nities	

If you represent your organisation in both fields, which of the two do you select for purposes of completing this questionnaire (see the explanatory notes above)?

Soci l Sciences		Hum nities	

Please remember to answer all of the following questions with regard to the field (Standing Committee) you have selected above.

7. During which of the following years have you represented your organisation in interactions with the above-mentioned Standing Committee?

1997		1998		1999		2000		2001		2002	

10. The Standing Committee: General Issues

12. How appropriate do you think it is for the ESF to have separate Standing Committees for the social sciences and humanities?

1 Highly Appro-priate	2 Appropriate	3 Neutral	4 Inappropriate	5 Highly inap-propri-ate	6 Don't know

Why do you think this?

13. How appropriate do you think it is to expect individual members of the Standing Committee to be personally involved in each of the following tasks?

1 = Highly appropriate; 2 = Appropriate; 3 = Neutral; 4 = Inappropriate; 5 = Highly inappropriate; 6 = Don't know

Task	1	2	3	4	5	6
h) Proactive soliciting of funding applications from scientists						
i) Guiding or assisting scientists with the preparation of funding proposals						
j) Liaising with member organisations on all matters related to Standing Committee business						
k) Networking with international organisations (such as the European Commission or national funding agencies outside of Europe						
l) Communications, including dissemination of information about Standing Committee activities						
m) Initiating and developing science policy activities in the social sciences or humanities						
Other (please specify)						

14. It is sufficient for the Standing Committee's Core Group to meet with representatives of Member Organisations once a year. Do you agree or disagree?

1 Strongly agree	2 Agree	3 Neither agree nor disagree	4 Disagree	5 Strongly disagree	6 Don't know

Why?

4. How do you rate the effectiveness of communications between the Standing Committee and the Member Organisation which you represent?

1 Very effective	2 Effective	3 Neutral	4 neffective	5 Very ineffective	6 Don't know

If there are any factors, which you think pose obstacles to the effectiveness of such communications, please specify what these are and how they could be avoided or overcome.

5. What do you regard as being the three most important criteria for nominating members of the Standing Committee, as well as the Chair of the Standing Committee? Please list the criteria in order of importance.

Position	M ain criteria
a) Members of the Standing C ommittee	1st
	2nd
	3rd
b) The Chair of the Standing Committee	1st
	2nd

	3rd

6. How satisfied are you with current procedures for selecting and appointing Standing Committee members and the Chair of the Standing Committee?

1 = Very Satisfied; 2 = Satisfied; 3 = Neutral; 4 = Unsatisfied; 5 = Very unsatisfied; 6 = Don't know

Procedures for the selection and appoi tment of:	1	2	3	4	5	6
c) Standing Committee members						
d) The Chair of the Standing Commit ee						

If you find these procedures unsatisfactory, please indicate how you think they should be changed.

Procedures or the selection and appointment of:	Suggestions for change
c) Standing Committee mem ers	
d) The Cha of the Standing Committee	

7. Do you think the Standing Committee's membership period of between 3 and 5 years is appropriate?

Yes		No		Don't know	

If no, why and how long do you think membership tenure should ideally be?

8. How would you assess the composition of the Standing Committee in terms of the following issues?

1 = Very adequate; 2 = Adequate; 3 = Neutral; 4 = Inadequate; 5 = Very inadequate; 6 = Don't know

Issues	1	2	3	4	5	6

h)	The coverage of disciplines (in either the social sciences or humanities)						
i)	Gender balance						
j)	The range of scientific expertise						
k)	The scientific standing of committee members in the research community						
l)	Geographic representation						
m)	Age of committee members						
n)	The range of expertise in research administration						

If you wish to comment on this matter, please do so.

11. The Standing Committee: Scientific Activities

24. What do you consider to be the Standing Committee's niche, i.e. the one most important task it is best fitted for in terms of supporting and promoting the social sciences or humanities at a European level?

25. What (if anything) do you regard as being the (one) main obstacle to the Standing Committee's successful fulfilment of the task you mentioned in response to question D.1 above? How do you think this could be avoided or overcome?

26. What do you perceive to be the (one) main implication of the increasing emphasis on 'basic research funding' in the European Union's Framework Programmes for the distinctiveness of the ESF?

27. Do you agree or disagree with the idea that there is a serious risk of potential overlap and duplication of efforts between the scientific

activities supported by the Standing Committee and those supported under the sixth Framework Programme and the Cost Action Programmes.

1 Strongly agree	2 Agree	3 Neither agree nor disagree	4 Disagree	5 Strongly disagree	6 Don't know

If you wish to comment on this matter, please do so.

28. Which instrument do you see as being the most effective in terms of fulfilling each of the following Standing Committee objectives? Mark one instrument per objective.

Objectives	Most effective instrument				
	Exploratory Workshops	Networks	Scientific Programmes	Eurocores or ECPR*	Euresco Conferences
g) To promote high quality research at the European level					
h) To bring 'added value' to nationally funded research through European collaboration between ESF member organisa-					

ions					
i) To help support innovative research ideas and approaches emanating from the European scientific community					
j) To define the future research agenda in European social sciences or humanities					
k) To play an institutional role in strengthening European social science or humanities research infrastructure					

l	Other (please specify)						

* European Collaborative Research Projects in the social sciences

29. Given the existing availability of resources, do you think there is a case for changing the balance of instruments (i.e. exploratory workshops, networks, programmes, Eurocores or ECRP, Euresco Conferences) used by the Standing Committee to support the social sciences or humanities?

Yes		No		Don't know	

If yes, please specify why, and how you think it should be changed (which activities should there be more of, which less of?)

30. How effective do you think the Standing Committee has been in terms of realising the following (possible) policy goals?

1 = Very effective; 2 = Effective; 3 = Neutral; 4 = Ineffective; 5 = Very ineffective; 6 = Don't know

Policy goals	1	2	3	4	5	6
i) To promote internationally comparative research in priority topic areas						
j) To identify European priorities in the social sciences or humanities						
k) To strengthen the necessary infrastructure requirements for European-level research						
l) To foster new mechanisms for funding European research						
m) To maximise the potential for interdisciplinary collaboration both within the social sciences or humanities, and with the natural or medical sciences						
n) To contribute towards European research capacity-building through specific initiatives						

	for young researchers						
o)	To promote the role of women in European research						
p)	To promote 'best practices' in research funding and management at the European level (e.g. international peer review)						
q)	Other (please specify)						

31. How would you rate the effectiveness of each of the following procedures related to the Standing Committee's funding process?

1 = Very effective; 2 = Effective; 3 = Neutral; 4 = Ineffective; 5 = Very ineffective; 6 = Don't know

Procedure		1	2	3	4	5	6
h)	Procuring applications for funding from the wider European scientific community						
i)	Assisting applicants with the preparation and submission of proposals						
j)	Selecting high quality referees						
k)	Having proposals assessed via peer review						
l)	Selecting proposals to be supported						
m)	Monitoring scientific activities (workshops, networks, programmes, etc.) being funded						
n)	Evaluating scientific activities (workshops, networks, programmes, etc.) after their completion						

32. If you think there are any problems associated with one or more of these procedures, please specify what these are and how you think they could be avoided or overcome.

Procedure	Nature of the problem	Recommended solution
h) Procuring applications for funding from the wider European scientific community		
i) Assisting applicants with the preparation and submission of proposals		
j) Selecting high quality referees		
k) Having proposals assessed via peer review		
l) Selecting proposals to be supported		
m) Monitoring scientific activities (workshops, networks, programmes, etc.) being funded		
n) Evaluating scientific activities (workshops, networks, programmes, etc.) after their completion		

33. How efficient do you think the coordination between ESF Standing Committees is (e.g. in cases where activities are jointly supported by one or more of these committees)?

1 Very Efficient	2 Efficient	3 Neutral	4 Inefficient	5 Very inefficient	6 Don't know

Do you have any suggestions for improving such coordination?

34. The financial resources available to the Standing Committee for purposes of meeting its objectives (those listed in question D.5 above) are adequate. Do you agree or disagree?

1 Strongly agree	2 Agree	3 Neither agree nor disagree	4 Disagree	5 Strongly disagree	6 Don't know

35. The balance of resources committed by Member Organisations and other sources is optimal. Do you agree or disagree?

1 Strongly agree	2 Agree	3 Neither agree nor disagree	4 Disagree	5 Strongly disagree	6 Don't know

If you wish to comment on this matter, please do so.

36. How would you assess the rate at which the Standing Committee rejects proposals?

1 Too high	2 High	3 Optimal	4 Low	5 Too low	6 Don't know

Why?

37. The process of securing financial support from Member Organisations for à la carte programmes is satisfactory. Do you agree or disagree?

1 Strongly agree	2 Agree	3 Neither agree nor disagree	4 Disagree	5 Strongly disagree	6 Don't know

If relevant, how do you think this process should be changed.

