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SUPER MoRRI – Scientific understanding and provision of an enhanced and robust monitoring system for RRI

D7.4 – Executive summary from the 2nd annual event

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EXECUTIVE SUMMARY

The second SUPER MoRRI annual event took place online in April 2021. The topic of the event was the inclusion of responsibility into evaluation practices from a global perspective. Even though the current pandemic has created the need for the event to take place in a virtual setting, the digital alternative led to an experience that would not have been possible otherwise. Instead of the full-day seminar originally planned, four 'regional' webinars were promoted across different continents, exploring responsible evaluation from a global perspective.

The three regional sessions, combined, recorded nearly 100 participants from thirty different countries, such as Australia, Austria, Botswana, Colombia, Germany, Ghana, Japan, Kenya, India, Iran, Mexico, Netherlands, Rwanda, Spain, and the USA.

Enabling mutual learning over RRI and RRI-like activities beyond Europe, the first three webinars were focused on the Americas, Asia/Pacific and Africa/Middle East. Each one of these consisted of a plenary session with three country-based panel statements about responsible research evaluation practices from a local perspective. Those presentations contributed to inspire subsequent discussions in small breakout sessions with invited participants from research funding organisations, research performing organisations and policy-makers. The Americas session had Brazil as the initial focus (14 April 2021); the Asia/Pacific session was centred around China (15 April 2021); while the Africa/Middle East session (28 April 2021) had presenters from South Africa.

From the discussions in those meetings, a reflection webinar (29 April 2021) was organised to bring ideas together with the SUPER MoRRI team and its ecosystem of partners, country correspondents and connected projects. The debate was also enriched with the contribution of representatives from DORA, ENRESSH, OECD and UNESCO, who brought their own perspectives on responsible evaluation practices not only to those who attended the regional webinars but also to many other participants who joined the final discussion. In the reflection webinar, there were around 70 participants.

From the presentations and fruitful discussions taking place during the four separate webinars that together shaped SUPER MoRRI's 2021 annual event, converging and diverging issues can be highlighted. These included (among others):

- Significant differences between the social, economic, political and geographical characteristics of participant countries around the world, something also reflected in the development stages of their science systems;
- But: recurrent themes appear when responsible evaluation is concerned. Some of the converging topics are:
 - Move away from metrics, but beware of subjectivity: the use of indicators that universalise information seems inappropriate across the globe;
 - Change takes time: when it comes to responsible practices in research, it is not particularly difficult to change policy; the problem is changing the culture;



- Change is expensive: Implementing responsible practices of evaluation in research requires a considerable investment in terms of financial and human resources;
- Distinct realities, different purposes: more active engagement of researchers and stakeholders in the evaluation system is needed, so they can add perspective to indicators and promote valuation of locally relevant research in parallel to the internationalized output expected from scientists.



1 INTRODUCTION

1.1 Scope and objectives of the deliverable

The purpose of this deliverable is to provide a concise description of the 2021 SUPER MoRRI annual event which took place on the 14th, 15th, 28th and 29th of April 2021 in online 2-hour webinars each. This executive conference summary will provide background information regarding statistics of the event, brief descriptions of the presentations, breakout sessions and discussions that were presented throughout the event. The deliverable will also include a brief description of the underlying rationale for the organization of the event.

1.2 Structure of this deliverable

This deliverable will continue with a brief description of the purpose of the SUPER MoRRI annual events (1.3), and the focus of this 2nd annual event. Chapter 2 describes various practical considerations that arose during the organization of the annual event. Here, the agenda of the 2021 annual event is included. Chapter 3 includes brief descriptions of various presentations that were given during the annual event with a focus on the lessons to be learned from these components of the annual event for the SUPER MoRRI project.

Some sections end with brief take-aways, both for the future annual events and for the SUPER MoRRI project in general.

1.3 The purpose of the SUPER MoRRI annual event

As written in the SUPER MoRRI Description of Work (DoW), the annual events primarily serve as an opportunity to present the state of affairs of the SUPER MoRRI project with a diversity of stakeholders for whom this information is relevant. The envisioned stakeholders consist of representatives from funding organizations, private sector organizations, civil society organizations, research performing organizations, members of SwafS / RRI projects, and experts in the field of science policy.

In addition, the event also serves as an opportunity for the aforementioned stakeholders to communicate the status of their own work among each other. Several times throughout the annual event it was noted that having a global platform for participants to share insights, discuss challenges and approaches outside the European context of RRI was useful. In fact, bringing together stakeholders from a global network was useful for many of the partners in the SUPER MoRRI SwafS ecosystem as well. The SUPER MoRRI project thus has a unique position within the RRI and global research evaluation community in that it naturally serves as a project to facilitate dialogue between actors in the RRI and global responsibility and engagement conceptual space.



