

Experiences with a bibliometric indicator for performance-based funding of research institutions in Norway

Gunnar Sivertsen

Nordic Institute for Studies in Innovation, Research and Education, Oslo, Norway

NIFU

Overview of this presentation

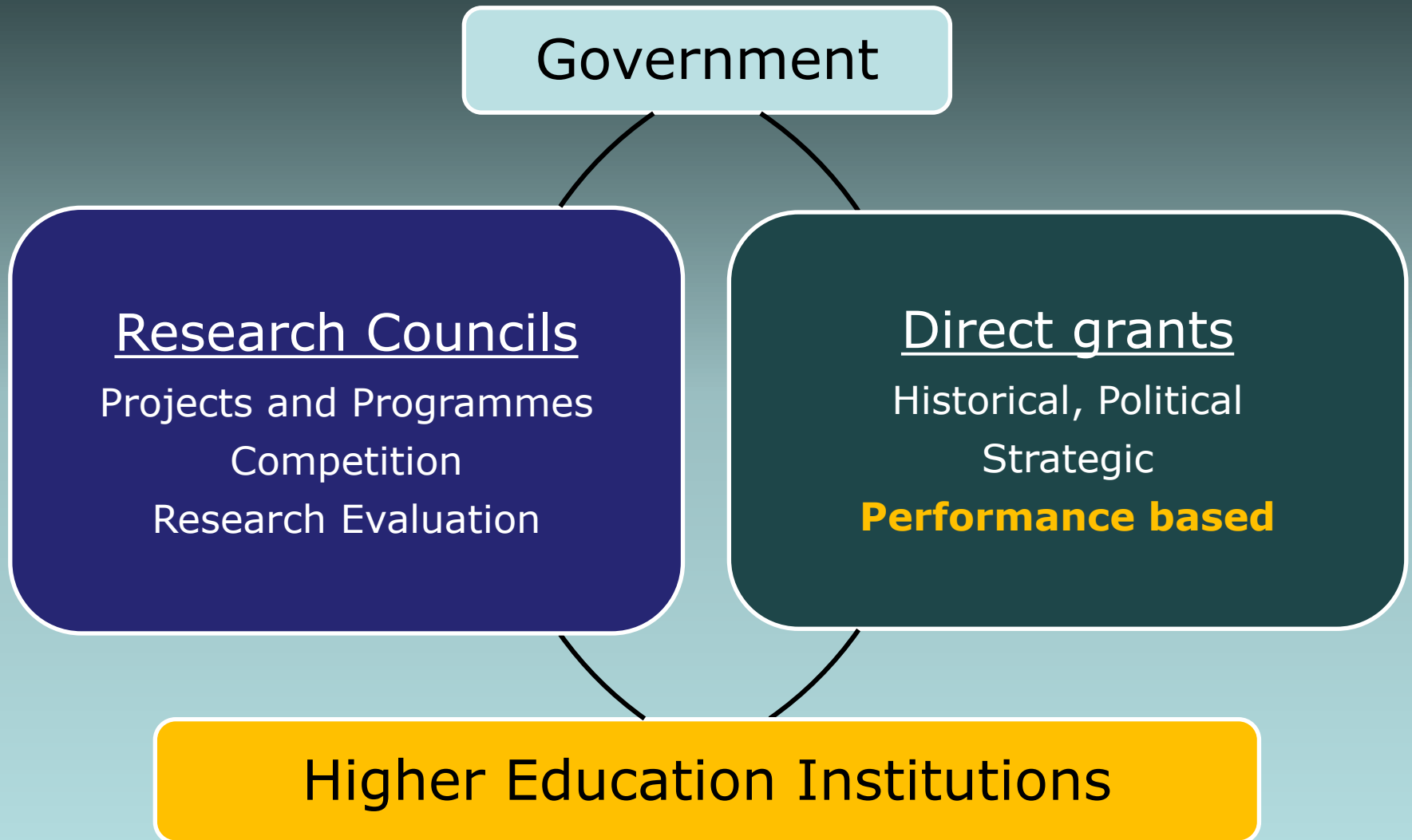
1. Performance based funding: Expert panels or indicators or both?
2. Bibliometric data sources
3. A bibliometric indicator covering all fields of research
4. Experiences: Effects, Discussions, Criticisms
5. Results from and questions for two evaluations of the indicator

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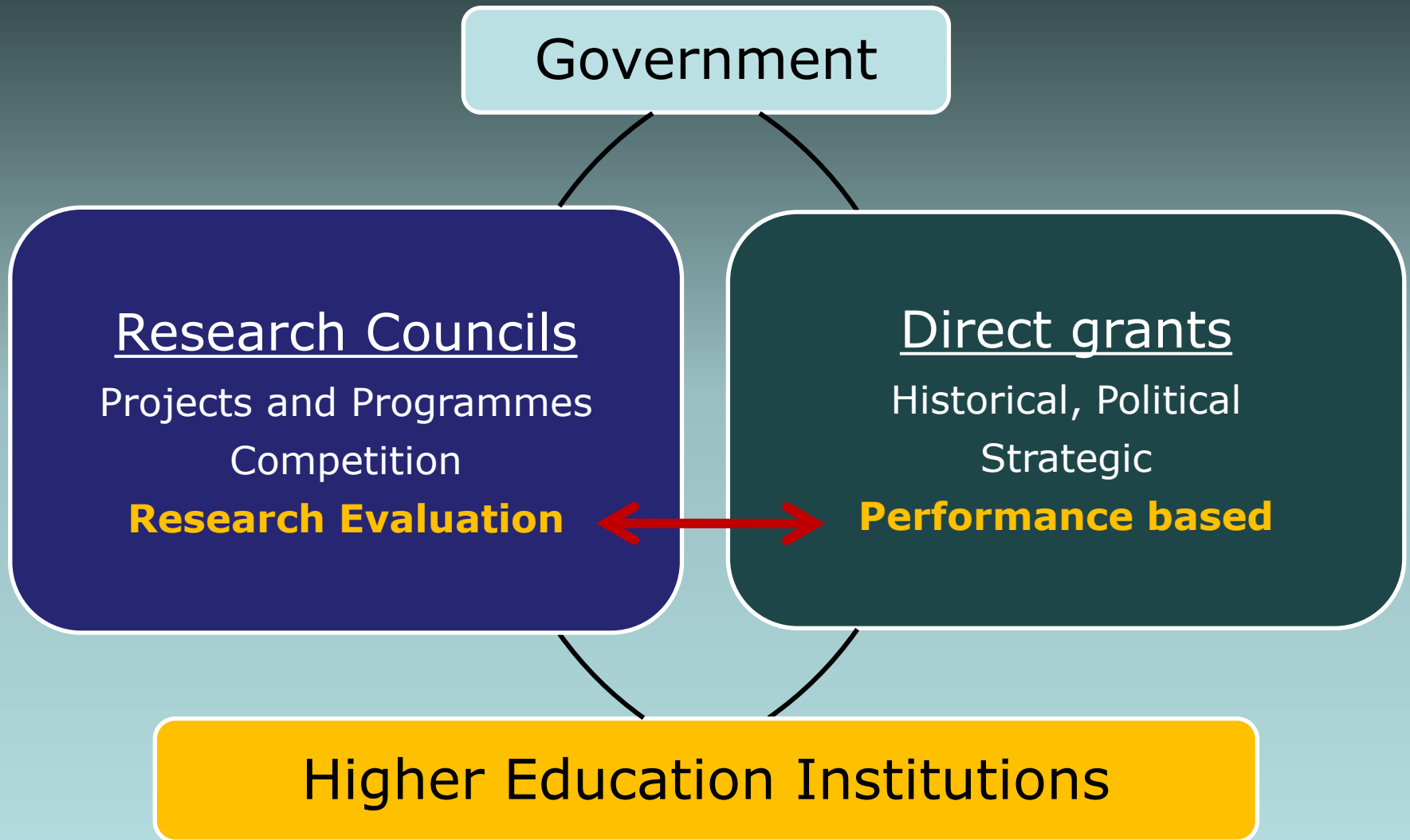
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"The dual funding system"

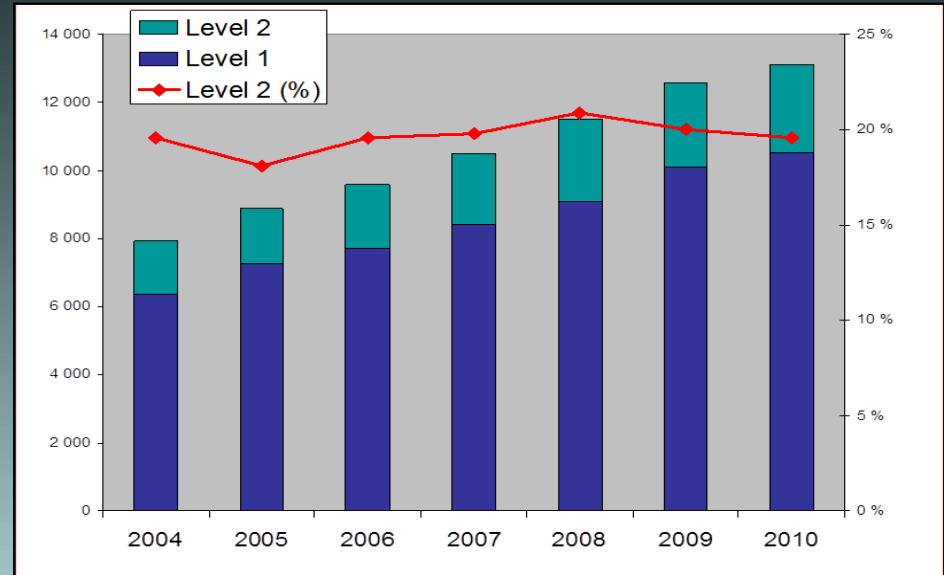
(A simplified model excluding international sources, etc.)



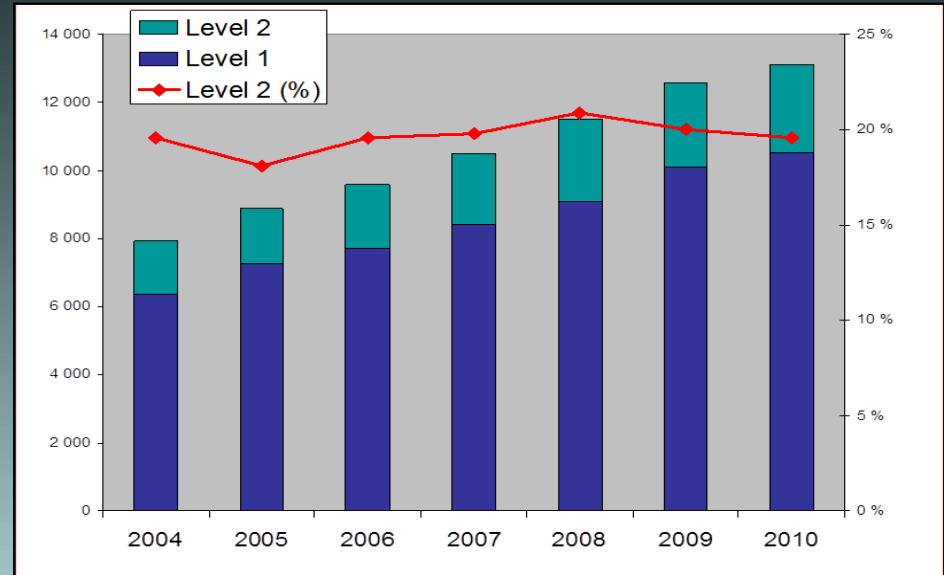
Same aims, methods, and effects?