38. The Standing Committee is pro-active enough in terms of identifying strategic thematic priorities to be attached to its various funding instruments. Do you agree or disagree?

1 Strongly agree	2 Agree	3 Neither agree nor disagree	4 Disagree	5 Strongly disagree	6 Don't know

Why?

39. The balance of Standing Committee spending across disciplines in the social sciences or humanities is adequate. Do you agree or disagree?

1 Strongly agree	2 Agree	3 Neither agree nor disagree	4 Disagree	5 Strongly disagree	6 Don't know

If you wish to comment on this matter, please do so.

40. Access to Standing Committee funding is equally distributed throughout the wider European scientific community. Do you agree or disagree?

1 Strongly agree	2 Agree	3 Neither agree nor disagree	4 Disagree	5 Strongly disagree	6 Don't know

If you disagree, why do you think this is and how do you think the issue should be addressed?

41. How, on the whole, do you think the quality of applications received by the Standing Committee compares to those received by your organisation?

1 A lot better	2 Slightly better	3 Same	4 Slightly worse	5 A lot worse	6 Don't know

If you wish to comment on this matter, please do so.

42. How, on the whole, do you rate the research supported by the Standing Committee in terms of the following criteria?

Criteria	1 Very High	2 High	3 Middle of the road	4 Low	5 Very Low	6 Don't know
Scientific quality						
Scientific innovativeness						
Relevance to national or European policy development						

43. What do you consider to be the most important output that each of the following types of activities produces?

Type of activity	Most important output
f) Exploratory Workshops	
g) Networks	
h) Scientific Programmes	
i) EUROCORES or ECRP	
j) Euresco Conferences	

44. In your opinion, do activities generally produce the outputs you listed in response to question D.20 above?

Type of activity	1 Always	2 Mostly	3 Now and then	4 Hardly ever	5 Never	6 Don't know
f) Exploratory Workshops						
g) Networks						
h) Scientific Programmes						
i) EUROCORES or ECRP						
j) Eurosco Conferences						

45. How would you assess the visibility of outputs produced by activities supported by the Standing Committee?

1 = Very adequate; 2 = Adequate; 3 = Neutral; 4 = Inadequate; 5 = Very inadequate; 6 = Don't know

Visibility of outputs	1	2	3	4	5	6
d) Within the wider European scientific community						
e) Amongst national policymakers						
f) Amongst EU policymakers						

If you wish to comment on this matter, please do so.

46. Please provide two memorable examples of what you consider to be important outcomes (or impacts) that have resulted from an actual activity supported by the Standing Committee during the past five years.

Type of activity (exploratory	Title of activity	Important outcome

worl shop, net-w(rk, pro-grar ıme, etc.)		

47. What, in your view, is the main impact of the Standing Committee's work on both the wider European scientific community and on national funding agencies?

c) Impact on the wider European scientific community	
d) Impact on national funding agencies	

12. The Standing Committee: POLICY Activities

7. In your opinion, what is the most important factor for giving the Standing Committee a strong position to act as an adviser to outside bodies with regard to the following two issues?

c) The strategic contribution of social science or humanities research to policymaking	
d) Policy for European social sciences or humanities research	

8. What do you regard as being the two most important (social science or humanities) policy documents to be produced by the Standing Committee during the past five years?

Title (or topic) of document	Year of publication (if known)

c)	
d)	

9. What impact did these documents have on your organisation?

Document	Impact
c) As above	
d) As above	

10. In your opinion, what are the two most critical science policy issues confronting the social sciences or humanities in Europe today?

b)
c)

11. Forward Looks represent a promising addition to the scientific instruments available to the Standing Committee. Do you agree or disagree?

1 Strongly agree	2 Agree	3 Neither agree nor disagree	4 Disagree	5 Strongly disagree	6 Don't know

Why?

12. The social sciences or humanities are taken sufficiently into account in wider processes of decisionmaking about the ESF's strategic orientation? Do you agree or disagree?

1 Strongly agree	2 Agree	3 Neither agree nor disagree	4 Disagree	5 Strongly disagree	6 Don't know

13. The Standing Committee's Secretariat

1. The Secretariat is adequately staffed with respect to administration. Do you agree or disagree?

1 Strongly agree	2 Agree	3 Neither agree nor disagree	4 Disagree	5 Strongly disagree	6 Don't know

2. The arrangement whereby one Scientific Secretary is shared between two Standing Committees (Social Sciences and Humanities) is satisfactory. Do you agree or disagree?

1 Strongly agree	2 Agree	3 Neither agree nor disagree	4 Disagree	5 Strongly disagree	6 Don't know

Why?

3. In your opinion, how effective is the Secretariat in performing the following tasks?

1 = Very effective; 2 = Effective; 3 = Neutral; 4 = Ineffective; 5 = Very ineffective; 6 = Don't know

Task	1	2	3	4	5	6
k) Financial administration (planning and supervision of; accountability for)						
l) General administration (organisation and supervision of)						
m) Proactive soliciting of funding applications from scientists						
n) Guiding or assisting scientists with the prepa-						

ration of funding proposals						
o) Internal coordination with other St nding Committees and ESF units						
p) Preparing Standing Committee me tings						
q) Liaising with member organisation on all matters related to Standing Commi tee business						
r) Networking with international orga nisations (such as the European Commissio or national funding agencies outside of urope						
s) Communications and disseminatio of information about Standing Committ e activities						
t) Initiating and developing science p licy activities in the social sciences or hu anities						
Other (please specify)						

7. What do you regard as being the three most important criteria for selecting the Head of the Secretariat and the Scientific Secretary? Please list the criteria in order of importance.

Po ition	Main criteria
c) Head of Secretariat	1st
	2nd
	3rd
d) Scientific Secretary	1st
	2nd
	3rd

8. If the structure or the functioning of the Secretariat were to be changed in any way, what (if anything) would you say the main change should entail?

14. ADDITIONAL ISSUES

3. Please tell us if there are any additional issues that you would like us to raise as part of this evaluation.

4. Would you mind being interviewed by a member of the Review Panel about the issues raised in this questionnaire?

Yes		No	

Thank you for taking the time to complete this questionnaire!

Please return your completed questionnaire to the
All European Academies (ALLEA)

By email: Allea.esf@allea.nl
By fax: +31-20-6204941
By post: P.O. Box 19121; 1000 GC Amsterdam; The Netherlands

Evaluation of the European Science Foundation's Standing Committees for the Social Sciences and Humanities

Recipient Questionnaire

Please note:

Responses to this questionnaire will be treated in the strictest of confidence. Only aggregated responses will be presented in either written or oral reports to the European Science Foundation. No person or institution will be identified by name.

When answering the following questions, either type the information requested in the blank spaces provided, or mark with an 'x' those categories of information, which apply to you or which best reflect your opinions.

Where open-ended questions have been asked, you are encouraged to keep your responses as brief and concise as possible. In this regard, please note that if you complete the questionnaire electronically, response fields will expand automatically; if not, please feel free to provide responses on a separate piece of paper.

Where questions refer to the "social sciences or humanities", you need only respond with regard to the field in which you work.

If you have lead or coordinated more than one ESF-supported activity, please complete all questions with reference to the most recent of these.

15. Surname		16. First Name (s)	

17. Sex	Female		Male	

18. Year of birth	

19. Disciplinary back-ground/affil ation	

20. Current Employer	O ganisation	
	C untry	

21. Current Pos ion	

22. Work teleph one	

Please remember: If you have lead or coordinated more than one ESF-supported activity, please complete all questions with reference to the most recent of these.

23. What type of ESF-supported activity are (or were) you the leader or coordinator of?

a) Exploratory Workshop	
b) Scientific Network	
c) Scientific Programme	
d) EUROCORES (Humanities) or European Colla orative Research Project (Social Sciences)	
e) EURESCO Conference	
Other (please specify)	

24. What is the title of this activity?

25. When did the activity start and when was it (or will it be) completed?

Starti ıg date		(Expı ɔted) comp etion date	

26. To which ESF Standing Committee was the application for support of this activity made?

Social Sciences		] [umanities		Other (please specify)	

27. Did you apply to the Standing Committee in response to one of its calls for proposals?

Yes		No	

If yes, how or by whom were you informed about the call?

If no, what led to your decision to apply to the Standing Committee?

28. Did you submit the same, or a similar, application to another organisation (such as the European Commission or a national funding agency) before applying to the ESF for support?

Yes		No	

If yes, to which organisation did you apply?

29. Which disciplines were represented in the proposal submitted to the ESF?

30. Which countries were represented in the proposal submitted to the ESF?

31. How many countries have been represented in total by the various participants in events or projects organised under the auspices of this activity?