A final goal of the annual event is to serve as a venue for the SUPER MoRRI project to engage more directly with the communities for and with whom it is creating a monitoring framework. The second annual event was thematically organized around global aspects of evaluation and how to include responsibility. The topic as such was closely connected to the SUPER MoRRI International Satellite Partner network (WP4), and global monitoring and evaluation of RRI. The rationale for doing so was that both the SUPER MoRRI project and global stakeholders would have a space to discuss the challenges and converging aspects of monitoring and evaluation and at the same time allow for local and regional diversity in concepts and approaches of responsibility (RRI). It fed directly into further conceptual considerations of the core concepts of the SUPER MoRRI project, namely responsible quantification and credible contextualisation.

2 GENERAL PRACTICAL INFORMATION ABOUT THE ANNUAL EVENT

2.1 Preparation and recruitment

2.1.1 *Recruitment of Participants*

The CWTS team organized the 2021 SUPER MoRRI annual event, in close collaboration with the Universitat Pompeu Fabre team in charge of WP4. A primary challenge that was faced during the organization of the event was getting a satisfactory number of regional participants to attend the annual event representing policy makers, institutions and funders from across the globe. Nearly 100 participants registered to attend the three regional webinars, representing 30 countries, and another 70 participants attended the reflection webinar to finalise the annual event, including many partners from the SwafS ecosystem. This complies with the goal of having 100 participants at each of the annual events, as set in the communication strategy of the SUPER MoRRI project (D7.1). The secondary challenge was to recruit global participants that represent the typical communities that the SUPER MoRRI project is able to engage with at a sufficiently high level of representation. This was achieved through our International Satellite Partners network.

The team used several strategies to invite participants to the annual event, some of which were more successful than others. The first decision was to centre the regional webinars in countries where SUPER MoRRI has satellite partners, and to organize the regional webinars in time zones: Americas, Asia-Pacific and Africa-Middle East. Each of the sessions aimed to have a participation rate that allowed for discussion in break out rooms, hence not too many people. The International Satellite partners were invited to provide contacts to reach out to. This was complemented by reaching out to contacts that the CWTS team had prior to organizing the annual event, and asking them for suggestions as well. Both worked well, and led to good representation of participants from the International Satellite Partner countries, and additional participation from other countries. Personalized messages that expressed specific reasons why the annual event was relevant to the invitee proved to be a successful form of recruitment. Additionally, contacts were asked to support the event by taking on specific roles, such as moderator of break out groups, and



reporting at the reflection webinar. Finally, the CWTS team also benefitted from advertising the annual event on the SUPER MoRRI and CWTS twitter accounts.

2.1.2 Recruitment of Speakers

The recruitment of external speakers for the annual event was not hampered by low budget allocated for the annual event, since the whole event took place online and did not require any traveling. The Americas session had Brazil as the central focus (14 April 2021); the Asia/Pacific session was centred around China (15 April 2021); while the Africa/Middle East session (28 April 2021) had presenters from South Africa. The external speakers for the regional webinars were recruited through CWTS (Americas), a satellite partner (South Africa) and a personal contact from CWTS with the support of the satellite partner (China).

2.1.3 Venue

As mentioned above, the tight budget available for the organization of the annual event did not hamper this on-line annual event. The regional webinars and the reflection webinar were organized as 2- to 2,5 hour Zoom-meetings. Participants registered through EventBrite and confirmed the ethical consent note on their participation. This was purposely done to be able to build a global network that will be sustainable and can be contacted again in later stages of the SUPER MoRRI project.

Conclusion:

- The regional level organization of the annual event benefits global participation.
- The strategy to organize break out sessions enables more discussion among speakers and participants, which is crucial for online events.
- The registration of the participants and speakers enabled the set up of a global network of relevant stakeholders to be contacted again.

2.2 The 2021 SUPER MoRRI annual event agendas

Detailed programmes can be found at: https://super-morri.eu/eventcat/annual-events/?post_type=event. Participants who registered with ethical consent form are listed on the website, also demonstrating the diversity in terms of international participation.






14 April 2021

April 14, 2021 14:15

Panel about responsible research evaluation practices

Speakers:

 Odair Dellagostin  Laerte Ferreira
 André Brasil

Breakout sessions with participants

Three thematic breakout rooms to discuss the topics presented by our panellists.



April 14, 2021 15:00

April 14, 2021 15:30

Reflection from breakout sessions

Q&A for panel members

Speakers:

 Carmelo Polino  Marcela Lozano-Borda
 Michael Bernstein

15 April 2021

April 15, 2021 09:15

Panel about responsible research evaluation practices

Speakers:

 Junpeng Yuan  Yang Yun
 Lin Zhang

Breakout sessions with participants

Three thematic breakout rooms to discuss the topics presented by our panellists.



April 15, 2021 10:00

April 15, 2021 10:30

Reflection from breakout sessions

Q&A for panel members

Speakers:

 Asako Okamura  Peta Ashworth






28 April 2021

April 29, 2021 14:15

Panel about responsible research evaluation practices

Speakers:

-  Rocky Skeef
-  Therina Theron
-  Nelius Boshoff

Breakout sessions with participants

Three thematic breakout rooms to discuss the topics presented by our panellists.

