

Recovering from the guillotine

Hydra-based construction of a new institution-level performance-based development framework for Aalborg University

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From: UFM FP UFS-DJOS-ADA - BFI-sekretariatet i UFM <bfi@ufm.dk>
Sent: Thursday, 9 December 2021 15:49
To: UFM FP UFS-DJOS-ADA - BFI-sekretariatet i UFM
Cc: Danske Universiteter
Subject: BFI - Afvikling af det nuværende administrative set-up omkring BFI, herunder nedlæggelse af BFI-faggrupperne

Kære faggruppemedlemmer

Det nuværende administrative set-up omkring BFI (Den bibliometriske Forskningsindikator) afvikles med omgående virkning som følge af den politiske aftale fra den 3. december 2021 "Aftale om basismidler til forskning": [aftale-om-basismidler-til-forskning-3-december-2021.pdf \(ufm.dk\)](#)

Det betyder, at BFI-faggrupperne nedlægges, og at jeres opgaver i relation til BFI er ophørt pr. 3. december 2021. I skal derfor ikke foretage jer yderligere i relation til niveauinddelingen, forslagsbehandling eller andre BFI-opgaver, som I måtte sidde med for nuværende. Den igangværende proces med niveauinddeling af BFI-listerne bliver afbrudt og færdiggøres dermed ikke.

Jeg vil gerne takke for jeres store arbejdsindsats igennem jeres udpegningsperiode og for at fortsætte med at bidrage til BFI, indtil beslutningen om BFI's fremtid blev truffet.

Uddrag af "Aftale om basismidler til forskning" nederst s. 3:
"Parterne er samtidig enige om at forenkle modellen, ved at den seneste opgørelse af universiteternes performance for så vidt angår BFI fastfryses som grundlag for den fremadrettede fordeling. BFI-grundlaget vil dermed ikke som i dag blive opdateret årligt, og det nuværende administrative set-up omkring BFI afvikles dermed. Knap 430 forskere er i dag involveret i den løbende opdatering af BFI-grundlaget – blandt andet gennem deltagelse i i alt 67 tidskrævende faggrupper. En fastfrysning af BFI-grundlaget indebærer dermed en klar administrativ forenkling for universiteterne og frigør tid for de involverede forskere. Udviklingen i danske universiteters produktion af videnskabelige publikationer i Danmark og internationalt vil fortsat monitoreres via opdaterede opgørelser."

Den seneste BFI-opgørelse fastfryses og vil fortsat indgå som en del af den performancebaserede model til fordeling af universiteternes basismidler til forskning. Der vil dermed ikke foretages opdateringer af BFI fremadrettet. I forhold til sætningen omkring den fremadrettede monitorering af universiteternes videnskabelige produktion siges bl.a. til ministeriets analyser baseret på bl.a. internationale publikationsdatabaser og Danmarks Forskningsportal, der er under udvikling, og som også vil komme til at inkludere videnskabelig produktion, der ikke findes i de internationale publikationsdatabaser.

Med venlig hilsen

Niels Beier, formand for styregruppen for BFI og vicedirektør i Uddannelses- og Forskningsstyrelsen

DISCONTINUATION OF A NATIONAL INDICATOR

- The national “Danish Bibliometric Research Indicator” (BFI) was suddenly and without warning discontinued on Dec 3rd 2021
- All work on the indicator stopped over night...
- Based on the Norwegian model and similar to the Finish indicator, a portion of the DK national basic research funding had been distributed 10+ years in competition between the 8 DK universities
- While not without challenges, the BFI/Norwegian/Finnish indicators are remarkable in that they are 1) based on publication channels verified by scholars of their fields, 2) applicable across all faculties and fields, 3) simple

DISCONTINUATION OF A NATIONAL INDICATOR

- The indicator statistics made it possible e.g. to compare universities directly across all fields – and to some extent across NO/FI/DK
- Local implementation varied between DK universities
 - E.g. at University of Copenhagen the rector is said to have used the extra funding gained for 'special initiatives'...
 - Aalborg University (AAU) used it internally to distribute basic funding between the faculties
 - And it was used in some faculties/departments all the way down to research groups(!) → the highest ever coverage in any RIS system
 - Studies have shown that research output and citations received grew continuously for AAU when the indicator was in use (Mouritzen, 2018)
- Incredibly, no new national indicator was in place - and one has still not been proposed or implemented...