Countries with n Europe		Countries outsi e of Europe	

32. How would you assess the following procedures used by the Social Sciences or Humanities Standing Committee?

1 = Very efficient; 2 = Efficient; 3 = Neutral; 4 = Inefficient; 5 = Very inefficient; 6 = Don't know

Application procedure	1	2	3	4	5	6
a) Guidelines for preparing proposals						
b) Assistance with proposal preparation from senior staff of the Standing Committee Secretariat						
c) Proposal evaluation (refereeing process)						
d) Proposal selection and approval						
e) Assistance from ESF staff in dealing with the emergence of project problems						

If there is anything about these procedures, which you think could/should be improved, please specify what this is and what changes you would recommend.

Application procedure	Recommended imp ovements
a) Guidelines for preparing proposals	
b) Assistance with proposal preparation from senior staff of the Standing Committee Secretariat	
c) Proposal evaluation (refereeing process)	
d) Proposal selection and approval	
e) Assistance from ESF staff in dealing with the emergence of project problems	

33. What was the total amount of funding awarded for the activity?

Euro	

34. How strictly was (is) the activity monitored by either the Standing Committee or ESF staff with regard to the following issues?

1 = Far too strictly; 2 = Too strictly; 3 = Appropriately strictly; 4 = Not really strictly; 5 = Not strictly at all;
6 = Don't know

Issue	1	2	3	4	5	6
k) Resource expenditure						
l) Scientific content (e.g. the selection of workshop topics)						
m) Organisation of individual events or projects						
n) Selection and invitation of participants of events or projects						

35. The balance of scientific and administrative tasks involved in leading or coordinating the activity is (or was) reasonable. Do you agree or disagree?

1 Strongly agree	2 Agree	3 Neither agree nor disagree	4 Disagree	5 Strongly disagree	6 Don't know

If you wish to comment on this matter, please do so.

36. If the activity, which you are (or were) coordinating was supported by two or more of the ESF's Standing Committees, did this create any difficulties in terms of how the activity was administered, monitored or evaluated? If yes, please specify the nature of the difficulties you experience(d).

Issue	Yes (please specify the nature o the difficulty)	No	Not sure
k) Adn inistration			
l) Mor itoring			
m) Eva uation			

37. What measures, if any, were (or have been) built into the activity to address the following (possible) policy goals.

Goal	Measures
a) Promoting interdisc plinary collaboration within and between the social scie nces and humanities, and/or v ith the natural or medical s iences	
b) Building research ca pacity by encouraging the inv lvement of young researcher	
c) Promoting the role o f women in European researc	
Other (please specify)	

38. What, in your opinion, were the three most important outputs produced by the activity (or intended to be produced by it)? Please list them in order of importance

1st
2nd
3rd

39. If relevant, how, and to whom, were these outputs disseminated (or will they be disseminated)?

1st
2nd
3rd

40. What do you think the most important impact of the activity is (or will be)?

41. Has the activity been evaluated? If so, how useful did you find the evaluation?

1 Extremely useful	2 Useful	2 Neutral	4 Not very useful	5 Not useful at all	6 Don't know

Why?

42. If the activity has been completed, has it led to the funding of further research projects in which you were involved?

Yes		No	

If yes, please specify the nature of the project(s) and the source(s) of funding.

Project title	
Funder(s)	

43. I would have undertaken the research involved in this activity even if the ESF had not supported it. Do you agree or disagree?

1 Strongly agree	2 Agree	3 Neither agree nor disagree	4 Disagree	5 Strongly disagree	6 Don't know

Why?

44. What do you consider to be the ESF's niche, i.e. the one most important task it is best fitted for in terms of supporting and promoting the social sciences or humanities at a European level?

45. What (if anything) do you regard as being the (one) main obstacle to the ESF's successful fulfilment of the task you mentioned in response to question 30 above? How do you think this could be avoided or overcome?

46. In your opinion, what are the two most critical science policy issues confronting the social sciences or humanities in Europe today?

c)
d)

47. Please tell us if there are any additional issues that you would like us to raise as part of this evaluation.

48. Would you mind being interviewed by a member of the Review Panel about the issues raised in this questionnaire?

Yes		No	

Thank you for taking the time to complete this questionnaire!

Please return your completed questionnaire to the
All European Academies (ALLEA)

By email: Allea.esf@allea.nl
By fax: +31-20-6204941
By post: P.O. Box 19121; 1000 GC Amsterdam; The Netherlands

Appendix B
Interview Themes

Questions and Issues to be addressed during interviews

1. The Standing Committees: General

The SC Core Groups

What exactly does the Core Group do; what is its responsibility and what decisions does it take on behalf of the SC?

The division of labour between the SC and the EURESCO and Networks Committees

Why is it that only ...% of SCM respondents think this division of labour is effective? What problems are associated with it; and how should/could these problems be addressed?
Why is there a separate Networks Committee (why not a Scientific Programmes Committee, for example, or a EUROCORES Committee); what are the advantages of having it?

The selection and appointment of SC members

Who has the final say about the selection of SC members? If MOs only nominate one person, is their selection/appointment automatic? And if they nominate more than one, who makes the final selection/appointment?

The membership composition of the SC

Why is it that respondents tend to think that the composition of the SCs (on a range of criteria) is adequate rather than very adequate? How should this result be interpreted?

2. The Standing Committees: Scientific Activities

The quality of activities

How does the SC interpret or define the notion of 'scientific quality'?

Funding instruments

What determines the decision to use a particular instrument for funding purposes?
Are the different types of instruments used selectively (i.e., are they linked to a specific instrument), or should they be used more selectively?

EUROCORES/ECRP

How did EUROCORES come about; was it an ESF idea?
What are the comparative advantages and disadvantages of EUROCORES/ECRP and Scientific Programmes?
Why did the SCSS not go down the EUROCORES route?

EURESCO Conferences

What are the implications of the co-funding strategy for EURESCO Conferences? Does it affect the conferences selected? Which types of conferences get co-funding and which do not?

Funding procedures

Why is it that the effectiveness of these procedures is not rated more highly by SC members and MO representatives?

With regard specifically to the refereeing process:

What are the main problems associated with the refereeing process?
What specific problems are associated with selecting the best referees?

Any suggestions for addressing these problems?

With regard specifically to the evaluation of completed activities:
Which activities are evaluated?
By whom are they evaluated and how are evaluators selected?
Is there a standard evaluation format? Are formal evaluation criteria specified and, if so, what are these criteria?
What happens to the results of evaluations?

Coordination with other ESF SCs

How is coordination between ESF SCs (generally, not only between the SCSS and SCH) organised and what problems are associated with it?
Any suggestions for improving such coordination?

The balance of resources across disciplines

Is the adequacy of SC spending across disciplines an issue? Is it important for the evaluation?

Securing finances from MOs for à la carte programmes

What specific problems are associated with the process whereby finances are secured from MOs for à la carte programmes?
Any suggestions for changing this process?

The visibility and impact of the outputs produced by SC supported activities

Why are the outputs of SC supported activities not deemed to be more visible?
How can their visibility be improved?
How would you rate the overall impact of the SCs' work (from very significant to very insignificant) on (a) the European scientific community; and (b) national funding agencies?

The position or status of social sciences and humanities within the ESF:

Is information about how the interests of different fields are addressed within the ESF readily available? Is it necessarily accurate to think that the social sciences or humanities are not taken sufficiently into account in wider processes of decision making about the ESF's strategic orientation?

3. The Standing Committees: Policy Activities

The initiation and development of policy activities

How are policy activities (e.g. the development of position papers or the organisation of workshops) typically initiated?
Do annual meetings between the SC Core Group and MO representatives serve as an opportunity to discuss and/or identify important policy activities?
To what extent are SC members personally involved in the development of policy activities (e.g. do they actually take responsibility for writing position papers or organising workshops)?
How, if at all, are the policy activities of the SCs coordinated with the work of Tony Mayer's Office (Head of the Secretary General's Office)?

The strength and effectiveness of the SCs' policy role

Do the SCs prioritise their role as a policy adviser?
Do the SCs have enough time to pay attention to policy activities (during plenary meetings, for example)?
How effective is the policy role of SCs deemed to be (e.g. how widely are position papers on EU FPs distributed and what impact did they have)?
What are the obstacles to ensuring the effectiveness of this role, and how could these be overcome?

4. The Standing Committees' Secretariats

Documentation policy

Is there a standard practice (policy) of providing reading guides or executive summaries to accompany material/documentation made available to SC members or MO representatives before or after meetings?

5. More General or Cross-cutting Issues

The limited research resources available to the SCs

What are the prospects of changing this reality?

Given limited budgets, how appropriate or reasonable are the SCs' objectives/goals considered to be? Should they be scaled down, and if so, how***?***

Knowledge of the ESF within the wider European Community

Why is this a problem?
Any suggestions for addressing this issue?

The over-representation and privileged position of some countries (larger countries, presumably major contributors to the budget)

To what extent is this recognised as being a problem; how big a problem; and how does it primarily manifest itself?
Any suggestions for addressing this issue?

