



European trends in performance-based funding of research institutions

Gunnar Sivertsen

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



Overview of this presentation

1. Performance-based funding of research institutions
2. Evaluation-based models
 - Overview
 - Use of bibliometrics
3. Indicator-based models
 - Overview
 - Use of bibliometrics
4. General trends – the European perspective
5. Funding by bibliometrics: “The Norwegian model”
 - The elements in the model
 - The variants in Denmark, Finland, Flanders, Norway, Portugal and Sweden
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"The dual funding system" (Public sources)

Government

Research Councils

Projects and Programmes
Competition

Research Evaluation

Direct grants

Historical, Political
Strategic

Performance based

Research institutions

The balance?

Government

Research Councils

Projects and Programmes

Competition

Research Evaluation

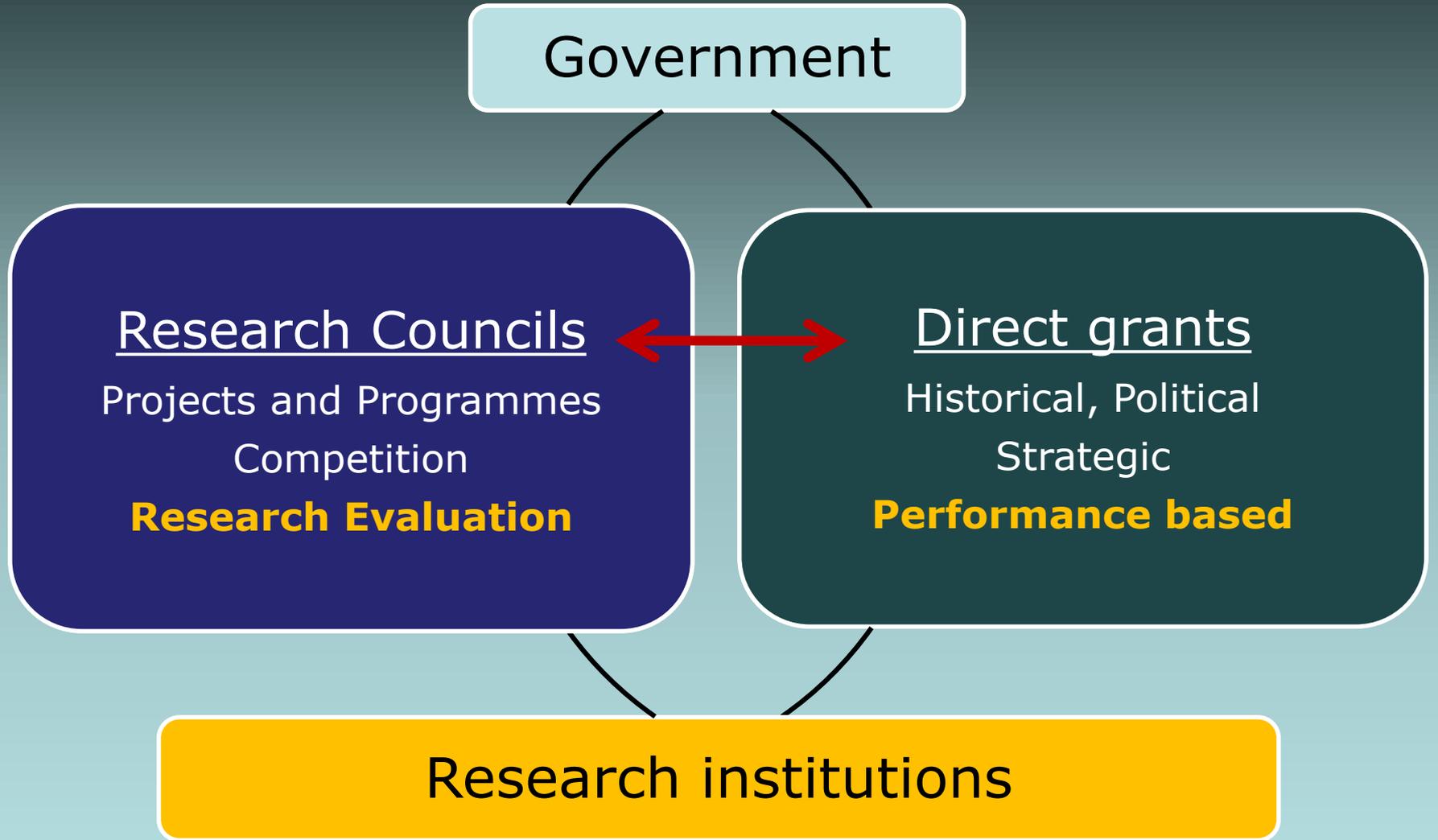
Direct grants

Historical, Political

Strategic

Performance based

Research institutions



The mix?

Government

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Competition

Research Evaluation

Direct grants

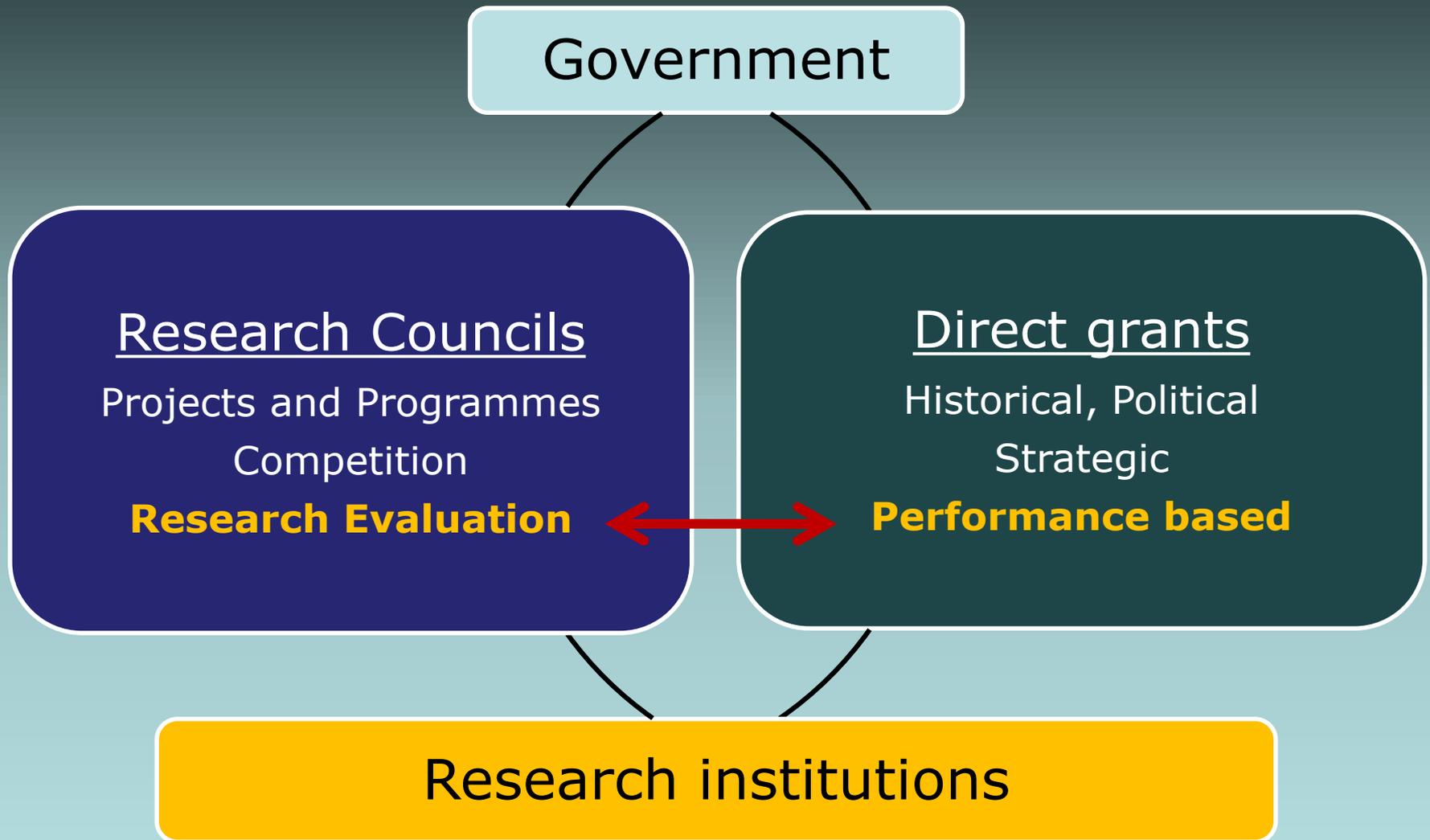
Historical, Political
Strategic

Performance based



Research institutions

Same aims, methods, and effects?



Evaluation-based and indicator-based models



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Estonian Research Portal



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Last name

Publishing year of -

R&D institution

Classification

Exact search

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- Calendar
- Forum
- Research and development policy
- Institutional framework for R&D
- Research and development financing
- Research and development statistics
- International cooperation
- National cooperation
- Honours & Awards
- Youth in science
- Research Infrastructures Roadmap
- classification scheme

Evaluation-based and indicator-based models



Bibliometrics informs the evaluation. Evaluation results are translated into funding

ian Research Portal

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Evaluation-based and **indicator-based models**

Bibliometrics is translated into funding.

Often combined with other indicators.

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First name

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Evaluation-based (blue) and indicator-based (red) models



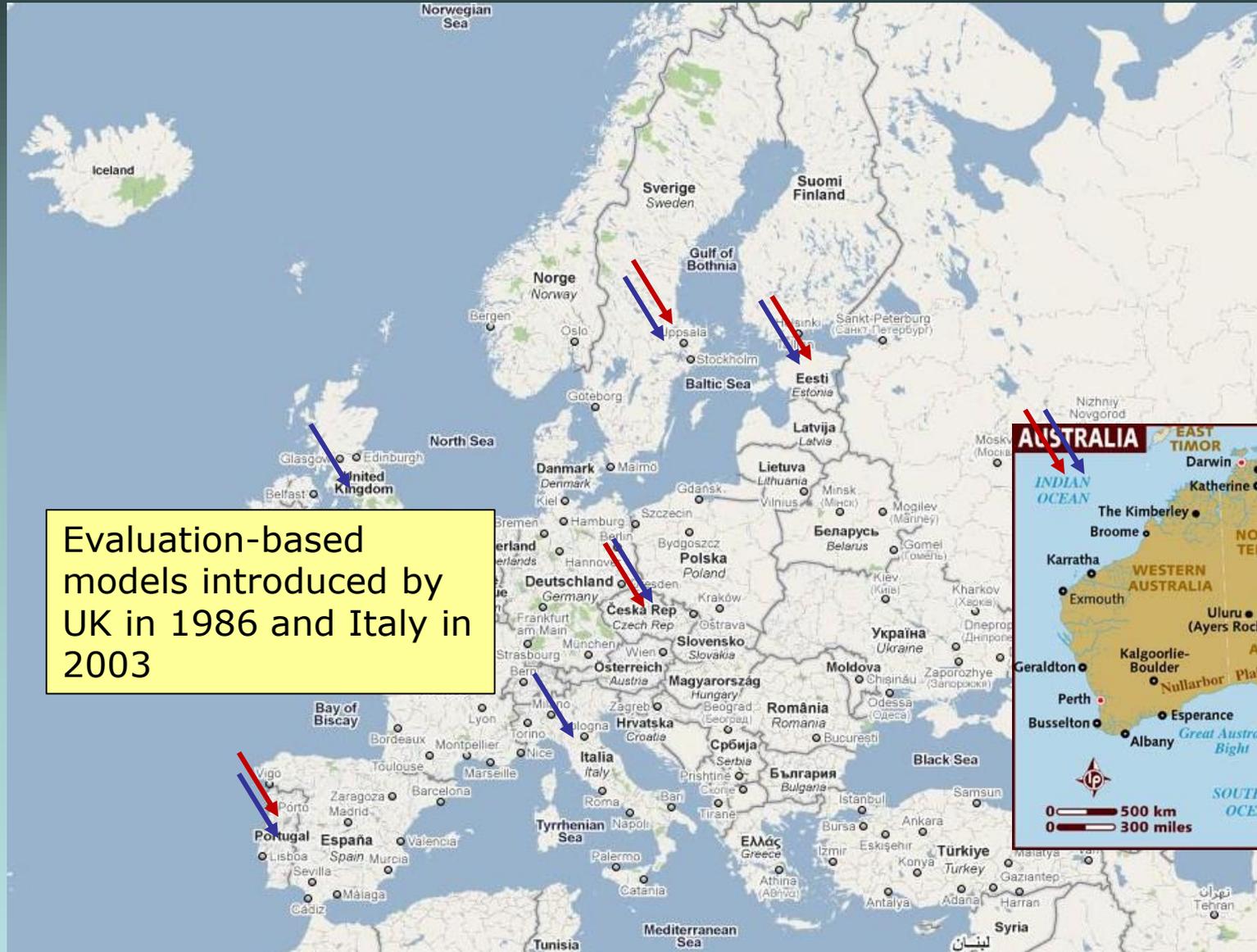
Evaluation-based (blue) or indicator-based (red) models are not implemented or made explicit (yellow)



