

Overview of the current scientific evaluation Systems: the case of AQU Catalunya

IBEC, 26 october 2023

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Summary

- > AQU Catalunya and the teaching staff assessment program
 - Accreditations and scientific career i Catalonia
- > Assessment of research of university departments
- > Future challenges

What's AQU?

- > 1996 Assure and enhance Quality in HES Catalonia
- > International recognition: Member of the European Association for Quality Assurance in Higher Education (ENQA) permanent headquarters of the INQAAHE
- > Main tasks:
 - Review quality for successful delivery of academic programs at all levels
 - Academic staff
 - Knowledge generation
 - Indicators system

AQU in figures · 2021

ACTIVITIES

TITLES AND INSTITUTIONS' EVALUATION



Bachelors
186



Masters
251



PhDs
80



Faculties and
schools visit
133

TEACHING STAFF EVALUATION



Report for
tenure-track
lecturer
1,122



Accreditation of
research
612



Accreditation of
advanced research
315



Evaluated Merits
(in research,
teaching and
management)
3,071

KNOWLEDGE GENERATION



Workshops
12



Presentations
52



Publications
25



Participation in
International
Projects
5



Survey Data
Collected
66,691

What's AQU?



The screenshot shows the AQU Catalunya website. At the top left is the EUE logo (Estudis Universitaris de Catalunya). At the top right are navigation links: Graus, Màsters, Doctorats, Idioma (with a dropdown arrow), a user icon, and a hamburger menu icon. The main heading reads 'Tota la informació sobre la qualitat dels estudis universitaris de Catalunya'. Below this is a search bar with a magnifying glass icon and the placeholder text 'Escriu aquí el nom de la titulació...'. Under the search bar are four filter boxes arranged in a 2x2 grid: 'Programes oficials', 'Àmbits', 'Universitats', and 'Subàmbits', each with a dropdown arrow. A dark blue 'Cerca' button is centered below the filters. The background of the page features a faded image of a person working on a laptop.

EUE
ESTUDIS UNIVERSITARIS
DE CATALUNYA

Graus Màsters Doctorats Idioma ▾

👤 ☰

Tota la informació sobre la qualitat dels estudis universitaris de Catalunya

🔍 Escriu aquí el nom de la titulació...

Programes oficials ▾ Àmbits ▾

Universitats ▾ Subàmbits ▾

Cerca

What's AQU?

Grau en Biologia (UB)

Facultat de Biologia

Coneix la inserció laboral

Resultats de l'avaluació

> Segells de qualitat



AQU Catalunya està inscrita a EQAR

> Resultats de l'acreditació

- El pla d'estudis ✓
- La informació pública de la titulació ✓
- El sistema de garantia interna de la qualitat ✓
- El professorat ✓
- Els serveis i els recursos de suport a l'aprenentatge ✓
- Els resultats de l'estudi ✓

- ✓ No s'assoleix
- ✓ S'assoleix amb condicions
- ✓ S'assoleix
- ✓ S'assoleix amb qualitat

Informes d'avaluació



UNIVERSITAT DE
BARCELONA

Informació bàsica

> Municipi/s d'impartició

Barcelona

> Crèdits totals

240

- Crèdits bàsics 60
- Crèdits obligatoris 108
- Crèdits optatius 60
- Crèdits pràctiques obligatòries 0
- Crèdits treball fi de grau 12

> Modalitat

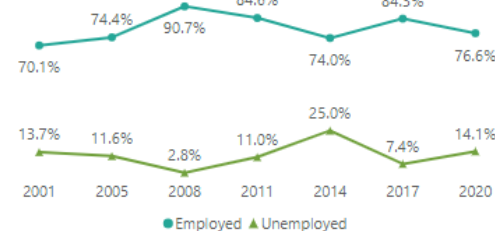
Presencial

> Període lectiu

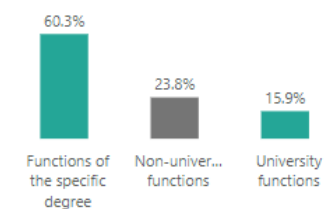
Anual

Web del grau >

Changes in job situation



Job duties and responsibilities

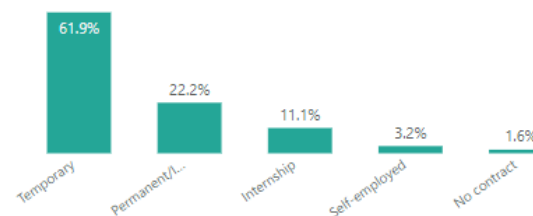


Gross monthly income

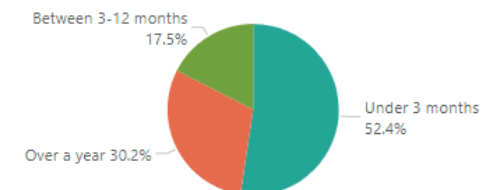
(those employed full-time)