April 28, 2021 15:00

April 28, 2021 15:30

Reflection from breakout sessions





Q&A for panel members

29 April 2021

Reflections from three regional webinars

Q&A session with participants

Speakers:






-  Nelius Boshoff
-  Lin Zhang
-  André Brasil
-  Marcela Lozano-Borda

April 29, 2021 14:10

April 29, 2021 14:40

Panel statements from global organisations

Speakers:

-  April Tash
-  Fernando Galindo Rueda
-  Anna Hatch
-  Michael Ochsner
-  Ingeborg Meijer

General discussion with participants

April 29, 2021 15:40



3 DESCRIPTIONS AND LESSONS FROM EACH COMPONENT OF THE ANNUAL EVENT

Nowadays, the consideration of responsible practices in research and innovation should be a fundamental aspect of evaluation processes. With that in mind, the SUPER MoRRI project organised an international event with the central theme: “Evaluation practices of research, and how responsibility is included.” Even though the current pandemic has created the need for the event to take place in a virtual setting, the digital alternative led to an experience that would not have been possible otherwise. Instead of the full-day seminar originally planned, four webinars were promoted across different continents, exploring responsible evaluation from a global perspective.

Enabling mutual learning over RRI and RRI-like activities beyond Europe, the first three webinars were focused on the Americas, Asia/Pacific and Africa/Middle East. Each one of these consisted of a plenary session with three country-based panel statements about responsible research evaluation practices from a regional perspective. Those presentations contributed to inspire subsequent discussions in small breakout sessions with invited participants from research funding organisations, research performing organisations and policy-makers.

The three regional sessions, combined, recorded nearly 100 participants from thirty different countries, such as Australia, Austria, Botswana, Colombia, Germany, Ghana, Japan, Kenya, India, Iran, Mexico, Netherlands, Rwanda, Spain, and the USA. Among the benefits of the broad representation was not only the exchange of experiences from distinct countries but also the inception of a stakeholders network that may influence research and innovation through responsible evaluation practices.

From the discussions in those meetings, a reflection webinar was organised to bring ideas together with the SUPER MoRRI team and its ecosystem of partners, country correspondents and connected projects. The debate was also enriched with the contribution of representatives from DORA, ENRESSH, OECD and UNESCO, who brought their own perspectives on responsible evaluation practices not only to those who attended the regional webinars but also to many other participants who joined the final discussion.

3.1 Regional webinar Americas

3.1.1 3 statements from Brazil

The Americas session of the SUPER MoRRI event took place on **April 14th at 14:00 – 16:00 CET**. The event consisted of a plenary session with three country-based panel statements about responsible research evaluation practices and small breakout sessions, followed by discussion.

The Americas session was centred around experiences from Brazil and the presentations from **Laerte Ferreira** (representing the National Forum of Research and Graduate Education Pro-



Rectors - FOPROP), **Odir Dellagostin** (representing the National Council of State Funding Agencies - CONFAP) and **André Brasil** (a SUPER MoRRI / CWTS team member also speaking on behalf of CAPES, the Brazilian Agency for Support and Evaluation of Graduate Education). In this session there were 27 participants: 11 from the consortium (including note takers), 4 from Brazil (including the 3 main presenters), 5 from Colombia, 4 from the USA, 2 from Argentina, and one each from Chile and Mexico. The participants came from academia and research institutes, (science) policy (ministries and agencies), and research funding organisations. Also present were the International Satellite Partners from Brazil, Argentina, Colombia and the USA (<https://super-morri.eu/global-satellite-partners/>), who supported in inviting relevant participants.

Ferreira presented an overview of the sheer size of the Brazilian research and higher education system, also focusing on the country's successful public policy on graduate education. As a university pro-rector for research, the presenter argued that changes in the evaluation and overall research policies should consider the system as mammoth tankers, which should never be abruptly steered; there is a need for planning and intention. Brasil showed how the national evaluation system has evolved over time, both in the accreditation of new research programs and the high-stakes periodical assessment, impacting funding and accreditation renewal. The need to maintain the quality of the system goes hand in hand with continuous improvements and gradual moving to include impact and societal relevance, internationalization, innovation and knowledge transfer, to name a few. Brasil also discussed a current concern in the country, which is the push to a further adoption of international indicators in the evaluation system, as this could negatively impact the value of regionally relevant research, publishing in local language and being indexed by regional databases (such as SciELO and Latindex). Dellagostin focused on how society can be included in the allocation of funding, especially regarding societal interests in research. Brazil counts with 26 state funding agencies and there is much asymmetry regarding development, available resources, and local priorities. Parallel to the funding challenges of the European Commission, which needs to account for the realities of each country in the allocation of resources for research, Brazil needs to deal with the needs of each of its states, and it does that by societal participation and by valuing local voices.

3.1.2 Discussions in the break out groups

Next, the webinar offered three breakout sessions, where participants and consortium members were mixed and discussed the themes raised by the main presenters.

The first group touched upon issues such as:

- To consider a role for societal actors in evaluation, and how to organize that, while at the same time professionalizing traditional forms of evaluation. Currently in health and environment this is taking place to some extent.
- However, often society is involved as a recipient of public engagement activities and in the context of the public understanding of science; not necessarily as an actor in the evaluation system.
- Next, the legitimate inclusion of social values within the research system was discussed. Questions exist regarding which social values are actually meant, and how these values can even be included, let alone quantified, within the evaluation of research.