Transparency of procedures

Is this recognised as being a problem?
Any further insights and/or suggestions?

Communications between SCs, Secretariats and MOs

What is the primary focus of communications between the SC and MOs supposed to be about (i.e. communications about what exactly)?
What has gone wrong with regard to communications? Any suggestions for solutions?

The capacity and competence of the Secretariats

What is going on with regard to the Secretariats; why does there appear to be a consistently negative impression of the quality of their work (particularly with regard to the SCSS Secretariat)?
Would you recommend shifting money from scientific activities (e.g. programmes) to the Secretariats?

Relations between the SCs and central ESF decision making bodies (e.g. Governing Council and Executive Board)

How and to what extent is the work of SCs determined by decisions made by central ESF bodies? Is this a problem?

The European Research Area (ERA)

What are the main implications of current developments/debates about the ERA for the work of the SCs?
How can one best ensure the strategic integration of the social sciences or humanities into the ERA?

The European Research Council (ERC) debate

What is the SC's position in this debate? Has it, or will it, develop a position paper on this issue? Ideas about the role of the ESF in a future ERC (and what it should do to secure such a role)? Ideas about the main obstacles to establishing an ERC?

Appendix C
Standard Evaluation Protocol 2003 – 2009 for Public Research Organisations

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Preface

This protocol is a consequence of the report *'Kwaliteit verplicht'* ('Quality obliges') of the working group *'Kwaliteitszorg Wetenschappelijk Onderzoek'* (Quality Assurance Scientific Research)[14]. The report outlines a new national evaluation system for publicly funded research in the Netherlands.

Within these outlines the three main Dutch organisations responsible for publicly funded research -the universities, the Royal Netherlands Academy of Arts and Sciences (KNAW) and the Netherlands Organisation for Scientific Research (NWO)- defined this protocol for practical use in all coming research evaluations conducted under their auspices.

In this evaluation system all publicly funded research is evaluated once every six years. Once every three years research units will produce a self-evaluation, alternating between preparation for the external evaluation and serving as an internal mid-term evaluation. The evaluation system aims at three objectives with regard to research and research management:

- *Improvement* of the quality of research through an assessment carried out according to international standards of quality and relevance;
- *Improvement* of research management and leadership;
- *Accountability* to higher levels of the research organisations and funding agencies, government, and society at large.

An important condition is also to keep the administrative burden as low as possible. For that reason these evaluations are intended to serve all regular public evaluation goals.

This protocol is primarily directed toward the evaluation of scientific research. Traditionally, such evaluation focuses on the quality of work conducted according to the standards of scientific disciplines, and the ways in which results are communicated to a scientific audience. However, the work done in scientific institutions often entails more; that is, institutions have a broader mission. These broader missions might refer to certain socio-economic goals or to particular technical or infrastructural functions (for example with respect to the scientific information

[14]'Kwaliteit Verplicht. Naar een nieuw stelsel van kwaliteitszorg voor het wetenschappelijk onderzoek'. Rapport van de werkgroep Kwaliteitszorg Wetenschappelijk Onderzoek en standpuntbepaling KNAW, NWO en VSNU. April 2000 (Published in 2001)

structure). Also, scientific work can be of a multi- or transdisciplinary nature. In all these cases, standards of quality and relevance might differ, as do patterns of communication. The organisation responsible for evaluating individual institutes should therefore see to it that procedures necessary to assess these particular aspects of an institute's mission are employed. This should, for example, have consequences for the composition of the evaluation committee, and/or the data collection process (See literature for examples of these broader types of evaluations).

The results of the evaluation are intended to help the research organisation, the management of the research units and the individual researchers to make better decisions about future research, research management and research policy. The evaluations are both *retrospective* and *prospective*. This is reflected in the *assessment criteria* (chapter 2) for past performance and future plans that reflect the main questions that need to be answered by the evaluators.

The units of evaluation may differ between the participating organisations -the universities, KNAW and NWO- but they will be referred to throughout this protocol as 'institutes'. The boards of the three participating organisations, *i.e.* the board of the university, the board of KNAW and the board of NWO, under whose jurisdiction a research institute falls, are responsible for the organisation and proper procedures of the evaluation of that institute. An institute may be defined as 'a group of researchers with an articulated shared mission operating under the same management'. Each 'institute' will have a director, board and/or research leader(s) with a final responsibility. Throughout this document they will be referred to as 'the management'. A short description of the participating organisations is given in appendix 1.

1. Objectives of the evaluation system

Improvement and accountability are the main objectives of this system of quality assessment. Public accountability is both a requirement for publicly funded research and an inherent element in the improvement cycle in which this scheme of evaluation plays a dominant role.

With regard to the objective of *improvement*, the system is directed toward both the research and its management. Evaluators are explicitly asked to judge not only the performance of an institute's research and

researchers, but also its leadership, strategy and policy, and research organisation. If applicable, the quality questions also may refer to the socio-economic impact of research and to multi- and interdisciplinary research.

The evaluation system is a combination of *retrospective and prospective analysis.* The relationship between retro- and prospective evaluation is to some extent the result of acquired confidence for the future based on insight in the past. In other words: discussions about the future require knowledge of the past. The emphasis will be on the prospective analysis.

Public accountability is a requirement in the case of publicly funded research. The evaluation committee will report their findings to the board of the responsible research organisation. The responsible board will make policy decisions for the institute at hand based on the evaluation report and discussion with the institute. Together, the evaluation report and the decision of the board form the results of the evaluation. These results will be reported to the Minister of Education and Sciences as part of existing procedures in which the responsible research organisations report to the minister periodically (yearly) about evaluations conducted under their auspices. As such the results of the evaluation have a public character.

The system aims at operating with the least possible burden for the researchers: a self-evaluation once every three years, an external evaluation once every six years. On the basis of a yearly monitoring system, the institutes maintain data needed for these evaluations in a systematic way. The three research organisations aim at a national research information system, accessible through the Internet, to store all relevant data. This protocol prescribes which data are to be provided. In 2002 such a national information system is not yet available.

2. Assessment criteria

The assessment criteria for an institute as a whole and those for the research programmes are similar, but differ in scope and depth. The institute assessment puts emphasis on strategy and organisational aspects, whereas the programme assessments focus on the results and quality of the scientific research and on the future.

Together the criteria represent a comprehensive picture of the performance of an institute or research group in any given field, and of its future potential. It has to be noted though that the elaboration of these criteria may differ for different fields. Because publication traditions and contextual relations vary among different fields, articles in high ranking journals, for example, are much more telling and accepted as indicator in some fields than in other. This goes for the distinction at large between scientific areas (natural sciences, social sciences, humanities, medical sciences, agricultural sciences, technical sciences) as for sub fields in these areas. Having said that, the main criteria are elaborated as a guideline for the evaluators. The main criteria to be used in the evaluation are:

- Quality (international recognition and innovative potential)
- Productivity (scientific output)
- Relevance (scientific and socio-economic impact)
- Vitality and feasibility (flexibility, management, and leadership).

The evaluation committee presents its judgements on these criteria according to a five-point scale: excellent, very good, good, satisfactory, and unsatisfactory. An extended description of this scale is given in appendix 2.

The judgements of the evaluators will refer to the evaluation unit as a whole, and to relevant parts of the institute (research programmes). In cases where the evaluation committee's judgement is not unanimous, different views of members of the panel should be stated explicitly.

The main criteria should always be reviewed in relation to the mission of the institute or group, for instance, if the mission of the institute or group is restricted to national scientific tasks. The criteria may be interpreted in the following way.

Quality is to be seen as a measure of excellence and excitement. It refers to the eminence of a group's research activities, its abilities to perform at the highest level and its achievements in the international scientific community. It rests on the proficiency and rigour of research concepts and conduct; it shows in the success of the group at the forefront of scientific development. As a rule, experts in the field -the peers- judge this. They rely on their own knowledge and expertise, on discussions with the group leaders and other members, and on various kinds of systematic information. When an institute provides high quality state

of the art facilities to the research community this can be considered as a measure of excellence.

Productivity refers to the total output of the group; that is, the variegated ways in which results of research and knowledge development are publicised. Usually, quantitative indicators measure this. In most cases this will be bibliometrics, which are indicators concerned with publications and citations of publications. In some cases technometrics (largely concerned with patents and citations of patents); or sociometrics (concerned with socio-economic performance or embedment of research) can be applied. The output needs to be reviewed in relation to the input in terms of human resources.

It is important to remember that quantitative approaches have gained credibility in the physical and life sciences, but remain problematic in the social sciences and humanities where different publication traditions exist and publication patterns may vary widely between disciplines. The limitations of the ISI Citation Indexes, which are sometimes relied upon, must also be kept in mind (ISI databases do not cover the full range of journals, they are weak in emerging areas, impact scores differ between disciplines and even sub-disciplines).