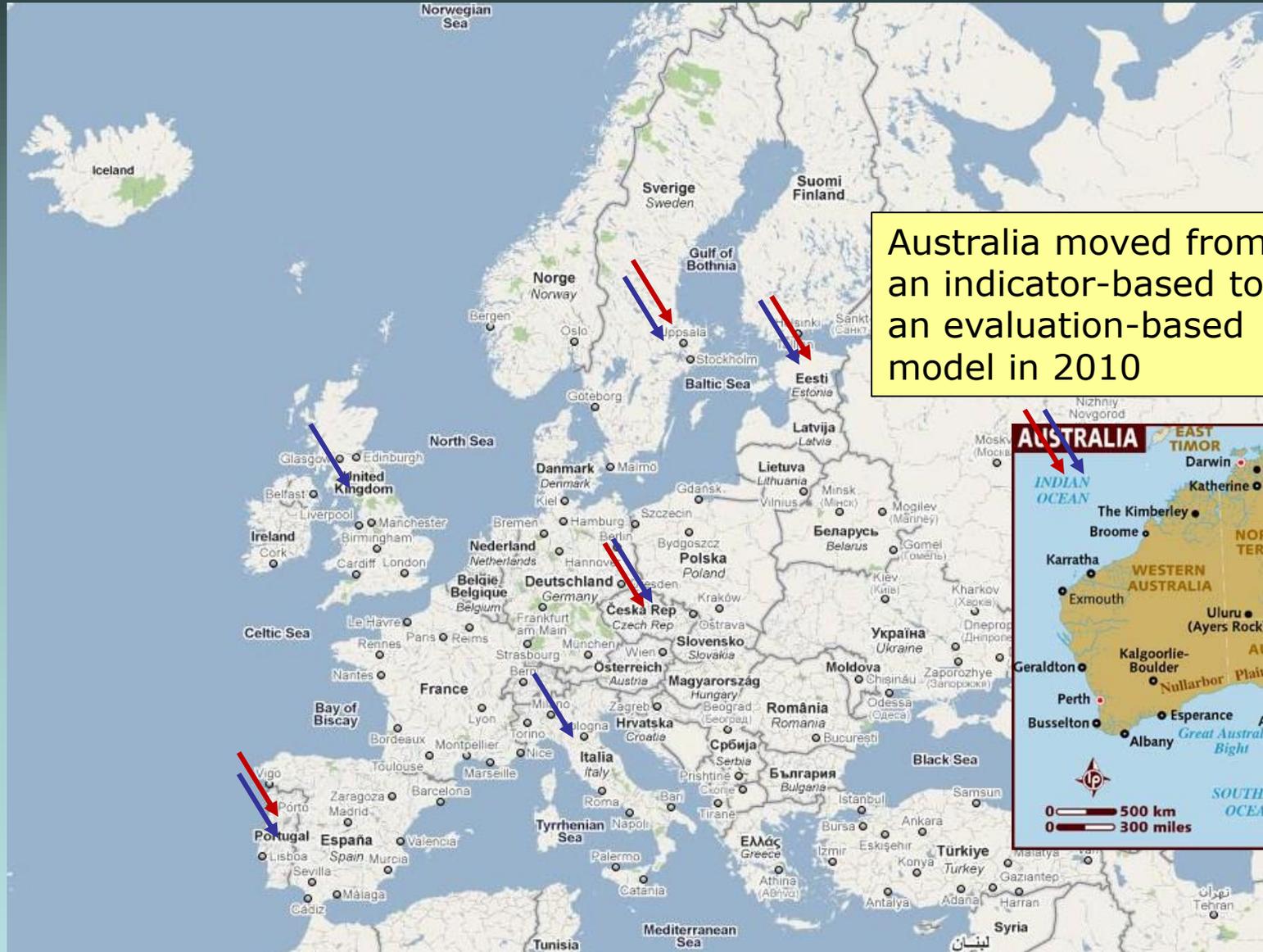
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Evaluation-based (blue) and indicator-based (red) models



Evaluation-based (blue) and indicator-based (red) models



Australia moved from an indicator-based to an evaluation-based model in 2010

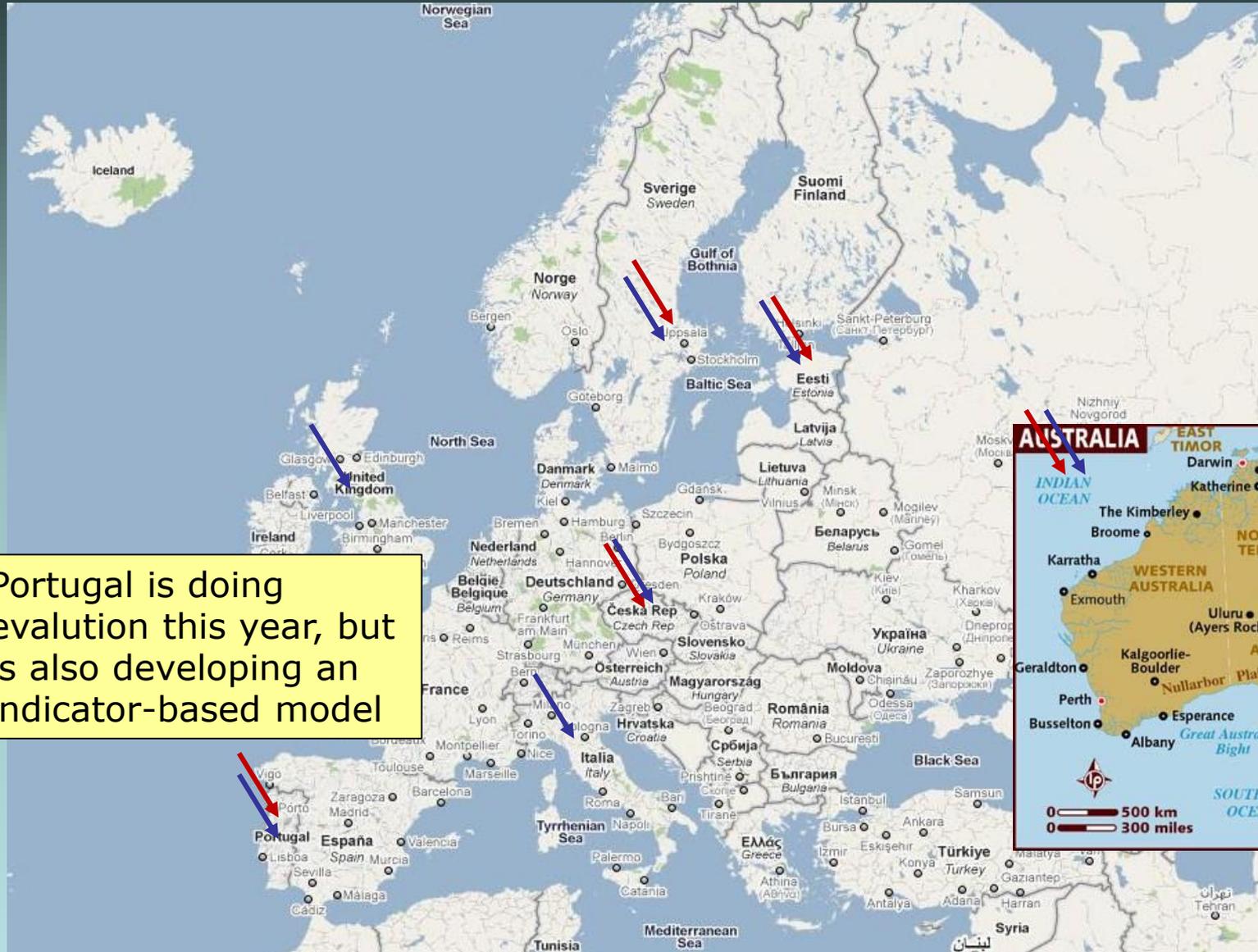


Evaluation-based (blue) and indicator-based (red) models

Czech Republic and Sweden have indicator-based models, but are developing evaluation-based models this year

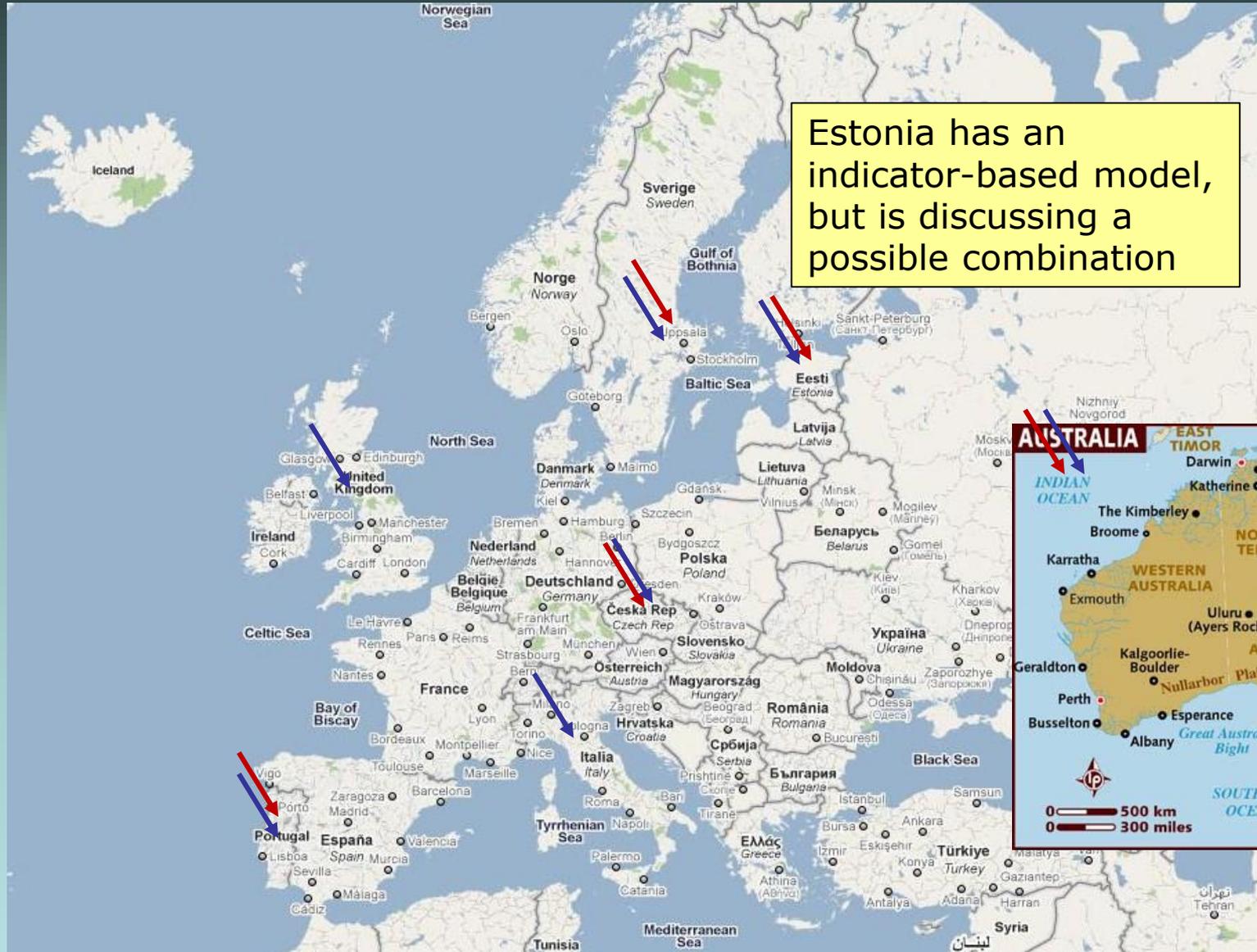


Evaluation-based (blue) and indicator-based (red) models



Portugal is doing evaluation this year, but is also developing an indicator-based model

Evaluation-based (blue) and indicator-based (red) models



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Phases in the development of the UK model



The conclusion after an open consultation in UK in 2006: Is it possible to use metrics instead or as a supplement?



■ Bibliometrics may **inform**, but **not replace** peer review

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The conclusion after an open consultation in UK in 2006: Is it possible to use metrics instead or as a supplement?



■ Bibliometrics (citation indicators) may **inform**, but **not replace** peer review

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Peer review and bibliometric methods



■ We are not covered!!!

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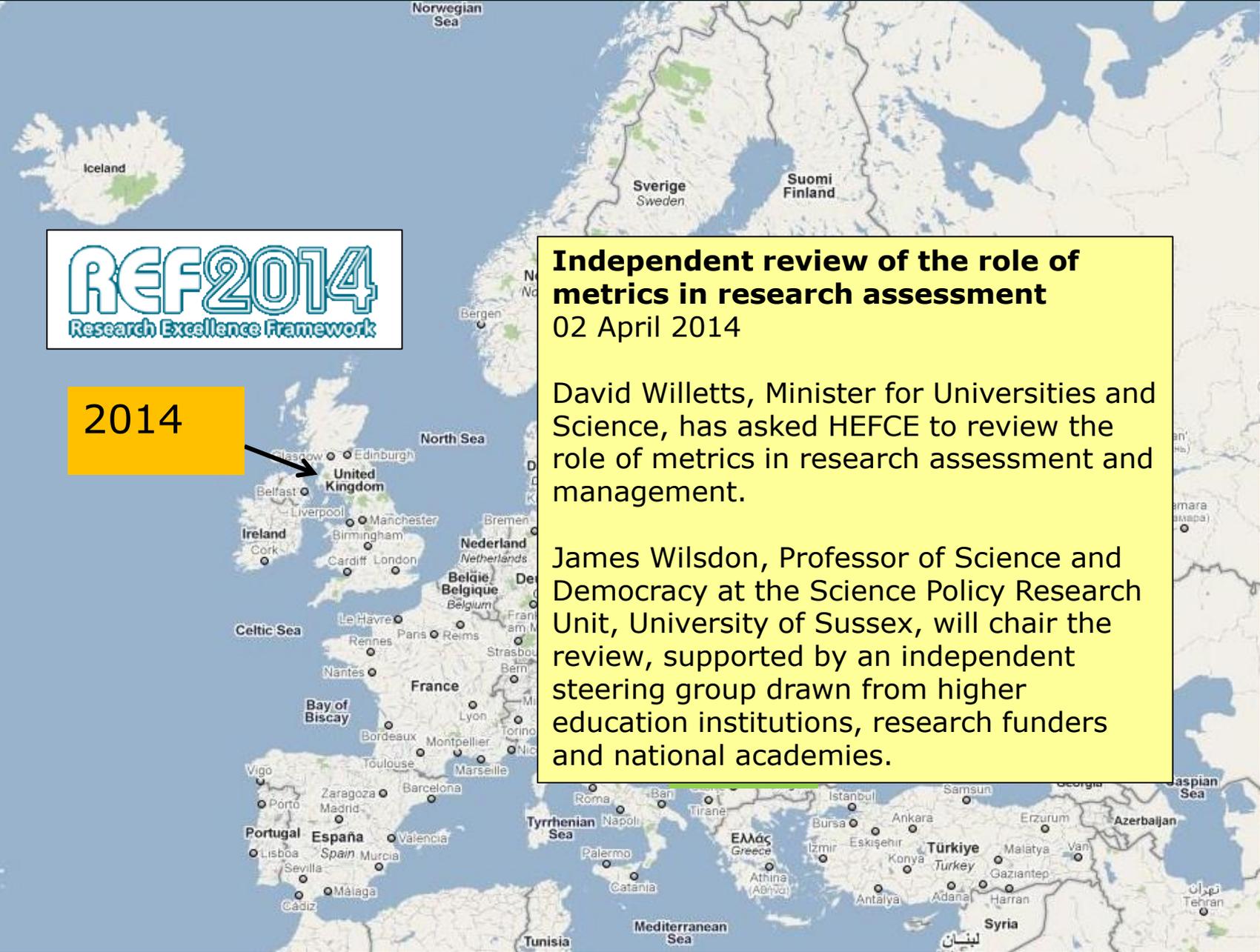
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REF2014
Research Excellence Framework

2014

- Evaluation panels may be provided with bibliometrics upon request.
- Use of journal impact factors and other bibliometric indicators not supplied through the REF administration is forbidden.



