

*SUPER MoRRI*  
*Asia/Pacific Session*  
*April, 15, 2021*

# 从政策制度建设看责任的评估

## Evaluation policies & institutional construction and how responsibility is involved ——experiences from China

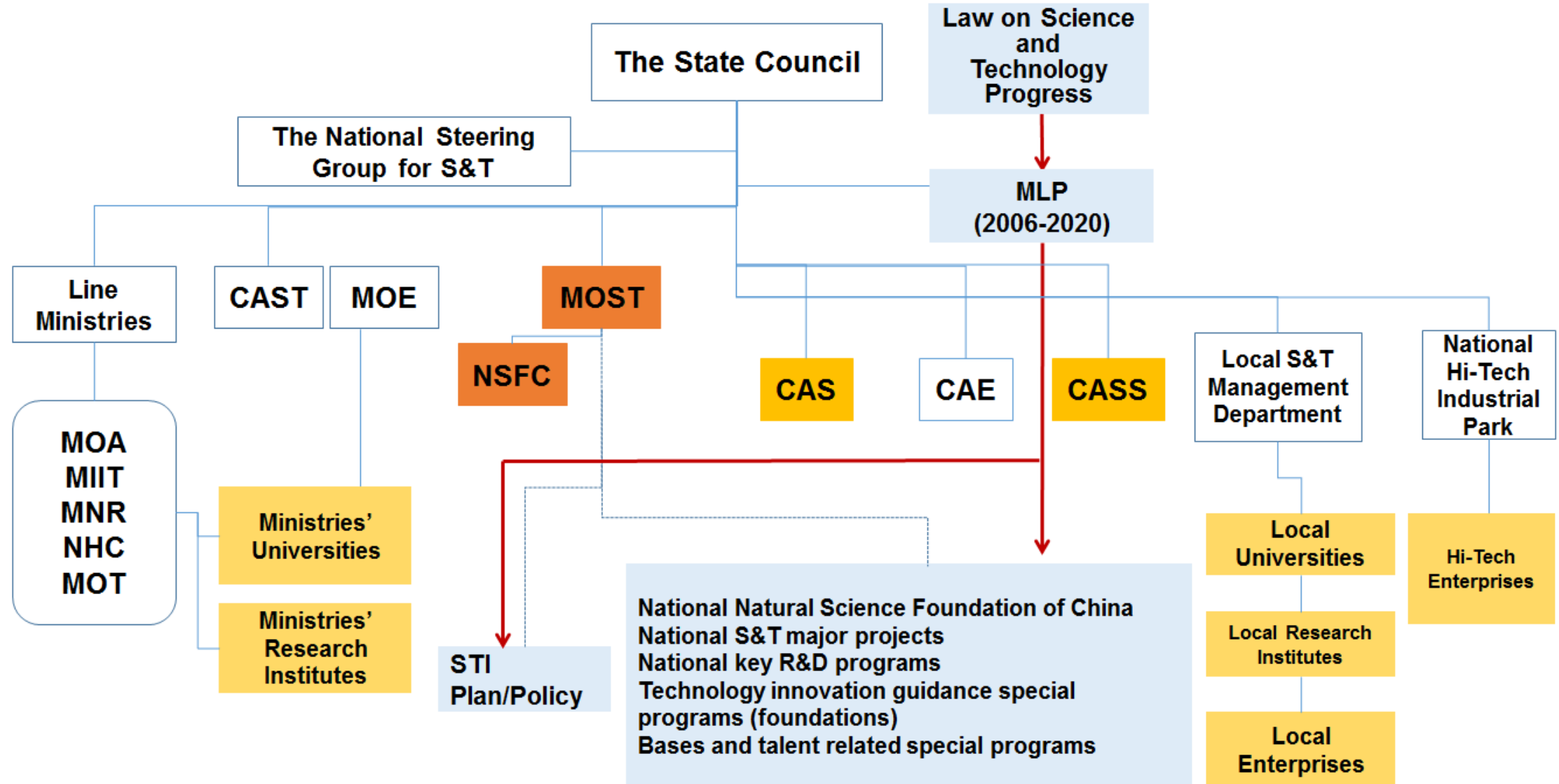
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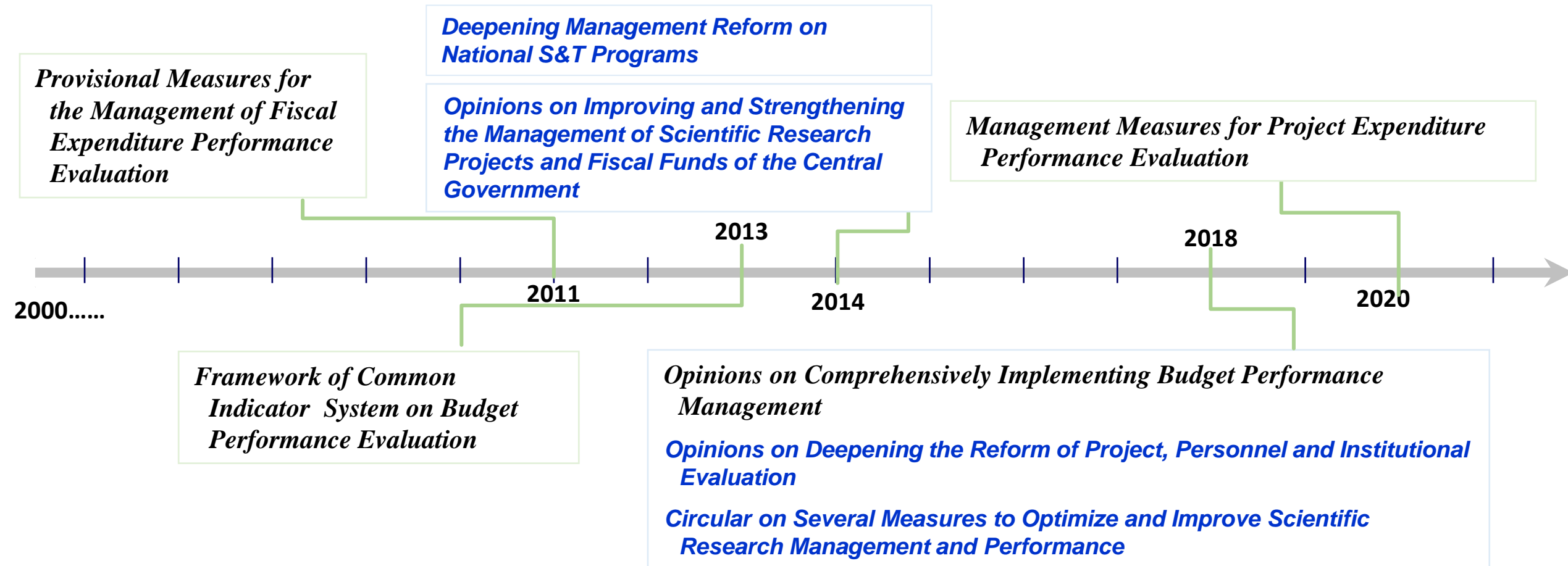
Apr. 15, 2021

