



Loughborough  
University

Dr Elizabeth Gadd  
@lizziegadd

Plan S: the beginning, middle or end of  
responsible research evaluation?





## Plan S

# Accelerating the transition to full and immediate Open Access to scientific publications

The key principle is as follows:

**“After 1 January 2020 scientific publications on the results from research funded by public grants provided by national and European research councils and funding bodies, must be published in compliant Open Access Journals or on compliant Open Access Platforms.”**

IN ADDITION:

- Authors retain copyright of their publication with no restrictions. All publications must be published under an open license, preferably the Creative Commons Attribution Licence CC BY. In all cases, the license applied should fulfil the requirements defined by the Berlin Declaration;
- The Funders will ensure jointly the establishment of robust criteria and requirements for the services that compliant high quality Open Access journals and Open Access platforms must provide;
- In case such high quality Open Access journals or platforms do not yet exist, the Funders will, in a coordinated way, provide incentives to establish and support them when appropriate; support will also be provided for Open Access infrastructures where necessary;
- Where applicable, Open Access publication fees are covered by the Funders or universities, not by individual researchers; it is acknowledged that all scientists should be able to publish their work Open Access even if their institutions have limited means;
- When Open Access publication fees are applied, their funding is standardised and capped (across Europe);
- The Funders will ask universities, research organisations, and libraries to align their policies and strategies, notably to ensure transparency;
- The above principles shall apply to all types of scholarly publications, but it is understood that the timeline to achieve Open Access for monographs and books may be longer than 1 January 2020;
- The importance of open archives and repositories for hosting research outputs is acknowledged because of their long-term archiving function and their potential for editorial innovation;
- The ‘hybrid’ model of publishing is not compliant with the above principles;
- The Funders will monitor compliance and sanction non-compliance.

# Roadmap

- Research evaluation – the root of all evils?
- Doing research evaluation well
- Who is responsible for responsible evaluation?
- Responsible research evaluation – the fix for a broken scholarly communication system?
- Plan S – the route to responsible research evaluation?
- Does Plan S have what it takes?

# If research evaluation is the answer, what is the question?

- How do you improve the reproducibility of research?
- How do we encourage greater equality and diversity amongst research communities?
- How can we enable greater global collaboration?
- How do we encourage blue skies thinking and creative problem-solving in academia?
- How do we protect the mental health of academia's most precious resource?

Munafò, Marcus R., et al.  
 2017. "A Manifesto for  
 Reproducible Science."  
*Nature Human Behaviour* 1  
 (1): 1–9.  
<https://doi.org/10.1038/s41562-016-0021>.

**Table 1 | A manifesto for reproducible science.**

Theme	Proposal	Examples of initiatives/potential solutions (extent of current adoption)	Stakeholder(s)
Methods	Protecting against cognitive biases	All of the initiatives listed below (* to ****) Blinding (**)	J, F
	Improving methodological training	Rigorous training in statistics and research methods for future researchers (*) Rigorous continuing education in statistics and methods for researchers (*)	I, F
	Independent methodological support	Involvement of methodologists in research (**) Independent oversight (*)	F
	Collaboration and team science	Multi-site studies/distributed data collection (*) Team-science consortia (*)	I, F
Reporting and dissemination	Promoting study pre-registration	Registered Reports (**) Open Science Framework (*)	J, F
	Improving the quality of reporting	Use of reporting checklists (**) Protocol checklists (*)	J
	Protecting against conflicts of interest	Disclosure of conflicts of interest (***) Exclusion/containment of financial and non-financial conflicts of interest (*)	J
Reproducibility	Encouraging transparency and open science	Open data, materials, software and so on (* to **) Pre-registration (**** for clinical trials, * for other studies)	J, F, R
Evaluation	Diversifying peer review	Preprints (* in biomedical/behavioural sciences, **** in physical sciences) Pre- and post-publication peer review, for example, Publons, PubMed Commons (*)	J
Incentives	Rewarding open and reproducible practices	Badges (*) Registered Reports (*) Transparency and Openness Promotion guidelines (*) Funding replication studies (*) Open science practices in hiring and promotion (*)	J, I, F

Estimated extent of current adoption: \*, <5%; \*\*, 5–30%; \*\*\*, 30–60%; \*\*\*\*, >60%. Abbreviations for key stakeholders: J, journals/publishers; F, funders; I, institutions; R, regulators.