REF2014
Research Excellence Framework

2014

Independent review of the role of metrics in research assessment

02 April 2014

David Willetts, Minister for Universities and Science, has asked HEFCE to review the role of metrics in research assessment and management.

James Wilsdon, Professor of Science and Democracy at the Science Policy Research Unit, University of Sussex, will chair the review, supported by an independent steering group drawn from higher education institutions, research funders and national academies.

Impact template as Word file (6,975 submissions)

[Home](#) » Submissions

Submission system

Submissions

Submission system data requirements

The deadline for submissions to the REF from UK higher education institutions is 15 June 2013.

Submitting research outputs

This page provides details of the guidance and procedures for submitting research outputs.

Citation data

Submissions system

REF4 Environment data

Institutions were required to make submissions through the REF submission system which will be available in a **read-only** state.

Data management

Key guidance documents

Audit and data verification

[Assessment framework and guidance on submissions](#) provides the assessment framework and guidance to institutions on the requirements and definitions that apply in the submission system.

[Panel criteria and working methods](#) provides further guidance on the information requirements for each panel.

Supplementary guidance

[Frequently asked questions](#) (FAQ)

The following supplementary guidance documents are available:

- [Submission system data requirements](#), which provides templates, and lists the information required for submission as physical outputs.
- [Submitting research outputs](#), which provides guidance on submitting research outputs.

July 2012

Go

Impact template (REF3a)

1. This annex provides the template for REF3a. The template for use in preparing submissions will be provided in Word, along with templates for REF3b and REF5, on the REF submission system.
2. Guidance on completing the template is available in Part 3, Section 3 of 'guidance on submissions', and in Section 3 of each of the main panel criteria statements (Part 2 of this document). Each of the main panel criteria statements set out the information requested under each heading (a-d) of the impact template.
3. Each completed template must be submitted according to the guidance on formatting and page limits set out at Annex F of 'guidance on submissions'.

Impact template (REF3a)

Institution:

Unit of assessment:

a. Context

b. Approach to impact

c. Strategy and plans

d. Relationship to case studies

Impact template as Word file (6,975 submissions)

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Submission system

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3. Each document must be submitted as a PDF file.

Impact template

Institution:

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“Empirical evidence shows that for the natural and formal sciences, the bibliometric methodology is **by far preferable to peer-review**. Setting up national databases of publications by individual authors, derived from Web of Science or Scopus databases, would allow **much better, cheaper and more frequent national research assessments**.”

Giovanni Abramo & Ciriaco Andrea D'Angelo: Evaluating research: from informed peer review to bibliometrics, *Scientometrics* (2011) 87:499–514.



“Bibliometrics are not independent of peer review assessment. The correlation between peer assessment and bibliometric indicators is significant but not perfect. **Peer review should be integrated with bibliometric indicators in national assessment exercises.**”

Massimo Franceschet and Antonio Costantini. The first Italian research assessment exercise: a bibliometric perspective. *Journal of Informetrics* (2011) 5(2): 275-291.



In practice, most submitted publications are graded ("evaluated") by translating citation indicators into grades.

Properly peer-reviewed are only the social sciences and humanities plus publications with wide differences between citations and Journal Impact Factors.

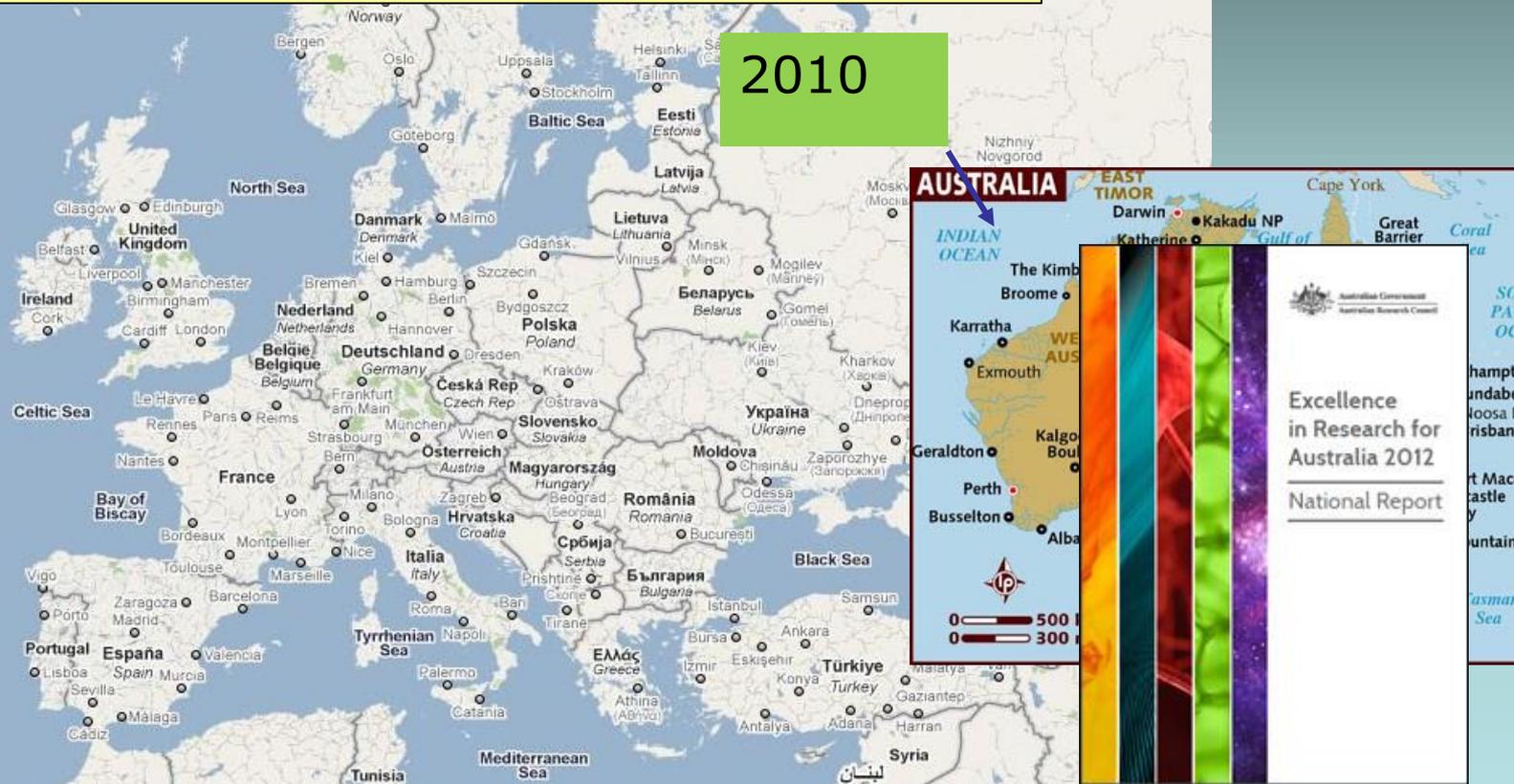


Australia

In practice, most submitted publications are graded ("evaluated") by translating citation indicators into grades.

Properly peer-reviewed are only the social sciences and humanities.

2010



Czech Republic, Portugal, and Sweden

Full peer review, informed by bibliometrics, is the ambition, but mixed models are also being discussed.



Estonia

A mixed model?



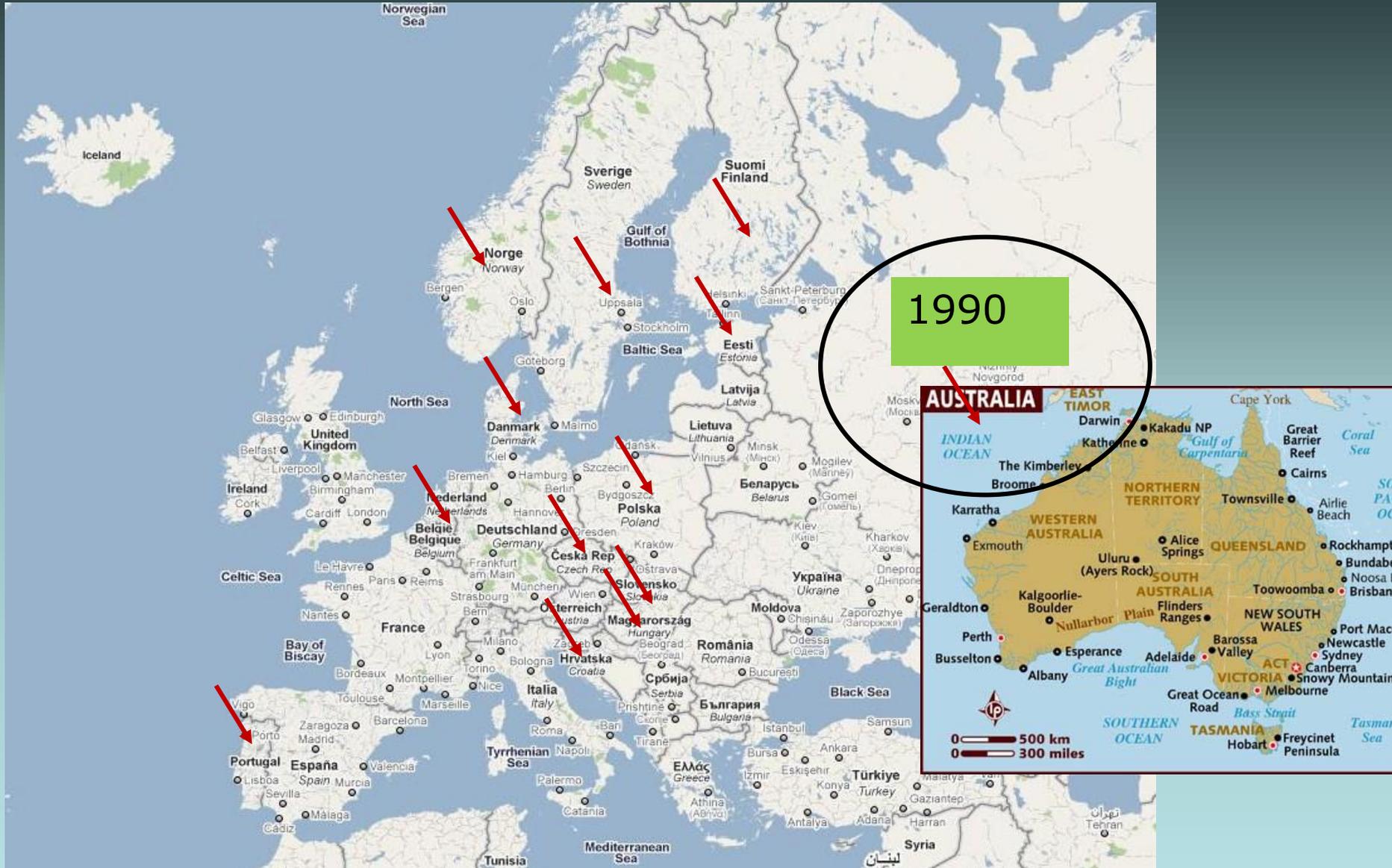
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Indicator-based models



Indicator-based models



Indicator-based models



Indicator-based models



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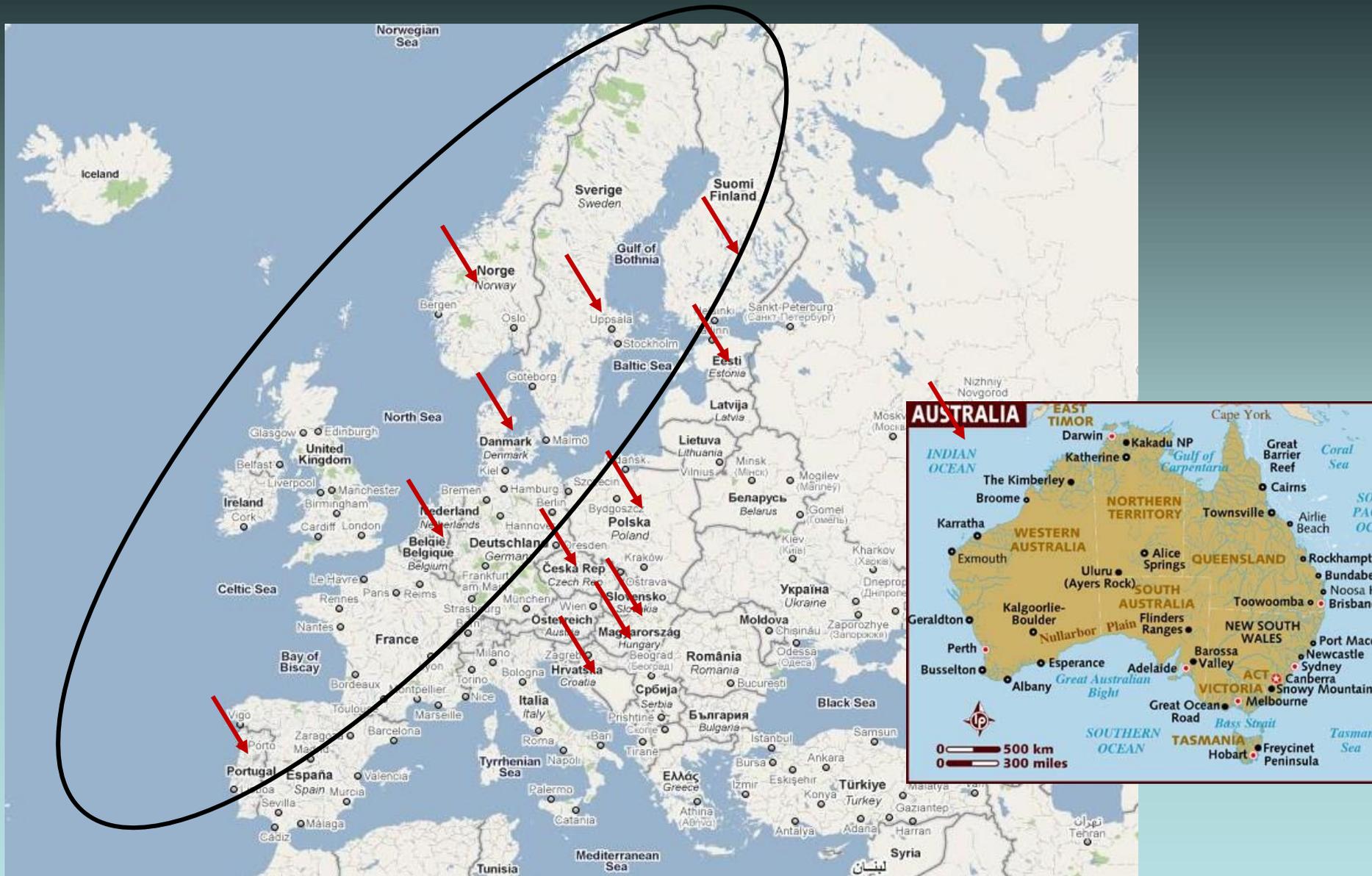
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Indicator-based models



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Evaluation-based and **indicator-based models**

Bibliometrics is translated into funding.