Panel evaluation and bibliometric methods



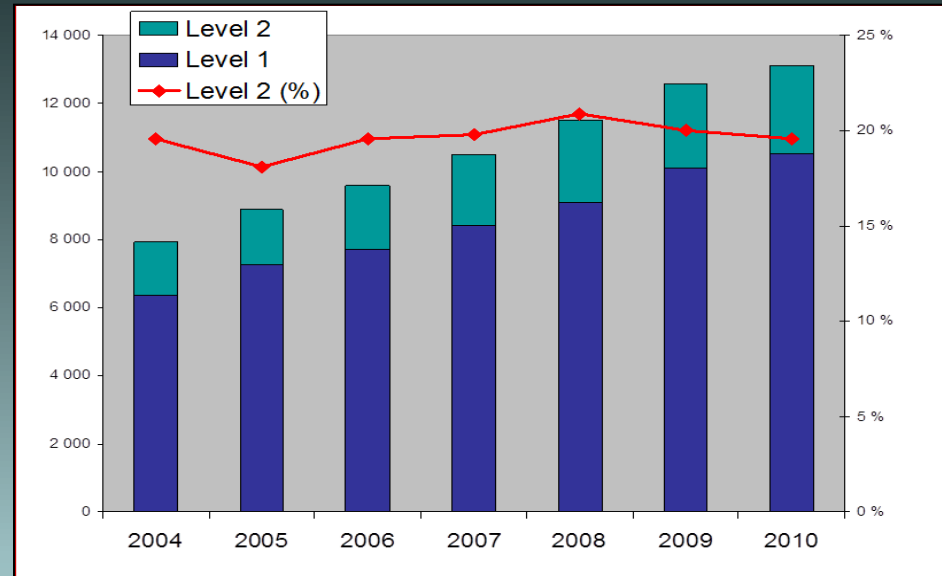
Panel evaluation and bibliometric methods in the **Scandinavian countries**



- Used for (indirect) project and programme funding via research councils
- Used for systematic (repeated) research evaluations of large programmes, disciplines and/or institutions

- Used as *information* by panel evaluations
- Used for direct performance-based funding of research institutions

Panel evaluation and bibliometric methods in the **Scandinavian countries**

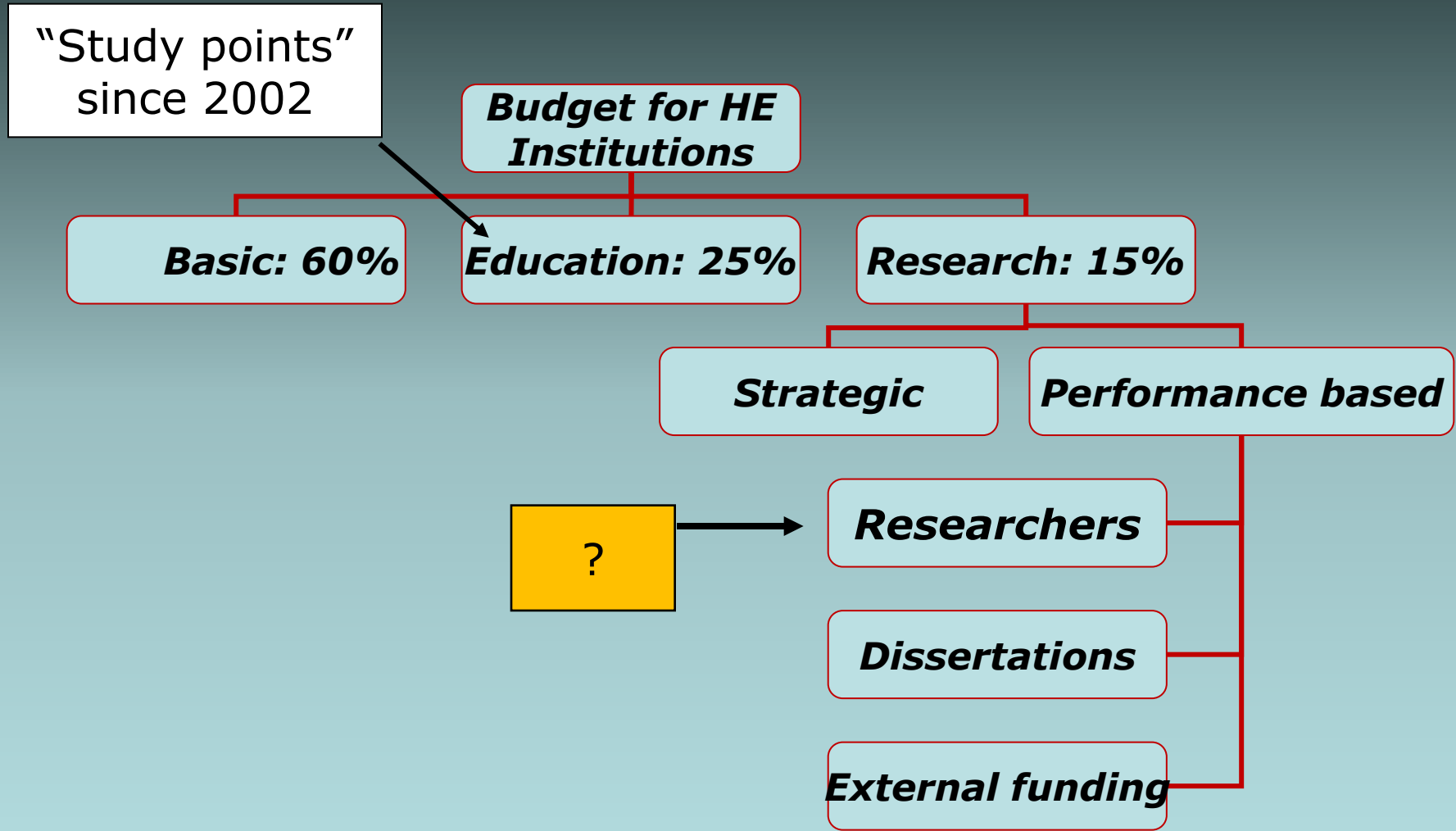


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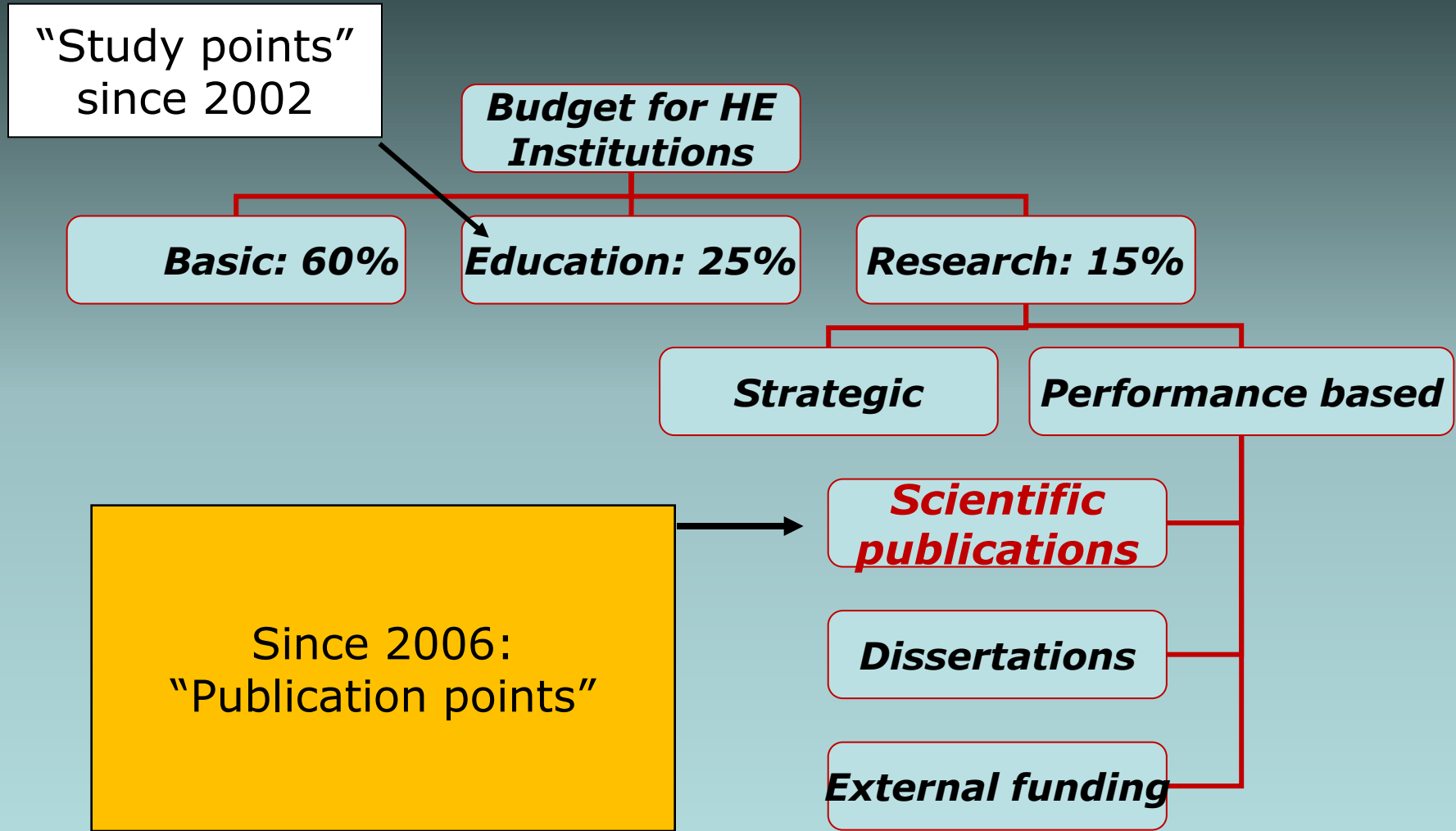
Motivation in Norway:

The need for more emphasis on **research** in the overall funding model for the Higher Education Sector



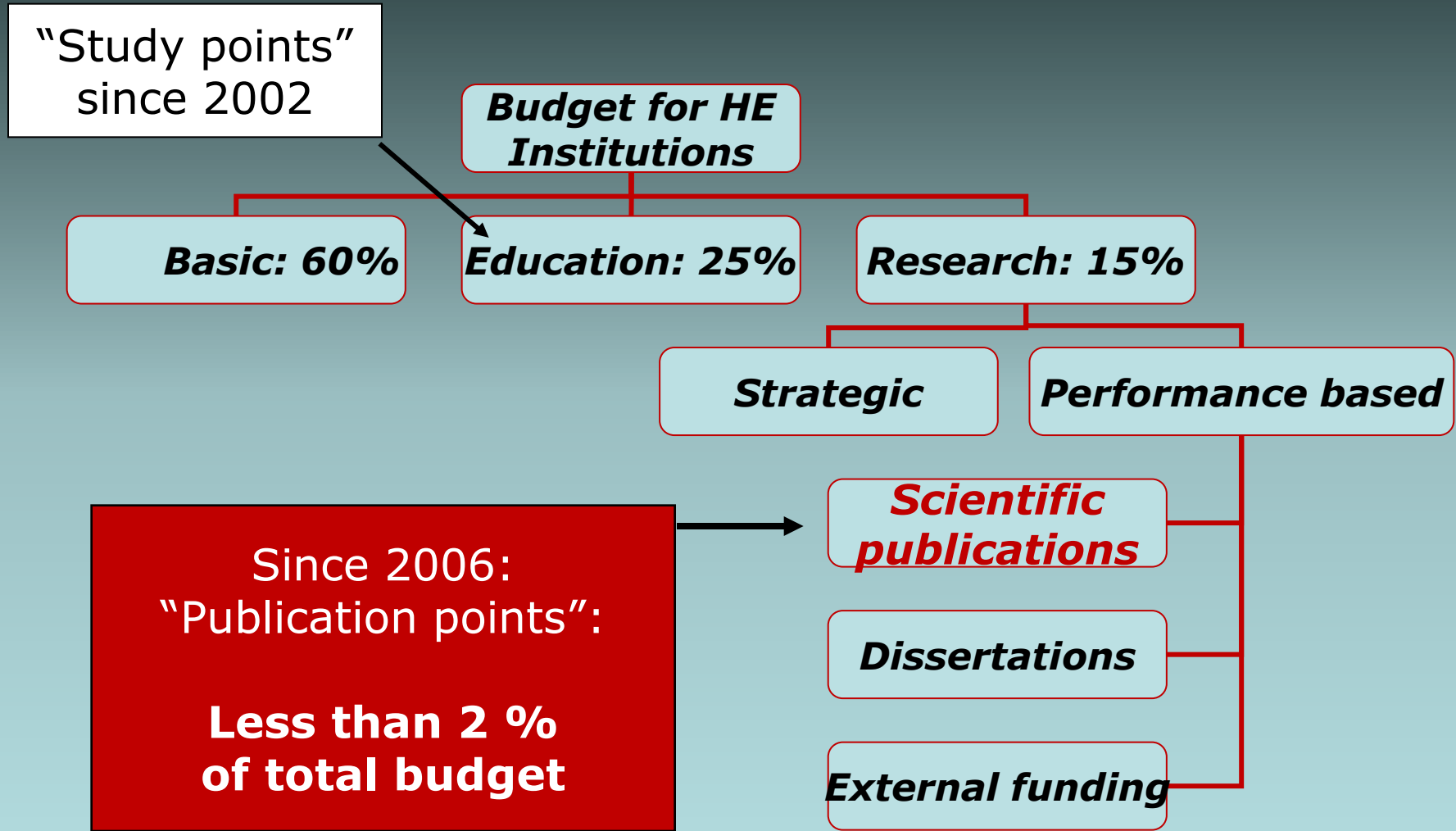
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The need for more emphasis on **research** in the overall funding model for the Higher Education Sector