- An important element to consider in the context of the inclusion of social values in science, is that we can see science as 'universal', but its culture is very regional and local. Social attitudes, participation, and other considerations require attention to local needs contextualization, which is particularly true in case of structural poverty and inequality.
- In the current neoliberal time, we've seen for a very long time the replacement of social policies through a dedication and adoration of technology and innovation.

The leading question the second group addressed was: How can the evaluation of higher education entities be improved after the COVID19 crisis?

- The pandemic has changed the world and evidenced lots of problems, and the real challenge in the future is for science to solve these problems. Therefore, social impact should be included in the evaluation system, where currently assessment methodologies mainly focus on the academic perspective.
- It is important to really consider many dimensions of the research in the evaluation to assess it responsibly. We cannot evaluate science just bibliographically. For more responsible evaluation mechanisms, including other stakeholders than only academics in evaluation seems critical.
- In Brasil, the evaluation system is directly linked to the funding. How can quality of evaluation be sustained when funding is compromised, as funding of research is so key.
- A good peer review system is based on two main things: 1) maturity of the reviewer and 2) a robust system. For this, guidelines of basic education (formal training) are necessary to be able to improve assessment
- Connect to Latin American colleagues when discussing indicators to evaluate informal science education/ and not so regular education (i.e. local contexts).

The third group discussed about traditional indicators versus regional needs, and how to value regionally relevant research:

- This is firstly balancing a decision between local language or English; as English could mean international visibility versus local relevance. For such a choice, the target audiences should be clarified as it is important for knowledge transfer.
- Co-creation processes between funders and researchers: issues in the translation of the formal aspects of projects and the "actual" reallife-impacts.
- Transparency and accessibility of the knowledge produced. More flexibility in the type of output from a group; any "format" of research can be valuable if it reaches the target audience.

In the concluding discussion, it was reiterated that there are pressures on researchers to strive both for 'high quality research' through indexable publications and local impact, which can mean local language work, and includes a potential trade-off of regarding visibility. Responsible research system and assessment improvement requires considerable investment, resources, and training. As such, to build up an extensive peer review system is dependent upon knowledge and expertise. In South America, the academic evaluation system is distant to issues regarding social values and needs, and to problematic social dynamics. Counting publications and contributions is



insufficient to take into account the complexity of national knowledge production systems. However, funding and resources are very important parts in the transition to a more just research evaluation system.

3.2 Regional webinar Asia Pacific

3.2.1 3 statements from China

The Asia/Pacific session of the SUPER MoRRI event took place on **April 15th at 09:00 – 11:00 CET**. The event consisted of a plenary session with three country-based panel statements about responsible research evaluation practices and small breakout sessions, followed by discussion.

The Asia/Pacific session was centred around experiences from China and the presentations from **Yang Yun** (National Centre for Science and Technology Evaluation), **Lin Zhang** (Wuhan University) and **Junpeng Juan** (Chinese Academy of Sciences). In this session 40 participants were involved: 12 from the consortium (including note takers), 9 from China (including the 3 main presenters), 7 from Japan, 6 from Australia, 3 from India, and one each from Taiwan, South Korea and Norway. The participants came from academia and research institutes, (science) policy (ministries and agencies), and research funding organisations mainly. Also present were the International Satellite Partners from China, Japan and Australia (<https://super-morri.eu/global-satellite-partners/>) who supported in inviting relevant participants.

Yang Yun presented an overview of the very extensive ‘National Evaluation policies & institutional construction’ system that is in place since 2000. It has been a top down, government commissioned, comprehensive performance management and accountability system, including performance-based budget management. A reform of the S&T evaluation system, which heavily builds on publications, is envisioned to establish a system that is results oriented and less burdensome. How to change towards a more comprehensive and responsible research evaluation in China? That was discussed by Lin Zhang, who raised issues of quality, contribution and local contexts to appropriately evaluate the scientific, technological, economic, social and cultural value of the STI achievements. There will be a farewell to “Science Citation index (SCI) worship”, a new focus on research quality and societal relevance that will replace the “paper only” orientation, and a new priority to local relevance. A new approach needs to be implemented, such as in the National disciplinary evaluation (2020) and in recruitment of staff and PhD graduates, in applications, promotion and grants. There is a need to do so, as Junpeng Juan explained. Evaluation of STI is improper due to the many integrity issues that arise from the paper treadmill push, such a fake peer review, and many retracted papers which is not good for reputation and the science system alike. Hence, research integrity is considered inseparable from the reform of S&T evaluation system. And more importantly, research integrity is seen as the cornerstone of innovation in China. Lin Zhang announced that experiments with alternative peer review methods are currently starting, supported by both the Chinese Ministry of Education and Ministry of Science and Technology.



3.2.2 *Discussions in the break out groups*

Next, the webinar consisted of three breakout sessions, where participants and consortium members were mixed and discussed the themes raised by the main presenters.