Often combined with other indicators.

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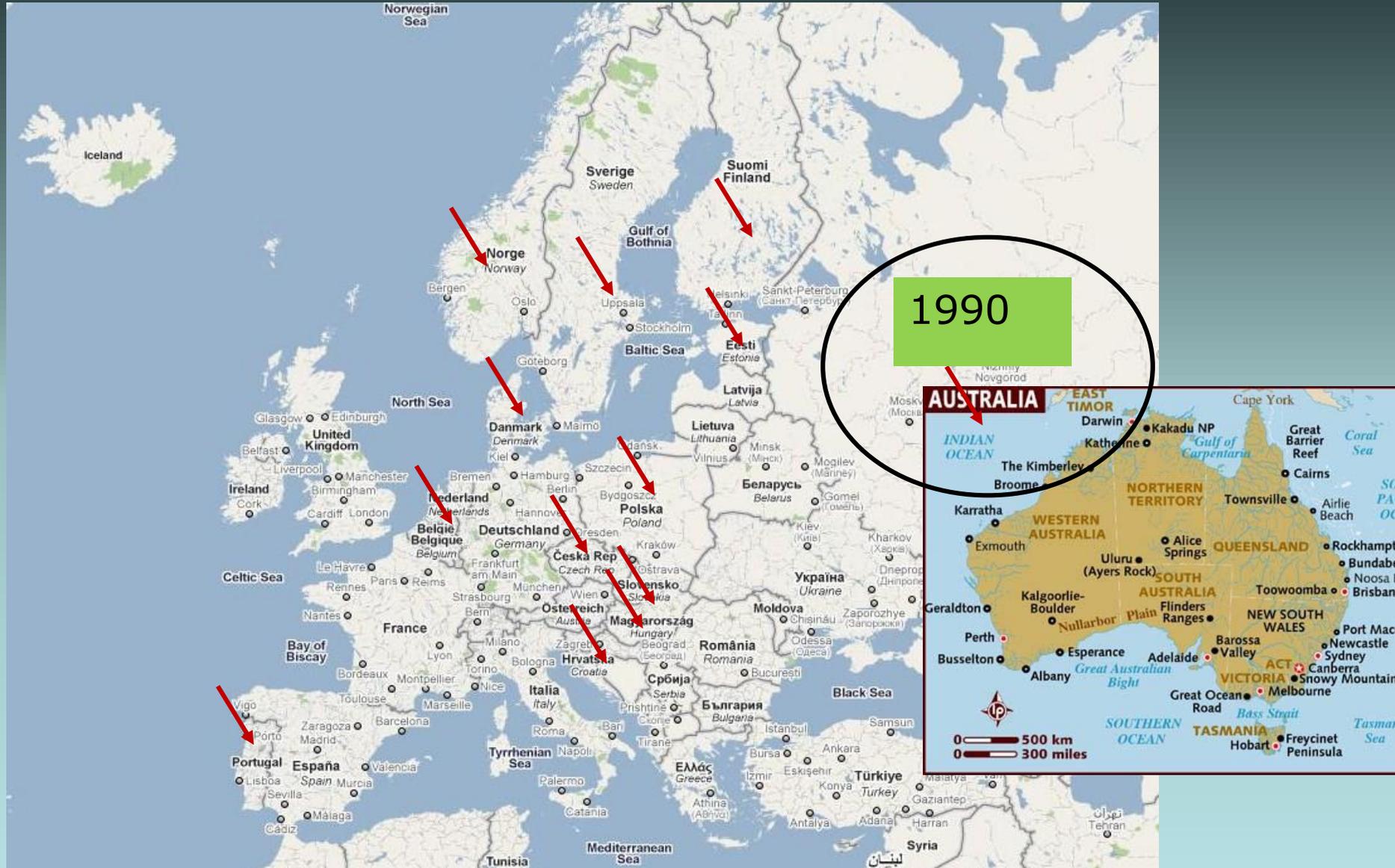
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- National cooperation
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- Youth in science
- Research Infrastructures Roadmap
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Australia: Increased publishing in less important journals



Flanders and Sweden: Citation indicator-based models



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Source Titles

Book Series Titles

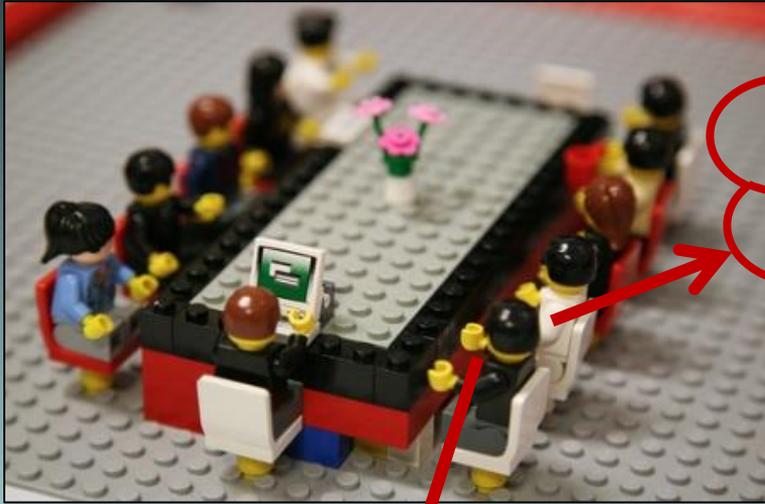
Publication Years

Institutions

(0)

- Title: **Research Evaluation, Bill Page and C**
Author(s): Nederhof Anton J.; Jordan Gretchen B.
Source: **RESEARCH EVALUATION** Volume: 21
Times Cited: 0 (from Web of Science)
BIBSYS x
- Title: **Research centers as agents of change**
Author(s): Rogers Juan D.
Source: **RESEARCH EVALUATION** Volume: 21
Times Cited: 0 (from Web of Science)
BIBSYS x
[\[View abstract\]](#)
- Title: **Evaluating the performance of acad**
Author(s): Agasisti Tommaso; Catalano Giuseppe
Source: **RESEARCH EVALUATION** Volume: 21
Times Cited: 0 (from Web of Science)
BIBSYS x
[\[View abstract\]](#)
- Title: **Evaluating the demand side: New ch**
Author(s): Edler J.; Georghiou L.; Blind K.; et al.
Source: **RESEARCH EVALUATION** Volume: 21
Times Cited: 0 (from Web of Science)
BIBSYS x
[\[View abstract\]](#)
- Title: **Conservatism and risk taking in nee**

The social sciences and the humanities in the WoS



■ We are not covered!!!

WEB OF KNOWLEDGESM | DISCOVERY STARTS HERE

Web of Science Additional Resources

Search Author Finder Cited Reference Search Advanced Search Search History

Web of ScienceSM

Results: Publication Name=(research evaluation)
Timespan=All Years. Databases=SCI-EXPANDED, SSCI, A&HCI.
Lemmatization=On

Results: 338

Refine Results

Search within results for

Web of Science Categories Refine

INFORMATION SCIENCE LIBRARY SCIENCE (338)

Document Types Refine

ARTICLE (301)

PROCEEDINGS PAPER (83)

EDITORIAL MATERIAL (25)

REVIEW (7)

BIOGRAPHICAL ITEM (3)

[more options / values...](#)

Subject Areas

Authors

Group Authors

Editors

Source Titles

Book Series Titles

Publication Years

Institutions

Funding Agencies

Languages

Countries/Territories

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)
BIBSYS x
[View abstract]

3. Title: **Evaluating the performance of academic departments**
Author(s): Agasisti Tommaso; Catalano Giuseppe; Landoni Paolo;
Source: **RESEARCH EVALUATION** Volume: 21 Issue: 1 Pages: 2
Times Cited: 0 (from Web of Science)
BIBSYS x
[View abstract]

4. Title: **Evaluating the demand side: New challenges for evaluation**
Author(s): Edler J.; Georghiou L.; Blind K.; et al.
Source: **RESEARCH EVALUATION** Volume: 21 Issue: 1 Pages: 3
Times Cited: 0 (from Web of Science)
BIBSYS x
[View abstract]

5. Title: **Conservatism and risk-taking in peer review: Emergence**
Author(s): Luukkonen Terttu
Source: **RESEARCH EVALUATION** Volume: 21 Issue: 1 Pages: 4
Times Cited: 0 (from Web of Science)
BIBSYS x

The Flemish Academic Bibliographic Database for the Social Sciences and Humanities (VABB-SHW) from 2009

VLIR Vlaamse
Interuniversitaire Raad

Over de VLIR

Beleidsopvolging

Projecten

Standpunten en adviezen

Rapporten en publicaties

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NIEUWS

CONTACT

LINKS

SITEMAP

ENGLISH



Opbouw van het Vlaams Academisch Bibliografisch Bestand voor de Humane en Sociale Wetenschappen

Contactpersoon: [Nele Robberechts](#)

Raadpleeg de vierde versie van het VABB-SHW

Sinds augustus 2009 werkt het Gezaghebbende Panel aan de opbouw van het VABB-SHW.

In juni 2014 werd de vierde versie van het VABB-SHW gepubliceerd. U kunt het VABB-SHW raadplegen op www.ecoom.be/vabb. Het VABB-SHW bepaalt mee de interuniversitaire verdeling van de Bijzondere Onderzoeksfondsen.

Wilt u meer weten over de opdracht van het Gezaghebbende Panel, het doel en de inhoud van het VABB-SHW? U leest alle info in de begeleidende nota.

Download:

- [Begeleidende nota van het Gezaghebbend Panel](#) (pdf, 113kb)

Gezaghebbend panel

Voorzitter

Pol Ghesquière (K.U.Leuven)

Leden

Ortwin De Graef (K.U.Leuven)
Leen D'Haenens (K.U.Leuven)
Anneleen Forrier (Lessius Hogeschool)
Terrence Merrigan (K.U.Leuven)
Mark De Pauw (K.U.Leuven)
Hilde Heynen (K.U.Leuven)
Jean Bourgeois (UGent)
Ann Buysse (UGent)
Michel Tison (UGent)
Marysa Demoor (UGent)

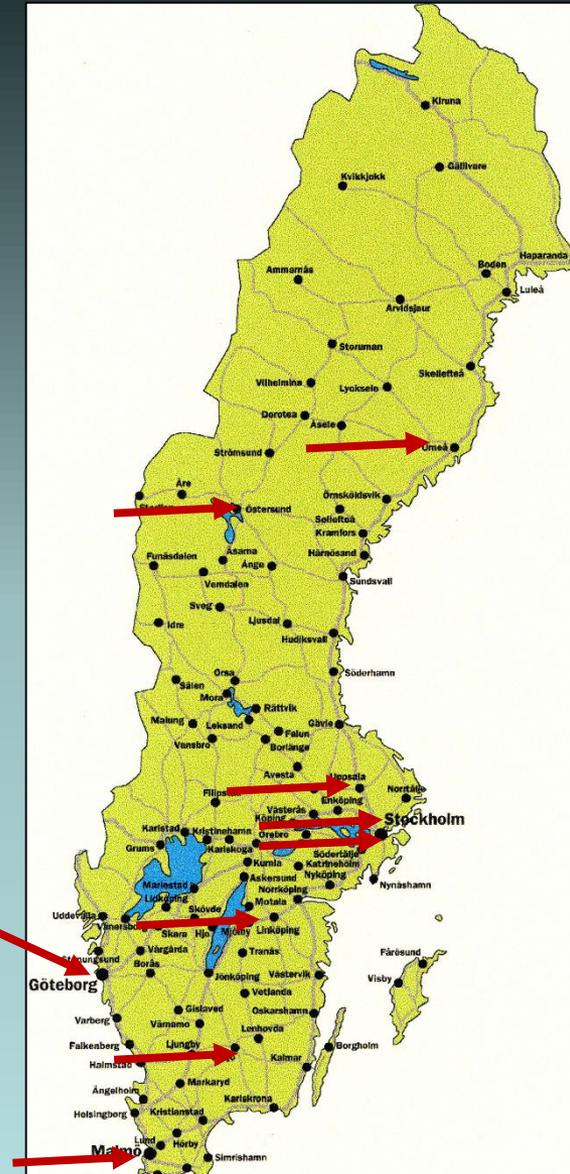
Local use of the «Norwegian model» at nine Swedish Universities