Panel evaluation and bibliometric methods



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Timespan=All Years. Databases=SCI-EXPANDED, SSCI, A&HCI.
Lemmatization=On

Results: **338**

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Subject Areas

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1. Title: **Research Evaluation, Bill Page and Oxford University**
Author(s): Nederhof Anton J.; Jordan Gretchen B.
Source: **RESEARCH EVALUATION** Volume: 21 Issue: 1 Pages: 1
Times Cited: 0 (from Web of Science)
BIBSYS x

2. Title: **Research centers as agents of change in the contemporary**
Author(s): Rogers Juan D.
Source: **RESEARCH EVALUATION** Volume: 21 Issue: 1 Pages: 1
Times Cited: 0 (from Web of Science)
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3. Title: **Evaluating the performance of academic departments**
Author(s): Agasisti Tommaso; Catalano Giuseppe; Landoni Paolo;
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Times Cited: 0 (from Web of Science)
BIBSYS x
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4. Title: **Evaluating the demand side: New challenges for evaluation**
Author(s): Edler J.; Georgiou L.; Blind K.; et al.
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Times Cited: 0 (from Web of Science)
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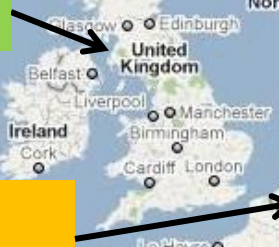
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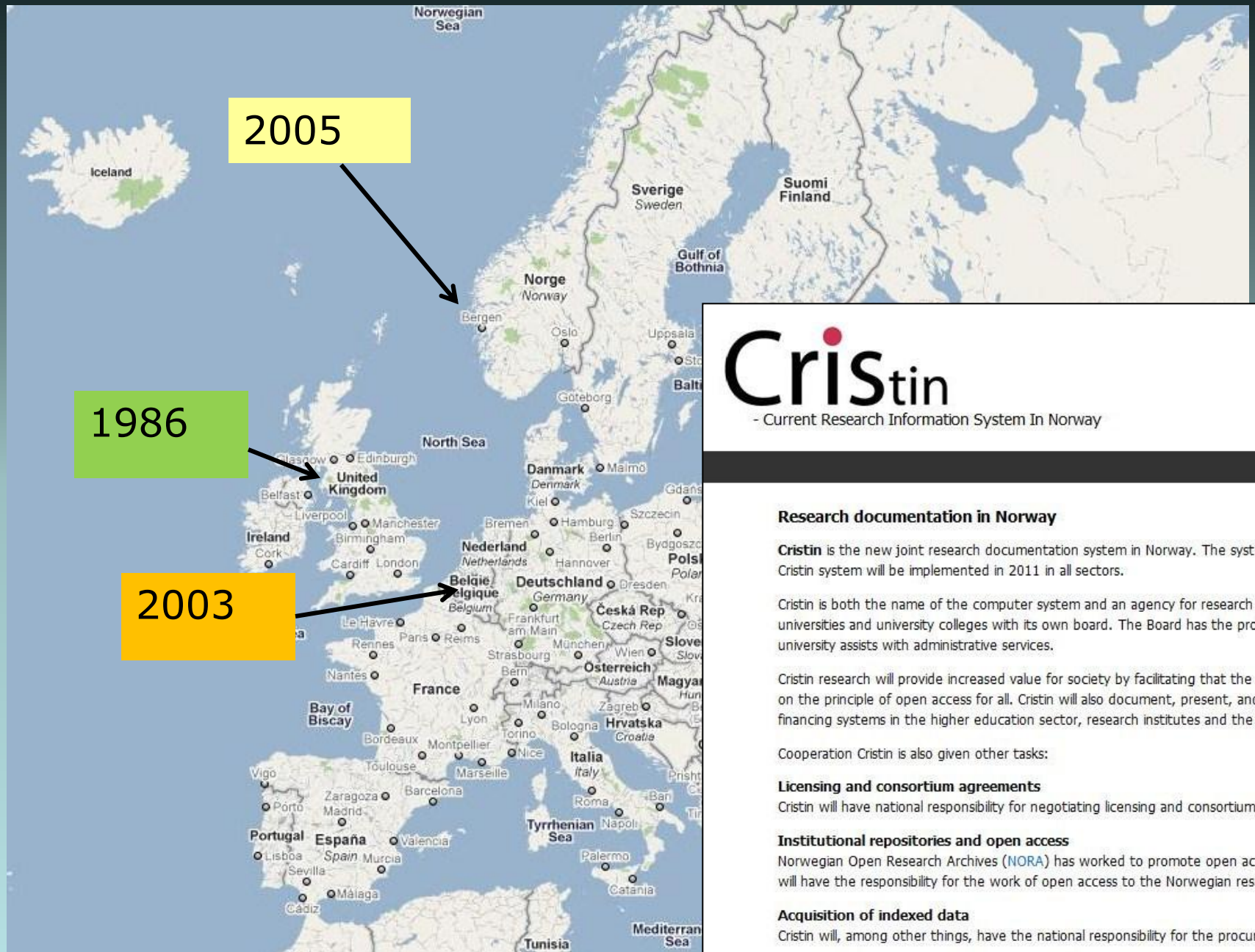
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Cristin

- Current Research Information System In Norway

Research documentation in Norway

Cristin is the new joint research documentation system in Norway. The system will be implemented in 2011 in all sectors.

Cristin is both the name of the computer system and an agency for research administration. It will be implemented in all universities and university colleges with its own board. The Board has the professional responsibility for the system. The university assists with administrative services.

Cristin research will provide increased value for society by facilitating that the research information is available on the principle of open access for all. Cristin will also document, present, and make public the research results. It will also have the responsibility for the work of open access to the Norwegian research.

Cooperation Cristin is also given other tasks:

Licensing and consortium agreements

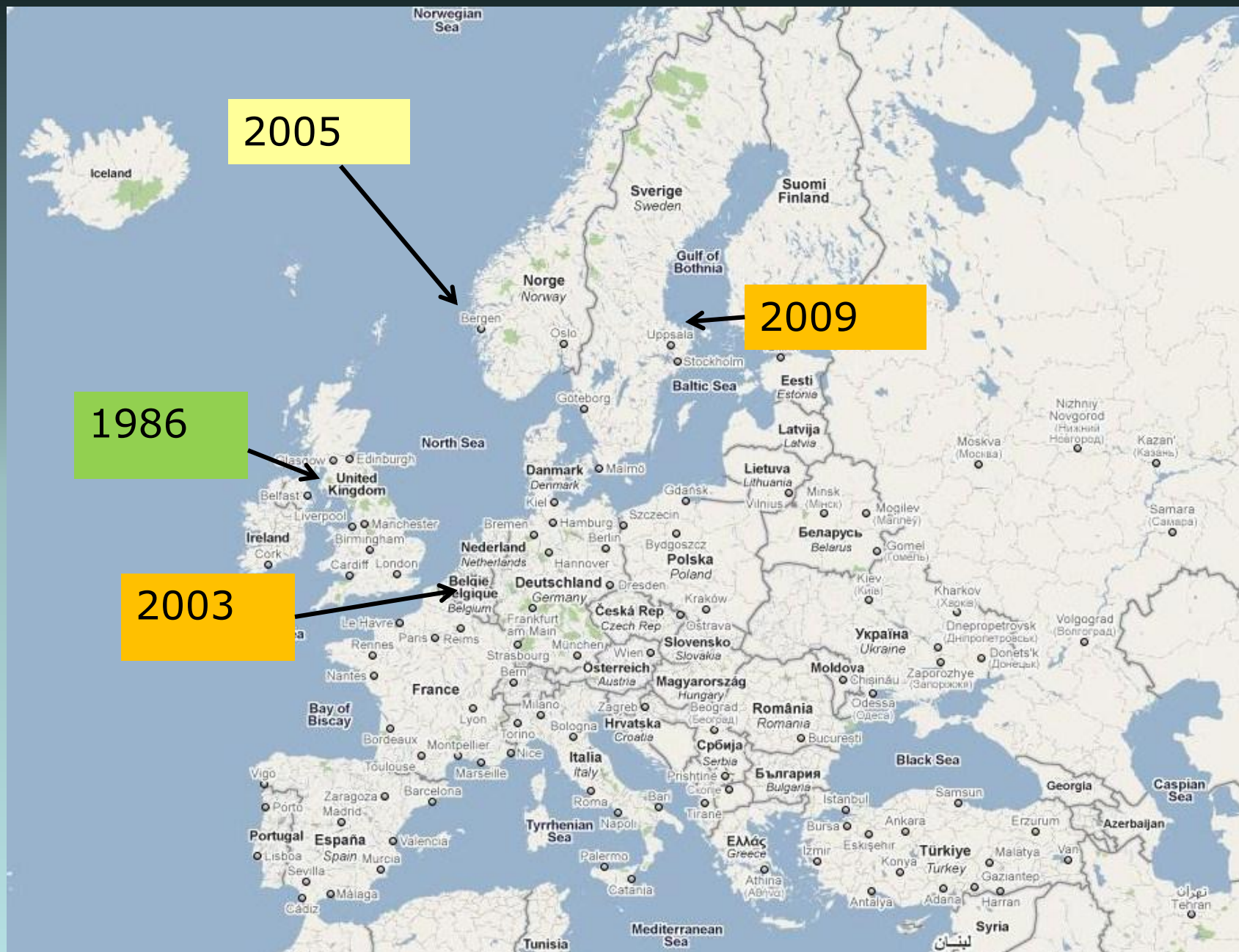
Cristin will have national responsibility for negotiating licensing and consortium agreements.

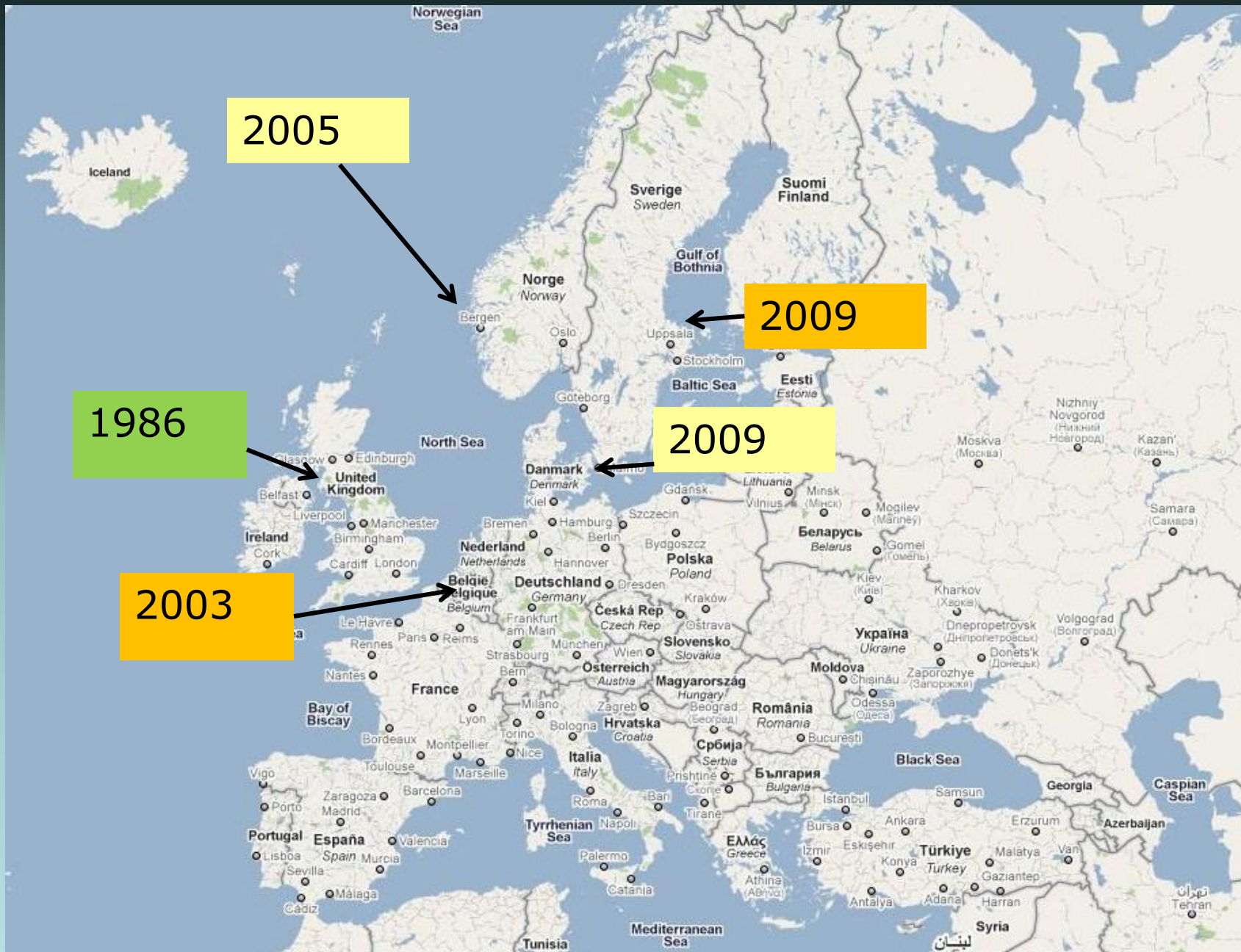
Institutional repositories and open access