A NEW AAU INDICATOR

- Fast working 2022 committee tasked with constructing a new indicator
 - Urgently needed for distribution of basic research funds in AAU budget model...
- Tasks given – with a six month deadline:
 - Ensure that the positive effects (increase in publications and citation impact) are retained
 - Take into account the depth and breadth across fields and disciplines
 - Be simple and transparent – and be internationally recognizable
 - Be based on responsible methods and metrics
 - E.g. open access/open science, citations, peer-reviewed scientific publications, collaboration (internal/external)
- Representatives from all faculties, the university library RIS group & finance + Gunnar Sivertsen as advisor



A NEW AAU INDICATOR

- Inspired by DORA and ARRA

Let's change
what we value
in research.



Sign
DORA

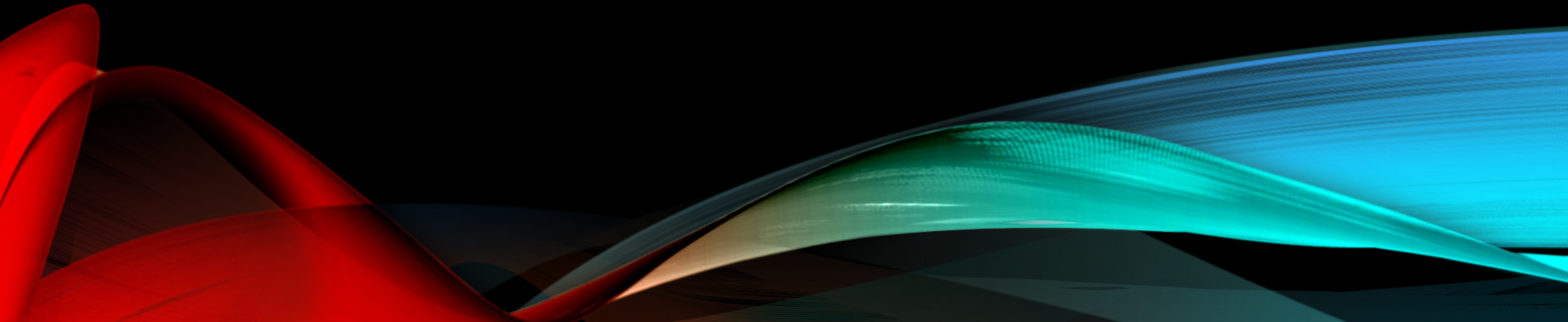
AGREEMENT ON REFORMING RESEARCH ASSESSMENT

20 July 2022

*"'Publish or perish' and metrics have led us
into a blind alley. Let's start recognising the
full breadth of value created by
researchers."*

MARC SCHILTZ,
President of Science Europe

THE INDICATOR



A TWO-FACED INDICATOR

Part A

- 70% of funds distributed based on 1) publications in verified publication channels (similar to old model), and modified by 2) citations

Part B

- 30% of funds distributed based on contracts with the faculties based on **collaboration**, **impact** and **openness** in accordance with DORA and ARRA
 - Allows flexibility and adaptation to the profiles of each department
 - Based on ambitious and measurable goals