1664
€

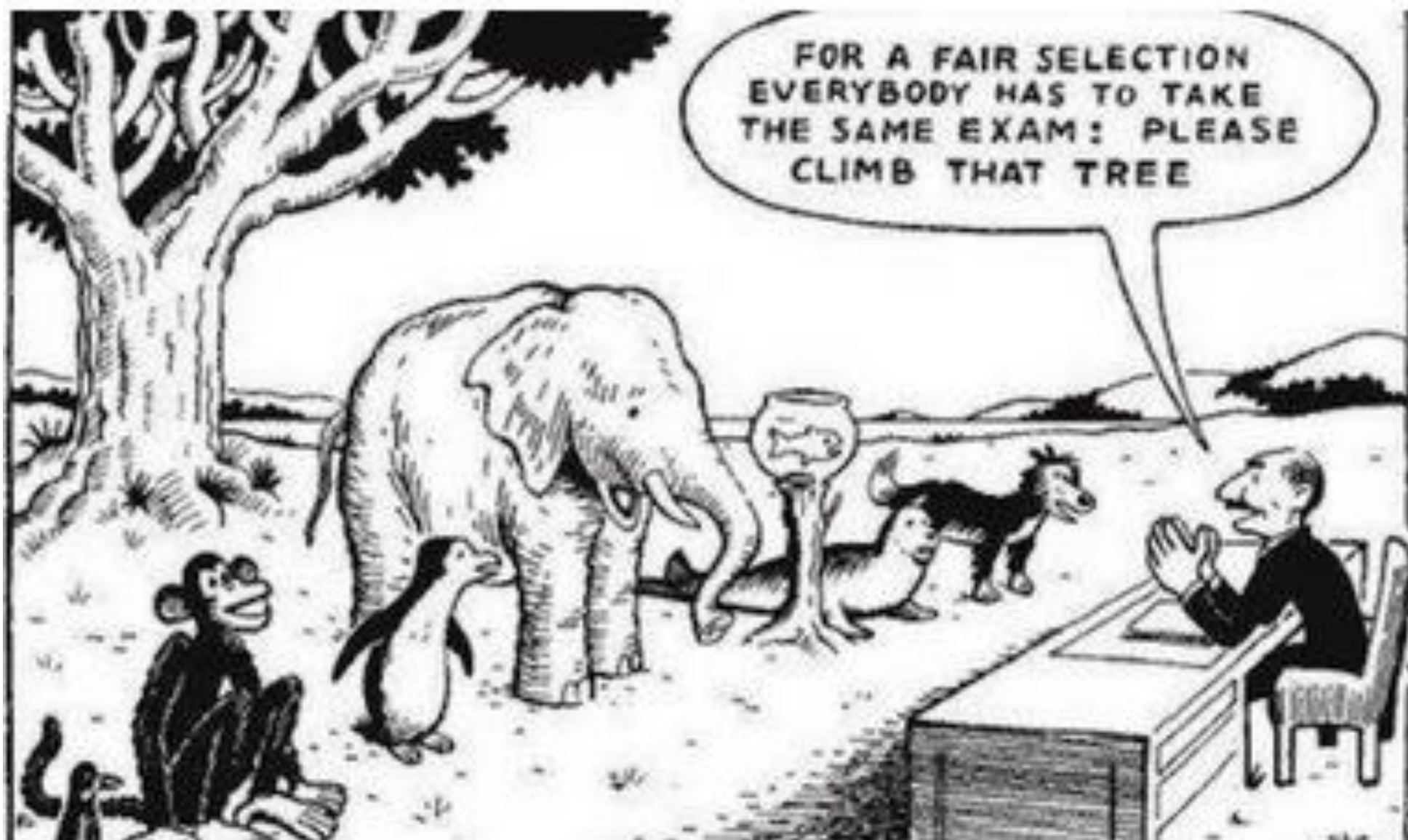
Type of contract



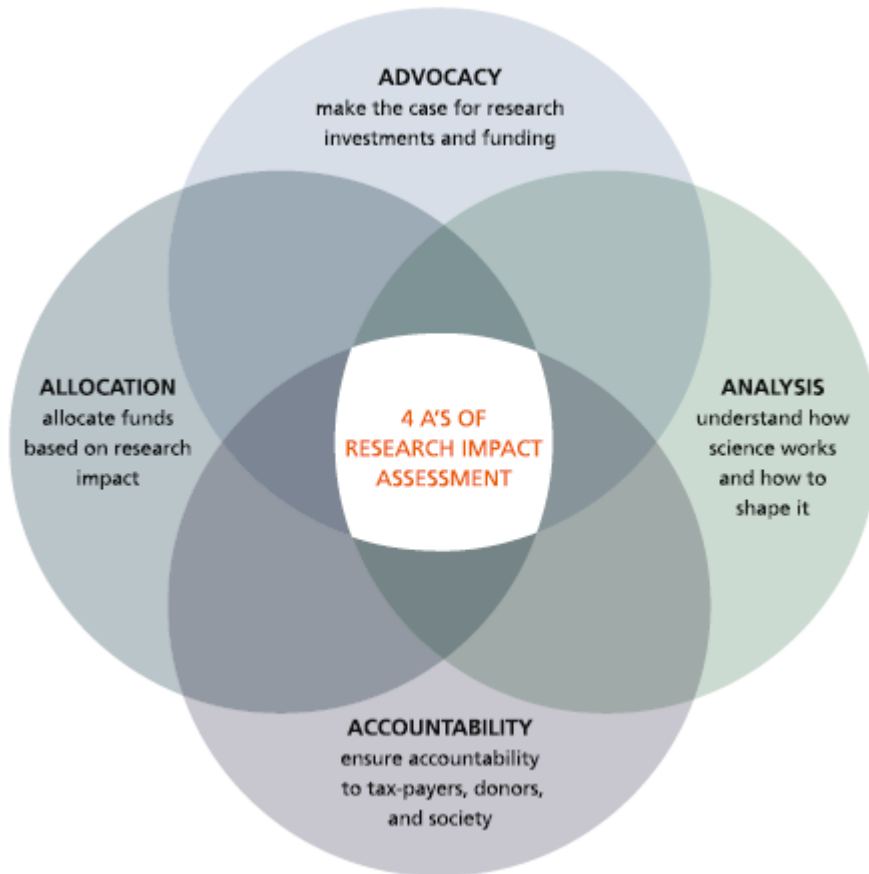
Time taken to find first job



The figures are from the most recent year available



Why do we evaluate?



the diverse functions can be incompatible

To improve?

- Helps to refine the definition and/or implementation of policies
- Formative evaluation: combines the attempt to improve the definition/implementation of policies with a collaborative relationship between evaluator and evaluated

To Control?