Furthermore, new tools for mapping and analysing productivity are emerging to take account of changes in publication behaviour. As more and more results of research become available through the Internet, these tools become increasingly appropriate and valuable. The research organisations will follow these developments closely and consider the introduction of such new tools into the evaluation process once they have proven their credibility and can provide significant added value to the evaluation process.

Relevance is a criterion that covers both the scientific and the technical and socio-economic impact of the work. Here in particular research choices are assessed in relation to developments in the international scientific community or, in the case of technical and socio-economic impact, in relation to important developments or questions in society at large. Both qualitative and quantitative methods can be used here.

Vitality and feasibility. This dual criterion refers to the internal and external dynamics of the group in relation to the choices made and the success rate of projects. On the one hand, this criterion measures the

flexibility of a group, which appears in its ability to close research lines that have no future and to initiate new venture projects. On the other hand, it measures the capacity of the management to run projects in a professional way. Assessment of policy decisions is at stake, as well as assessment of project management, including cost-benefit analysis.

The questions to be answered with these assessments concern both the research institute and the research programmes. These questions are:

For past performance:

1. What are the quality and relevance of the institute?
2. What is the quality of the leadership, management, strategy and research programmes of the institute, its (human) resources, organisation and infrastructure and how can they be improved?
3. To what extent has the institute/research programme achieved its mission and goals formulated for the period under review?

For future plans:

1. Is the mission of the institute well chosen and phrased in view of the actual developments in the relevant research field(s)?
2. How do you assess the institute's research plans and is there sufficient coherence in the research portfolio of the institute?
3. What is the quality of the leadership, management and strategy of the institute, its (human) resources, organisation and infrastructure and how can they be improved?
4. Which of these aspects has room for improvement and how could that be accomplished?

The evaluation committee may be asked to answer additional questions from the board of the research organisation. These may refer to specific tasks of the institute not directly related to its research, specific situations such as major changes in the organisation or mission of the institute, or specific demands of stakeholders who help fund the institute in a substantial way.

3. Planning and procedures

As a key element in the cycle of improving research and regular accounting of past performance, the evaluation process needs to be carefully planned. Each of the responsible boards (KNAW, NWO, the uni-

versity boards), therefore, has to consider the following procedural steps carefully:

1. Planning and time table for all research institutes. This includes making a draft protocol for each specific evaluation
2. Protocol for the specific external evaluation
3. Selection of the chair and members of the evaluation committee
4. Self-evaluation document
5. The evaluation committee's working programme
6. Evaluation report
7. Conclusions by the board
8. Making the evaluation results public
9. Participation and meta-evaluation

3.1 Planning and timetable for all research institutes

The nature and size of the research units to be evaluated will be defined by each of the three participating organisations (KNAW, NWO, the universities) separately. Throughout this protocol, these units are referred to as institutes. Preferably, the organisations will define institutes as research units of some substance; the average size of a research school may serve as a guideline. An institute is loosely defined as a group of researchers with a shared mission operating under the same management. Different research groups can be part of one research unit.

The management (a director, board) is responsible for the integral performance of the institute. The evaluation is therefore a comprehensive form of quality control; that is, both research and managerial aspects are reviewed.

Each institute needs to be assessed by an external peer evaluation committee once every six years. The institute produces a self evaluation every three years, one in preparation of the external review, and one three years thereafter as a mid-term review. There might be overlap between different institutes; for example, researchers may work both in an Academy Institute and in a university-based research school. It is one of the goals of this system to avoid unnecessary overlap between the evaluations of the various institutes. A leading principle therefore is that information about groups, programmes or parts of the institute evaluated in one evaluation may be used in another.

The boards will plan their external and mid-term evaluations autonomously. They will produce an overall schedule for all the evalua-

tions within their jurisdiction for a six-year planning period. The schedule lists all institutes with their year of evaluation. The schedule is made public by the boards.

3.2 Protocol for the specific external evaluation

The board of the research organisation produces a draft evaluation protocol, i.e. this Standard Evaluation Protocol, augmented with:

- a list of additional input and background documents for the attention of the committee, such as the board's conclusions on the basis of the last mid-term evaluation or the results of relevant external evaluations of other institutes overlapping the institute at hand;
- the expertise profile of the evaluation committee to be appointed by the board (after consulting the institute's management);
- a possible list of additional questions from the board to the evaluation committee.

This draft protocol is discussed with the institute and finalised by the board.

3.3 Selection of the chair and members of the evaluation committee

The board is responsible for inviting and installing the committee, but will take proposals from the institutes to be evaluated into careful consideration. The board is also responsible for following the proper procedures.

The selection procedure for the committee's chair and members must make sure that:

1. the committee is fully competent to carry out the assessments
2. the committee is completely independent from the research institutes involved
3. the committee will receive proper legitimisation and acceptance within the institutes that are assessed, within the scientific community at large and in society.

In order to meet these requirements, the board and the institutes involved will consider carefully the required competencies, disciplinary expertise and professional backgrounds of the chair and the other members. Preferably, they will write this down in a profile, which will serve as a guideline for proposing actual candidates. The board may seek external advice on the profile and candidate list within the national and international scientific community.

It is recommended that the board first invite the chair for the committee. Then the board and the committee's chair will together invite the other members of the committee, according to the profile. The board is also responsible for appointing the supporting staff in the evaluation process. During this process of selection and invitation, the board keeps the institutes informed of the progress and finally makes a public announcement of the formal installation of the evaluation committee.

3.4 Self-evaluation document

The institute provides the self-evaluation document; for the format, see appendix 3. The board, responsible for both the institute and for the evaluation, approves the document as an input document for the evaluation. If not, it will inform the institute on which grounds the document is not acceptable and how this can be remedied. The self-evaluation document needs to be approved by the board before it is sent to the evaluation committee.

3.5 The evaluation committee's working programme

The evaluation committee visits the institute. The chair and the management of the institute will agree upon the programme for the visit. The evaluation committee receives all relevant material self evaluation document, this protocol, possible additional questions by the board and the visiting programme) four weeks in advance of their site visit. In case more institutes are involved, the duration of the visit will be extended.

The chairman may ask, possibly after consulting the other committee members, for additional information from the institute or the board.

The committee will meet in a closed session before the site visit, after being formally installed by a representative of the board. In that closed session, the committee decides on their working procedure for the visit and for writing the draft report.

During the visit, the committee meets with:

- The director (or board) of the institute;
- The research leaders of the institute;
- The advisory committee of the institute;
- Any (group of) person(s) of the institute asking to be heard bythe committee.

In order to avoid any factual errors or obvious mistakes, the chair asks the director to comment on the draft evaluation report. The report will

contain all issues as described in the section "Evaluation report" (see below). After having received these comments, the committee concludes its evaluation by completing the evaluation report and presenting it to the board.

3.6 Evaluation report

The objective of accountability can only be met by producing a transparent and informative public report of the evaluation's outcomes. On the other hand, to meet the objective of improvement and advice to the research management and the board of the institute, the evaluation committee should feel free to discuss the future of the research and of the institute. For this second objective, the evaluation committee can organise discussions with the institute's scientific leaders during their site visit and draw up a management letter to the board. Matters of personnel policy and sensitive decisions are generally treated in the confidential management letter to the board and do not form part of the public report.

The public part of the report should contain the following information and assessments: (see chapter 2: Assessment Criteria)

1. A review of the *entire institute*, containing:

1.1 A reflection on the leadership, strategy and policy of the institute

1.2 An assessment of the quality of the resources, funding policies and facilities

1.3 An assessment of the academic reputation of the institute

1.4 An assessment of the societal relevance of the institute

1.5 A reflection on the strengths and weaknesses the institute has formulated.

2. A review of *each research programme* of the institute, containing:

2.1 A quantified assessment of the quality, productivity, relevance and prospects of the research programme

2.2 An explanation for this quantified assessment, containing:

- A reflection on the leadership, strategy and policy of/for the research programme
- An assessment of the quality of the research staff, (human) resources, funding policies and facilities
- An assessment of the quality and quantity of the publications and of the publication strategies
- An assessment of the academic reputation of the group/programme

- An assessment of the relevance of the programme from an academic perspective and from a broader social perspective
- An assessment of the future perspectives of the group/programme.

If more than one institute is involved in the evaluation process, the evaluation committee is invited to reflect upon their various contributions to the discipline and upon the research portfolio they represent for the Netherlands within their field.

The board is responsible for checking that the report is complete and consistent, leading to its formal acceptance as an evaluation according to this national protocol. If the board does not accept the report, it will inform the evaluation committee on which grounds the board cannot accept the report. Also, the board may ask the evaluation committee to improve the report in order to make it acceptable for the board. The institute's management is asked by the board to reply to the issues raised by the evaluation committee in its report. This reply is added to the report as an appendix and forms an integral part of the final evaluation report.