The first group touched upon the three questions raised by Yang Yun:

- How should we view the relationship between S&T evaluation and management? There was general dissatisfaction around the evaluation systems and the reliance on publications. All discussants support the idea of moving beyond the narrow focus on publications.
- Given the complex STI system, what evaluation concepts should be agreed upon to carry out responsible evaluation? Currently there is a focus on excellence; but how to move from measuring excellence to responsibility (RRI), because the issues associated with RRI are much harder to pin down? It is also dependent on how to define (and evaluate) excellence, and how to define responsibility. And with that the question is: Responsibility for whom? It helps to know what you are evaluating: is it for society, for funding and so forth? This is closely related to the difference between local vs international, and the challenge of the disciplines and local language. This will not have the same impact for a researcher at the international level.
- How to achieve effective interaction between S&T evaluation professionals and the scientific community? It was clear that in Australia they already go beyond evaluating publications, and also evaluate e.g., research opportunities. Whatever one chooses, it seems important to have monitoring and evaluation built in at the start of research. But all agreed that the scientific community will become insecure if things move too fast.

The second group addressed the following themes suggested by Lin Zhang:

- The biggest challenge is not policy change, but it is behavioral and cultural change. For example, discussants wondered whether a peer-review system reaches higher levels of fairness than metrics, in particular for young researchers. And how is it for researchers to cope with these changes? This probably requires reforms in responsible education which can bring up other issues such as lesser focus on publication metrics and more emphasis on research integrity.
- How do we take good care of diversity and balance in research ecosystem? Everyone is in search of new metrics, e.g., for engaging more with the public (and then how to engage with the local level?). Agencies and funders are doing all sorts of evaluations, so what is responsible evaluation as such? The insights among countries differ, and there are no easy answers.
- What new research assessment infrastructures are needed to support the research policy reforms? There are no clear-cut answers. One thing that is very clear is that all evaluative



institutions are grappling with the same problems, such as the career dependency on metrics and alternative outputs to value.

- Local relevance is important, but how do we document and value local relevance in evaluation practice? Even in countries like China that have an established system and practice of evaluation there are a lot of new issues arising such as how to engage with the public. Or in Japan, how to evaluate local problems?

The third group discussed the theme of integrity: How can responsible evaluation further help the construction of better research integrity and vice versa?

We are in need of datasets for evaluation, for transparency and accountability to society. There are many issues with the over-quantification. If extreme Monitoring & Evaluation (M&E) systems are put in place, this influences trust. Changing policy is easy. Changing the culture is more difficult and takes more time. Which policies are conducive to culture changes is the main question. We need to change education, raise awareness, change values.

In the concluding discussion, all agreed that if you move away from metrics, then you have to rely on peer review and other, more subjective assessments, which may help to grasp local relevance. This is also about giving credit to local language and publishing. The tension between local and international points of reference has to be acknowledged in evaluation systems. In many ways, this resembles the struggle with interdisciplinary research between domains/fields. Evaluation indicators should be based on clear visions; in addition, trust is very important.

Also, it is important to be aware that the word 'responsible' has different meanings in different contexts. Different expressions are used. RRI is not homogenous and hence a challenge for evaluation, particularly at different levels of scale. Making research priorities 'responsible' will help taking away the importance of the outputs too. And defining responsibility to whom? Politicians? Researchers? In any case science has to engage more with the public. Looking globally at different cultures is very necessary. In terms of careers, there is a tension between the academic age, the amount of impacts you have to achieve and how you are evaluated for promotion. Responsible education will help to change the behaviour and culture.

Because responsibility is about (transformative) science systems, changing the definition and scope of who is responsible in this system matters. The evaluation of what gets produced from R&D should cover the whole spectrum, so from planning who makes decisions and investments, to the researcher, which is where evaluation usually starts, to the output, which is considered besides publications. And what happens when a project is finished? What responsibility is handed over to the 'next' person who is responsible for the uptake in the whole system of innovation? And: what is the transparency of those evaluations to others, and how do you hold people accountable?

Taking this into account, it is easier to change the policy than to change the system. There have been policy papers and documents, but this does not necessarily lead to change. To change the



research culture is a more cumulative and long-term process. To change the culture, we need to change the people's motivation. The word "responsible" can change that kind of culture.

And we need to actively engage in the monitoring because there are many odd evaluation systems. They can be seen in external audits and checking tick-boxes, but that will not change anything. So, there is a global need for changes in responsible evaluation and more active engagement of researchers in the evaluation system.

Finally, the participants appreciated that SUPER MoRRI created this platform for countries to share their problems. Many mentioned how difficult it is to implement new evaluation policies.

3.3 Regional webinar Africa Middle East

3.3.1 3 statements from South Africa

The Africa/Middle East session of the SUPER MoRRI event took place on **April 28th at 14:00 – 16:00 CET**. The event consisted of a plenary session with three country-based panel statements about responsible research evaluation practices and small breakout sessions, followed by discussion.