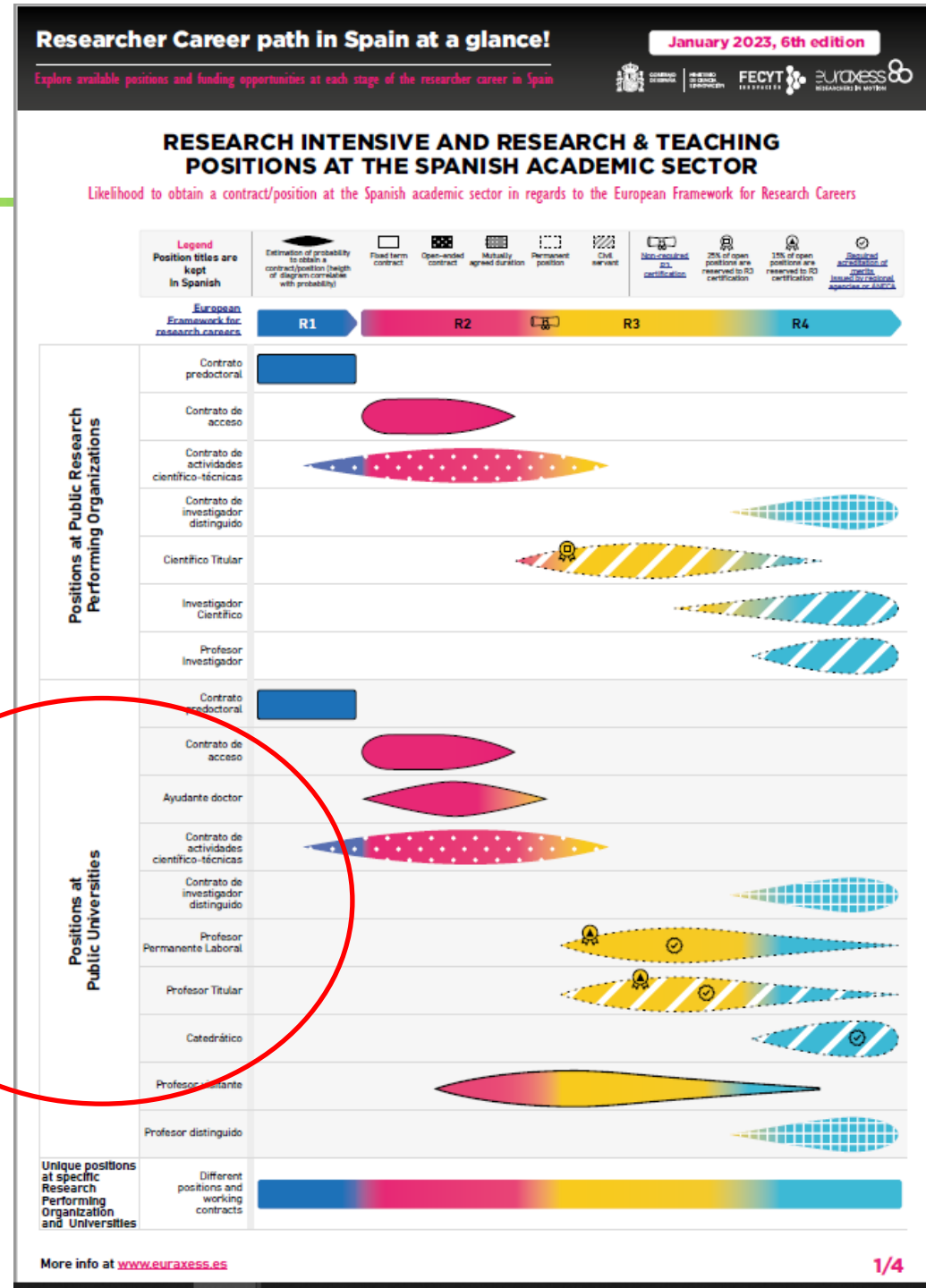
- Check that you act in accordance with regulations and processes legally and contractually established
- Ensure transparency and legitimacy
- complex administrative Systems
- Implicitly based on mistrust

Resource allocation?

- Requires distance and “objectivity”
- Direct interest of the person evaluated in the result, validation of the data they provide (climate of mistrust)