”Norska modellen” - publikationspoäng

- Vetenskapliga publiceringskanaler (förlag, serier, tidskrifter)
- Godkända publikationstyper: monografi (ej redaktörskap), kapitel, tidskriftsartikel, forskningsöversikt
- En kvalitetsindikator ger extra utdelning för publikationer i högkvalitativa publikationskanaler (förlag, tidskrift).
- Kanalernas nivå bestäms av UHR:s ”fagråde”, 20 % till nivå 2
http://www.uhr.no/organisering/nasjonale_fagrad/oversikt

Publikationstyp	Nivå 1	Nivå 2
Artikel	1	3
Bokkapitel	0,7	1
Bok	5	8

<http://dbh.nsd.uib.no/kanaler/>



Indicator-based models using bibliometrics are based on institutional or national Current Research Information Systems (CRIS)



Evaluation-based models will also use institutional or national Current Research Information Systems (CRIS)



site map

- [+] **WHAT, WHY, HOW?**
 - Structure
 - CRIS Concepts/Benefits
 - History of CRIS
 - Features of CERIF
 - Research Process & CRIS
 - e-infrastructure & CRIS
- [+] **ORGANISATION**
 - Board
 - Annual Report
 - Task Groups
 - Membership Directory
 - Brochure
 - Partners
- [+] **DIRECTORY OF CRIS (DRIS)**
 - DRIS Directory
 - DRIS Registration
- [+] **NEWS**
 - Newsflash
- [+] **EVENTS**
 - [+] **CONFERENCES**
 - CRIS 2014 - Rome
 - CRIS 2012 - Prague
 - CRIS 2010 - Aalborg
 - CRIS 2008 - Maribor
 - CRIS 2006 - Bergen
 - CRIS 2004 - Antwerp
 - CRIS 2002 - Kassel
 - All Conferences
 - SEMINARS
 - MEMBERSHIP MEETINGS**
 - WORKSHOPS
- [+] **TASK GROUPS**
 - ARCHITECTURE
 - BEST PRACTICE / DRIS
 - [+] **CERIF**
 - Introduction to CERIF
 - Tutorial
 - Releases
 - [+] **CRIS-IR**
 - Work Plan
 - PROJECTS

[+] expand all / [-] Collapse all

Membership Meetings

The aim of the biannual membership meetings is to involve the members actively in the euroCRIS actions and projects. The membership meetings are organised and have also mutual promotional value, both from euroCRIS and the national and regional CRIS Communities. The meetings are structured as follows:

- (a) a euroCRIS overview session: in this session the Board and the Task Groups report from their meetings and on recent progress and plans. In this way all participants are kept up to date on ongoing activities and of the action plan for the next six months.
- (b) a "national" session, in which experts from the organising country report on their CRIS and on recent progress and innovations.
- (c) the euroCRIS "Jostein Hauge" session, named after the founding father of euroCRIS, in which euroCRIS members report on recent innovations and implemented projects.
- (d) a special topic with position papers and/or invited lectures and discussions.

In the membership meeting also a CERIF tutorial is included for the local community and for euroCRIS members who did not yet have the opportunity to attend the tutorial.

Agendas, presentations and minutes of the biannual meetings can be accessed by clicking on the links below. (including workshops and business meetings) held from 2003 and earlier years can be found in the Archive (Members Area).

We look back on a very successful membership meeting in Porto. The presentations are available on our website through the link below and on the event video (see the Programme).

The next meeting will be held in November 2014 in Amsterdam in the main office of the Royal Netherlands Academy of Arts and Sciences (KNAW). Planned date: 12-13 November 2014. The members meeting will be combined with the Annual Strategic Seminar 2014. More information will follow and more details on the programme will be revealed in the coming weeks. The meeting (12th of May, 15.15.-16.45) preceding the welcome reception of the CRIS 2014 conference in Rome.

- 12 May 2014, Rome, Italy
- 14-15 November 2013, Porto, Portugal
- 13-14 May 2013, Bonn, Germany
- 5-6 November 2012, Madrid, Spain
- 6 June 2012 - Prague, Czech Republic
- 10 February 2012 - Bath, United Kingdom (TG meetings)
- 2-3 November 2011 - Lille, France
- 26-27 May 2011 - Bologna, Italy
- 8-9 November 2010 - Prague, Czech Republic
- 2 June 2010 - Aalborg, Denmark
- 11-13 November 2009 - St Andrews, United Kingdom
- 11-13 May 2009 - Athens, Greece
- 8-11 October 2008 - Moscow, Russia
- 4 June 2008 - Maribor, Slovenia
- 1-2 November 2007 - Vienna, Austria
- 9-11 May 2007 - Stockholm/Helsinki, Sweden <--> Finland
- 9-10 November 2006 - Copenhagen, Denmark
- 10 May 2006 - Bergen, Norway
- 9-11 November 2005 - Lisbon, Portugal
- 18-20 May 2005 - Tartu, Estonia
- 11-13 November 2004 - Budapest, Hungary
- 12 May 2004 - Antwerp, Belgium

Evaluation-based models will also use institutional or national Current Research Information Systems (CRIS)



CONVERIS

Research Information System

CONVERIS is the essential tool for modern Research Management.

CONVERIS at a glance

**Integrated
Information
Management.**



**Support for the
complete research
life cycle.**



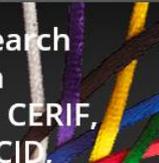
**Improved
Processes.**



**Off-the-shelf
AND highly
configurable.**



**Driving research
information
standards – CERIF,
CASRAJ, ORCID.**



**State-of-the Art
research
information
reporting.**



Both Elsevier and Thomson Reuters are now integrating the citation databases with research management tools and CRIS-systems

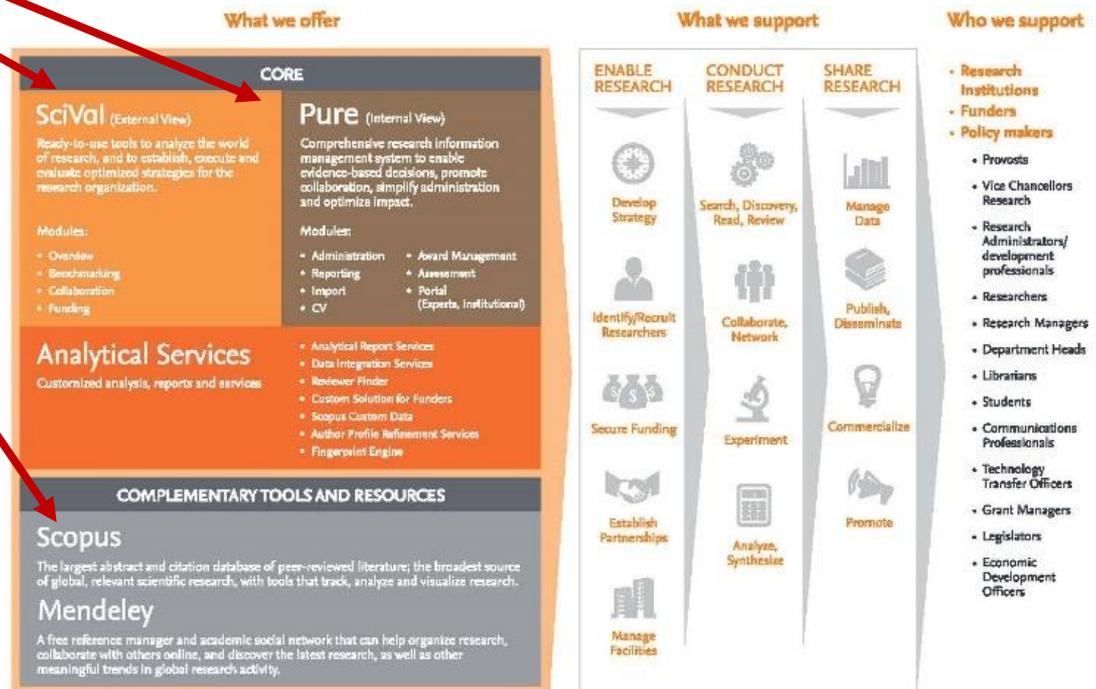
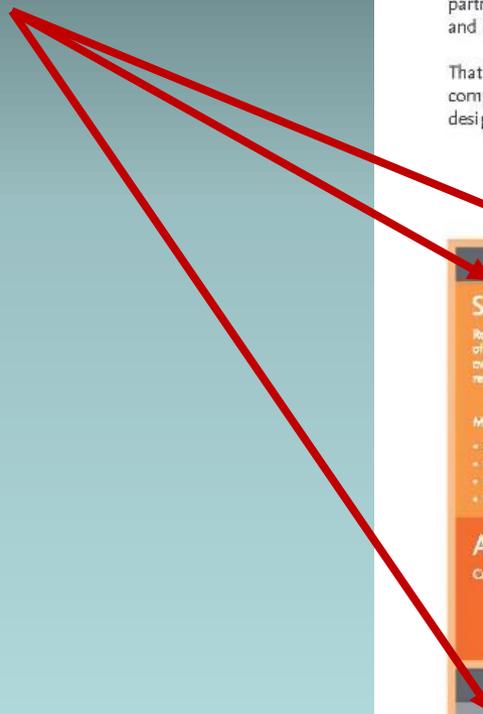
Elsevier is committed to supporting the world of research and institutions like yours that power it.

At Elsevier, the world's leading provider of science and health information, we're committed to helping you plan wisely and invest strategically to maximize research performance. Elsevier has been around since 1880, publishing research and partnering with institutions like yours to advance scholarship and improve lives.

That's why we built Elsevier Research Intelligence, a comprehensive portfolio of research management solutions designed to provide a view that spans from panoramic to

granular. Through Elsevier Research Intelligence – Pure, SciVal, Funding, Custom Solutions for Funders, and Analytical Services – we combine institutional and external information with data from Scopus®, the trusted standard among researchers and research strategists alike, to help institutions drive successful outcomes.

Elsevier Research Intelligence is used by the world's research leaders to assess research strengths and inform decision-making at each stage of the research lifecycle.



CRIS-based bibliometrics

■ Negative:

- Lack of citation indicators
- Lack of international benchmarks and comparisons
- Compensated by weighting of publication types and channels

■ Positive:

- Comprehensive coverage of disciplines and publication types
- Procedures for relating biographical information about *authors* and *addresses* to real persons and affiliations



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[Media Centre](#)

[Jobs](#)

[Contact](#)

[Home](#) > [Research Areas](#) > [Humanities](#) > [ERIH - European Reference Index for the Humanities](#)

▶ [Humanities](#)

European Reference Index for the Humanities (ERIH)

[About](#)

- Has moved to Bergen, Norway (The Norwegian Social Science Data Services)
- Becomes a dynamic register, new journals will be included continuously on certain (strict) criteria
- The “quality tiers” (INT1, INT2, NAT) will not be used any more
- Will also include the (rest of the) social sciences

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[Home](#) > [Research Areas](#) > [Humanities](#) > [ERIH - European Reference Index for the Humanities](#)

▶ [Humanities](#)

European Reference Index for the Humanities (ERIH)

[About](#)

To be included in ERIH PLUS, journals must meet the following minimum requirements:

- Procedures for external peer review.
- Academic editorial board (or an equivalent), primarily consisting of scholars from universities, research institutes etc.
- Valid ISSN code, confirmed by the international ISSN register
- Original articles are published with abstracts, as well as author and address information, in English (or in another language relevant for the field)
- 5. International or national authorship

Overview of this presentation

1. Performance-based funding of research institutions
2. Evaluation-based models
 - Overview
 - Use of bibliometrics
3. Indicator-based models
 - Overview
 - Use of bibliometrics
4. General trends – the European perspective
5. Funding by bibliometrics: “The Norwegian model”
 - The elements in the model
 - The variants in Denmark, Finland, Flanders, Norway, Portugal and Sweden
 - Evaluated in 2013: Effects of and problems with the model

Performance-based funding (PBF): General trends

- Research is international, but PBF is (necessarily) represented in a variety of national solutions that have been introduced for a variety of purposes
- The trend is towards more complex and composite PBF solutions – the countries are learning and adopting methodologies from each other
- PBF is effective even if introduced as a small share of the total funding. Transparency and the involvement of the institutions may be just as important.
- Difficult to see a clear relation between PBF and national research performance.
- Difficult to identify “best practice” or overall positive/negative effects
- **Bibliometrics:** The trend is towards comprehensive data from CRIS-systems (and Thomson Reuters, Elsevier, and many new firms or initiatives on the scene are following up)

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 - The variants in Denmark, Finland, Flanders, Norway, Portugal and Sweden
 - Evaluated in 2013: Effects of and problems with the model

Delimitation of scholarly 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

23,000 ISSN-titles and 1,400 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
Carl Heymanns Verlag
Carlsson bokförlag
Catholic University of America Press
Central European University Press
Channel View Publications
Chinese University Press
Christian Ejlers's Forlag

All channels can be searched, and new channels can be suggested

NSD Norwegian register of scientific journals and publishers

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

Norwegian register of scientific journals and publishers

Search

Title: ISSN: [\[Search help\]](#)

Level: Administrative Status:

Scientific dicipline: Type (journal/publisher):

Subject area:

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](#)

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 documentation at universities and university colleges with its own board. The Board has the primary responsibility for the system and the university assists with administrative services.

Cristin research will provide increased value for society by facilitating that the principle of open access for all. Cristin will also document, present, and manage the financing systems in the higher education sector, research institutes and the research community.

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. Cristin will have the responsibility for the work of open access to the Norwegian research community.