# S&T Management and Organizational Structure and Evaluation Practices of China



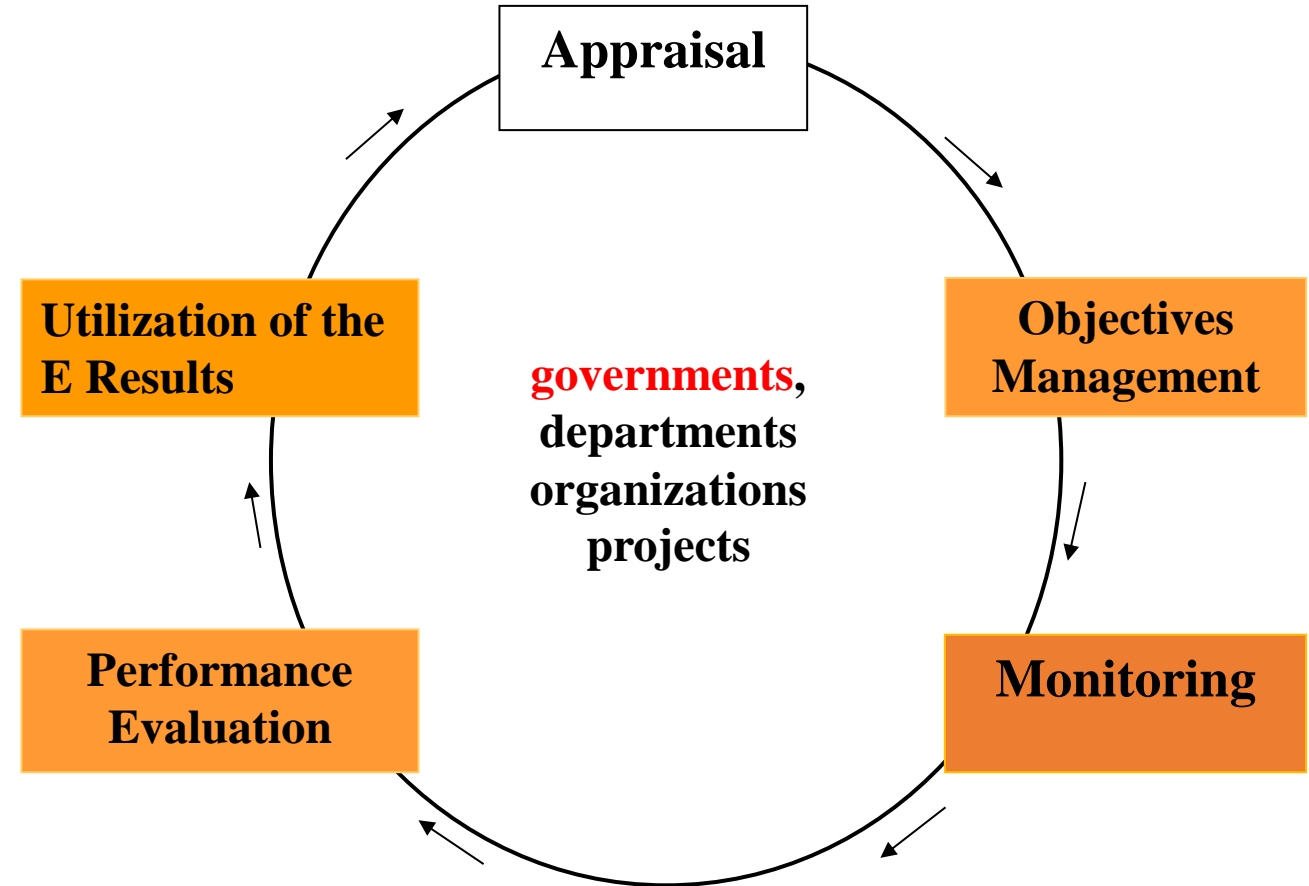
## Top-down Management and Evaluation Demands

□ Since 2000, China has been promoting a government performance management and accountability system, and establishing an government performance evaluation system and mechanism.



## Top-down Management and Evaluation Demands- Budget Performance

- Put in place comprehensive performance-based budget management.
- Establish a whole-process budget performance evaluation mechanism.
- Project expenditure performance evaluation: analysis and measurement of the economy, efficiency, effectiveness and equity of project expenditure by financial departments, budget departments and units according to the set performance objectives.



*Opinions on Comprehensively Implementing Budget Performance Management*  
[http://www.gov.cn/zhengce/2018-09/25/content\\_5325315.htm](http://www.gov.cn/zhengce/2018-09/25/content_5325315.htm)  
*Management Measures for Project Expenditure Performance Evaluation*  
[http://www.gov.cn/zhengce/zhengceku/2020-03/02/content\\_5485586.htm](http://www.gov.cn/zhengce/zhengceku/2020-03/02/content_5485586.htm)

# *Top-down Management and Evaluation Demands – S&T System Reform*

■ Reform the S&T evaluation system, establish a quality, contribution and performance oriented classified evaluation system, appropriately evaluate the scientific, technological, economic, social and cultural value of the STI achievements.