Career-path in Spain

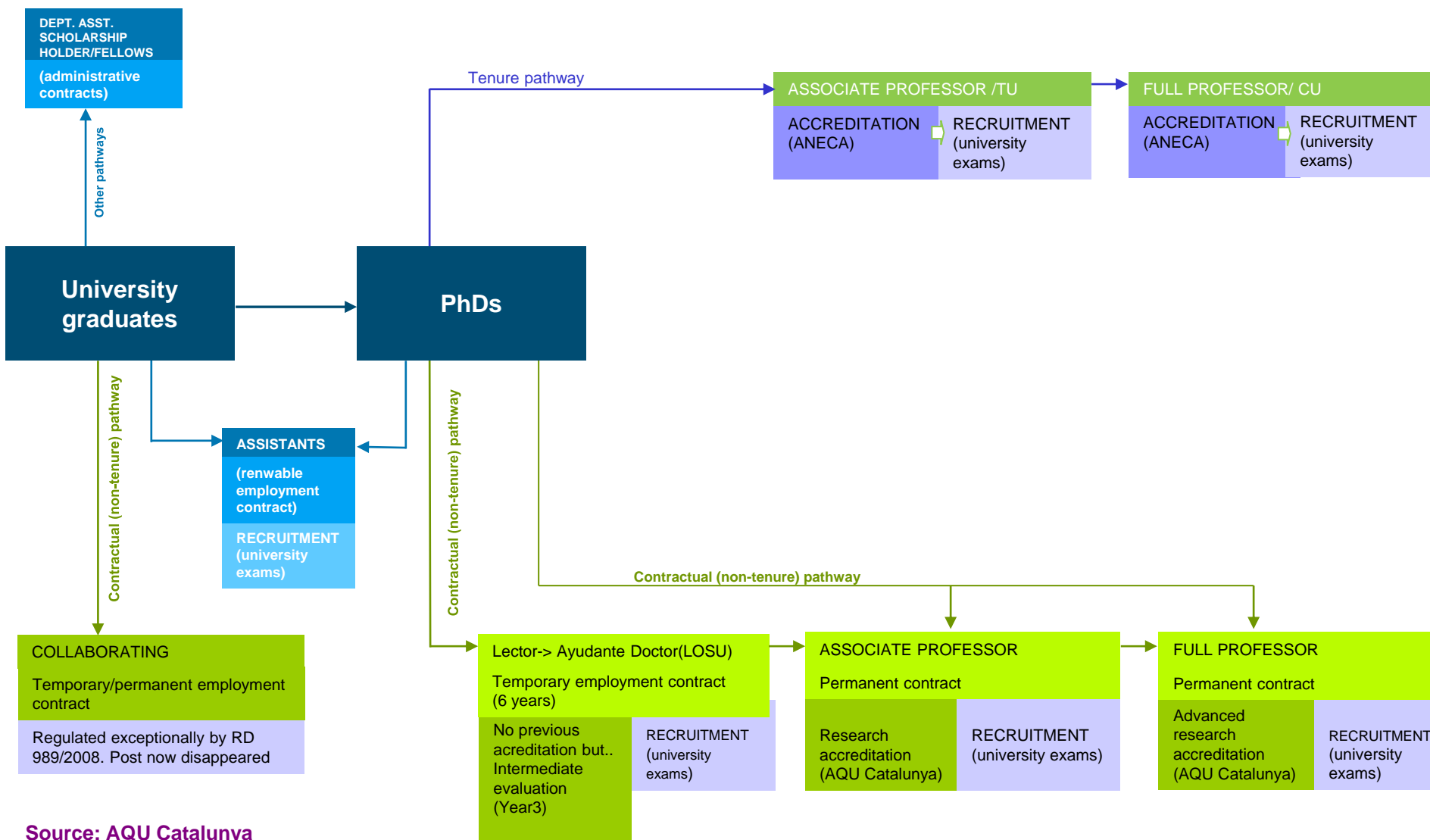
<https://www.fecyt.es/es/publicacion/researcher-career-path-spain-glance-6th-edition>



Some considerations regarding teaching staff:

- Stabiization and rejuvenation of workforce
- Combination of both civil servants (“fucionario”) and contract positions (e.g., PPL *Profesor Permanente Laboral*)
- The requirement of previous accreditations (before hiring) remains
 - Civil servants: ANECA and Agencies
 - Ayudante doctors/lectors: no previous accreditation
- Mutual recognitionn/ administrative simplification
- DORA /CoARA aligned

Access to academy in the University Catalanian System: Professors' career pathways





Lecturer	Weighting:
<ul style="list-style-type: none">➤ Art. 49 LUC➤ Teaching Assistant: first of the contractual teaching posts➤ Temporary contract. Full time. Can last up to 5 years (teaching assistant + tenure eligible lecturer 8 years)➤ Requirements: Doctoral/PH degree +	<ul style="list-style-type: none">➤ Will be adjusted by the commission➤ Research (60%-65%)➤ Academic Qualifications (15%-20%)➤ Teaching experience: (15%-25%)



Associate professor	Weighting:
<ul style="list-style-type: none">➤ Art. 46 LUC➤ PhD: proven teaching and research capacity➤ Permanent contract➤ Requirements:<ul style="list-style-type: none">▪ PH degree▪ 3 years postdoc experience▪ previous favourable report	<ul style="list-style-type: none">➤ 100% Research<ul style="list-style-type: none">▪ Publications (70%-75%)▪ Research Projects (10%-15%)▪ Training activity (7.5%-10%)▪ Other merits (5%-7,5%)

Full Professor



Full professor	Weighting:
<ul style="list-style-type: none">➤ Art. 46 LUC➤ PhD: proven teaching and research capacity➤ Permanent contract➤ Requirements:<ul style="list-style-type: none">▪ PH degree▪ 3 years postdoc experience▪ previous favourable report	<ul style="list-style-type: none">➤ 100% Research<ul style="list-style-type: none">▪ Publications (65%-70%)▪ Research Projects (10%-15%)▪ Training activity (7.5%-15%)▪ Other merits (5%-7,5%)

Accreditation characteristics

- > Guarantee a minimum level for each position
- > Not excellence or an employment contract
- > Individual evaluation
- > Non-face-to-face evaluation
- > Catalan area