<https://africanarguments.org/2018/07/30/shocking-absence-global-south-scholars-international-journals/>

HOME

COUNTRY

POLITICS

ECONOMY

SOCIETY

CULTURE

RED SEA

SOCIETY TOP STORY

## The shocking absence of Global South scholars in international journals

BY PEACE A. MEDIE & ALICE J. KANG / JULY 30, 2018 / 5

SHARE:



*Analysis of four leading journals found that less than 3% of articles were by writers in the Global South.*



<https://www.theguardian.com/science/2013/dec/09/nobel-winner-boycott-science-journals>

# Nobel winner declares boycott of top science journals

Randy Schekman says his lab will no longer send papers to Nature, Cell and Science as they distort scientific process



▲ Randy Schekman, centre, at a Nobel prize ceremony in Stockholm. Photograph: Rob Schoenbaum/Zuma Press/Corbis

Leading academic journals are distorting the scientific process and represent a "tyranny" that must be broken, according to a Nobel prize winner who has declared a boycott on the publications.

Randy Schekman, a US biologist who won the [Nobel prize in physiology or medicine](#) this year and receives his prize in Stockholm on Tuesday, said his lab would no longer send research papers to the top-tier journals, Nature, Cell and Science.

Schekman said pressure to publish in "luxury" journals encouraged researchers to cut corners and pursue trendy fields of science instead of doing more important work. The problem was exacerbated, he said, by editors who were not active scientists but professionals who favoured studies that were likely to make a splash.

## Academics 'face higher mental health risk' than other professions

Lack of job security, limited support from management and weight of work-related demands on time among risk factors

August 22, 2017



By [Holly Else](#)

Twitter: [@HollyElse](#)





## Why the audit culture made me quit

When Liz Morrish opened up to students about the pressures academics are under, disciplinary proceedings culminated in her resignation. She reflects on why she chose to tackle the failings of the neoliberal academy from the outside

March 2, 2017

By [Liz Morrish](#)

Twitter: [@lizmorrish](#)

In the UK, much of the rush to management by metrics is in response to shifting government incentives and policy changes, which, fed through the mechanism of the research excellence framework, affect institutional priorities, reputations and funding levels. Many of these metrics are quite outside the control of academics. Nevertheless, they have been weaponised as tools of performance management, and the very nature of the scrutiny creates a hostile environment for academic freedom.

# Imperial College professor Stefan Grimm 'was given grant income target'

Emails with manager reveal details of review placed on academic found dead in September

December 3, 2014



By [Chris Parr](#)

Twitter: [@ChrisParrTHE](#)