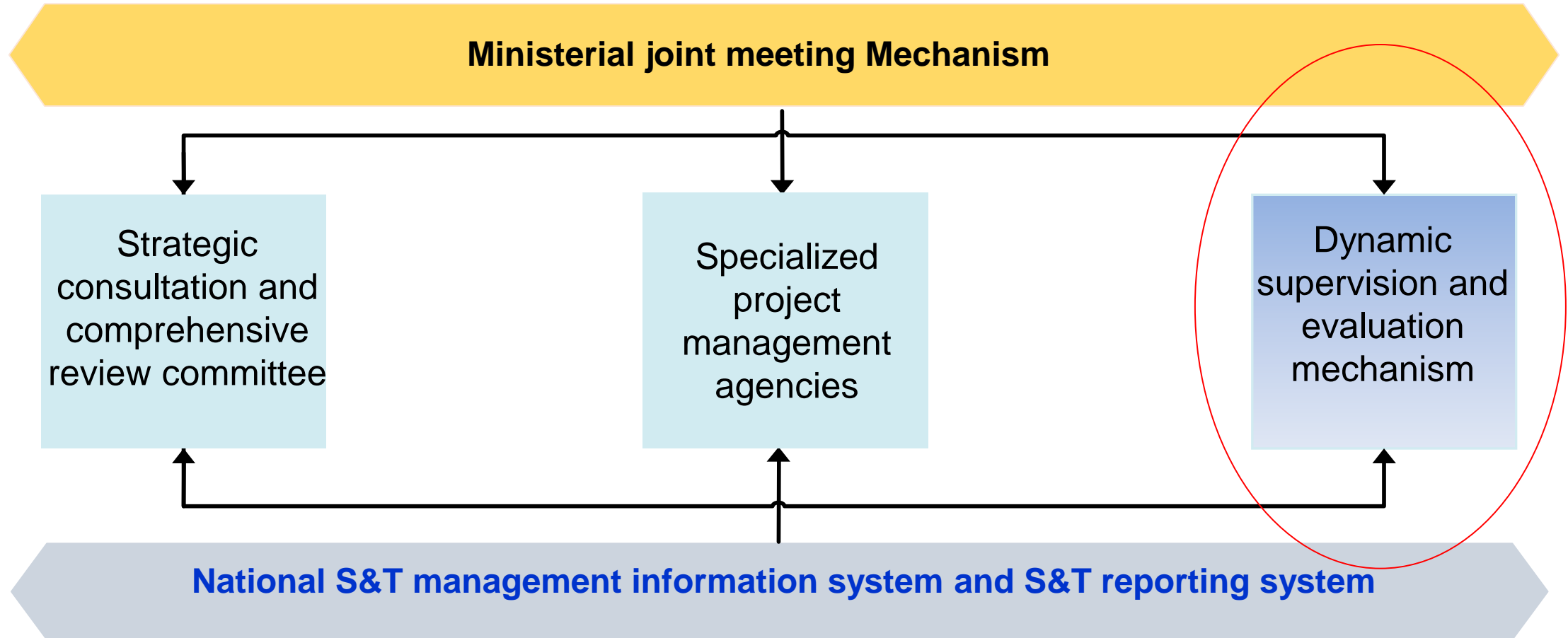
■ The management system of science and technology should be reformed and the performance evaluation of scientific research projects should be changed from focusing on process to focusing on results.



■ improve the mechanism for project evaluation and talent evaluation, and effectively reduce the unreasonable burden on researchers so that they can devote themselves to scientific exploration