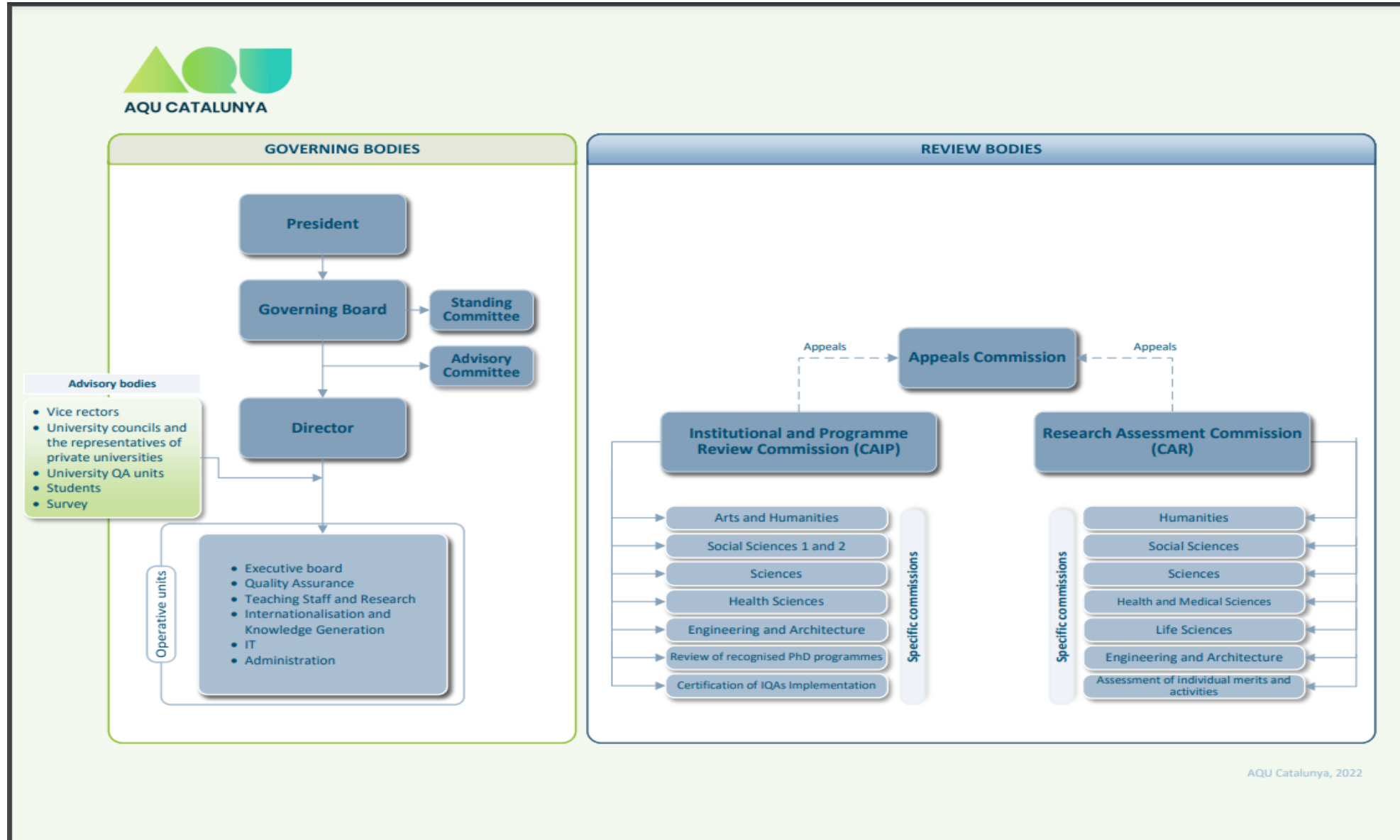


Accreditation characteristics (2)



- Expert committees grouped by knowledge areas
- Binary decision
- 2 annual calls
- Non-comprehensive evaluation (Teaching / Research)
 - Scientific competence
 - Practical / personal / social competence
- Secondary evaluation
- Discretionary:
 - Indeterminacy of criteria
 - The very nature of the evaluation

Who evaluates?



Who evaluates?



Sigues avaluador o avaluadora d'AQU Catalunya

D'acord amb els estàndards europeus (ESG), incorporem en els nostres processos d'avaluació experts i expertes de prestigi reconegut en àmbits acadèmics i/o professionals, i també estudiants.

Seleccionem aquestes persones del nostre banc d'avaluadors i avaluadores.

Més informació →

Persones membres de la Comissió d'Avaluació de la Recerca i les seves comissions específiques

D'acord amb la normativa vigent,¹ les persones membres de la Comissió d'Avaluació de la Recerca (CAR) i de les seves comissions específiques han de tenir un d'aquests perfils:

1. Ser catedràtics funcionaris o contractats (CU, CC).
2. Ser professors titulars funcionaris o agregats amb contractes indefinits (TU, AGR).
3. Ser personal investigador en actiu a Catalunya, de categoria assimilable als anteriors.
4. Ser personalitats acadèmiques de prestigi internacional reconegut (PDI assimilable).

També han de tenir tres o més sexennis de recerca o haver estat guardonades amb el Premi Nacional de Recerca, la Medalla Narcís Monturiol al Mèrit Científic i Tecnològic, la Distinció de la Generalitat per a la Promoció de la Recerca Universitària o una altra distinció de nivell anàleg o superior, a criteri del Consell de Govern.

Persones assessores externes de la Comissió d'Avaluació de la Recerca

Pel que fa al personal assessor de les comissions específiques de la Comissió d'Avaluació de la Recerca, els requisits són els següents:

Figura	Perfil del personal assessor	Trams de recerca
Informes de professorat lector	CU, CC, TU, AGR, PDI assimilable	Dos o més
Acreditacions de recerca	CU, CC, TU, AGR, PDI assimilable	Tres o més
Acreditacions de recerca avançada	CU, CC, PDI assimilable	Tres o més
Sexennis de recerca	CU, CC, TU, AGR, PDI assimilable	Tres o més

Assessment criteria:



- > Commission of experts of the Catalan university system
- > Permanent review and improvement process
- > Adjusted to each Area: Humanities, Social Sciences, Sciences, Life Sciences, Medical and Health Sciences, Engineering and Architecture
- > Adjusted to each figure
- > Special emphasis on the last years of the academic career
- > Pedagogical character
- > Focus on quality vs quantity
- > Focus on research: publications, projects, training activity

CV: key point in the accreditation process

SUMMARY OF SCIENTIFIC CAREER

Summarize the most important aspects of your scientific career, maximum one A4 page

Include, where appropriate, any interruptions (such as maternity/paternity leave or other community service actions) stating the duration and reason.

B.1 Articles in indexed journals

Authors (by order of signature)²:

Title:

Year:

Code (A: article, R: review):

Journal (title, volume, first-last page):

ISSN:

DOI (or URL in the absence of one): [non-compulsory unless it is an e-journal]:

Indexed in WoS Core Collection (SCIE, SSCI, AHCI o ESCI) (YES/NO): <input type="text"/>	Indexed in Scopus (YES/NO): <input type="text"/>
Number of citations for the article (Wos Core Collection): <input type="text"/>	Number of citations for the article: <input type="text"/>
JIF of the JCR SCIE/SSCI ³ : <input type="text"/>	SJR: <input type="text"/>
Quartile and category JCR SCIE/SSCI: <input type="text"/> Rank: <input type="text"/>	Quartile and category SJR: <input type="text"/>

Other indices of quality (state the data base and impact index):

NB:

- List the different contributions.
- Sort the articles by date, from newest to oldest.
- Give all the correct information that is asked for. Every section must be completed.