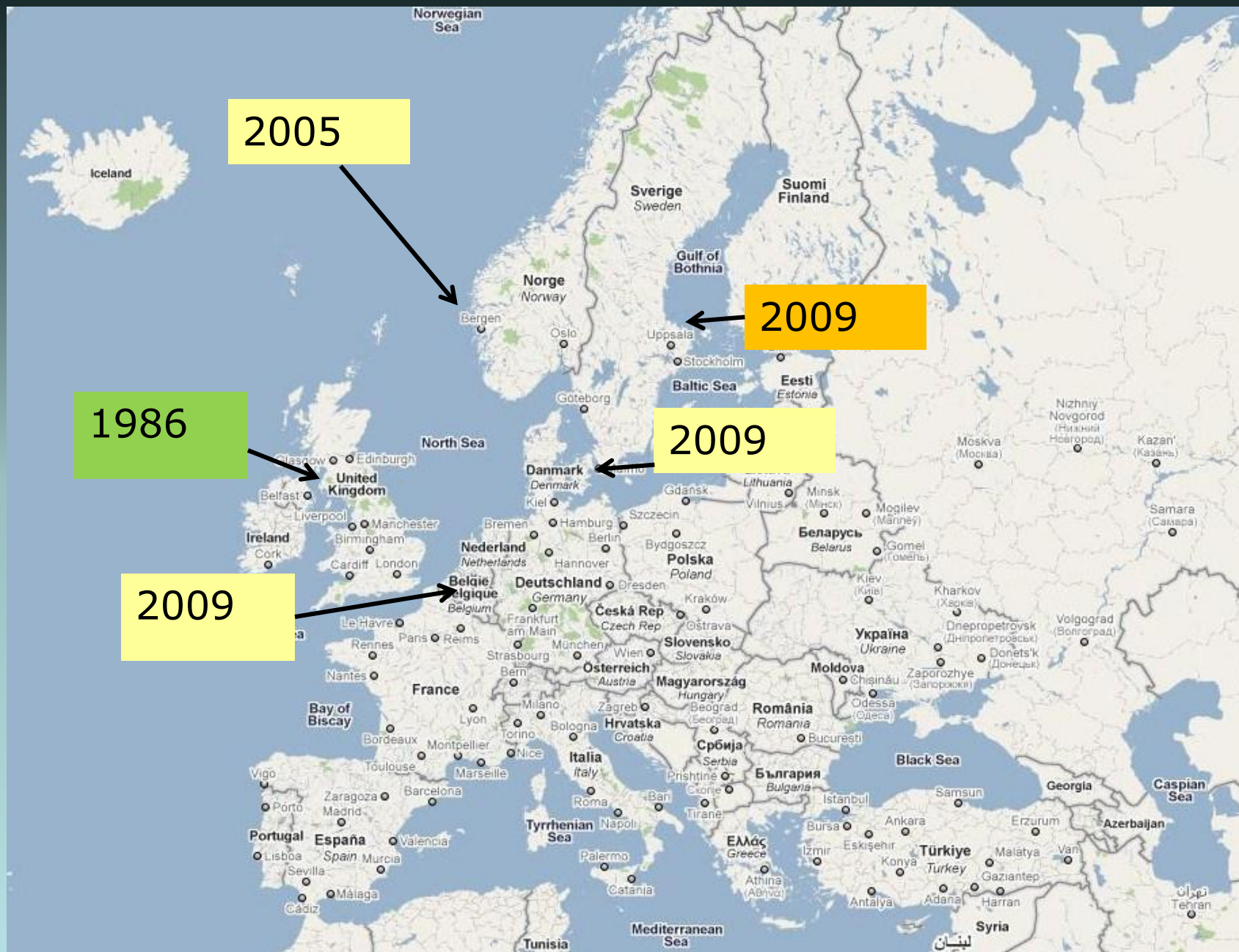
Norwegian Open Research Archives (NORA) has worked to promote open access to Norwegian research. It will have the responsibility for the work of open access to the Norwegian research.

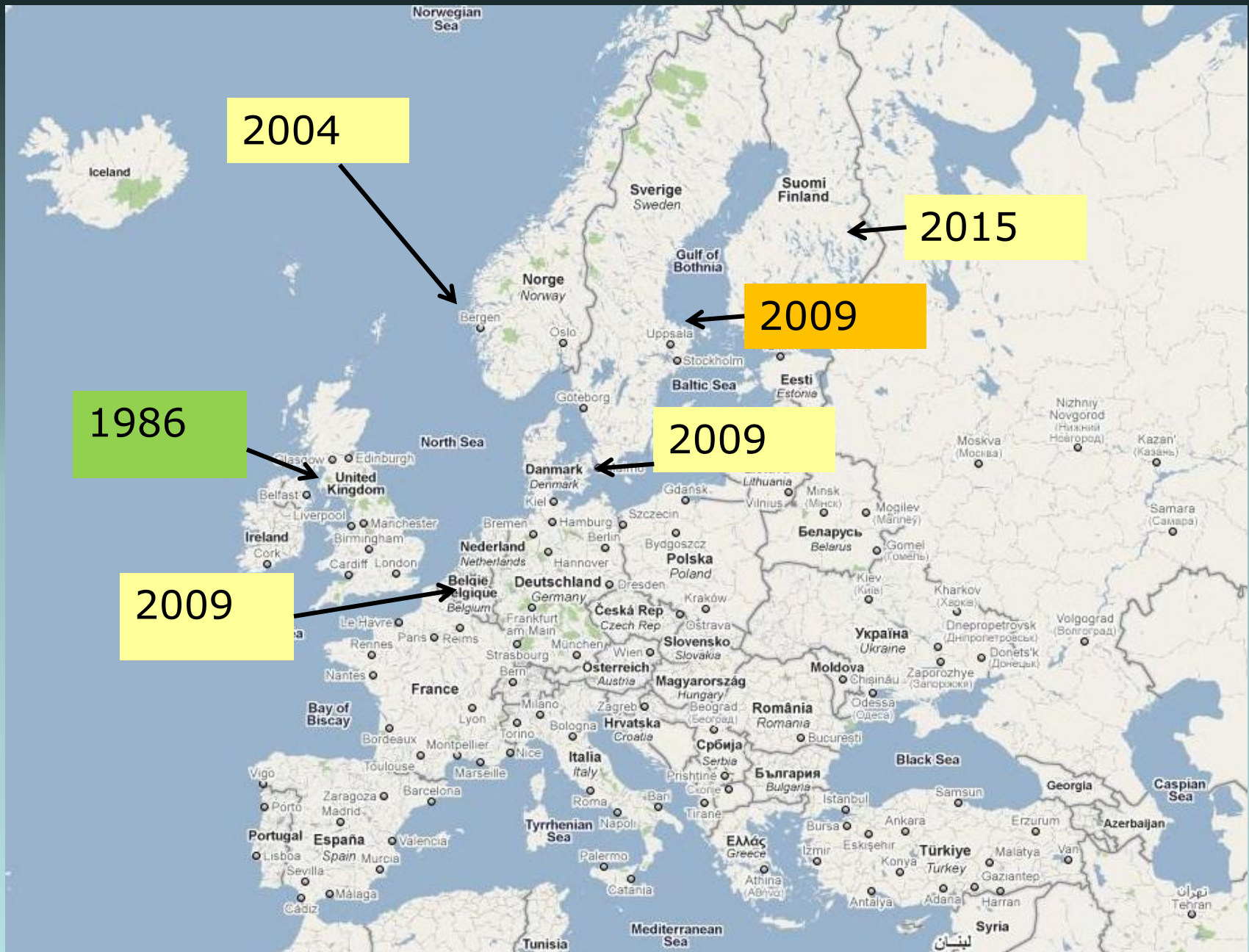
Acquisition of indexed data

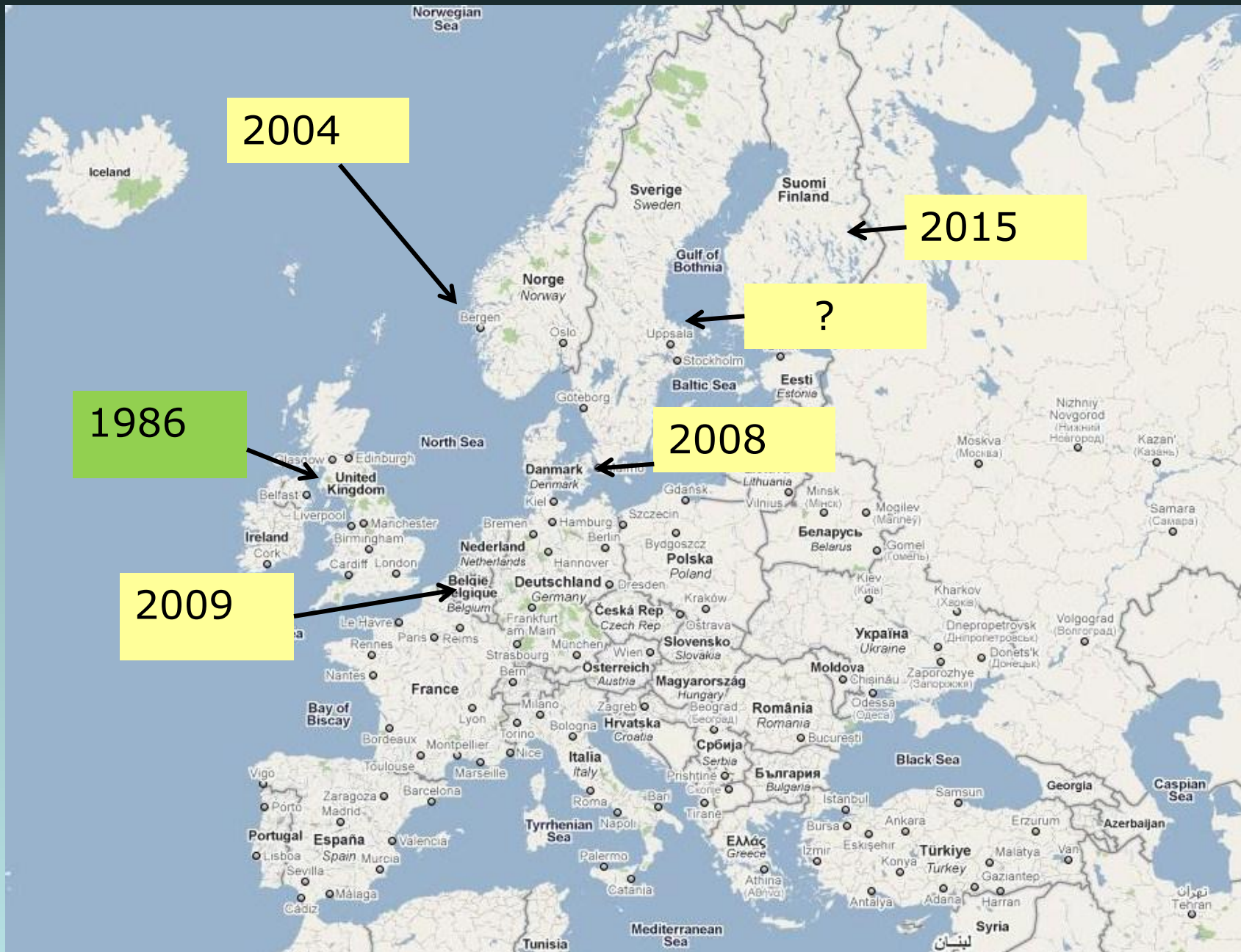
Cristin will, among other things, have the national responsibility for the procurement and