3.7 Conclusions by the board

The final evaluation report will be sent to the institute's advisory board for advice on all relevant matters arising in the report. On the basis of the report, the advisory board's advice and preceding discussion with the institute, the board will draw conclusions for the future of the institute. Together, the self-evaluation document, the final evaluation report and the conclusions made by the board form the results of this external evaluation.

3.8 Making the evaluation results public

The board will report on both mid-term and the external evaluation results in its annual report. The board will make the outcome of the external evaluation available for anyone on request; preferably, it will be made available on the Internet.

3.9 Participation and meta-evaluation

Accountability not only implies obligations with respect to the individual research institutes in terms of evaluation and publication of the results, but also demands that the three organisations for research guarantee that all research within their jurisdiction participates in this system

of cyclic evaluations. To this end, three mechanisms for accountability will be in operation:

1. A schedule of planned evaluations. At the start of the cycle, the three organisations provide an overall schedule with the institutes that fall under their jurisdiction and the prospected year in which the external evaluation will be carried out.

Although such a planning inevitably will have to be adapted during the cycle due to organisational changes, it will give the institutes and society security and the meta-evaluation a starting point.

2. An account of the completed evaluations in the annual report of the organisations. KNAW, NWO and the universities will provide an overview in their annual reports of the evaluations that were held in that year and of the conclusions the boards have drawn. For evaluations pushed near the end of the year, the conclusions may be reported one year later. Also upon the completion of the three-year internal self-assessment, the annual report will give account of the progress that has been made since the last external evaluation of three years before.

3. A public meta-evaluation carried out by an independent committee. KNAW, NWO and VSNU, in consultation with the minister of Education, Culture and Science, will establish an independent committee that will perform a meta-evaluation of the evaluation process and its outcome. KNAW will take the initiative to organize this committee. The tasks of the committee are:

- Monitoring the research assessment process in universities, KNAW and NWO. Aspects: compliance with the Standard Evaluation Protocol; scientific level and disinterestedness of members of evaluation committees; transparency and information level of the evaluation reports from the viewpoint of policymakers;
- Assessing the impact of evaluation reports on the policies of universities, KNAW en NWO: which decisions have been made as a result of evaluation reports;
- Evaluation of the Standard Evaluation Protocol: recommendations for improving the efficiency and the effectiveness of the assessment process.

The Meta-evaluation committee will report once a year to the Boards of the universities, KNAW and NWO. The report will be made public.

4. Self-analysis: perspectives and expectations

Because the main objective of the evaluation system is to improve an institute's research and research programmes, it is not enough just to present the documentation as required in appendix 3. The institute is asked to make an analysis of its situation (as a whole, but also for each research programme) as given in the documentation, to draw their conclusions and to give an outline of the consequences for the future. The analysis will serve as the starting point for the assessment by the evaluation committee. In most cases, a common 'SWOT'-analysis[15] will provide sufficient insight for this purpose, but in difficult cases, specific management tools or external help may be invoked. The analysis may thus take the following outline:

1. *Strengths*: A recapitulation of the strongest aspects that emerge from the documentation
2. *Weaknesses*: A recapitulation of the weakest aspects that emerge from the documentation
3. *Opportunities*: An analysis of developments in science and in society at large that may affect the institute's or group's research in a positive way
4. *Threats*: An analysis of developments in science and in society at large that may affect the institute's or group's research in a negative way
5. *Analysis*: Conclusions drawn from the SWOT analysis with respect to the necessity for a change in research objectives and strategy.
6. *Adjusted goals*: (If applicable) a new set of goals for the medium and longer term that meet the SWOT analysis.
7. *Adjusted strategy*: (If applicable) the outline of an adjusted strategy that will replace the existing one outlined in the documentation.

The evaluation committee is asked to take both past performance and future prospects, according to this analysis of the institute and groups, into account.

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[15] An analysis of strengths (S), weaknesses (W), opportunities (O) and threats (T). Strengths and weaknesses constitute the internal, compliant factors, the opportunities and threats the external factors.

Appendices

Appendix 1: Participating research organisations in this evaluation system

Appendix 2: Extended description of the five point scale

Appendix 3: Contents of the documentation
A. Documentation regarding the level of the institute
A.1 Mission statement
A.2 Leadership
A.3 Strategy and policy
A.4 Researchers and other personnel
A.5 Resources, funding and facilities
A.6 Processes in research, internal and external collaboration
A.7 Academic reputation
A.8 Internal evaluation
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A.10 Overview of the results
A.11 Analysis, perspectives and expectations for the institute
B. Documentation regarding the level of the research programme
B.1 Leadership
B.2 Strategy and policy
B.3 Processes in research, internal and external collaboration
B.4 Academic reputation
B.5 Internal evaluation
B.6 External validation
B.7 Researchers and other personnel
B.8 Resources, funding and facilities
B.9 Overview of the results
B.10 Analysis, perspectives and expectations for the research programme

Appendix 4: Checklists for internal use by the committee

Appendix 1: Participating research organisations in this evaluation system

KNAW: The Royal Netherlands Academy of Arts and Sciences
The Academy has four primary tasks 1. It advises the government on matters of science and technology. 2. It helps guard the quality of research in the Netherlands through general control mechanisms (organising peer review) and specific programs (accreditation of research schools). 3. It provides a forum for the scientific community and promotes international scientific co-operation (international contacts, conferences, funding and infrastructure). 4. It operates as an umbrella organisation for some twenty institutes in the life sciences, the humanities and scientific information. This protocol relates specifically to this last responsibility and the research schools mentioned under 2. (More info on http://www.knaw.nl)

NWO: Netherlands Organisation for Scientific Research
NWO is the national organisation for fundamental and strategic scientific research. NWO encompasses all fields of scholarship. The organisation of NWO is divided into a granting organisation and a number of institutes.

The granting organisation consists of seven councils, one for each of the following research areas: the Humanities, the Social Sciences, the Physical Sciences, the Chemical Sciences, the Earth and Life Sciences, the Medical Sciences and Technology. Each council is responsible for the implementation of its research policy and resource distribution. The councils are accountable to the governing board of NWO.

The board and management of each of the ten Institutes that operate under the umbrella of NWO work within a specific guideline that encompasses the institute's mission, strategy and research programme(s). The governing board of NWO makes budgetary decisions regarding an institute on the basis of the results of an external evaluation of the institute. (More info on http://www.nwo.nl)

Universities
The fourteen universities in the Netherlands have organised their research into coherent units, which participate as such in the evaluation process. Each university decides which departments, research institutes

or (participating units in) research schools comply with the definition of an ‘institute’ given in this protocol (see Preface).

The evaluation process presumes that each of these university institutes form a coherent, managed research organisation. Each institute consists of one or more research groups, where each group works within the framework of a research programme under a programme or group leader.

The Association of the Universities (VSNU) co-ordinates the scheduling process for the six-year cycle and for each year, aiming at disciplinary and interdisciplinary synergy between the universities in the evaluation processes. The university boards have the primary responsibility for making choices with regard to evaluations of their institutes. (More info on http://www.vsnu.nl)

Appendix 2: Extended description of the five-point scale

Excellent
Work that is at the forefront internationally, and which most likely will have an important and substantial impact in the field. Institute is considered an international leader.
Very good
Work that is internationally competitive and is expected to make a significant contribution; nationally speaking at the forefront in the field. Institute is considered international player, national leader.
Good
Work that competitive at the national level and will probably make a valuable contribution in the international field. Institute is considered internationally visible and a national player.
Satisfactory
Work that is solid but not exciting, will add to our understanding and is in principle worthy of support. It is considered of less priority than work in the above categories. Institute is nationally visible.
Unsatisfactory
Work that is neither solid nor exciting, flawed in the scientific and or technical approach, repetitions of other work, etc. Work not worthy of pursuing.

Appendix 3: Contents of the documentation

To prepare for an evaluation -self-evaluation and external evaluation- the institute is asked to provide a set of documents containing all the relevant information. This documentation reflects both the level of the institute as a whole (A) and the research programmes or research groups (B) that work within the jurisdiction of the institute. Research conducted outside the scope of a programme and other work within the institute may be added separately. Both the level of the institute and the level of the programmes or groups are specified comprehensively in annual units, which means that the factual data of the research programmes and other research add up to the total of the institute's data.

A Documentation regarding the level of the institute

A short characterisation of the institute is provided, including:
Name of the institute
Date of establishment
Institutional affiliations and formal responsibilities
Research area and mission
Formal co-operations and relations with other national and international research establishments

A.1 Mission statement
Data:
Description of the mission

A.2 Leadership
On the basis of an organisation chart, including the names of director(s) and department heads, the formal leadership and steering mechanisms of the institute are explained.

A description is provided of the decision-making procedures, management style, means of motivation, communication and control and processes of improvement and innovation.

Data:
Organisation chart
Names of directors and department heads

List of research programmes and programme leaders

A.3 Strategy and policy
The research area is repeated and together with the mission explained in a historical and future context: changes in research subjects and strategies and plans for the short and long term.