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 **shared national** Current Research Information System

- **Completeness:** All scholarly publications and other results from research are included
- **Transparency:** Every institution can see and check all other institutions' data. The national database is also online and open to society at large.
- **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

Cristin secretariat:

Web email

Postal address:

P.O. box 1059, Blindern

06 Oslo

Board

Web email

Prof. Rice, UiT (chairman)

Prof. St. Omenaas, Haukeland Un

Prof. Lind Singsaas, NTNU

Prof. Smeland, Oslo Universi

Prof. Fløisand, NIKU

Prof. Anne Sundnes, NIFU STEP

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Prof. A. Lindholm, NORSAR

Prof. S. Stangeby, NFR

Server:

Ofstedal, UiO

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Shared by:

- The 8 universities and the 44 other institutions in the higher education sector
- The 40 major hospitals in the health sector
- 60 independent research organizations in the government sector
- The Ministry of Education and Research, The Ministry of Health, and the Research Council of Norway

WS

Information letter for Cristin (Cristin)

Useful links

Norwegian Scientific Index - NIS

OpenCRIS

Publication channels

Cristin seminar

Contact information

Cristin secretariat:

Send email

Postal address:

Post box 1059, Blindern

06 Oslo

Board

Send email

Chairman: Rice, UIT (chairman)

Members: St Omensås, Haukeland University Hospital

and Singsaas, NTNU

and Smeland, Oslo University Hospital

and Fløisand, NIKU

and Anne Sundnes, NIFU STEP

and Gunn Haavardsholm, NFR

and M. Henriksen, NSD

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Members: T. Rokne, UIB

and E. Klæboe Nilsen, Helse Nord

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Server:

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[Back to list](#)
[Back to search](#)
[Short format](#)
[Full format](#)
Search criteria:
Surname: sivertsen First name: gunnar From: 2014 To: 2014 All publishing channels

Showing results 1-1 of 1

12

Category:	Conference lecture and academic presentation - Academic lecture
Person(s):	Author, Sivertsen, Gunnar NIFU Nordic Institute for Studies in Innovation, Research and Education - NIFU Nordic Institute for Studies in Innovation, Research and Education
Original title:	European trends in performance-based funding of research institutions – with special attention to the use of bibliometrics
Original language:	English
Event:	Workshop on bibliometrics and institutional funding
Type of event:	Workshop
Area of distribution:	National (not Norwegian)
Organisor:	The IPN team of the Evaluation Methodology Project
City/town:	Praha
Time:	24.10.14
Invited:	Yes
External peer review scheme:	No
Plenary session:	Yes
Status:	Published/Presented.
Entry no.:	1164315
Created:	2014-10-15 16:32:48 - Gunnar Sivertsen (NIFU)
Edited:	2014-10-23 17:59:40 - Gunnar Sivertsen (NIFU)
The entry is owned by:	NIFU Nordic Institute for Studies in Innovation, Research and Education

[Edit](#)
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[Registrer as journal publication](#)
[Register as part of book/report](#)

In order to register data in Cristin, you must be an academic or administrative employee.

- [Main page](#)
- [Research results/NVI](#)
- [Researchers](#)
- [Projects](#)
- [Research units](#)
- [Logon](#)
- [About Cristin](#)

[Back to search](#)

[Short format](#)

[Full format](#)

Search criteria:

Surname: sivertsen *First name:* gunnar *From:* 2010 *To:* 2011 *Main category:* Journal publication *Main category:* Book *Main category:*

Showing results 1-4 of 4

- Gilhus, Nils Erik; Sivertsen, Gunnar.**
Publishing affects funding in neurology. *European Journal of Neurology* 2010 ;Volume 17.(1) p. 147-151
HAUKELAND NIFU UIB
- 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*
NIFU
- Sivertsen, Gunnar.**
Kilden til Jeppe paa Bierget. Aarhus Universitetsforlag 2010 (ISBN 9788779346284) 294 p.
NIFU
- Sivertsen, Gunnar.**
Ludvig Holbergs essay om likestilling. I: *Sakprosa i skolen*. Fagbokforlaget 2010 ISBN 978-82-450-0921-7.
NIFU

In order to register data in Cristin, you must be an academic or administrative employee.

[Back to search](#)

[Short format](#)

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Search criteria:

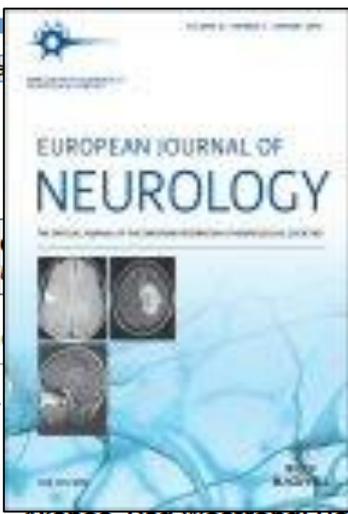
Surname: sivertsen *First name:* gunnar *From:* 2010 *To:* 2011 *Main category:* Journal publication *Main category:* Book *Main category:*

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
HAUKELAND NIFU UIB
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NIFU
3. **Sivertsen, Gunnar.**
Kilden til Jeppe paa Bierget. Aarhus Universitetsforlag 2010 (ISBN 9788779346284) 294 p.
NIFU
4. **Sivertsen, Gunnar.**
Ludvig Holbergs essay om likestilling. I: *Sakprosa i skolen*. Fagbokforlaget 2010 ISBN 978-82-450-0921-7.
NIFU

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- Main page
- Research results/NVI
- Researchers
- Projects
- Research units
- Logon
- About Cristin



References imported from WoS

full format

gunnar From: 2010 To: 2011 Main category: Journal publication Main category: Book Main category: ...

Sh ...

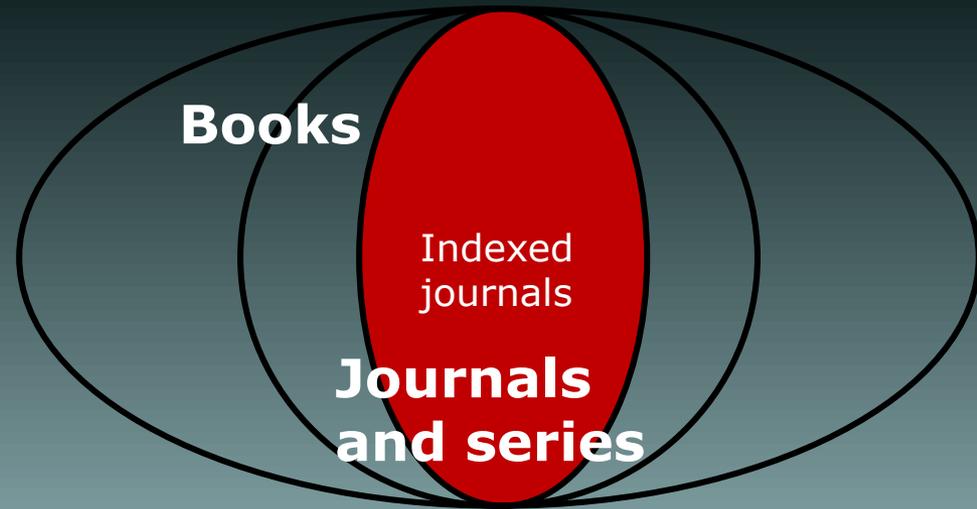
1. **Gunnar Sivertsen**. *European Journal of Neurology*. *European Journal of Neurology* 2010 Volume 17.(1) p. 147-150

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*. NIFU

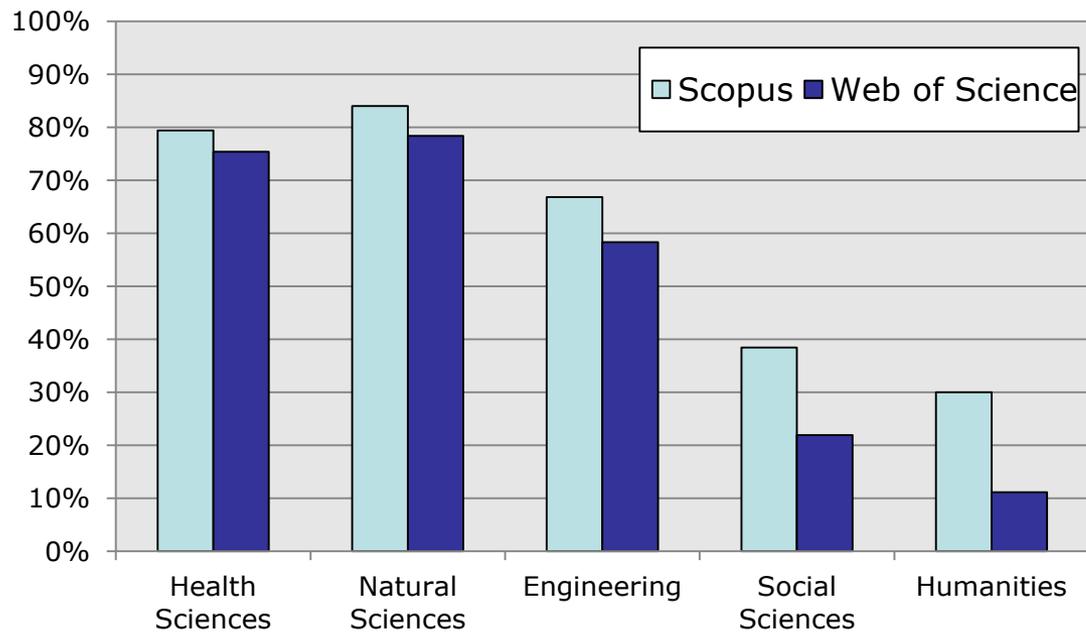
3. **Sivertsen, Gunnar.** Kilden til Jeppe paa Bierget. Aarhus Universitetsforlag 2010 (ISBN 9788779346284) 29 NIFU

4. **Sivertsen, Gunnar.** Ludvig Holbergs essay om likestilling. I: *Sakprosa i skolen*. Fagbokforlaget 2010 ISBN NIFU





Coverage of 70,500 scholarly publications from the higher education sector in Norway 2005-2012.



In order to register data in Cristin, you must be an academic or administrative employee.

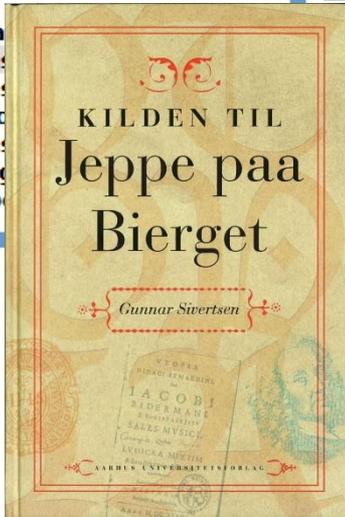
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References imported from WoS

Search criteria:

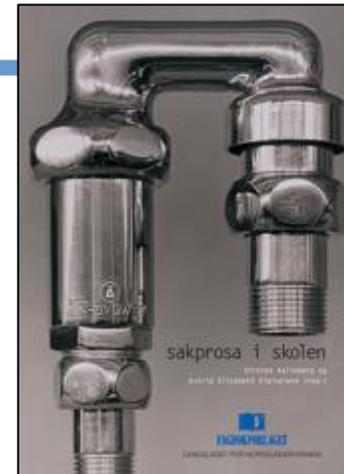
Surname: sivertsen First name: gunnar From: 2010 To: 2011 Main category: Journal publication Main category: Book Main category: Article

Showing results 1-4 of 4

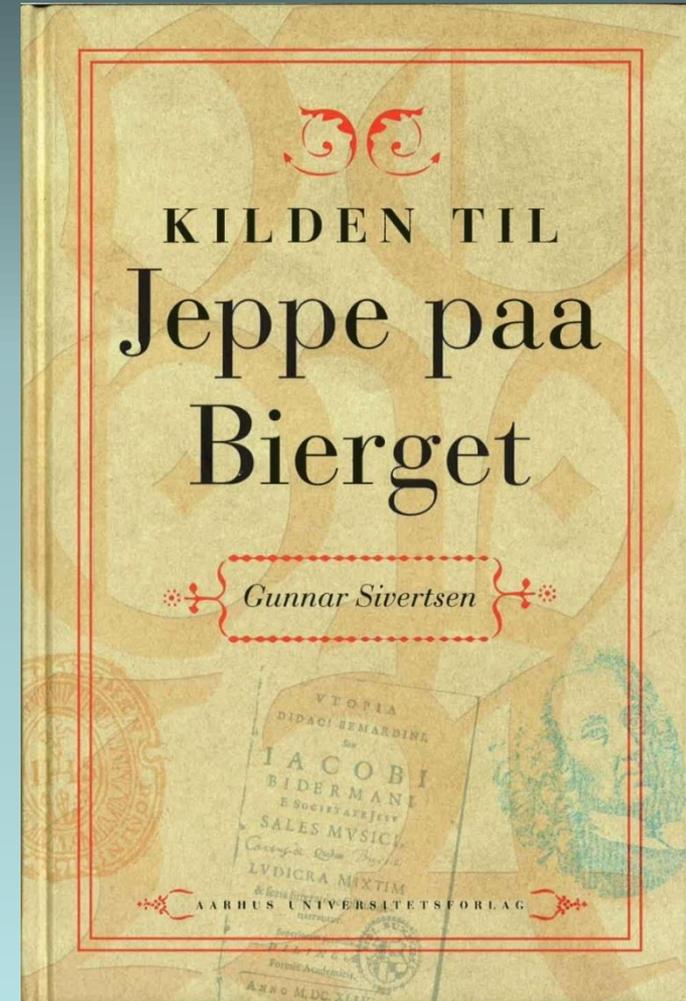


- Gilhus, Nils Erik; Sivertsen, Gunnar.** Publishing affects funding in neurology. *European Journal of Neurology* 2010 Volume 17.(1) p. 147-150. NIFU HAUKELAND NIFU UIB
- Aksnes, Dag Westreng; Rørstad, Kristoffer; Piro, Fredrik Niclas; Sivertsen, Gunnar.** Are Female Researchers Less Cited? A Large-Scale Study of Norwegian Scientists. *Journal of The American Society For Information Science* 2010 NIFU
- Sivertsen, Gunnar.** Kilden til Jeppe paa Bierget. Aarhus Universitetsforlag 2010 (ISBN 9788779346284) 294 p. NIFU
- Sivertsen, Gunnar.** Ludvig Holbergs essay om likestilling. I: *Sakprosa i skolen*. Fagbokforlaget 2010 ISBN 978-82-450-0921-7. NIFU

References to book and article in book added by me



The source of Ludvig Holberg's (1684-1754) comedy *The transformed Peasant* (1722)



MITTELEUROPA

nach Beendigung des nordischen Krieges
im Jahre 1721.