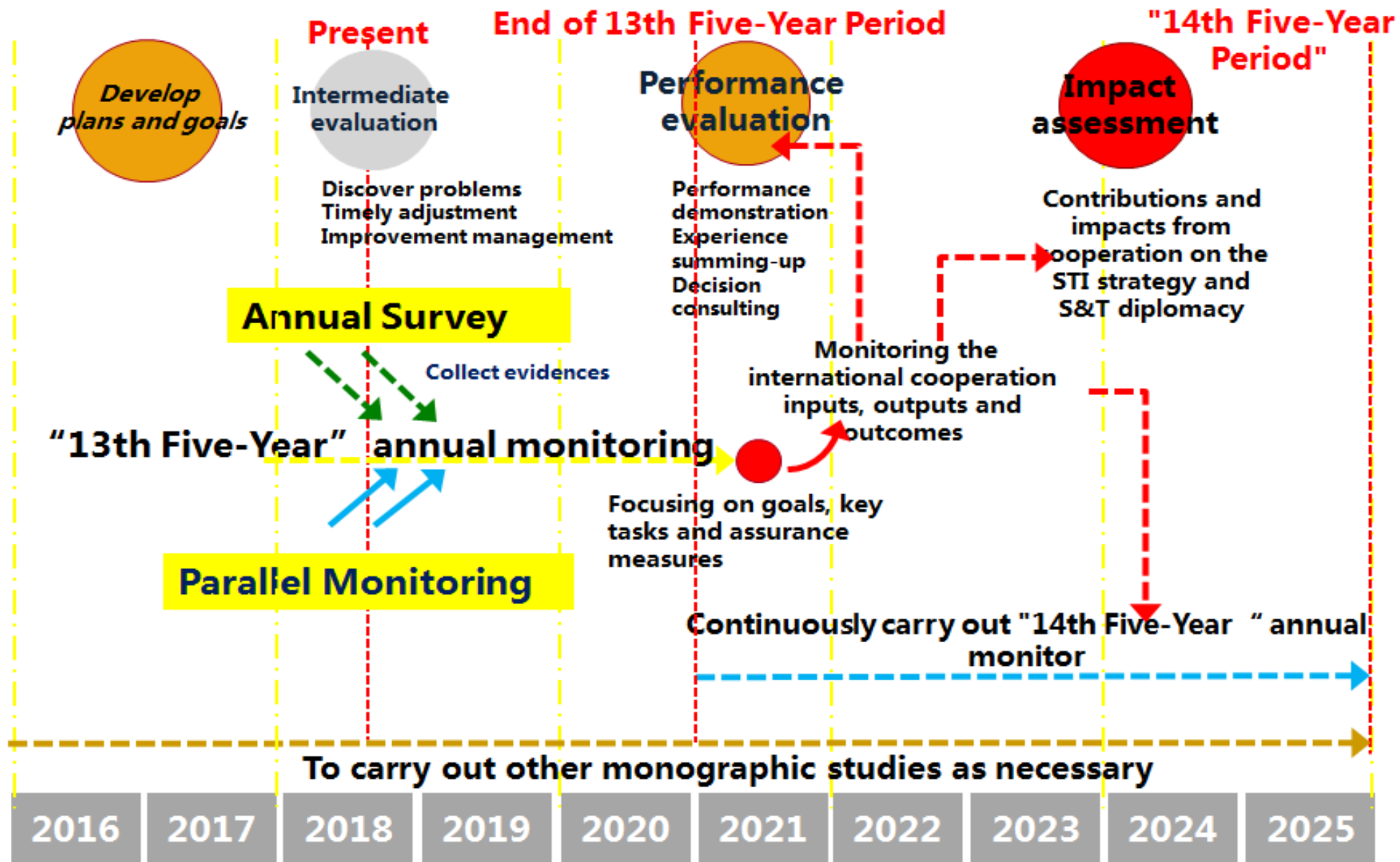
■ The phenomenon of only taking papers, patents and the amount of funds acquired as the talent evaluation criteria should be changed. Scientists should not be shackled by red tape, and their energy should not be delayed by endless reports and application procedures.