AAU INDICATOR – PART A

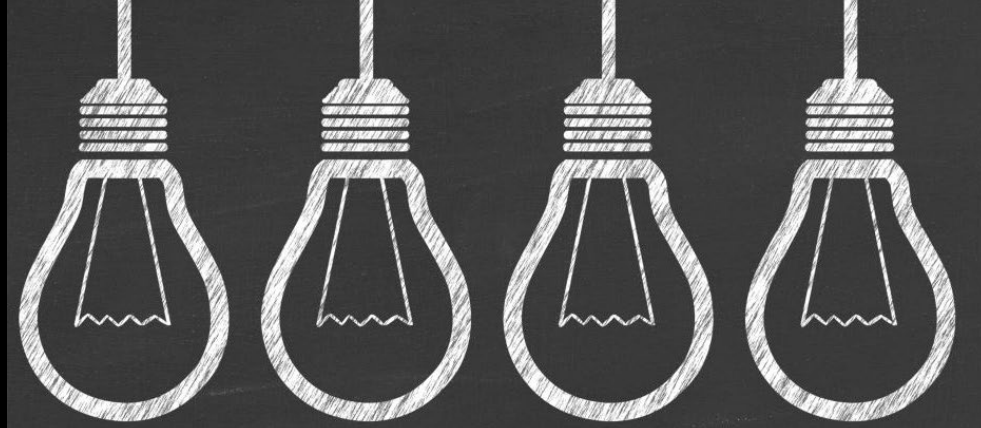
- **Publications** in verified publication channels **are assigned points**
 - Will be using the Norwegian authority list
 - Only one level (avoid any national bias + differentiation handled by citations)
 - New square root fractionalization (better balance; slight collaboration bonus)
- The points are **modified by citations**, if a channel is indexed in a citation index
 - Increased if over expected impact; decreased if under...
 - We use FWCIs from Scopus/SciVal
 - We cannot wait 5 years, so Scopus publications for each department are multiplied with 5-year averages for the department...
 - If not in Scopus (e.g. many SSH publications) the point is not modified(!)

For departments with a high coverage in Scopus, citations will carry much weight

Contrary, for departments with a low coverage, citations will carry less weight

AAU INDICATOR – PART B

- Collaboration, Visibility and Openness
- Accounts for **new international agendas** (ARRA og DORA)
- Annual **department performance agreements** – based on:
 - **Statistics** (e.g. collaboration, (social) media appearances, OA, ...)
 - **Narrative descriptions** of the focus areas. Qualified arguments for strategic decisions



PART B – DATA FROM AAU PURE SYSTEM

Collaboration	Visibility	Openness
External collaboration	Media coverage	Open Access
Internal collaboration	Online attention	Membership in external fora
Students	(Societal impact)	Active profile AAU's in institutional research portal (vbn.aau.dk)
Tecnical and administrative staff		Active profile ORCID Active profile Google Scholar

STRATEGIC PERFORMANCE AGREEMENTS: ALIGNED WITH THE OVERALL AAU STRATEGY

- Aalborg University is a **mission driven** university
- Departments and Faculties make one-year performance agreements
- The new research indicator fits within this framework and contributes for strategic decisions on research including decisions on publishing and dissemination
- The strategic performance agreements can contain both **long and short-term goals**



A dynamic research indicator

- The indicator is constructed with the possibility to adjust the distribution between part A and part B (70/30)
- At the same time, the content in part B can be adjusted to match changes to AAU's strategy and new agendas in the surrounding society.





CONCLUSIONS

- An indicator with two parts ensuring the possibility to measure using known indicators and metrics such as citations and number of publications and, at the same time, add new valuable qualitative focus areas
- The indicator is designed as a tool for resource allocation as well as strategic considerations at department level
- The points from the indicator are aggregated to faculty and university level in an annual report
- The indicator is internationally recognizable by using traditional bibliometric indicators as well as by including new trends and demands for research assessment in an Open Science perspective
- Currently in implementation ... more next year



FURTHER READING

- Main report on the AAU Research Indicator:
<https://vbn.aau.dk/en/publications/the-aau-research-indicator-for-the-advancement-of-scientific-publ>
- Guide to the AAU Research Indicator:
<https://vbn.aau.dk/en/publications/guide-aau-forskningsindikator-guide-to-aau-research-indikator>
- Data and Guide to the strategic performance agreements in AAU Research Indicator (part B):
<https://vbn.aau.dk/en/publications/aau-forskningsindikator-del-b-data-katalog-og-guide-til-institut->

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Thank you!