2 For the biomedical fields:

1.1 Prioritize the information corresponding to the Web of Science Core Collection (Science Citation Index Expanded SCIE).

1.2 In the event that, not being the first author, you have a relevant authorship (co-first author, corresponding author, research director, senior author...), place an asterisk in front of your name and indicate the nature of this relevant authorship at the end of the list of authors.

For example:

Authors (in order of signature): Smith GH, Jonas TK, Mateu A, (*) Llorens FX
(*) Corresponding author

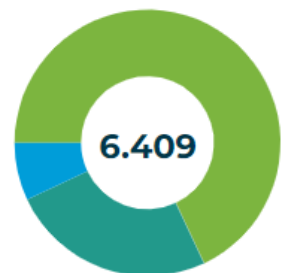
3 Consign the Impact Factor corresponding to the year of publication in JCR. If this information is not available because it is not updated, please consign the last updated JCR data. Alternatively, and in particular in cases of journals in Humanities and Social Sciences, indicate other evidence of relative quality (CARHUS+, etc), together with other quality and impact indices for the article.

Results: 2017-2021 /tenure-track lecturers (1)

Results for Tenure-track lecturers (2017-2021)

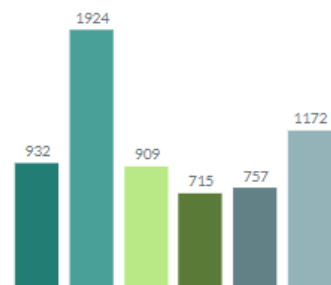
Analysis of applications

Place of residence



■ Catalonia (68%) ■ International (25%)
■ Spain (7%)

Applications by educational field



■ Humanities ■ Social Sciences ■ Sciences
■ Life Sciences ■ Health and Medical Sciences
■ Engineering and Architecture

Applications and average age by gender



43 %
women

38 years
on average

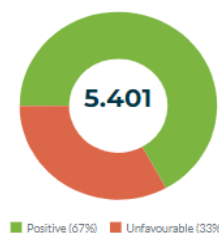


57 %
men

39 years
on average

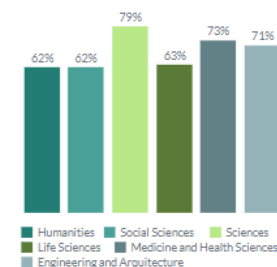
Analyses of results

Overall results



■ Positive (67%) ■ Unfavourable (33%)

Favourable results by educational field



■ Humanities ■ Social Sciences ■ Sciences
■ Life Sciences ■ Medicine and Health Sciences
■ Engineering and Architecture

Number of attempts needed to achieve a favourable tenure-track report



■ 1st attempt (93%) ■ 2nd attempt (6%)
■ 3rd attempt (1%)

Result of applications by gender



66%
women's applications
resolved favourably



68%
men's applications
resolved favourably



Profiles of tenure-track lecturers

The goal of this document is to provide an indicative perspective of the merits presented by candidates that have attained a favourable tenure-track lecturer assessment for each of the fields in which the Research Assessment Committee conducts its assessment: Humanities, Social Sciences, Sciences, Life Sciences, Medical and Health Sciences, and Engineering and Architecture.

This document has an informative approach and under no circumstances does it replace the assessment criteria adopted by the CAR, available on the AQU Catalunya website.

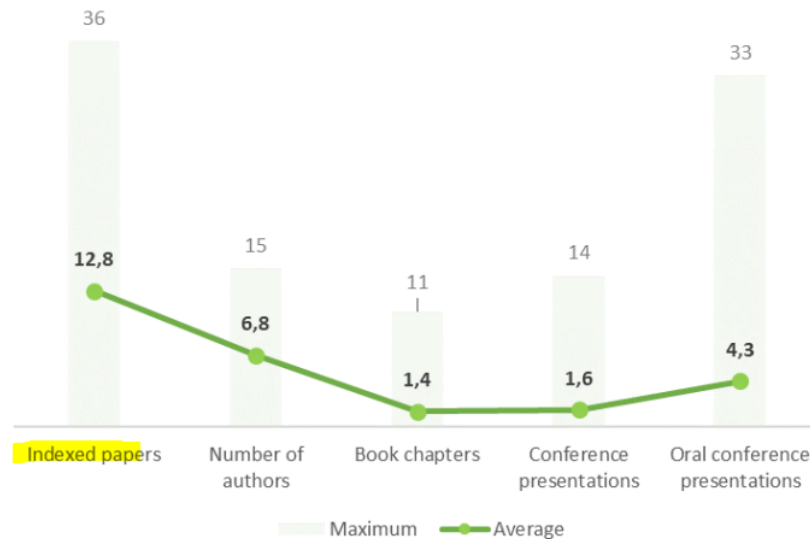
[Download](#)



LIFE SCIENCES

1. Publications

Figure 19. Publications: indexed papers, book chapters, written and oral conference presentations (average and maximum value)*

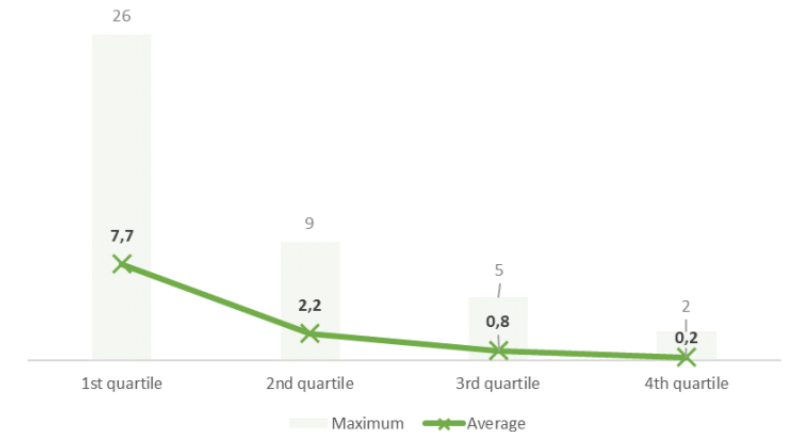


Only publications in peer-reviewed journals and which are indexed in the Science Citation Index Expanded (SCIE) are valued.