The Africa/Middle East session was centred around experiences from South Africa and the presentations from **Nelius Boshoff** (Stellenbosch University), **Therina Theron** (president of the South African Research and Innovation Management Association – SALIMA) and **Rocky Skeef** (executive director for Reviews and Evaluations at the National Research Foundation of South Africa). This session included 30 participants from 18 different countries: Belgium, Botswana, Brazil, Germany, Ghana, Iran, Kenya, Netherlands, Nigeria, Norway, Rwanda, South Africa, Spain, Tanzania, Uganda, United Kingdom, Zambia and Zimbabwe. The participants came from academia and research institutions, policy, industry, research funding organizations and civil society organizations. Also, International Satellite Partners from South Africa and Iran (<https://super-morri.eu/global-satellite-partners/>) participated, they also supported SUPER MoRRI by inviting relevant participants to the seminar.

Nelius Boshoff presented the perceived 'pressures' towards responsible research and changes in research careers as part of his work in the Center for Research on Evaluation, Science and Technology. Therina Theron talked about professional managers and the important role they are playing in ensuring appropriate evaluation of responsible research and innovation practices. Finally, Rocky Skeef presented the Joint Statement on Ethical Research and Scholarly Publishing Practices Principles of the National Research Foundation of South Africa.

3.3.2 Discussions in the break out groups

Next, the webinar consisted of three breakout sessions, where participants and consortium members were mixed and discussed the themes raised by the main presenters.

The first group addressed the following themes:



- The ways in which researchers' careers are expected to change as a result of RRI and its compliance, evaluation or assessment.
- There is a great pressure to change the system and learn from the bad experiences from excellence frameworks in the world.
- The term "RRI" is not well known or broadly used in most African or Middle East countries.
- The use of bibliometric criteria is currently the main indicator for researchers' evaluation.
- The lack of indicators related to RRI included in public funding agencies.
- Novel initiative to teach young researchers to be problem oriented, and to not only be very theoretical.
- Quality against quantity as a topic was also discussed:
 - Iranian research system pushes for more quantity, rather than quality of publications.

The second group talked about issues such as:

- The RRI concept is new in African context, as is the terminology.
- Resource limitations and how to ensure that research institutions in the developing world have sufficient RRI management capacity.
- The new scenario of Open Access publishing promoted by funders and how it is included in the evaluation system.
- The need of training researchers in most African countries to be able to understand and be aligned with the more responsible evaluation criteria.
- The importance of emphasizing that research is conducted according to disciplinary research standards.
- Contexts in Africa cannot be assumed to be uniform across the continent.
- Research and evaluation is contextual. We must have some form of a context specific, but also harmonized system.

The third group discussed about:

- The ways to improve efficiency and effectiveness to evaluate research more responsibly.
- Instructions focused on responsible research rather than responsible innovation.



- The need to think about innovation and societal impact in earlier stages of projects.
- The need for more resources (funding), and also grants.
- The need to include societal stakeholders in the assessment and creation of grants.
- Responsible research for students was quite straightforward, but once they became fully fledged researchers, the scrutiny they had as students would be diminished along the way.
- In the African research context, there is often personal/individual funding for research. That is distinct to other contexts where research is institutionally supported. In the African context universities are for education mainly.
- Scale is a concern. National vs regional and local policies might not be identical to each other.
- Responsible research also needs to be prominent and present within performance appraisals.
- If research were to be more responsible, than such change would need sufficient and legitimate financial support.

In the concluding session, everyone agreed on the problems for developing countries in developing RRI and the need of a global and international context of RRI to become sustainable. Also, the usefulness of the university rankings was discussed as well as the need of more funding. Implementing such responsible practices requires a huge investment (both financial and human resources), which is not happening in most part of Africa and Middle East.

Also, responsible evaluation can only be performed if an active engagement of researchers and other societal stakeholders is included in the evaluation system. In that sense, their perspective regarding the indicators, the evaluation and promotion of locally relevant research is crucial. Most participants agreed that the different cultures and social contexts have to be taken into account in order to implement responsible evaluation. In most parts of Africa, the concept of RRI is not well known among researchers or funders. To establish new legislation and regulation imposing such a change, training is needed.

Finally, participants appreciated the opportunity to participate in an event like this where they could discuss and learn about the realities of different countries. They showed interest in continuing to learn about the progress of SUPER MoRRI and to receive information about the project.



3.4 Reflection webinar

3.4.1 4 statements on responsibility in evaluation

The reflection session of the SUPER MoRRI event took place on **April 29th at 14:00 – 16:00 CET**. The event consisted of a plenary session with three summaries (see 3.1, 3.2 and 3.3) from the previous regional webinars, presented by Carmela Lozano for the Americas, Lin Zhang for Asia/Pacific and Nelius Boshoff for Africa Middle East. This was followed by a plenary session where global organisations presented their views on responsible evaluation practices. The reflection webinar had around 70 participants, of whom 27 registered to be included in the global network that SUPER MoRRI aims to maintain.