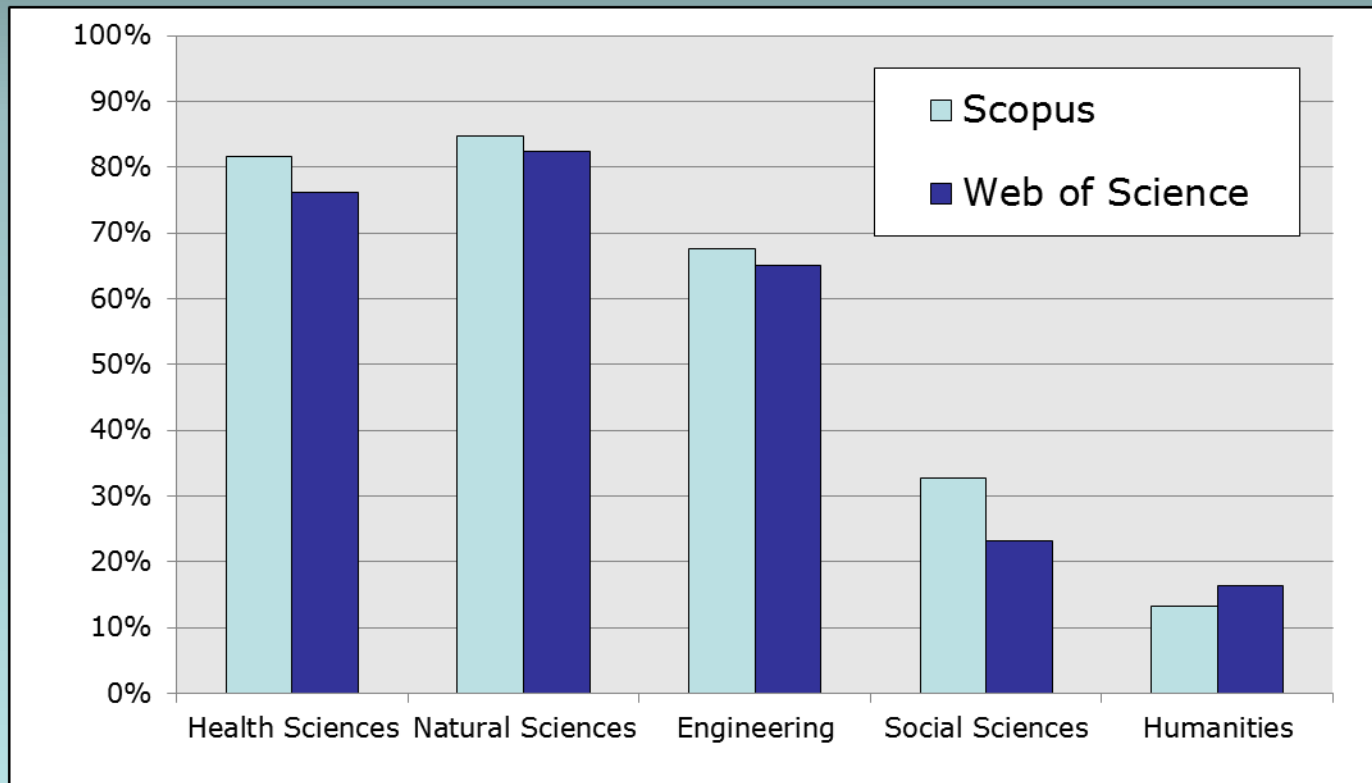
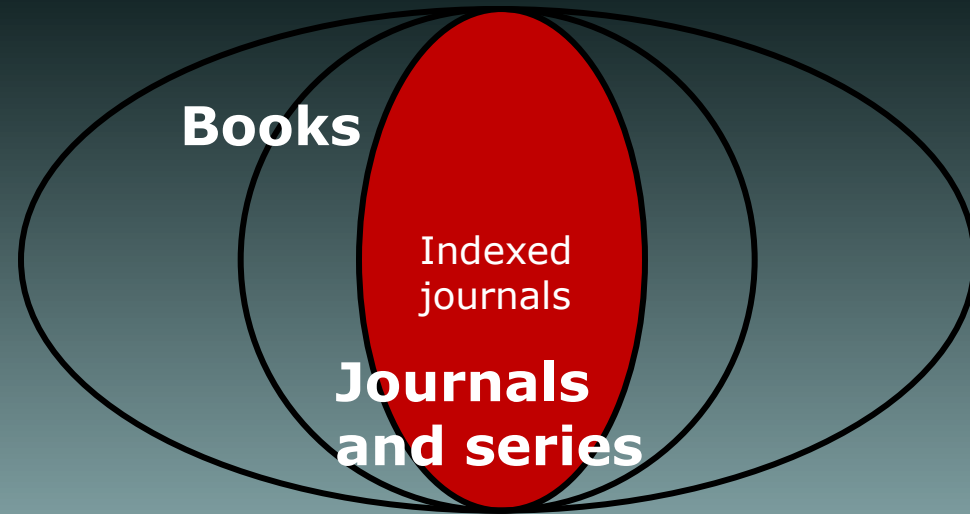






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Österreichische Zeitschrift für Politikwissenschaft is covered ...

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☐ REVIEW (15)

☐ NOTE (8)

1. Title: **Challenges and Threats to Democracy by New C**
Author(s): Brand Ulrich; Kreisky Eva; Segert Dieter
Source: **ÖSTERREICHISCHE ZEITSCHRIFT FÜR POLITIKWIS**
Times Cited: 0 (from Web of Science)
BIBSYS x

2. Title: **European Governance: On the Relationship of D**
Author(s): Bieling Hans-Juergen
Source: **ÖSTERREICHISCHE ZEITSCHRIFT FÜR POLITIKWIS**
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3. Title: **"Only Paradoxes to offer?" Feminist Theories of**

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Swedish Journal of Sociology is covered ...

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Web of ScienceSM

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1. Title: **The Weariness of the Self: Diagnosing the History**
Author(s): Lindblom Jonas
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Times Cited: 0 (from Web of Science)
BIBSYS x

2. Title: **It exhausted itself: Depression and society.**
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3. Title: **The Emergence of Social Movements' Global Polit**
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Source: **SOCIOLOGISK FORSKNING** Volume: 48 Issue: 1 Pa

But **Swedish Journal of Political Science** is not covered



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Publication Name=(sociologisk forskning)

Timespan=All Years. Databases=SCI-EXPANDED, SSCI, A&HCI.

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Cooperation Cristin is also given other tasks:

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Cristin will have national responsibility for negotiating licensing and consortium agreements.

Institutional repositories and open access

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Acquisition of indexed data

Cristin will, among other things, have the national responsibility for the procurement of indexed data.

Principles behind the use of institutional data in a **national** information system

- **Completeness:** All scholarly publications should be included
- **Transparency:** Every institution can see and check all other institutions' data. The national database is also online and open to society at large.
- **Participation:** The indicator is developed and maintained in collaboration between the institutions and the authorities
- **Multiple use of the data:** CV's, applications, evaluations, annual reports, internal administration, bibliography for Open Archives, links to full text, etc.

WS

Information letter for Cristin (

Useful links

Norwegian Scientific Index - N

to CRIS

Publication channels

Cristin seminar

Contact information

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by email

Postal address:

Post box 1059, Blindern

06 Oslo

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by email

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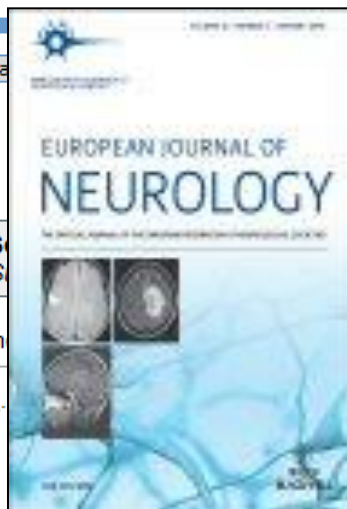
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Showing results 1-4 of 4

- 1. Gilhus, Nils Erik; Sivertsen, Gunnar.**
Publishing affects funding in neurology. *European Journal of Neurology* 2010 ;Volume 17.(1) p. 147-151
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- 2. Aksnes, Dag Westreng; Rørstad, Kristoffer; Piro, Fredrik Niclas; Sivertsen, Gunnar.**
Are Female Researchers Less Cited? A Large-Scale Study of Norwegian Scientists. *Journal of The American Society For Information Science*
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- 3. Sivertsen, Gunnar.**
Kilden til Jeppe paa Bierget. Aarhus Universitetsforlag 2010 (ISBN 9788779346284) 294 p.
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- 4. Sivertsen, Gunnar.**
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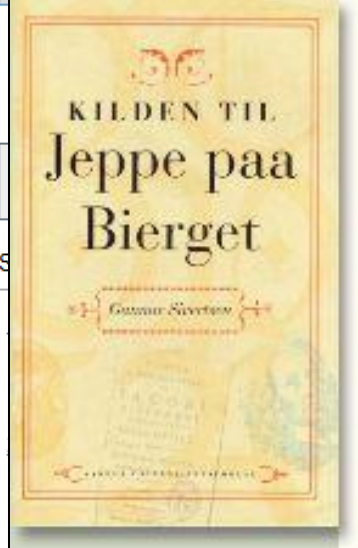
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 4. **Sivertsen, Gunnar.** Ludvig Holbergs essay om likestilling. I: *Sakprosa i skolen*. Fagbokforlaget 2010 ISBN NIFU



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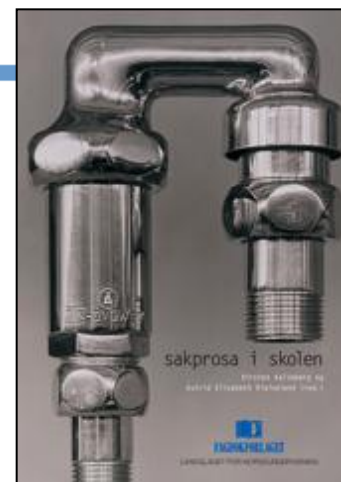
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ss Cited? A Large-Scale Study of Norwegian Scientists. *Journal of The American Society For Information*

References to book
and article in book
added



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Delimitation of publication data by definition

Definition

A scientific or scholarly publication must:

1. present new insight
2. in a form that allows the research findings to be verified and/or used in new research activity
3. in a language and with a distribution that makes the publication accessible for a relevant audience
4. in a publication channel with peer review*)

*) In addition: Publication channels with authors coming mainly from only one institution are not included.

Three main publication types

- 1) Article in ISSN-title
- 2) Article in ISBN-title
- 3) ISBN-title

Channel

Type

E.g. **scientific** article in
Nature or **scholarly** ISBN-
title on *Oxford University*
Press.