Deutsches Kaiserreich

Beppe paa Bierget
Eller
Den forbandlede
Bonde.
Forestillet
Paa
Den Danske Skueplads
1722.

Copenhagen
1722 (1723)

VTOPIA
DIDACI BEMARDINI,
Scilicet
IACOBIBIDERMANI
E SOCIETATE JESU
SALES MYSICI,
Cursus Quibus Buxae
LVDICRA MIXTIM
& seria literatæ ac festiuitæ de-
narrantur.
Superiorum permissu
DILLINGEN
Formis Academicis.
ANNO M.DC. XLIV.

Augsburg 1604,
Dillingen 1640



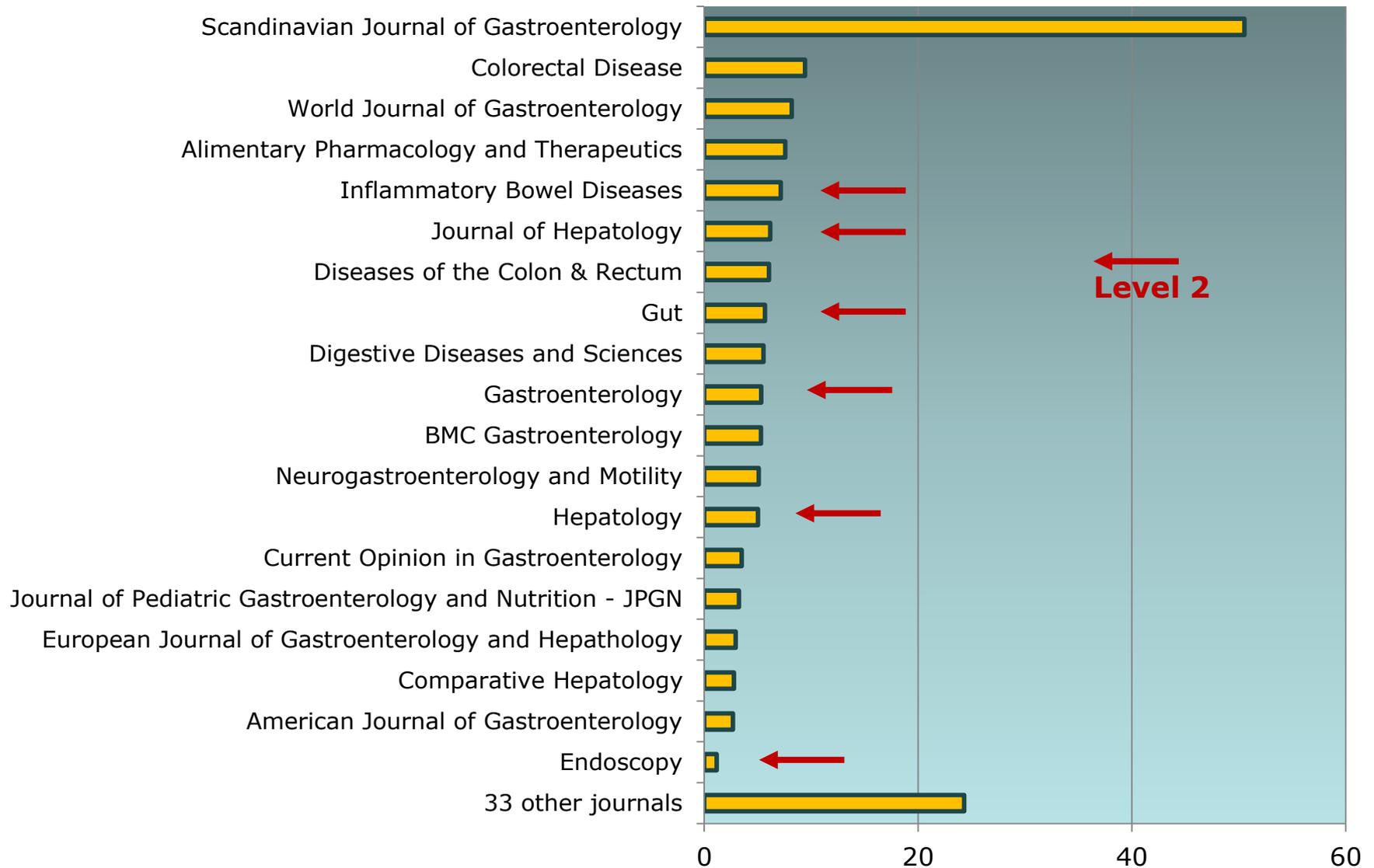
Publication channels on two levels

Level 2 represents the most prestigious channels and is defined in collaboration with the national councils in each field

Level 2: Higher points to 20 % of the publications

Level 1: Normal points to 80 % of the publications

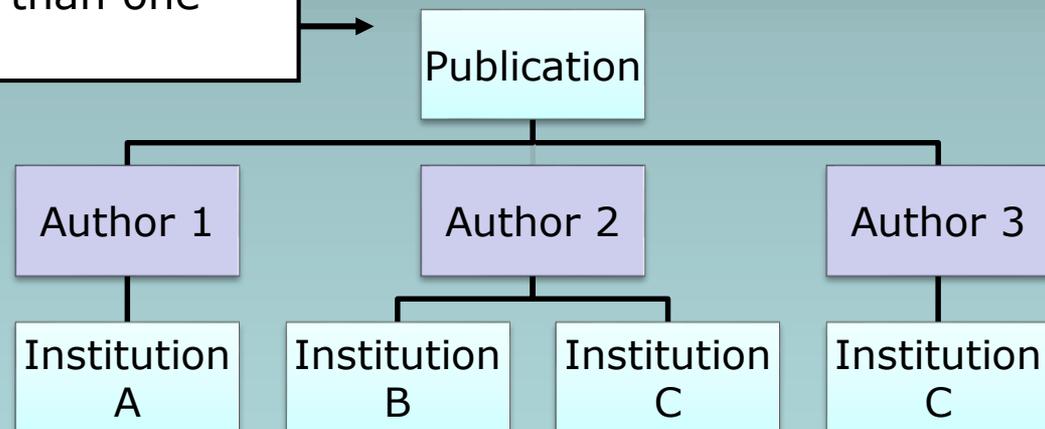
Articles per journal from Norway 2005-2013 in Gastroenterology



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

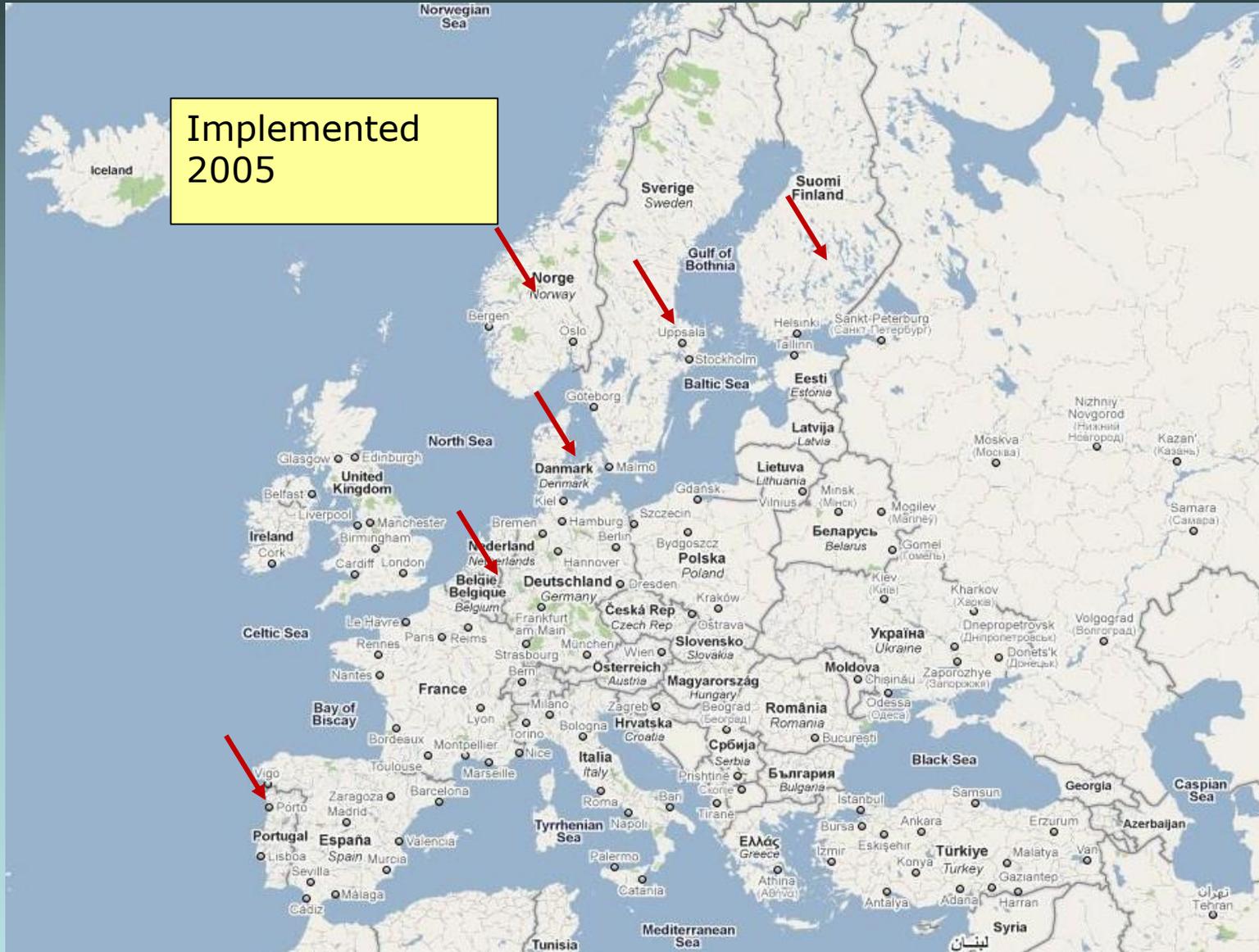


Publication points may then be multiplied by a certain factor if co-authors from other countries are involved

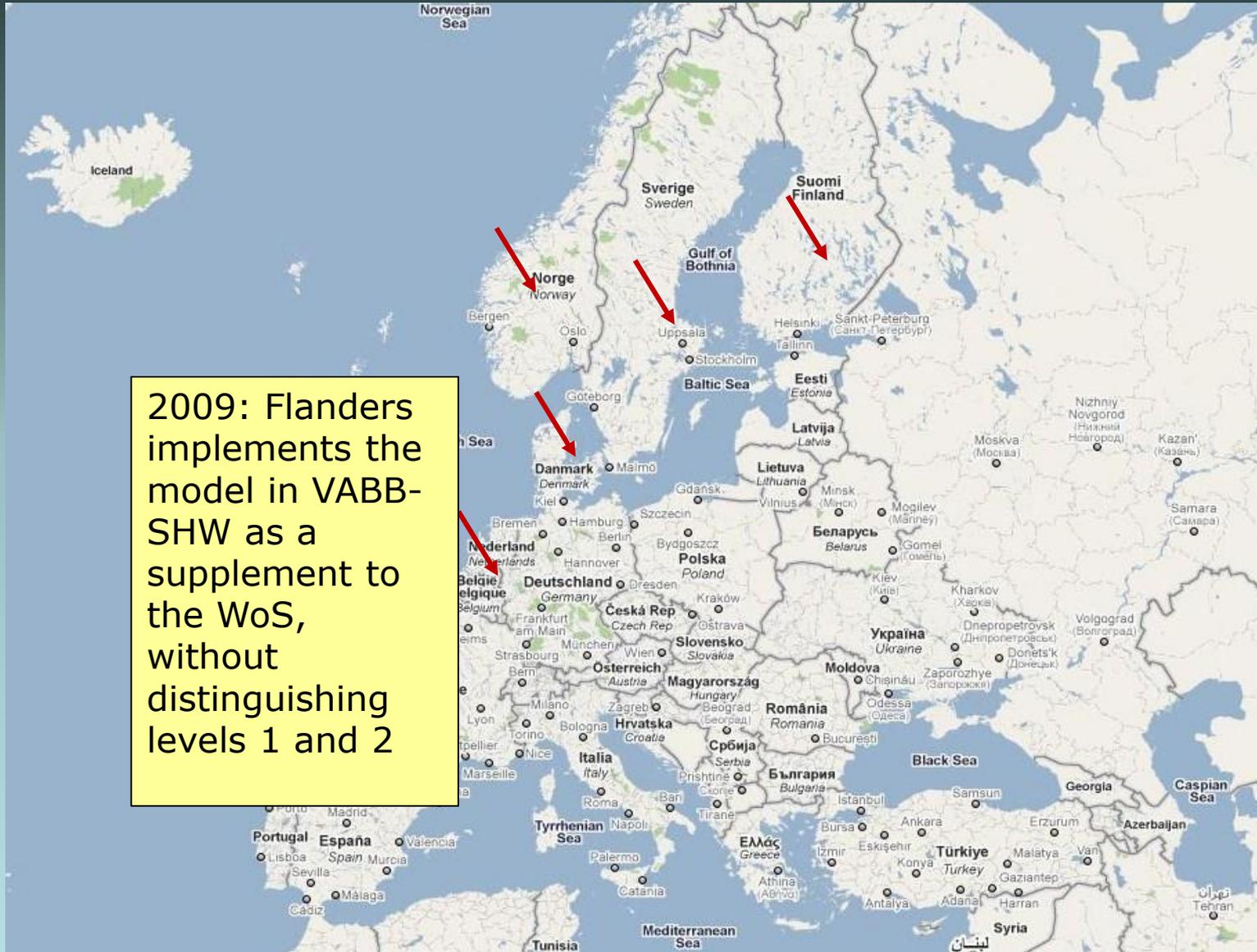
Overview of this presentation

1. Performance-based funding of research institutions
2. Evaluation-based models
 - Overview
 - Use of bibliometrics
3. Indicator-based models
 - Overview
 - Use of bibliometrics
4. General trends – the European perspective
5. Funding by bibliometrics: “The Norwegian model”
 - The elements in the model
 - The variants in Denmark, Finland, Flanders, Norway, Portugal and Sweden
 - Evaluated in 2013: Effects of and problems with the model