If applicable, strategy and policy are also explained within the wider organisational context of the institute, such as university, research school, national body, etc.

A.4 Researchers and other personnel
The actual personnel policy is explained, including recruitment, selection, training, personal development opportunities, mobility and exchange policies.

Data:
A list is provided of the research input – i.e. research staff employed by the institute in the previous six years

Table 1
Research staff at institutional level

Name and present title		Year-5	Year-4	Year-3	Year-2	Year-1	Year now
Institutional level	Entire institute	fte	fte	fte	fte	fte	fte
Tenured staff	Entire institute	fte	fte	fte	fte	fte	fte
Non-tenured staff	Entire institute	fte	fte	fte	fte	fte	fte
PhD students	Entire institute	fte	fte	fte	fte	fte	fte
Total research staff	Entire institute	sum	sum	sum	sum	sum	Sum
Supporting staff	Entire institute	fte	fte	fte	fte	fte	Fte
Total staff	Entire institute	sum	sum	sum	sum	sum	sum

Research Programme level (add for each programme)

Name and present title	Programme nr. (or 'other')	Year-5	Year-4	Year-3	Year-2	Year-1	Year now
Programme 1		fte	fte	fte	fte	fte	fte
Tenured staff		fte	fte	fte	fte	fte	fte
Non-tenured staff		fte	fte	fte	fte	fte	fte
Ph.D. students		fte	fte	fte	fte	fte	fte
(sub) Total research staff		sum	sum	sum	sum	sum	Sum
Programme 2							
…….							
Total Staff		sum	sum	sum	sum	sum	sum

(Due to shifts from one programme to another, research projects may be listed more than once; all fulltime equivalents in this table represent the actual fraction of the fte available for research, i.e. appointment times agreed research fraction)

Distinctions according to research input and financial resources are reported in the next section.

A.5 Resources, funding and facilities

The financial situation and policy of the institute are explained both in terms of funding and expenditure. The future funding situation and consequences are discussed. The research facilities and/or substantial capital investments (installations, equipment, computers, library, etc.) are described with their budget and their conditions evaluated. Funding trends (see data table) are explained. Future funding targets are specified. The data are provided in two sets: in k€ and in percentages.

Data:
Table 2
Funding and expenditure at institutional level

Institutional level:

Funding:	Year –5	Year -4	Year -3	Year -2	Year -1	Year now
Direct funding	€/%	€/%	€/%	€/%	€/%	€/%
Research funds	€/%	€/%	€/%	€/%	€/%	€/%
Contracts	€/%	€/%	€/%	€/%	€/%	€/%
Other	€/%	€/%	€/%	€/%	€/%	€/%
Total	sum	sum	sum	sum	sum	Sum
Expenditure:	Year-5	Year-4	Year-3	Year-2	Year-1	Year now
Personnel costs[16]	€/%	€/%	€/%	€/%	€/%	€/%
Other costs	€/%	€/%	€/%	€/%	€/%	€/%
Total	sum	sum	sum	sum	sum	sum

Research programme level:

Funding:	Programme nr (or 'other')	Year 5	Year-4	Year-3	Year-2	Year-1	Year now
	1	%	%	%	%	%	%
	1 + x	%	%	%	%	%	%
		%	%	%	%	%	%
Total		100%	100%	100%	100%	100%	100%

Explanation:
Direct funding: funds provided directly by the higher authority for research and exploitation

[16] Personnel costs: all wages, salaries of the personnel including the social security charges, the donation to the provision 'wachtgelden' (=reduced pay in case of unemployment), the cost of temporary workers or agency staff and other personnel costs such as allowances for child care and commuter travel.

Research funds: funds received in competition from national and international science foundations (NWO, KNAW, ESF)
Contracts: funds from third parties for specific research activities, from charities, EU-framework programmes, industry, etc.
Other funding: include interest from property, legacies, etc.

A.6 Processes in research, internal and external collaboration
Current research processes and the research culture at the institute are described and evaluated. Attention will be paid to teamwork vs. individual research activities; processes in which research strategies are redirected; the communication and exchange channels; supervision of junior researchers; quality control and methodological safeguarding. If applicable, research school activities -in particular the objectives, programme and outcomes of the Ph.D. training and supervision activities- may be described in a separate section. This section -and its external assessment- may later serve in the recognition procedure for research schools. If the institute/research programme wants to use the present assessment in this way, the research school recognition procedures and protocol should also be taken into account. Objectives and results of internal and external collaboration are analysed and form the basis for the external validation below.

A.7 Academic reputation
The academic reputation of the institute may be indicated in several ways. Institutes and disciplines may refer to the practice of presenting a bibliometric analysis of the citations of the scientific results. Previous peer reviews, rewards and prizes may be cited.

A.8 Internal evaluation
Here an evaluation by the institute's own community of its management, support, research climate and culture, and facilities, is inserted.

A.9 External validation
Here the effects of collaboration and dissemination of research results outside the scientific community is evaluated. In analogy with a bibliometric analysis, a methodical analysis of the institute's environment and its appreciation of the institute's conduct and results may be added.

A.10 Overview of the results

The aggregated results of the institute are presented in the following tables and listings. The full results are reported in the research programme documentation. It should be stressed that all relevant results and outcomes of the institute's activities, in particular all results that contribute to the mission and goals of the institute, will be reported to the review committee and thereby taken into account in the assessment. However, for some of these results, especially academic publications which by their nature must result from original research work, numerical information makes sense.

In Table 6 similar figures are provided at the level of the research programme. In Table 7 the research groups are requested to list all research results, including patents, awards, etc.

Data:

Table 3

Aggregated results of the institute

		Year-5	Year-4	Year-3	Year-2	Year-1	Year now	Total
1. Academic publications	a. In referred journals	#	#	#	#	#	#	sum
	b. In other journals	#	#	#	#	#	#	sum
	c. Book chapters	#	#	#	#	#	#	sum
Total		sum	sum	sum	sum	sum	sum	sum
2, Monographs		#	#	#	#	#	#	sum
3. Ph.D. theses		#	#	#	#	#	#	sum
4. Professional publications and products		#	#	#	#	#	#	sum

Explanation:
(No distinction is made between paper and electronic information bearers)

1. *Academic publications: scientific papers aimed at an audience of scientists and researchers*

a. *Refereed journals: papers in academic journals that employ an anonymous peer referee system separated from the editorial staff. If in a discipline the distinction is not customarily made, this category will be left blank*
b. *Other journals: papers in all other academic journals*
c. *Book chapters are included here if they fall within the definition of academic publications (books are listed separately).*

2. *Monographs: books written for a learned audience, reporting results of scientific research.*
3. *Ph.D. theses are listed that are predominantly (>50%) the result of research carried out within the institute/programme. Ph.D. theses that are supervised by researchers from the institute, but for which the research was mainly carried out elsewhere may be listed separately within the framework of Table 7.*
4. *Professional publications and products: scientific papers aimed at a broader professional audience, chapters, books and reports aiming at the dissemination of scientific knowledge, software, CD-ROM's, etc.*

A list is added of (a) patents granted (titles) and (b) other commendable results, awards and activities that contribute to the mission of the institute. The elements in this additional list are not counted; they may be repeated in the programme documentation (see Table 7) if they are attributed to a single programme.

A.11 Analysis, perspectives and expectations for the institute
An analysis according to chapter 4 is given for the institute under consideration.

B. Documentation regarding the level of the research programme

A short characterisation of the programme is provided, including:
Title of the programme
Research area and mission

NABS code (or other code more suitable for the research area)
Programme leader(s) during the review period
Starting date of the programme
Affiliations outside the institute (e.g. research school) and other cooperations and relations with national and international research groups
The documentation must indicate in what phase a research programme is at the moment of evaluation. Programmes in the start-up phase will have minimum output in comparison with finished programmes that will have reached their maximum. In evaluating recent/future research, evaluators will focus on input and plans. In finished programmes focus will be more on outcome and performance.

B.1 Leadership
Management style, means of motivation, communication and control and processes of improvement and innovation.

B.2 Strategy and policy
The research area and mission are repeated and explained in their historical and future context: changes in research subjects of the programme and strategies and plans for the short and long term. If applicable, the strategy and policy are also explained within the wider organisational context of the programme, such as teaching obligations, research school and national affiliations.

B.3 Processes in research, internal and external collaboration
Current research processes and the research culture within the group are described and evaluated. Attention will be paid to teamwork vs. individual research activities; processes in which research strategies are redirected; the communication and exchange channels; supervision of junior researchers; quality control and methodological safeguarding. Objectives and results of internal and external collaboration are analysed and form the basis for the external validation below.

B.4 Academic reputation
The evaluation of the academic reputation of the programme will meet the approach taken at the level of the institute as a whole. Previous peer reviews of the programme, rewards and prizes may be cited. If desired, a list is added with editorships in academic journals, memberships in scientific boards and other proofs of academic reputation.