Dynamic records of scientific and scholarly ISSN-titles and ISBN-publishers

22,000 ISSN-titles and 1,200 book publishers so far






0001-9887	Africa Today
0001-9909	African Affairs
1062-4783	African American Review
0263-0338	African Archaeological Review
0001-9933	African Arts
1017-6772	African Development Review
0145-2258	African Economic History
1021-3589	African Entomology
1472-5843	African Identities
1684-5315	African Journal of Biotechnology
1021-9730	African Journal of Crop Science
0141-6707	African Journal of Ecology
1438-7890	African Journal of Environmental Assessment and Management
1684-5378	African Journal of Food, Agriculture, Nutrition
1015-8618	African Journal of Neurological Sciences
0065-4000	African Literature Today

CABI Publishing
Cambridge University Press
Cappelen Akademisk Forlag
Carfax Publishing
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All channels can be searched, and new channels can be suggested


DBH

Norwegian register of scientific journals and publishers

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You are here: NSD: Information on research and higher education: Norwegian version

Norwegian register of scientific journals and publishers

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Level:	<input type="text" value="All"/>	Administrative Status:	<input type="text" value="All"/>		
Scientific dicipline:	<input type="text" value="All"/>	Type (journal/publisher):	<input type="text" value="All"/>		
Subject area:	<input type="text" value="All"/>				

Are you missing a specific journal/serie/publisher? [Make a suggestion to the register](#). To check status for your previous suggestions, go to ["My user account"](#)

[\[My user account\]](#) - NSD © [Contact NSD](#)

Publication channels on two levels

Level 2 represents the most prestigious international channels

Defined in each discipline by expert panels informed by indicators

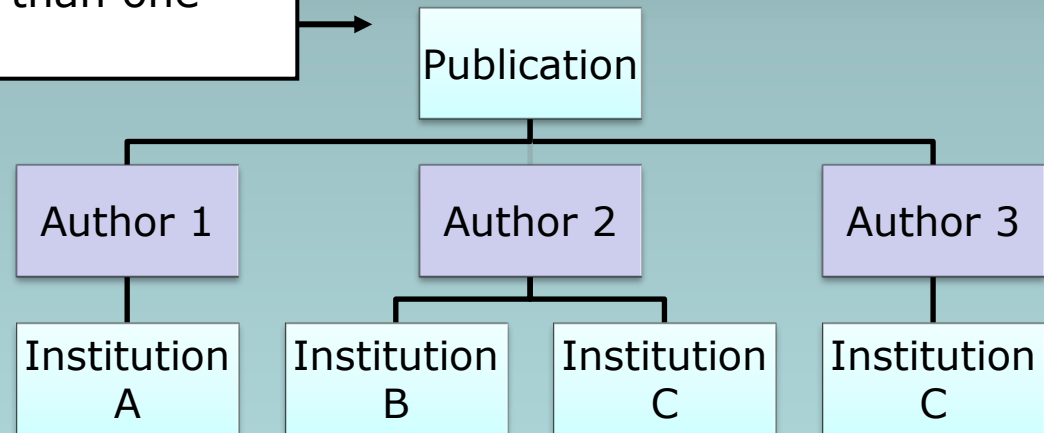
Level 2: Higher points to 20 % of the publications

Level 1: Normal points to 80 % of the publications

Publication points

Publication type	Level 1	Level 2
Article in ISSN-title	1	3
Article in ISBN-title	0,7	1
ISBN-title	5	8

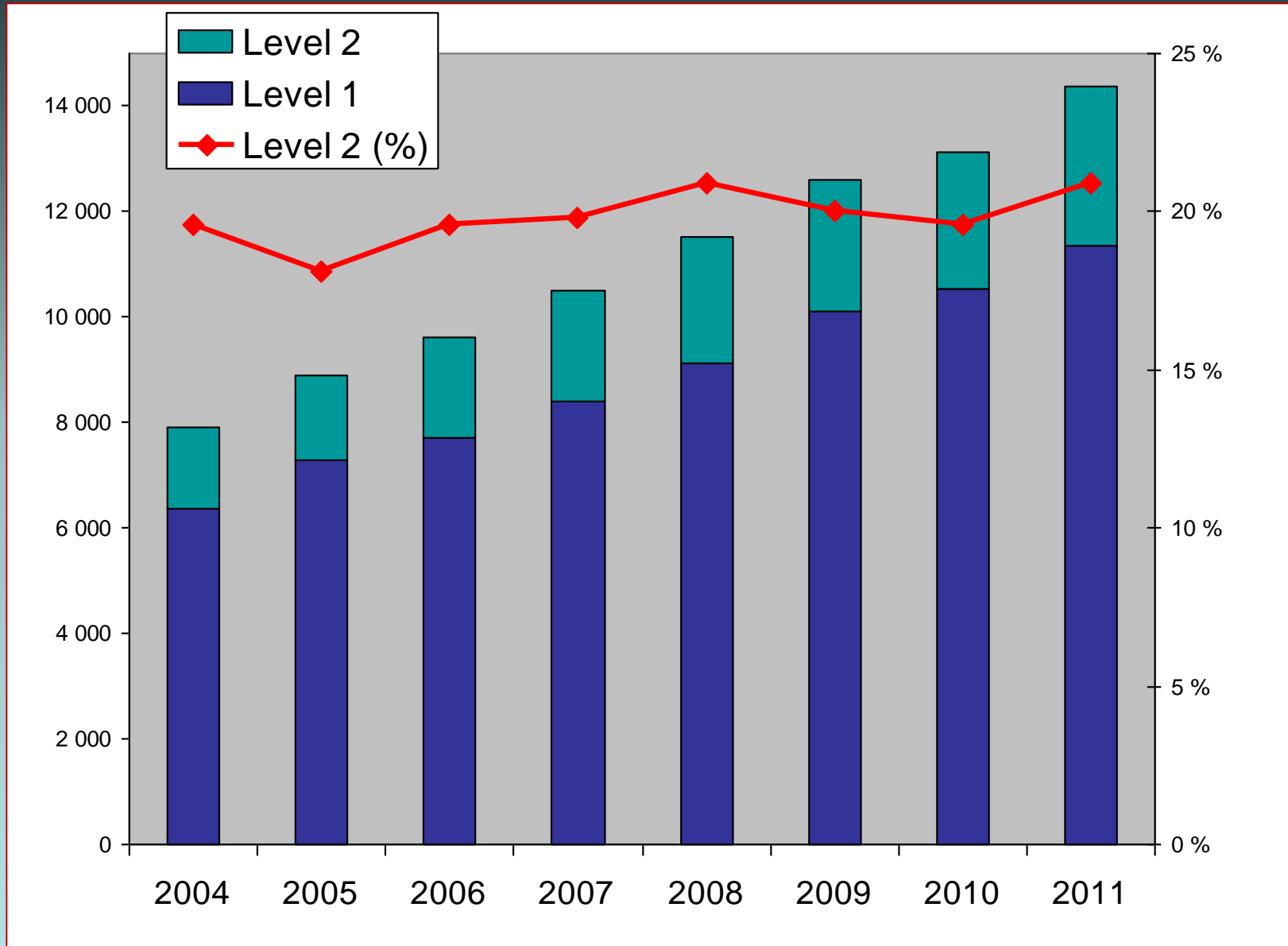
Publication points are fractionalized if the publication originates from more than one institution



Overview of this presentation

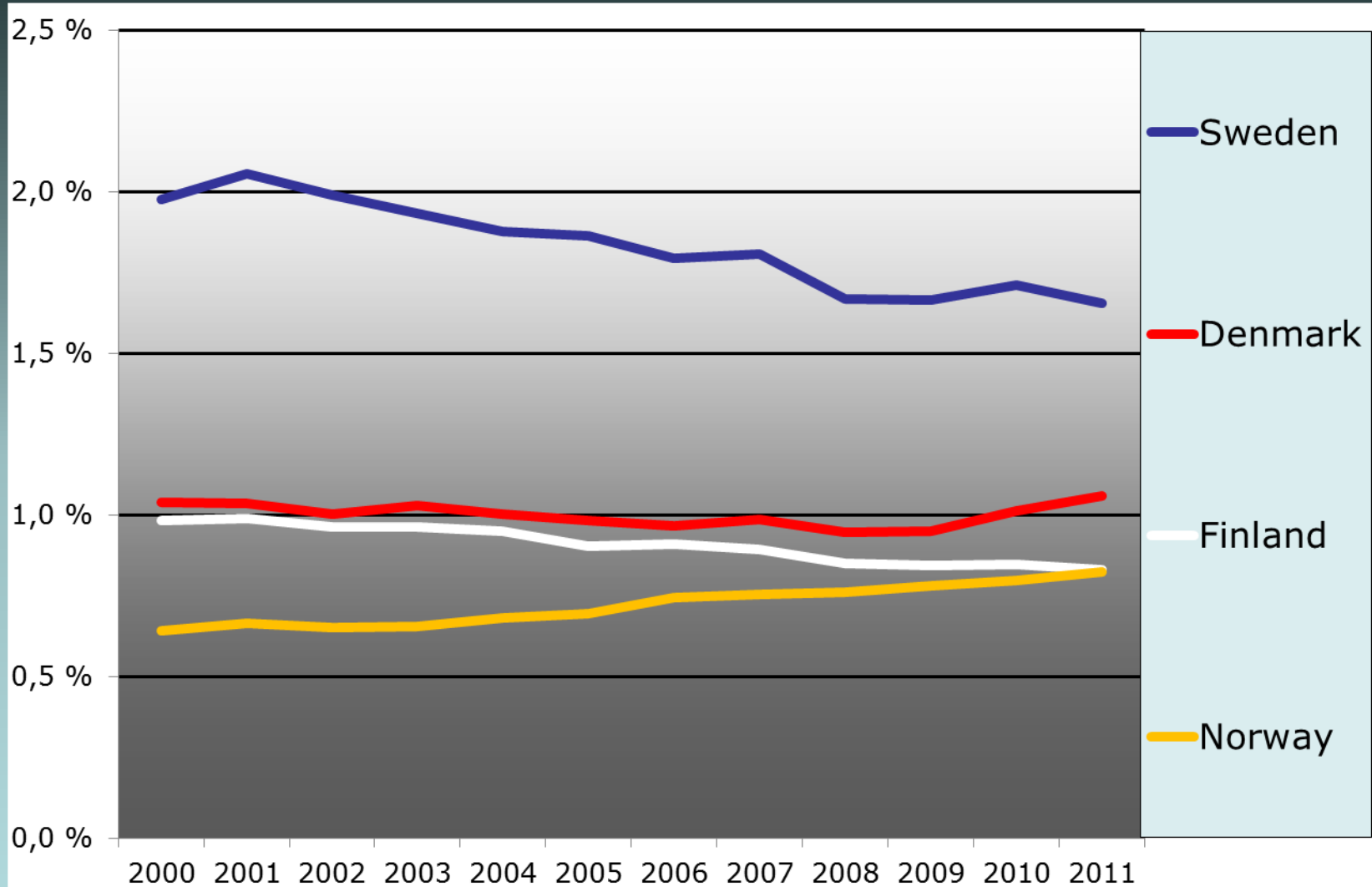
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2. Bibliometric data sources
3. A bibliometric indicator covering all fields of research
4. Experiences: Effects, Discussions, Criticisms
5. Results from and questions for two evaluations of the indicator