## *Institutionalize the Evaluation into the S&T System*



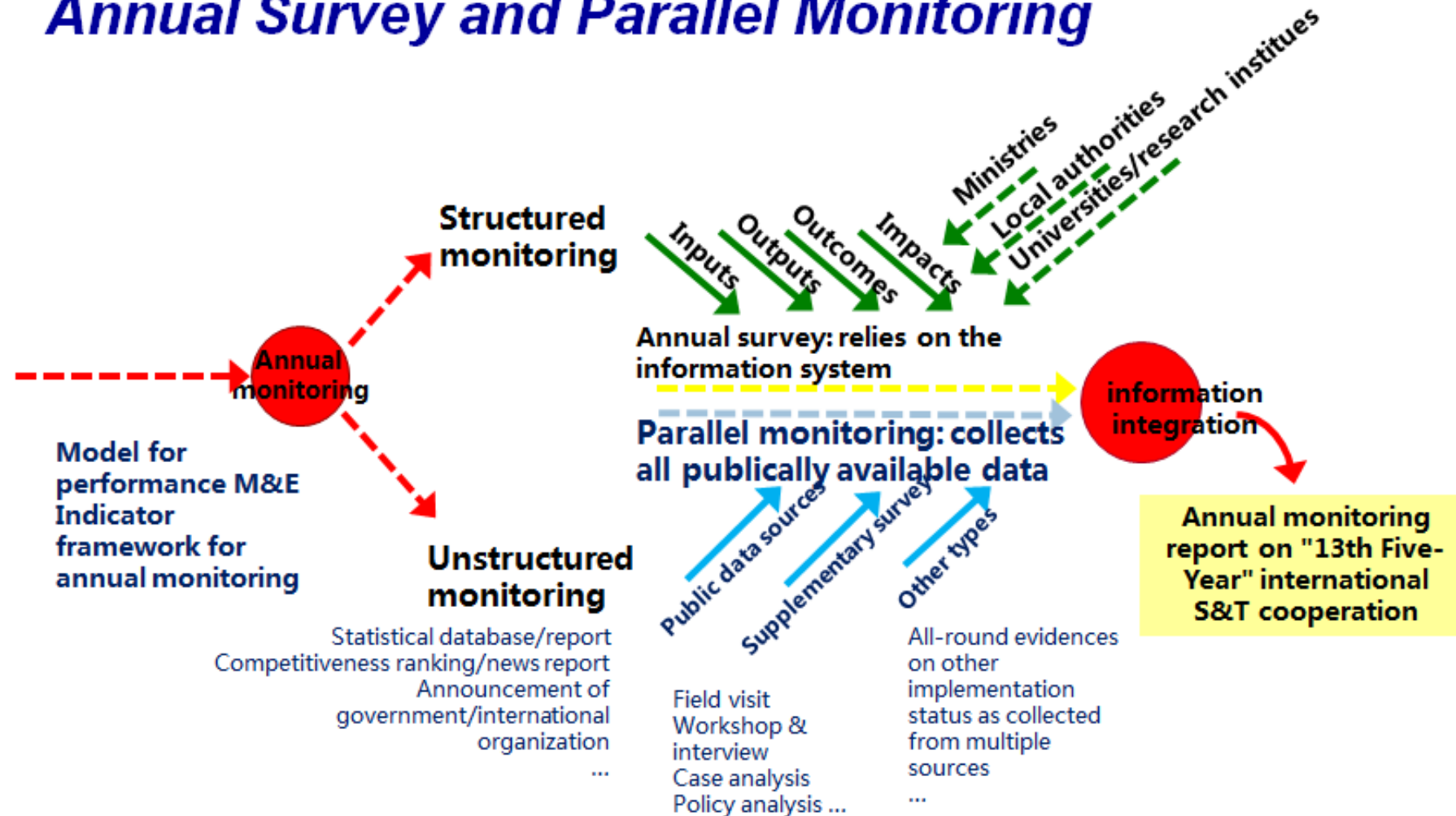
Central Government financed S&T programs (special programs, foundations, etc.) shall all be included into the unified national S&T management platform