The topics discussed by the global organisations were (see the website for the powerpoints):

- April Tash (Unesco) introduced the Unesco Recommendations on Science and Scientific Researchers (2017), signed by 195 countries, aiming to achieve a positive environment for science, especially as regards equality, diversity and inclusion. Every four years, nations are legally bound to prepare a report on the practices and conditions of research. This is to press for transformative change and there is a need for indicators and evaluation methods.
- Fernando Galindo Rueda (OECD) introduced the OECD's measurement perspectives as regards responsible research and innovation. Measuring responsible practices and the responsible generation and use of indicators are two sides of the same medal, both depending on issues such as inferences and attribution, critical elements in every evaluation. He showed examples of issues to take into account, like the uncertainty of quant-metrics and the trade off between macro and micro level data and indicators.
- Michael Ochsner (ENRESSH, a COST network on the evaluation of the social sciences and humanities) questioned how to evaluate research responsibly or only evaluate (irresponsibly) how responsible research is. Building his argument on the fact that information is never neutral, numbers are meaningless without context, and that for any benchmarking data quality and validity are crucial. This then has to deal with other latent concepts such as quality, performance and societal impact. His conclusion: We measure what we CAN, but not what we WANT to measure.
- Anna Hatch, DORA (an international initiative to improve the ways research and researchers are assessed), introduced the aims of DORA to raise awareness, facilitate implementation, catalyze change, and improve equity. To this end she presented the S.P.A.C.E rubric to evolve academic assessment. SPACE stands for **S**tandards for **S**cholarship; **P**rocess mechanics and policies; **A**ccountability; **C**ulture within institutions; **E**valuation and iterative feedback. Piloting ends summer 2021.

3.4.2 Discussion

The presenters showed that there are many unintended effects of science, wrong incentives, wrong policy intentions and many indicators of mis-information or dis-information. However,



there is a clear vision that knowledge transfer of knowledge to help solving societal needs and problem is much more than scientometric indicators. Ideally, research evaluation must correspond to research practices (fields, cultures), involve all stakeholders, acknowledge diversity of local situatedness in the evaluation practice, include a broad range of evaluation criteria, combine different evaluation methods, and be careful in evaluating interdisciplinary or transdisciplinary research. While building global capacity through working with the evaluation communities, it would be possible to establish a baseline.

Points of attention remain:

- How responsible evaluation practices work with more basic sciences, for example mathematics, where the research may not have "tangible" innovation that can unfold in society, and the of which results may not be able to impact policy as yet?
- The role and relevance of infrastructures and data curation.
- The open science agenda (whilst open access has advanced a lot).
- Measuring societal interactions and impact, which depends on diversity in knowledge production.
- The level of evaluation: institutional, country or individual level.

As there are different actors across the whole system, responsibility is not on the scientists alone, but also on e.g. the governments to encourage the dialogue, to manage the democratic debate. Also, societies can take an important role here. There is a large degree of convergence between the different regional contexts, and lot of us are struggling with very similar issues. So the challenge to be addressed is about:

- The tension between the more classical understanding of academic excellence and the need of local relevance.
- The very narrow approaches to measurement and a lack of diversity in the measures we are currently taking into account. Broadening out assessment, however, will require significant investments.



4 CONCLUSIONS

Different realities, converging perspectives

From the presentations and fruitful discussions taking place during SUPER MoRRI's annual event, we can clearly see significant differences between the social, economic, political and geographical characteristics of participant countries around the world, something also reflected in the development stages of their science systems. Despite that, we noticed that recurrent themes appear when responsible evaluation is concerned. A qualitative study is currently being conducted over the rich exchange of experiences throughout the webinar series, but we can already list a few of these converging topics.

Move away from metrics, but beware of subjectivity

The use of indicators that universalise information seems inappropriate across the board. When we speak about a system of responsible practices, no country wants to use or produce information that is damaging for cultures or that encourages horse races between regions to satisfy indicators. Despite that, several countries seem to have a valid concern regarding subjectivity in evaluation. This is particularly true for places where professionalized research management and evaluation practices are still in their early stages of development. For them, metrics are insufficient to take into account the complexity of national knowledge production systems, but they are still in demand to justify the distribution of limited funds for science.

Change takes time

Most countries participating in the SUPER MoRRI annual event agreed that, when it comes to responsible practices in research, it is not particularly difficult to change policy; the problem is changing the culture. While new legislation and regulations can impose change, they must be aligned with people's motivations towards responsibility, and the transition needs to be incremental. Abrupt course corrections might be able to impose compliance but, as officials from different continents clearly state, excessive pressure often leads to research integrity problems.

Change is expensive

Implementing responsible practices of evaluation in research requires a considerable investment in terms of financial and human resources. Funding is a very important part of this equation, especially when it comes to training research managers and high-level evaluators for science systems across the globe. The concept of evidence-based policy applied to the scientific environment only makes sense if people are qualified to produce and consume the evidence, and there are substantial costs of both time and money to make that happen.