Publication points in Norway's Higher Education Sector 2004-2011



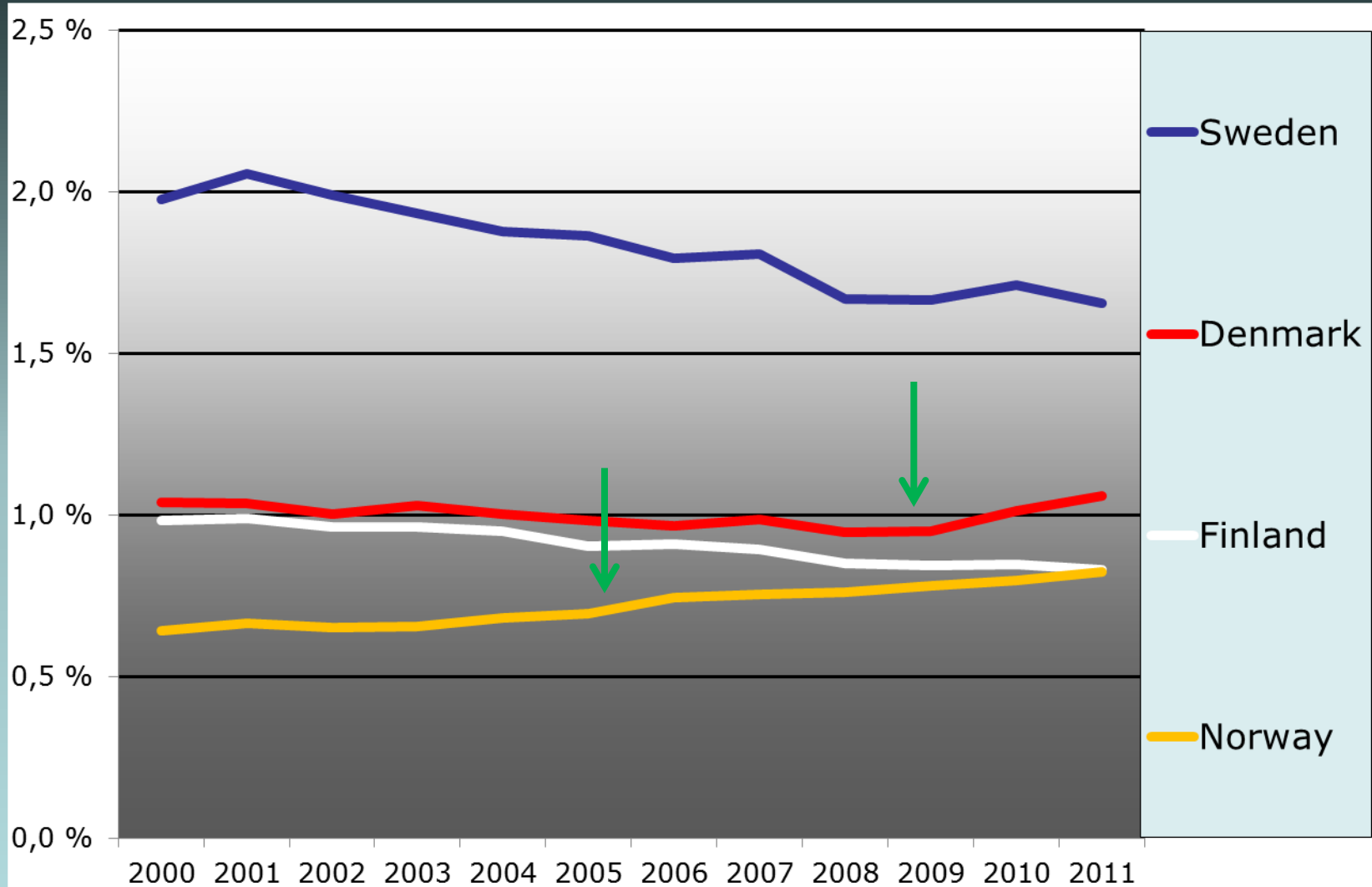
Shares in the world's scientific output (ISI 2000-2011)

Source: National Science Indicators (NSI), Thomson Reuters



Shares in the world's scientific output (ISI 2000-2011)

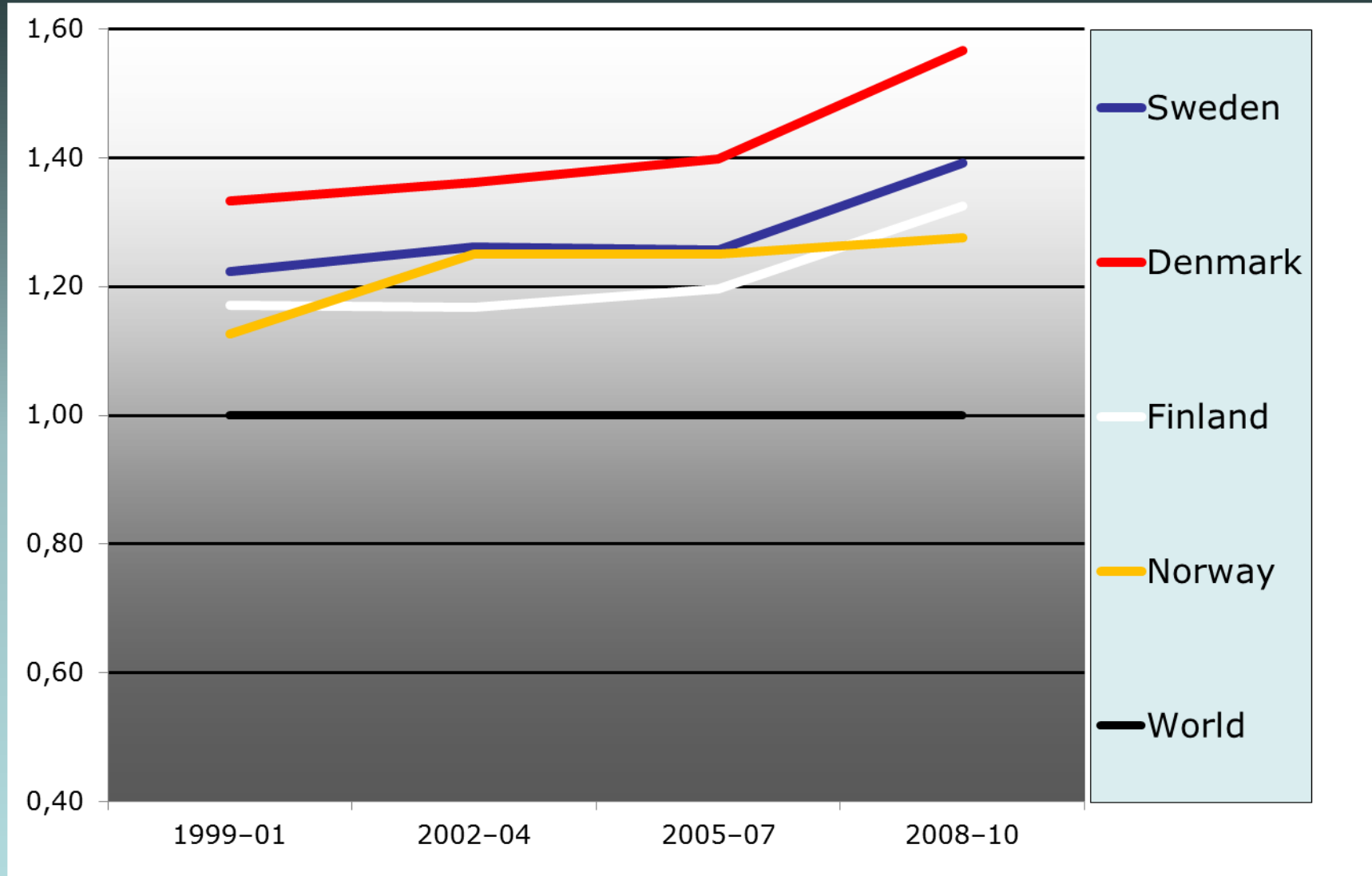
Source: National Science Indicators (NSI), Thomson Reuters



Relative citation rates (ISI 1999-2010)

Weighted according to research profiles.

Source: National Science Indicators (NSI), Thomson Reuters



Effects on the institutional level

- The institutions have stronger incentives to facilitate research for their researchers
- Research is now perceived as a common and institutional responsibility, not only as an individual task
- New publications receive attention, not only from external peers, but also internally from the institution
- Research management improves with the aid of complete bibliometric information about the research activities

An example of effect at department level: Poster in the toilets of *The Centre of Excellence in linguistics at the University of Tromsø*

Hey! Need something to think about in here? How about this:

Which level 2 journal will you send an article to this semester?

Bilingualism Bilingualism Language and Cognition Brain and Language Canadian
Journal of Linguistics-Revue Canadienne de Linguistique Cognitive Linguistics Deutsche
Sprache Diachronica Die Sprache Francais Moderne Historiographia
Linguistica International Journal of Bilingual Education and Bilingualism
International Journal of Bilingualism Journal of African Languages and Linguistics
Journal of Child Language Journal of Comparative Germanic Linguistics Journal of
French Language Studies Journal of Germanic Linguistics Journal of Linguistics
Journal of Neurolinguistics Journal of Phonetics Journal of Semantics
Journal of Slavic Linguistics Language Language Acquisition Language and Speech
Lingua Linguistic Inquiry Linguistic Typology Linguistics Linguistics and
Philosophy Natural Language Semantics Natural Lg & Ling theory Phonology Revue
des Langues Romanes Russian Linguistics Sprachtypologie und Universalienforschung
Sprachwissenschaft Studia Linguistica Studies in Language Studies in Second Language
Acquisition Syntax Syntax and Semantics Travaux de Linguistique Voprosy
jazykoznanija Zeitschrift für Dialektologie und Linguistik Zeitschrift für Germanistische
Linguistik Zeitschrift für Sprachwissenschaft

Criticism A: Use and abuse of the indicator on the local or individual level

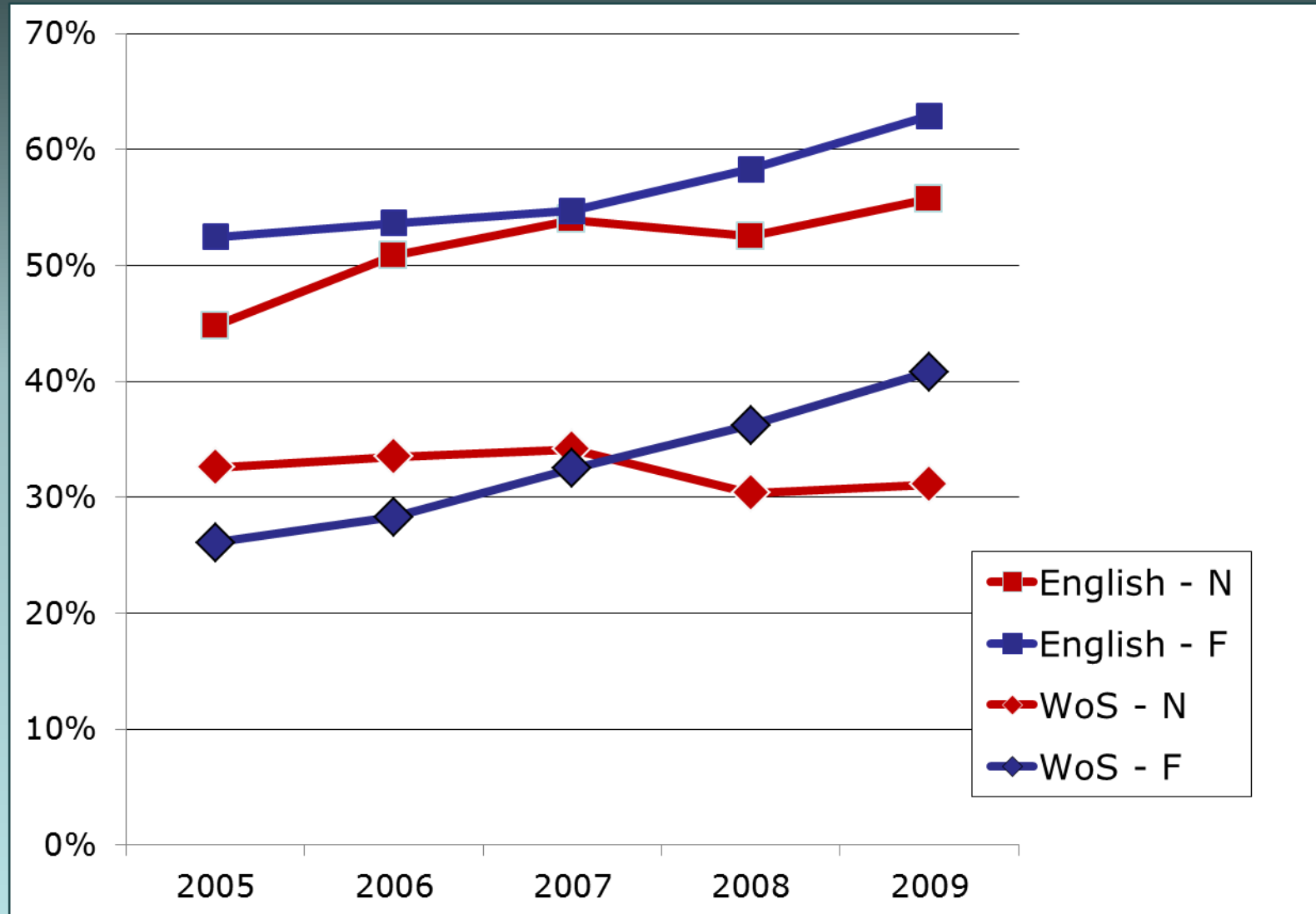
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Linguistik Zeitschrift für Sprachwissenschaft

Trends in use of English and WoS coverage in the humanities and social sciences

Percentages of all scholarly journal articles from Flemish (F) and Norwegian (N) universities that were published in English and covered by Web of Science 2005-2009



6

Slutspillet
Lørdag 24. september 2001

Økonomiprofessor er bedste formidler

Økonometriprofessor Kalle Moen ved Universitetet i Oslo får Norges Forskningsråd til midlertidig pris for 2011, en pris på 250.000 kroner. Moen er leder for sentret for fremragende forskning, ESOP (Equality, Social Organization, Performance), ved Det samfunnsvitenskapelige fakultet, som blant annet er tiler på den nordiske velstandsmodellen. – Jeg liker selv et godt å drive med forskning, men den er egentlig ikke fullført før den kan slappe like debart og overføres konkret rundt funnene man gjør. Forsker kan som ikke berytter en ledning tinn til å midlertidig styre seg selv for en stor glede, sier Moen til Uniforum. Forskningsrådets pris for fremragende forskning er blitt tildelt til Moen for tredje gang med sine tre kolleger, Økonometri Økon. Han har på net nye muligheter for forskning og med sine fire kolleger av matematisk og muligheter av å samle funnene.