Some of the papers must have been published in the past three years.

Quality of publications prevails over quantity.

Figure 20. Publications by quartiles (only papers indexed in the Journal Citation Reports are included). Average and maximum value

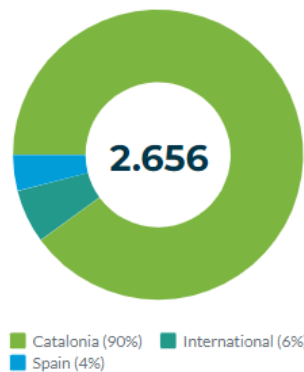


Resultats: 2017-2021 /associate professor(1)

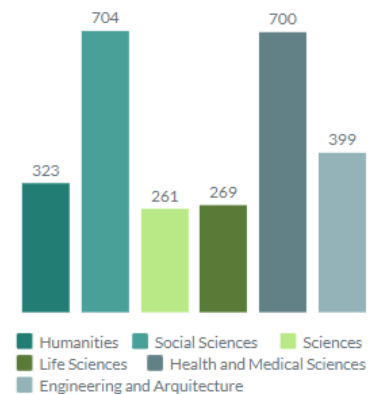
Results for accreditation of research (2017-2021)

Analysis of applications

Place of residence



Applications by educational field



Applications and average age by gender



44 %
women

43 years
on average

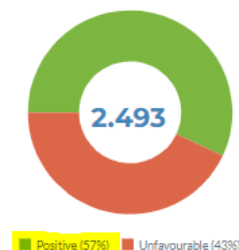


56 %
men

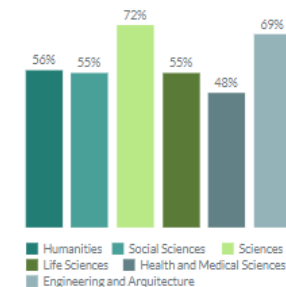
43 years
on average

Analyses of results

Overall results



Favourable results by educational field



Number of attempts needed to achieve a favourable tenure-track report



Result of applications by gender



53%
women's applications
resolved favourably



60%
men's applications
resolved favourably



Year: 2022

Language: English

Author: AQU Catalunya

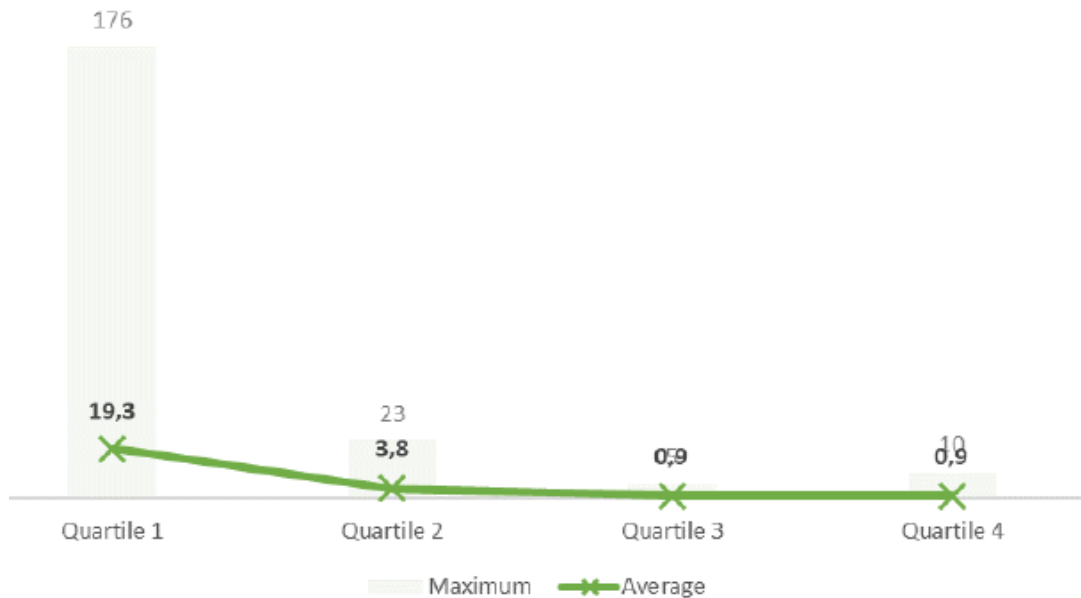
[Download document:](#)

[Associate professor profiles 2017-2019.pdf](#)

Results: 2017-2021 /associate professor/agregat(2)

SCIENCES

Figure 13. Publications⁶ by quartile (average and maximum values)



The main points of the current criteria for publications in article format are:

- That the journals are in the upper quartiles.
 - The length of the article and the number of authors, and the applicant's ranking among authors.
 - Some of the articles must have been published recently.
-
- **Quality**, demonstrated using objective parameters, is more important than the number of publications.

Predatory journals

Setting the agenda in research

Comment

Predatory publishers' latest scam: bootlegged and rebranded papers

Kyle Siler, Philippe Vincent-Lamarre, Cassidy R. Sugimoto & Vincent Larivière

To thwart publishing rackets that undermine scholars and scholarly publishing, legitimate journals should show their workings.



In 2018, the US Federal Trade Commission (FTC) won a US\$50-million ruling against the publisher OMICS for deceptive business practices. The FTC's investigation found that OMICS accepted and published nearly 69,000 articles in academic disciplines with little or no peer review. The judgement against the infamous publisher, located in Hyderabad, India, proved difficult to enforce. But the ensuing stigma still carries a penalty. In the two years after the FTC filed its complaint, the articles OMICS published under its imprint fell by 40%. After all, a publisher with no reputation is preferable to a publisher with a bad one.