# A Case : M&E on China's STIC 5-year Special Plan



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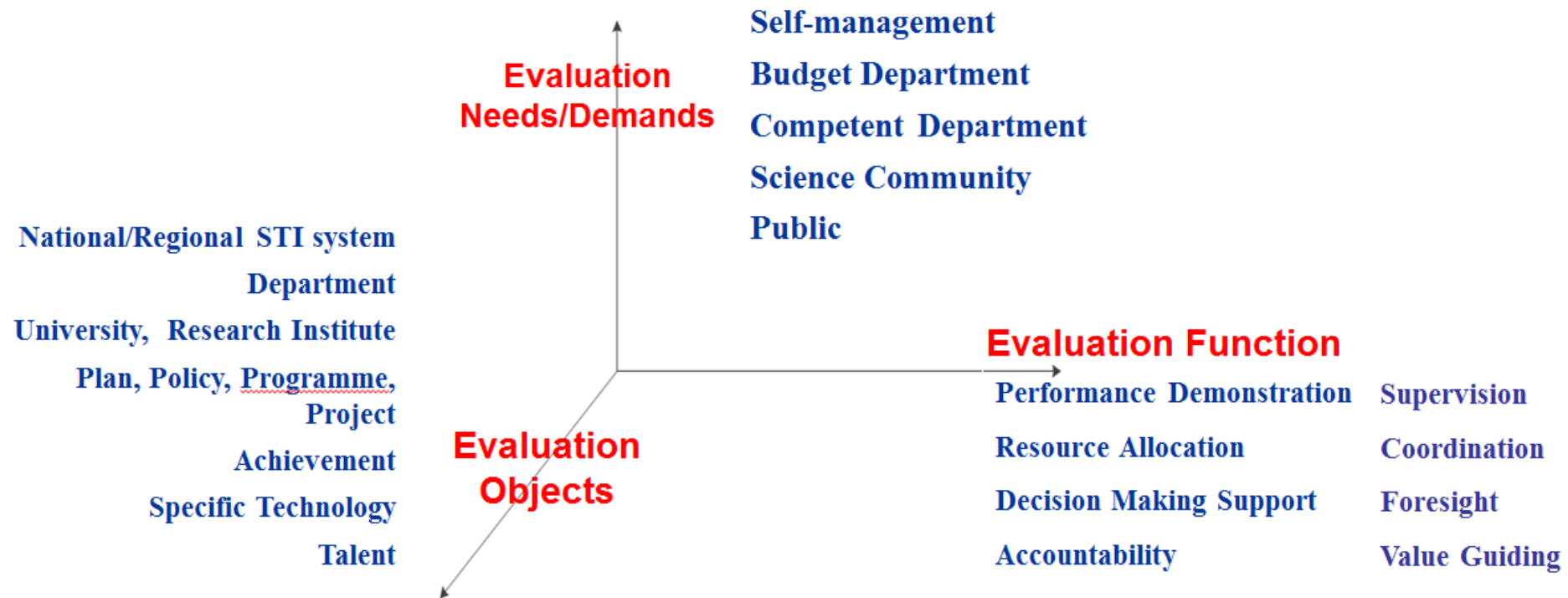
## Annual Survey and Parallel Monitoring