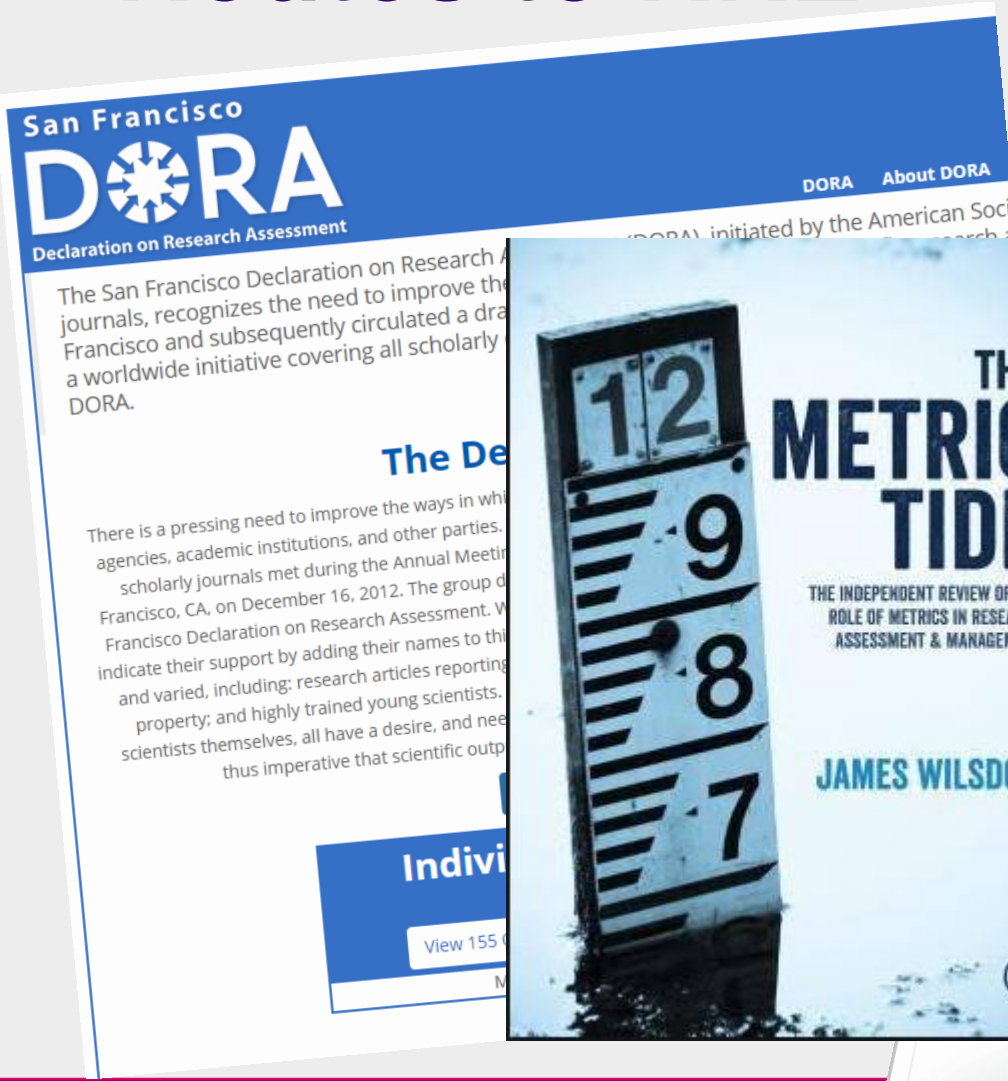
**“California is burning. The Arctic is melting. Our species, without any ambiguity, is precipitating it’s own extinction. Do you honestly think that our current crop of politicians, our explorers, artists or rock stars, are going to save us? No. The scientists are the only hope for the future.”**



# Responsible research evaluation (RRE) is not just about being nice

- RRE leads to better decisions:
  - Comparing SSH with STEM on citation counts...
  - Comparing early & late-career academics on h-index...
  - Judging anyone by their ResearchGate score...
  - ...just isn't going to lead to a sensible decision, let alone a fair one.