Predatory publishers take publication fees without performing advertised services such as archiving, indexing or quality control. They often use outright deception, such as fake editorial boards or impact factors, to appear legitimate. Researchers might submit work to these outlets naively or cynically; even unread or sloppy articles are rewarded by some universities' tenure, hiring and promotion decisions. Often, these unvetted articles attract little attention. However, because they sometimes get harvested by non-selective academic search engines such as Google Scholar, they could be found – and read – as part of the scientific corpus.

A year after the FTC judgement, principal scientific adviser to the Government of India Krishnaswamy VijayRaghavan lamented the difficulty of stamping out the “menace” of predatory publishers. He likened them to the Hydra, the creature of Greek myth that sprouts two heads for each one severed.

To get a better look at this many-headed monster, we constructed a database of publishers that have not been indexed in selective bibliographic databases such as Web of Science or Scopus. Currently, this database, called Lacuna (lacunadbi.io), indexes more than 900,000 papers across 2,300 journals from 10 publishers, a small fraction of the fringe of academic publishing. At present it includes mainly journals that falsely advertise peer review and other scholarly services. However, our long-term goal is to index publications across the legitimacy spectrum, from malicious fakes to scrappy, under-resourced start-ups. Already, our preliminary work has uncovered deceptive practices we hadn't anticipated. OMICS branding has been removed from many titles, for example. And predatory journals are re-issuing – seemingly on their own initiative without any consent – actual, peer-reviewed articles that have been published elsewhere.

Better tracking is one strand of a broader strategy to defeat this Hydra. Other strands are better education and incentives for authors submitting manuscripts, and greater transparency around how legitimate journals vet work.

Buried branding

In 2020, OMICS changed hundreds of URLs and overhauled websites and typesetting to remove references to OMICS. It also introduced a 'Hilaris' brand. Although the titles of the rebranded journals remained listed on the OMICS web pages, mentions of OMICS are absent on the Hilaris web pages, as well

Nature | Vol 598 | 28 October 2021 | 863

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! THINK ✓ CHECK ➤ SUBMIT

Books & Chapters Journals Resources News About 🔍 ⌕ ⌕

Identify trusted publishers for your research

Through a range of **tools** and **practical resources**, this international, cross-sector initiative aims to **educate researchers**, **promote integrity**, and **build trust** in credible research and publications.



Books & Chapters ➤

Journals ➤

! Think

Are you submitting your research to a trusted journal or publisher? Is it the right journal or book for your work?

✓ Check

Use our check list to assess the journal or publisher.

➤ Submit

Only if you can answer 'yes' to the questions on our check list.

<https://thinkchecksubmit.org/>

- > Scientific integrity
- > Lists
- > Ask senior researchers

Assessment of research of university departments (1)



GUIDE TO UNIVERSITY RESEARCH ASSESSMENT AT DEPARTMENT LEVEL

July 2019

- > Combines internal and external evaluation
- > Focus on improvement and advocacy, no link with funding
- > International committees
- > Bibliometric approach
- > KPI: production, impact and excellence

GUIDE TO UNIVERSITY RESEARCH ASSESSMENT AT DEPARTMENT LEVEL

July 2019

Assessment of research of university departments (2)

> Dimensions:

- Context and structure of the department
- Research policy
- Research activity
- Research productivity
- Research teaching interaction
- Internationalisation
- Prospects for future

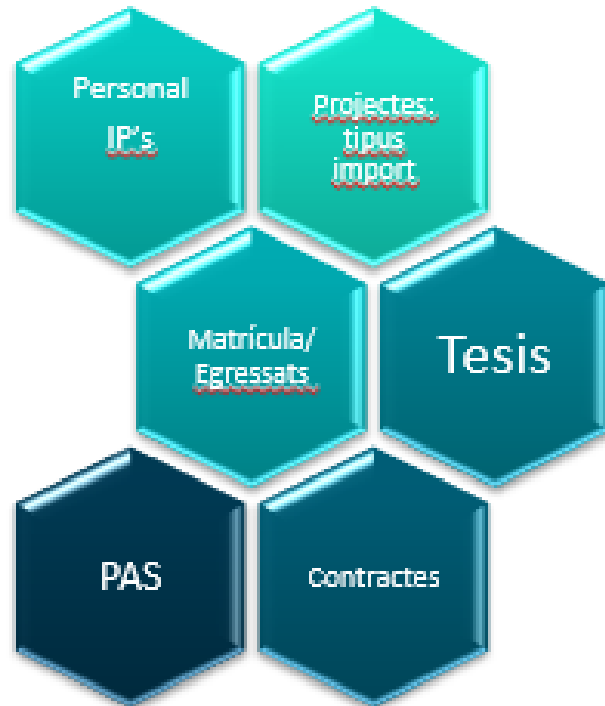
> Standards:

- Productivity
- Quality
- Significance (scientific and social impact)
- Vitality

> Scale: Excellent/ Very Good/ Good/ Poor

Assessment of research of university departments (3)

context data



Font: UNEIX

bibliometric



Font: Scopus

Future challenges (winds of change)

- > AQU has signed DORA /Leiden Manifesto
- > New legislation: promotion of Open Science
- > Evaluation in an open science context... big issue!

Current System (dominant)		Open Science	
Excellence defined largely on the basis of <i>where</i> scientists publish		Composite definition of excellence	
Incentivises researchers to produce specific outputs (<i>mainly publications</i>) and to publish as much and as fast as possible (<i>publish or perish!</i>)	Use of quantitative metrics	Incentivises researchers to share knowledge/data early and openly, to collaborate, and to increase quality and impact; While considering diversity of outputs and research cultures	Use of qualitative and quantitative metrics
Rewarding individual competing scientists - gaining scientific prestige		Rewarding team work, collaboration and sharing to achieve societal impact (e.g. Covid-19)	

Thank you!