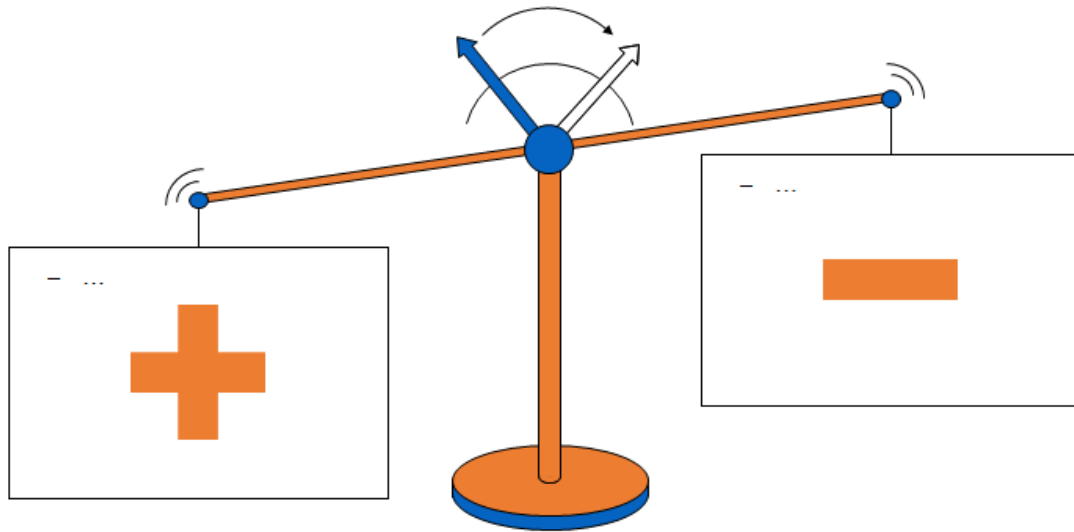
## Challenges Facing in S&T Evaluation

- Although all kinds of practices, evaluation in China is still in a spot-like, disordered state;
- Needs and purpose are complicated, objects are diversified, and the expectations to evaluations are multivariate, but understanding on evaluation is far from a consensus;



# Challenges Facing in S&T Evaluation

- Balance the motivation and accountability roles of evaluation
- Emphasize quality, performance and contribution evaluation, while tolerating failure, emphasizing innovation, encouraging long-term persistence and exploration



- Move away from “four only” phenomenon, i.e. “only see paper, title, background and award”, and introduce new direction;
- Effectively coordinate all kinds of evaluations, especially when it comes to researchers at the micro level;

## ***Challenges Facing in S&T Evaluation***

- **Capability and tools, to assess the economic, social, green, security, diplomatic, international competition and cooperation impacts brought by different STI stakeholders, activities even the system;**
- **Data system construction, to capture, analyze and use the big data generated by STI activities, produce evaluation evidence, to respond digital-driven;**
- **Absence of academic and professional evaluation training organizations; professional S&T evaluation organizations are in serious shortage;**
- **S&T evaluation standards and code of conduct are still a long way to go**

## *Issues for Discussion*

- How should we view the relationship between S&T evaluation and management?
- Facing with a complex STI system, what evaluation concepts should be agreed upon to carry out responsible evaluation?
- How to reasonably grasp the “result oriented ” of S&T Evaluation?
- How to achieve effective interaction between S&T evaluation professionals and the scientific community?



***Thank you!***

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