B.5 Internal evaluation
The evaluation by the members of the programme will meet the approach taken at the level of the institute as a whole.

B.6 External validation
Here the effects of collaboration and dissemination of research results outside the scientific community is evaluated.

B.7 Researchers and other personnel
The programme personnel policy is explained, including recruitment, selection, training, personal development opportunities, mobility and exchange policies.

Data:
A list is provided of research staff attached to the programme in the previous six years.

Table 4
Research staff at programme level

Name and present title		Year-5	Year-4	Year-3	Year-2	Year-1	Year now
Full professors	Name1	fte	fte	fte	fte	fte	fte
	Name2	fte	fte	fte	fte	fte	fte
Associate professors[17]	Name1	fte	fte	fte	fte	fte	fte
	Name2	fte	fte	fte	fte	fte	fte
Assistant professor[18]	Name1	fte	fte	fte	fte	fte	fte
	Name2	fte	fte	fte	fte	fte	fte
Other tenured research staff	Name1	fte	fte	fte	fte	fte	fte
	Name2	fte	fte	fte	fte	fte	fte
Total tenured staff		sum	sum	sum	sum	sum	Sum
Non tenured staff	Name1	fte	fte	fte	fte	fte	fte
	Name2	fte	fte	fte	fte	fte	fte
Ph.D. students	Name1	fte	fte	fte	fte	fte	fte
	Name2	fte	fte	fte	fte	fte	fte
Total non tenured staff		sum	sum	sum	sum	sum	sum
Total research staff		sum	sum	sum	sum	sum	sum

NB: the fte's in the last column, last row will become the reference for the group's size in the assessment procedure.

B.8 Resources, funding and facilities

The research facilities (installations, equipment, computers, library, etc.) are described and their condition evaluated. Personnel funding trends (see data table) are explained. Future funding targets are specified.

[17] Also: senior lecturer (UDH) or senior researcher
[18] Also: lecturer (UD) or researcher

Table 5
Funding at programme level

Funding	Year-5	Year-4	Year-3	Year-2	Year-1	Year now	Six year average
Direct funding fte's	%	%	%	%	%	%	%
Research funds	%	%	%	%	%	%	%
Contracts	%	%	%	%	%	%	%
Other	%	%	%	%	%	%	%
Total	100%	100%	100%	100%	100%	100%	100%

For an explanation see institute documentation. In the documentation per programme only the proportional funding of fte's is specified, absolute figures are not required. If applicable, a list of external funds to the programme for facilities or equipment may be added.

B.9 Overview of the results
The research outcomes of the group are presented in three ways:
1. A selection of *three to five* publications (or other demonstrable results, such as patents) that represent the quality and impact of the research
2. A numerical overview of the results in a fixed format of categories
3. A full list of the publications and other outcomes using that same format.

Ad 1. The key publications are selected to demonstrate the quality and impact of the research in the given period. They are listed in the self evaluation report as below, *the first three* are added full text (three copies) to the documentation that is provided to the evaluation committee.

Key publications:

1	
2	
3	
4	(Not to be added in full text)
5	(Not to be added in full text)

Ad 2. In the same way as the results of the institute as a whole are presented, the programme results are presented in a comprehensive list.

Table 6
Programme results: concrete numbers

		Year-5	Year-4	Year-3	Year-2	Year-1	Year now	Total
1. Academic publications	a. In referred journals	#	#	#	#	#	#	sum
	b. In other journals	#	#	#	#	#	#	sum
	c. Book chapters	#	#	#	#	#	#	sum
Total		sum	sum	sum	sum	sum	sum	sum
2, Monographs		#	#	#	#	#	#	sum
3. Ph.D. theses		#	#	#	#	#	#	sum
4. Professional publications and products		#	#	#	#	#	#	sum

Explanation: see table 3
Ad 3. A full list of the results of the programme is provided per year and per category.

Table 7

Programme results: full outcome list

Year minus 5				
Academic publications				
In referred journals				
Author(s)	Title	Journal	Vol.-pp	Year
In other journals				
Author(s)	Title	Journal	Vol.-pp	Year
Book chapters				
Author(s)	Title	Journal	Vol.-pp	Year
Monographs				
Author(s)	Title	Publisher	pp	Year
Ph.D. theses				
Author(s)	Title	Supervisor	pp	Year
Professional publications and products				
Author(s)	Title	Journal	Vol.-pp	Year
Other results				
Patent (title, status, year)				
Award (name, year)				
Prizes				
Other outcomes and results				

Year minus 4				
Academic publications				
In referred journals				
Author(s)	Title	Journal	Vol.-pp	Year
Etc.				

B.10 Analysis, perspectives and expectations for the research programme

An analysis according to chapter 4 is given for the research programme under consideration.

Appendix 4: Checklists for internal use by the committee

The evaluation committee may use the following checklists for the assessment of an institute and its research programmes. Filled in checklists will not be published but are meant as a tool only.

5 = excellent, 4 = very good, 3 = good, 2 = satisfactory,
1 = unsatisfactory

Institute (see also section 3.7)

How do you evaluate the institute with respect to	5	4	3	2	1
1.1 Leadership					
1.2 Mission and goals					
1.3 Strategy and policy					
1.4 Adequacy of the resources					
1.5 Funding policies					
1.6 Facilities					
1.7 Academic reputation of the institute					
1.8 Societal relevance of the institute					
1.9 Balance of the strengths and weaknesses of the institute					
Overall assessment of the institute					

Remarks and questions:

Research Programme (see section 3.7)

How do you evaluate the institute with respect to	5	4	3	2	1
1.1 Leadership					
1.2 Mission and goals					
1.3 Strategy and policy					
1.4 Adequacy of the resources					
1.5 Funding policies					
1.6 Facilities					
1.7 Academic reputation					
1.8 Societal relevance					
1.9 Balance of the strengths and weaknesses					
Overall					

Quality

How do you evaluate the institute with respect to	5	4	3	2	1
1. Originality of the approach and ideas					
2. Significance of the contribution to the field					
3. Coherence of the programme					
4. Publication strategy					
5. Prominence of the programme director					
6. Prominence of the other members of the research group					
7. Quality of scientific publications (science impact)					
8. Quality of other results					
Overall assessment of quality					

Productivity

Considering the number of staff, how do you evaluate the productivity with respect to	5	4	3	2	1
1. Number of Ph.D. theses					
2. Number of Scientific publications					
3. Number of professional publications					
4. Other results (if applicable)					
5. Distribution of published output within the group					
Overall assessment of productivity					

Relevance

Considering the stated mission of this programme, how do you evaluate the relevance of the research with respect to	5	4	3	2	1
1. The advancement of knowledge					
2. The dissemination of knowledge					
3. The implementation of knowledge					
Overall assessment of relevance					

Vitality and feasibility

Considering the present status and future developments (if known) of staff and facilities, how do you evaluate the long-term viability of the programme:	5	4	3	2	1
1. In view of the past scientific performance					
2. In view of the future plans and ideas					
3. In view of staff age and mobility					
Overall assessment of vitality					

Appendix D
Acronyms and Abbreviations

ALLEA	All European Academies
CERN	Centre Européenne pour la Recherche Nucléaire / European Organisation for Nuclear Research
COS	Cooperation in the field of Scientific and Technical Research
CRAF	Committee on Radio Astronomy Frequencies
EC	European Commission or European Community
ECRP	European Commission Research Programmes
ECSC	European Coal and Steel Community
EEC	European Economic Community
EIRMA	European Industrial Research Management Association
EMBO	European Molecular Biology Organisation
EMRC	European Medical Research Councils (ESF Standing Committee)
EPB	European Polar Board
ERA	European Research Area
ERC	European Research Council
ESA	European Space Agency
ESF	European Science Foundation
ESSC	European Space Science Committee
EU	European Union
EUA	European University Association
EURATOM	European Atomic Energy Community
EUREKA	European Research Coordination Agency
EURESCO	European Research Conferences
EUROCORES	European Science Foundation Collaborative Research Programmes
EUROHORCS	European Union Research Organisations Heads Of Research Councils
EURYI	European Young Investigators
JRC	Joint Research Centre
KNAW	Koninklijke Nederlandse Akademie van Wetenschappen / Royal Netherlands Academy of Arts and Sciences
NuPECC	Nuclear Physics European Collaboration Committee

NWO	Nederlandse Organisatie voor Wetenschappelijk Onderzoek / Netherlands Organisation for Scientific Research
S&T	Science and Technology
SCH	Standing Committee on Humanities
SCLESC	Standing Committee on Life, Environmental and Earth Sciences
SCPESC	Standing Committee on Physical and Engineering Sciences
SCSS	Standing Committee on Social Sciences
VSNU	Vereniging van Universiteiten / Association of Universities in The Netherlands