Systemet som brukes til å avgjøre hvem som er de mest talentfulle forskerne, verdsetter publisering av artikler i enkelte middelmådige tidsskrifter høyere enn å ha artikler på trykk i verdens beste

Halvbra tidsskrifter gir flest poeng

PER KRISTIAN RIPPKEK

Vil du gjerne det bra som forsker, handler det i dag om å publisere vitenskapelige artikler med nesten null økonomisk lagsskatt og kvalitet. I 2004 ble et nytt system for klassifisering av vitenskapelige tidsskrifter igrav innført i norsk forskning. Det skulle gjøre det lettere å nåle hva skulle betale for å gi penger sine. Det var grovrommet og skulle ikke brukstall på peke på den individuelle forskere var dyktige eller slappe. Før årstiden brukes systemet ikke til vurdering av enkeltpersoner. Men de tidsskriftene som girst poeng, er ikke nødvendigvis de som har det

Publikasjonssystemet, populært kalt tellekantsystemet, inneholder to nivåer kalt 1 og 2. Nivå 2 er for de

antatt ypperste tilskuffene. Det gir forskerne hele tre ganger så mange publiseringsspoeng som nivå 1. Nivå 2 skal være eksklusivt, og kan etter reglene formidles maks inakt 20 prosent av publikasjonene på et fagfelt. A nivå det beste av det beste.

Skjøvt. Likevel er et tidsskrift som det norske Historisk tidsskrift plassert på det gjørvå nivå 2, mens en ubestridt verdensener som *Journal of Global History* bare er på nivå 1 (de dekket naturlig nok ikke helt samme tema). Publisering i det norske tidsskriftet gir altså tre ganger så mye målbar prestise som de internasjonale topp Tidsskriftet. Sosiologiforsker og tidsskriftredaktør Cathrine Holst har det lignende eksempel fra sitt fagfelt.

- **Overrasket** - Jeg ble veldig overrasket da jeg så at tidsskrifter som *Rationality and Society* og *Journal of Applied Philosophy* deries selvsynne hadde

kommet inn usiddebart, ligger på nivå 1. Samtidig ligger for eksempel Retfærd og Tidskrift for menneskerettigheter på nivå 2. Der er det nok noe lettere å få inn en artikkel, tror hun.

- Dette er noe folk bryr seg om og snakker om. Og vi oppmuntrer jo til å publisere på nivå 2. I praksis brukes dette også til vurdering av individer, selv om ikke det var hensikten. Systemet oppmuntrer til å prioritere tidsskriftene det er enklest å komme inn i, sier en av dem.

Holst etterlyser at seniorer og professorer signaliserer sterkere hvordan de yngre, som har mer å bevise og arbeider knallhardt for å skaffe seg en fast stilling, skal forholde seg til systemet.

Professor Øyvind Østerud er preses i Vitenskapsakademiet og professor i statsvitenskap.

Vilkårlig. – Systemet med nivå 1 og 2 er problematisk og bør vurderes grundig. Noen tidskrifter er uønsketvis sentrale, mens andre er i en gråson, bekrefter han. Selvleder han fagrådet som i stor grad avviger

hvilke nivåer fagets tidsskrifter skal plasseres på. Den endelige beslutningen tas av det overordnede publikasjonsrådet.

— Jeg liker ikke mollen jeg har den. Valgene vi tar, bin for veldig vilkårlige, men får likevel store konsekvenser. Systemet kan føre til at fagniljøene tilpasser seg og stjeler til hva som gir flest poeng, snarere enn hvilke ferdigheter deres egne fagfeller leser, sier han.

innest personlig avmåling basert på om forskerne oppnår publisering på nivå log 2, med pris til dem som får flest publiseringspoeng.

– Systemet er utsatt for veldig nye og merkelig misbruk og viser ekstremt uheldige utslag. Det hele skaper et inntrykk av at det

finnes objektive kvalitetsmål, et inntrykk det ikke er grunnlag for. Vi bør vurdere om oppdelingen i nivå 1 og 2 skal kuttet ut eller erstattes av noe annet, sier

Østerud og fagrådet hans har tatt initiativ til en ny gjennomgang av publiseringsystemet, og dette er nå til vurdering. Han presiserer at han ikke er motstander av forskningsvurdering og innslag av telling, men mener systemet og bruken av det bør gjennomgås på nytt.



7 035778
inn i to k
20 prosen



Forske

Det skjete tellekassen
har bidratt til en
i publiseringen av

land ta det i bruk

Forsker: Systemet er en suksess, men omstridt

Det skjeve tellekant-systemet har bidratt til en kraftig vekst i publiseringen av norske vitenskapelige artikler de siste årene. Nå vil flere land ta det i bruk.

Forsker Gunnar Sivertsen ved NIFU, Nordisk institutt for studier av innovasjon, forskning og utdanning, konstruerte i sin tid forslaget til tellekantsystemet som nå er blitt en internasjonal eksportartikkel. Både Belgia og flere nordiske land har allerede innført eller vurderer å innføre det. Norsk forskning erner nå på 60 prosent mer å sel i ledende kanaler internasjonalt enn for bare seks år siden.

– Systemet er en succes, men det er ikke uoverskueligt overalt hvor det indføres. Når først erud reiser spørgsmål ved om det i det hele taget bør være to nivåer, er det en interessant diskusjon, sier Sivertsen.

overreaksjon: Miljøene blir veldig opp-
tatt av publiseringsspoeng og mindre
opptatt av selve forskningen. Men for å
dette rett ut, vi var på et veldig lavt nivå
sammenlignet med andre land. Noe må
te gjøres. Vi hadde da nesten halvparten så
mange publiseringer som andre. Nå er vi op-
pe på et mer akseptabelt nivå. Men slike
systemer bør kontinuerlig vurderes, na-
er Sivertsen.

KULTUR	7
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Forløsning

I Aftenposten 23. august kunne vi lese at mer enn 17 prosent av norske pedbarn blir forlest ved kaisersnitt, og det lyder ikke bra. Ikke biologisk sannsynlig heller, og takk for det. Den som blir forlest ved en fødsel er den fødende kvinnen, og naturen har ordnet det så veldig - kaisersnitt tæller ikke - at hun pr. definisjon er i kjsens moden alder og ikke noe nytt barn.

Barnet blir derimot født. Det er sannsynligvis forløst henger sammen med løst og knyttet. Det er logisk nok, for barnet blir jo løst fra moren når det er kommet til verden, nævstengen er kuttet. Vi har ordet direkte på tysk: «Giewurdeverlost» (hun ble født, skriver den berømte legen Ignaz Semmelweis (1816-1862) om en 19-årig mor som fødte normalt, men som tragisk nok døde).

Odet kan også bruges overført: Vis male
ker gjerne om at en forfatter er forlist når
han eller hun har brukt et litterært verk
frem i tiden. En kritiker kan innvende mot
et stykke kunst at det ikke helt forlist
eller at det er uforlist, det er altså noe
som mangler på at det er fullkomment
eller uvelikket.



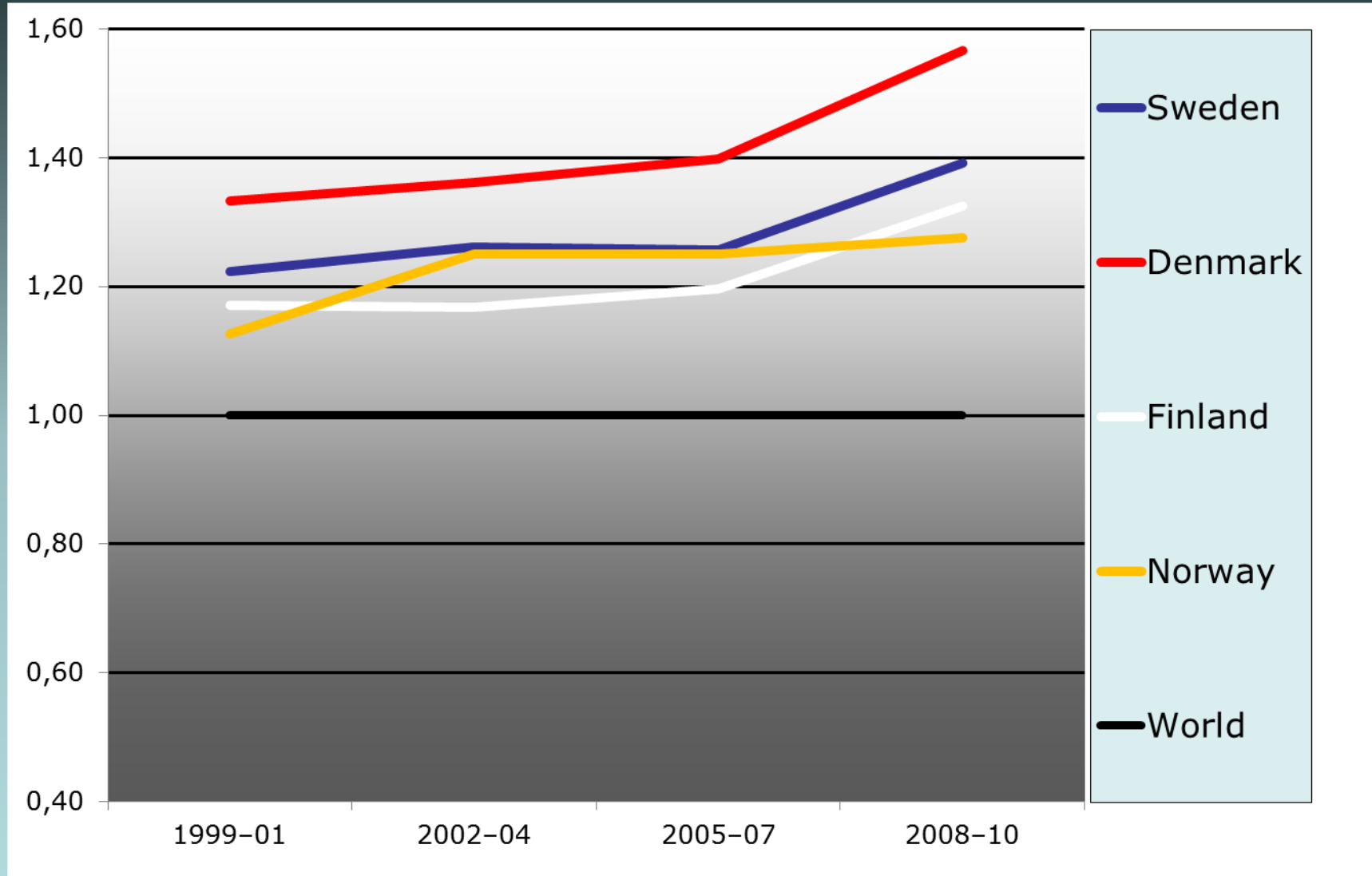
Per Egil Hegge

SPRÅKET VÅRT

«Valgene vi tar, blir fort veldig uikårlige, men får likevel store konsekvenser»

Gyriwind Østerud, professor statsvitenskap og leder av fagrådet somer med å avgjøre hvilke ni timer fagets tidskrifter skal plasseres på.

Criticism D: What happens to research quality? Should we measure impact?



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5. Results from and questions for two evaluations of the indicator

Results from an evaluation in Denmark in 2012

- Difficult to measure effects after only three years
- Keep it, and keep it simple / add citations
- Increase transparency and statistical use

Questions for an evaluation in Norway in 2013

- Does the indicator balance well between different domains of research?
- Are the two levels appropriate?
- What happens to research collaboration?
- Changes in the publication patterns?
- How is the indicator perceived by researchers?
- The impact on research and on other activities
- Local use of the indicator