Distinct realities, different purposes

Any movement that proposes more standardized evaluation systems, especially those based on internationally established indicators, is seen with fear where responsibility is concerned. Many



evaluation models are based on auditing or checkbox-ticking approaches that rarely generate positive impacts on local science. Evaluation is only responsible if it introduces more active engagement of researchers and stakeholders in the evaluation system, so they can add perspective to indicators and promote valuation of locally relevant research in parallel to the internationalized output expected from scientists. In that sense, the distinct reality of each country must be taken into account to determine what it means to be responsible in that environment.

The second year of SUPER MoRRI has consisted of collective discussion about the datacollection approaches, further extending the ecosystem, starting the dashboard and self assessment considerations, and debates about impact pathways, benefits, and how to reconcile them in the research. While the consortium is picking up speed, the second annual event highlighted how many considerations and perspectives operate globally albeit not always under the heading of RRI.

5 NEXT STEPS

The participants of the annual event have expanded the international network of the SUPER MoRRI project. To inform them on the annual event, four blogposts were written to reflect on specific cross cutting issues.

In particular, the following blogs are available on the SUPER MoRRI website:

- Responsibility in research evaluation practices: lessons from a global discussion (<https://super-morri.eu/responsibility-in-research-evaluation/>) – André Brasil
- Move away from metrics, but beware of subjectivity (<https://super-morri.eu/move-away-from-metrics/>) – André Brasil
- Financial and human resources to advance responsible practices of research (<https://super-morri.eu/financial-and-hr/>) – Carolina Llorente
- Transition in science systems and evaluation practices: evolutionary or revolutionary? (<https://super-morri.eu/transition-in-science/>) – Ingeborg Meijer

The organisers of the annual event have also produced a poster to be presented at the REvaluation conference organised by the Austrian Platform for Research and Technology Policy Evaluation, in partnership with the Fraunhofer Institute for Systems and Innovation Research ISI and the Institut Francilien Recherche Innovation Société (IFRIS). The poster is included in this chapter (see blow) and can be found on the next page.



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In the first semester of 2021, the SUPER MoRRI project coordinated a webinar series to discuss evaluation practices of research, and how responsibility is included.

Over 150 participants from more than 30 countries came together for regional and global discussions, which inspired this study.

Responsibility in research evaluation practices: *Lessons from a global discussion*

André Brasil¹, Ingeborg Meijer¹ and Carolina Llorente²

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From the discussions during SUPER MoRRI's annual event, it became evident that significant differences among the participant countries exist, but recurrent themes appear when responsible evaluation is concerned. From a qualitative analysis of the rich exchange of experiences with participants throughout the webinar series, four main converging topics were found:



Move away from metrics, but beware of subjectivity

Indicators that universalise information are considered inappropriate, as horse races between regions should not be encouraged to satisfy metrics. Despite that, several countries have a valid concern regarding subjectivity, especially for those where professionalised research management and evaluation practices are still in their early stages of development. For them, metrics are insufficient to take into account the complexity of national knowledge production systems, but they are still used to justify the distribution of limited funds for science.

Change takes time

Most countries participating in the SUPER MoRRI annual event agreed that, when it comes to responsible practices in research, it is not particularly difficult to change policy; the problem is changing the culture. While new regulations can impose change, they must be aligned with people's motivations towards responsibility, and the transition needs to be incremental. Abrupt course corrections might lead to compliance, but officials from different continents state excessive pressure often leads to research integrity problems.

Change is expensive

Implementing responsible practices of evaluation in research requires a considerable investment in terms of financial and human resources. Funding is a crucial part of this equation, especially when training research managers and high-level evaluators for science systems across the globe. The concept of evidence-based policy applied to the scientific environment only makes sense if people are qualified to produce and consume the evidence, and there are substantial costs of both time and money to make that happen.

Distinct realities, different purposes

Many evaluation models are based on auditing or checkbox-ticking approaches that seldom impact local science in a positive way. Evaluation is only responsible if it introduces more active engagement of researchers and stakeholders in the evaluation system to add perspective to indicators and promote valuation of locally relevant research in parallel to the internationalized output expected from scientists. The distinct reality of each country must be taken into account to determine what it means to be responsible in that environment.

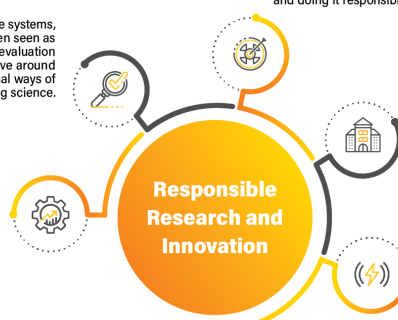
RRI is creating a new environment where broader value can be assessed, as it evidences requirements for creating impact and doing it responsibly.

RRI aims at transformative institutional change, and the recognition and rewards discussions show there is much support for that.

The main challenge to promote change is in overcoming powers still working to maintain the evaluation system as it is.

In many science systems, impact is still often seen as an add on, and evaluation models still revolve around the traditional ways of valuing science.

Actors in the science system have been increasingly concerned with creating impact and addressing grand societal challenges. That is an opportunity to rethink the role of research.



More on the
project's website





SUPER MoRRI

Scientific Understanding and Provision of an Enhanced and Robust Monitoring system for RRI

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