# Routes to RRE



San Francisco  
**DORA**  
Declaration on Research Assessment

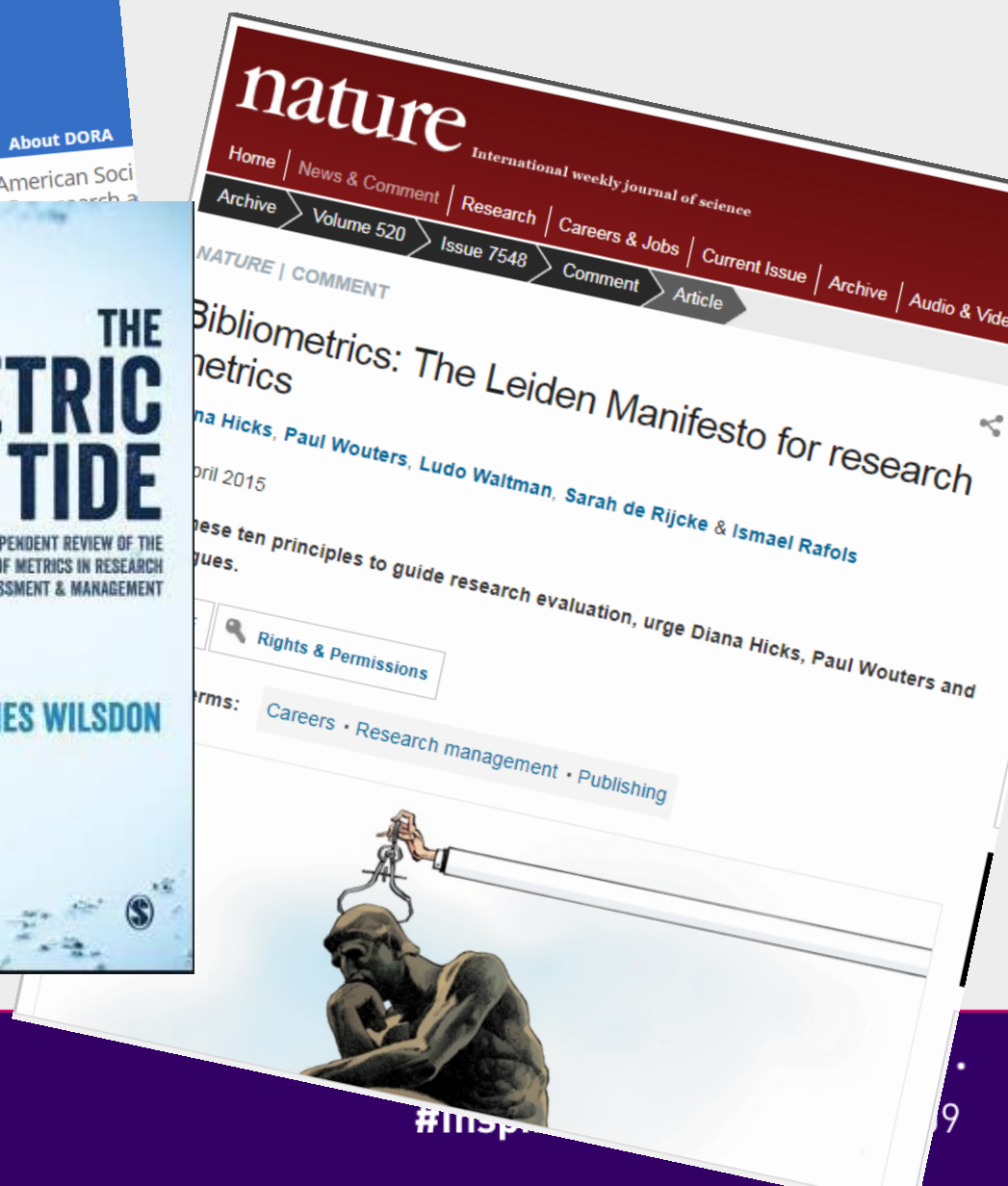
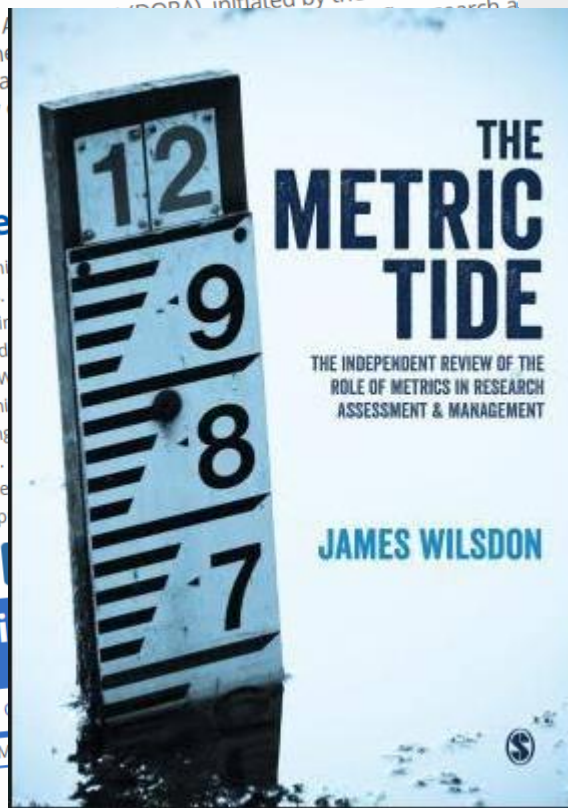
DORA About DORA

The San Francisco Declaration on Research Assessment (DORA), initiated by the American Sociological Association, recognizes the need to improve the ways in which scholarly journals met during the Annual Meeting in San Francisco, CA, on December 16, 2012. The group of scientists themselves, all have a desire, and need to indicate their support by adding their names to this list, and varied, including: research articles reporting research results; highly trained young scientists; and highly trained young scientists. Thus imperative that scientific output be improved.

## The Declaration

There is a pressing need to improve the ways in which scholarly journals met during the Annual Meeting in San Francisco, CA, on December 16, 2012. The group of scientists themselves, all have a desire, and need to indicate their support by adding their names to this list, and varied, including: research articles reporting research results; highly trained young scientists; and highly trained young scientists. Thus imperative that scientific output be improved.