Variants of the "Norwegian model"



Variants of the "Norwegian model"



2009: Flanders implements the model in VABB-SHW as a supplement to the WoS, without distinguishing levels 1 and 2

Variants of the "Norwegian model"



Variants of the "Norwegian model"

2009: Sweden implements a WoS-based model. The universities react by using local variants of the Norwegian model



Variants of the "Norwegian model"

2010: Finland starts developing an adapted Norwegian model to be implemented in 2015

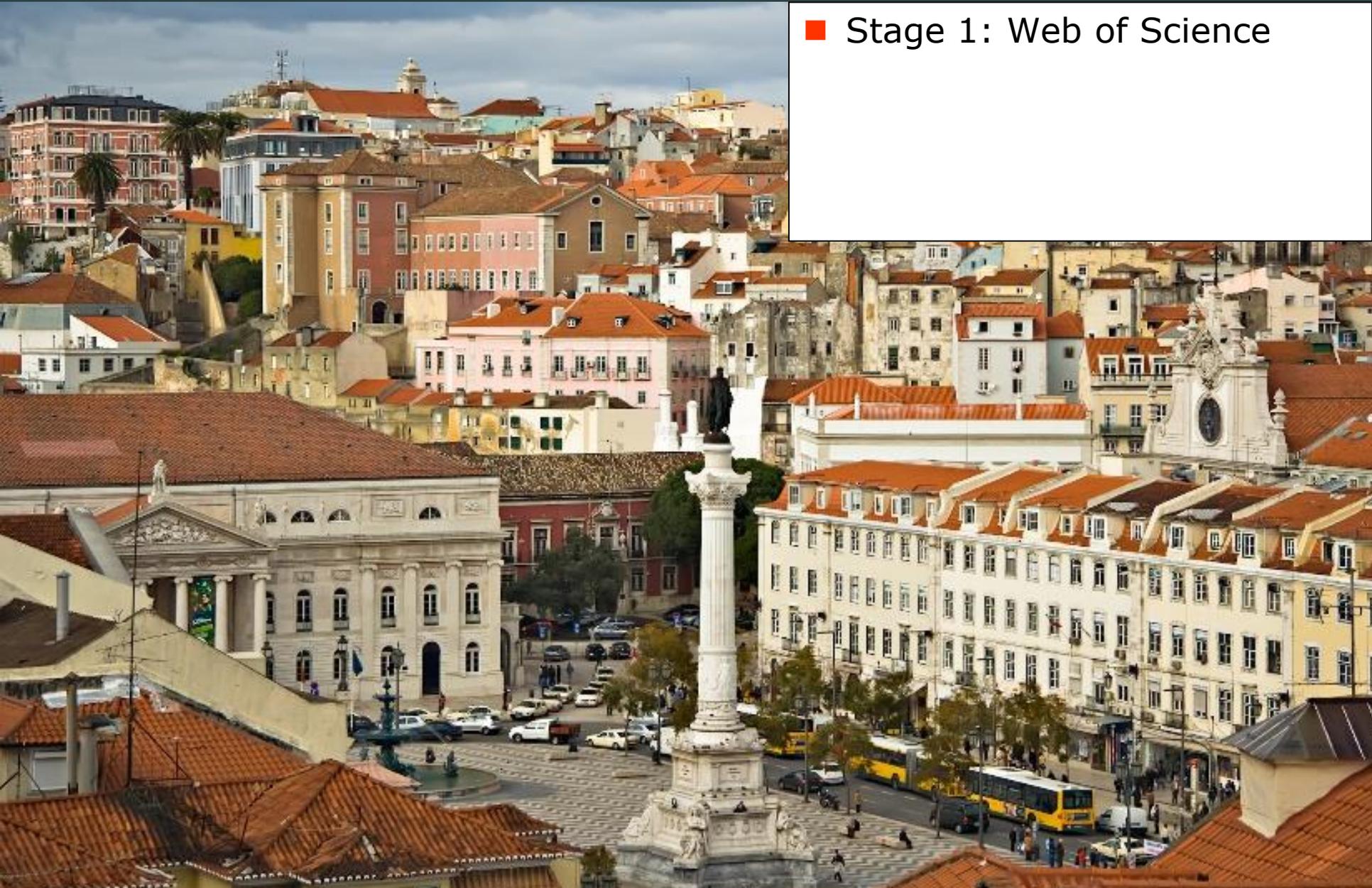


Variants of the "Norwegian model"



Data for performance based funding and research evaluation in Portugal

■ Stage 1: Web of Science



Data for performance based funding and research evaluation in Portugal

- Stage 1: Web of Science
- Stage 2: Scopus



Data for performance based funding and research evaluation in Portugal

- Stage 1: Web of Science
- Stage 2: Scopus
- Stage 3: CRIS-data



Overview of this presentation

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Evaluation published 16. January 2014

- Performed in 2013 by the The Danish Centre for Studies in Research and Research Policy, Aarhus University, Denmark
- The Norwegian Association of Higher Education Institutions
- Financed by the Norwegian Ministry of Education and Research
- Based on surveys, interviews and bibliometrics
- Has a 30 page summary in English



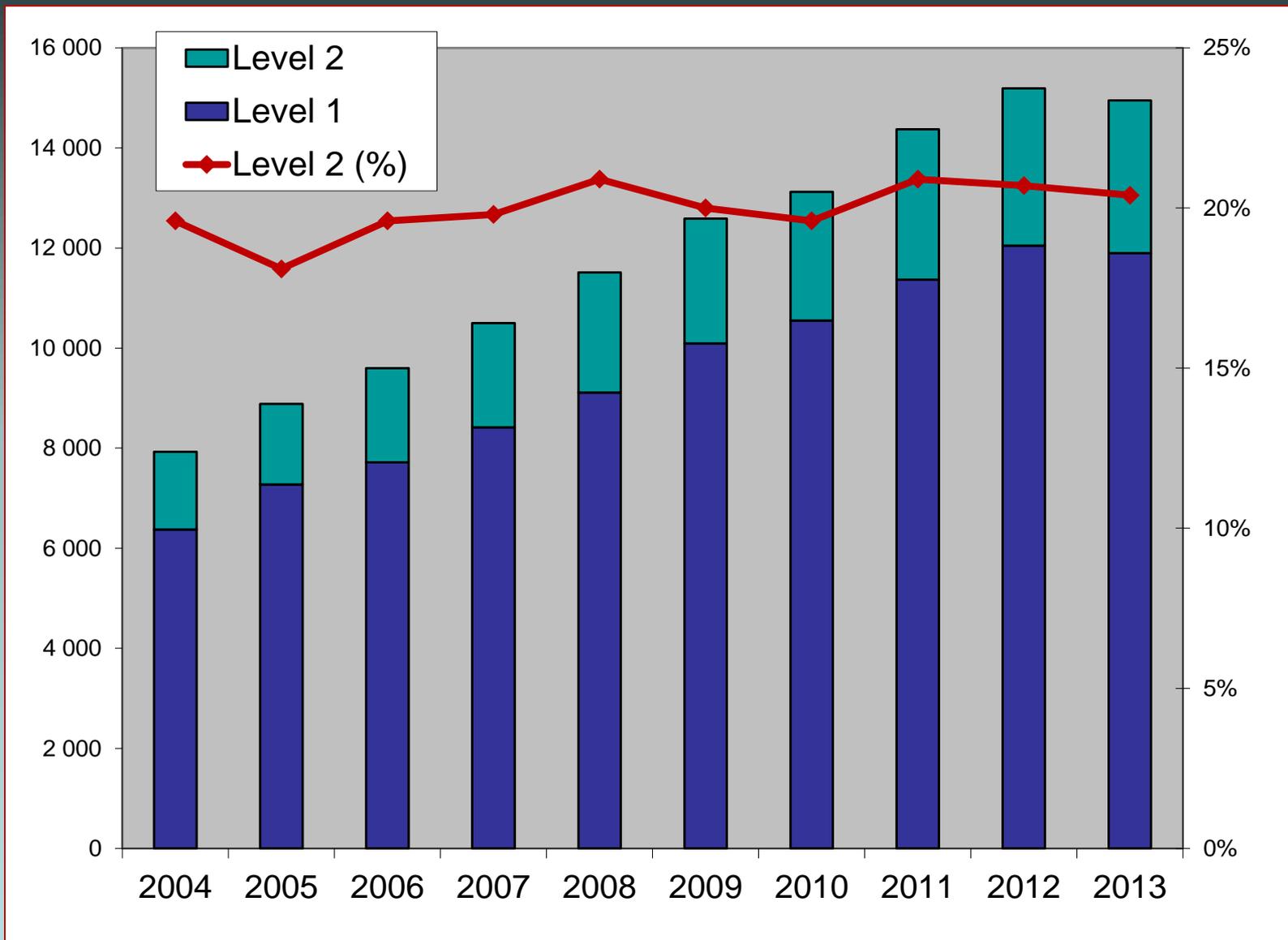
AARHUS
UNIVERSITET

EVALUERING AF DEN NORSKE PUBLICERINGSINDIKATOR

DANSK CENTER FOR FORSKNINGSANALYSE,
AARHUS UNIVERSITET

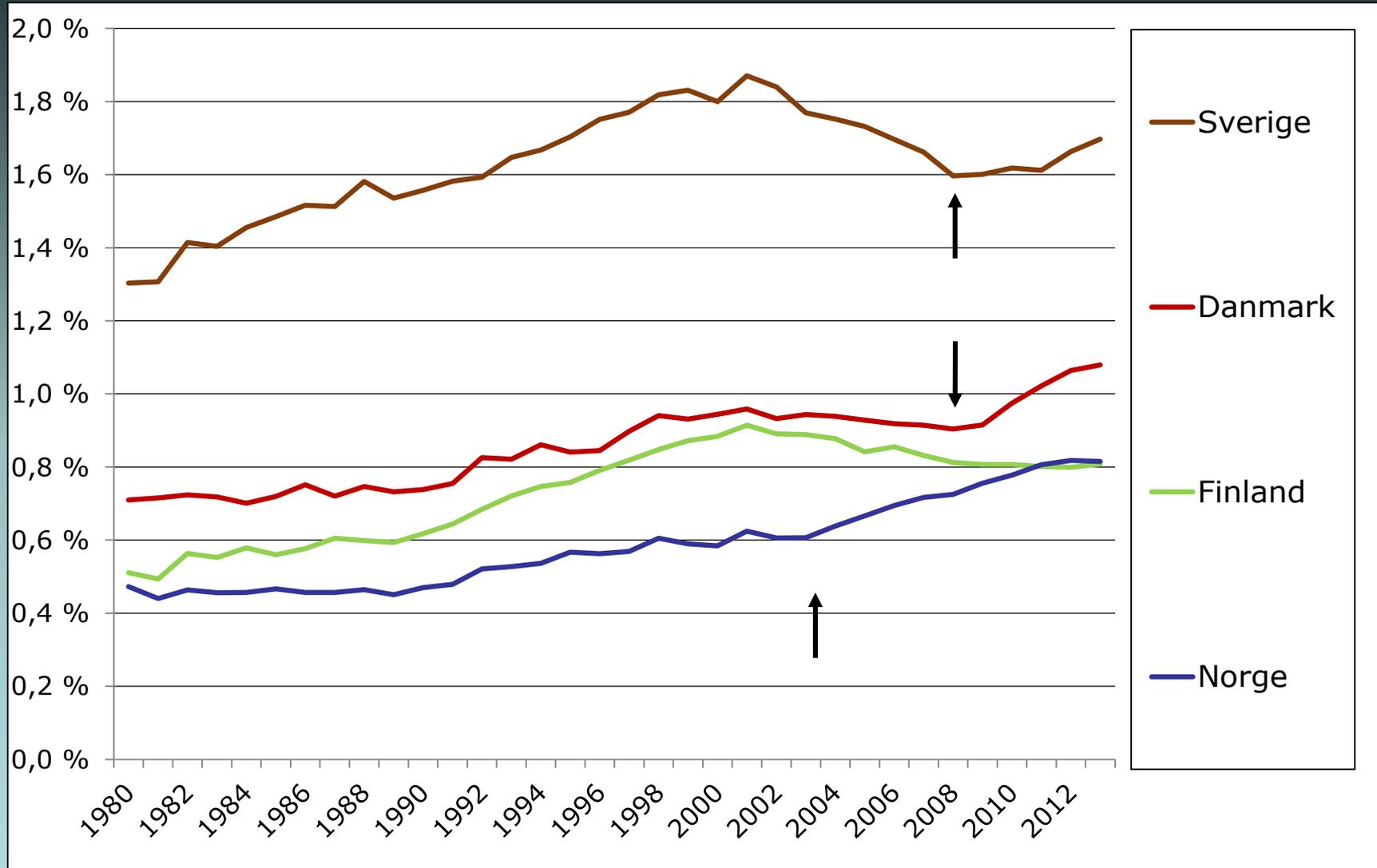
PÅ OPDRAG AF UNIVERSITETS- OG HØGSKOLERÅDET

Publication points in the Norwegian Higher Education Sector 2004-2013



Shares of articles in Web of Science 1980-2013

Source: Web of Science (Thomson Reuters) at CWTS, Leiden University



Main results

- Increased publishing – beyond the increased funding during the period
- An increased number of researchers are publishing
- Publication patterns remain stable:
 - Type of publications, language of publications
- “Quality” does not go up or down: Citation rates and share of publications on level 2 are stable
- Three major problems:
 - The weighting model, the balance between major fields (effects of fractioning in case of multi-authorship)
 - The transparency and legitimacy of the nomination processes for level 2
 - Local use of the model
- Continuation with increased economic weight

Thank you for your attention – any questions or comments before lunch?