Indivi  
View 155



**nature**  
International weekly journal of science

Home | News & Comment | Research | Careers & Jobs | Current Issue | Archive | Audio & Video

Archive | Volume 520 | Issue 7548 | Comment | Article

NATURE | COMMENT

## Bibliometrics: The Leiden Manifesto for research metrics


by Diana Hicks, Paul Wouters, Ludo Waltman, Sarah de Rijcke & Ismael Rafols

April 2015

These ten principles to guide research evaluation, urge Diana Hicks, Paul Wouters and others.

Rights & Permissions

Terms: Careers • Research management • Publishing



#insp





## Future of Scholarly Publishing and Scholarly Communication

"nothing will do more to foster change in accordance with the principles set out in this report than concerted work and **institutional change** in the area of rewards and incentives"



# Who's responsible for responsible research evaluation?

- Publishers
- University rankings
- Citation benchmarking tools
- Research funders
  - Including national research evaluation schemes
- ...but it mainly ends up being seen as the responsibility of HEIs

# Publishers



PROFESSIONAL JOBS SUMMITS RANKINGS

## Linking impact factor to 'open access' charges creates more inequality in academic publishing

Simply adding an 'open access' option to the existing prestige-based journal system at ever increasing costs is not the fundamental change publishing needs, says Bianca Kramer and Jeroen Bosman

May 16, 2018

# Use of AI to boost JIFs

**Meta<sup>α</sup>** for Publishers

---

## Meta's Bibliometric Intelligence pinpoints high impact manuscripts the moment they are submitted.

Meta uses deep predictive analytic profiling to pre-triage and rank manuscripts for a given journal or portfolio. Advanced machine intelligence algorithms also suggest potential reviewers and key references missed by authors.



### Article Trajectory

Pinpoint high impact manuscripts the moment they are submitted and project the post-publication citation performance against an entire journal roster.



### Intelligent Cascading

Cascade publishable manuscripts to more appropriate journals within a catalogue, and control the future impact factor of a journal by increasing the flow of projected high impact manuscripts.



### Citation Enrichment

Quickly identify key papers that should be included in the citation list to enhance manuscripts and assist editors.



### Optimal Reviewers

Automatically assign optimal reviewer combinations based on their career-stage, prominence, separation, and domain.

# University rankings



## Indicators and Weights for ARWU

Criteria	Indicator	Code	Weight
Quality of Education	Alumni of an institution winning Nobel Prizes and Fields Medals	Alumni	10%
	Staff of an institution winning Nobel Prizes and Fields Medals	Award	20%
Quality of Faculty	Highly cited researchers in 21 broad subject categories	HiCi	20%
	Papers published in Nature and Science*	N&S	20%
Research Output	Papers indexed in Science Citation Index-expanded and Social Science Citation Index	PUB	20%
	Per Capita Performance	PCP	10%
Total			100%

\* For institutions specialized in humanities and social sciences such as London School of Economics, N&S is not considered, and the weight of N&S is relocated to other indicators.



# Citation benchmarking tools

Cox, Brian E.

 University of Manchester ... [Show all affiliations](#) | [View this Researcher in Scopus](#) <sup>↗</sup> | [Why do the metrics look different to those in Scopus?](#) <sup>↗</sup>

2014 to >2018



no subject area filter selected



ASJC



[Data sources](#)

Summary

Topics

Collaboration

Published

Viewed

Cited

Economic Impact

[+ Add Summary to Reporting](#) [Export](#) 

## Overall research performance

[+ Add to Reporting](#)

Scholarly Output 

36


 [View list of publications](#)

Field-Weighted Citation Impact 

3.52

Citation Count 

966

Citations per Publication 

26.8

*h*-index

70

*h5*-index 

33

# Funders

## Croatian Science Foundation (2018):

Guide to reviewers

RESEARCH PROJECTS (IP-01-2018)  
2nd Round Evaluation Criteria (B)  
Peer Review

To what extent is the proposed methodology appropriate and up-to-date?	1-5
<i>Please describe the project proposal feasibility briefly.</i>	
<i>Total</i>	

<b>PRINCIPAL INVESTIGATOR'S QUALITY</b>	Grade (1-5)
What is the total scientific and professional contribution of the Principal Investigator in the research area?	1-5
What is the production of the Principal Investigator in the last 5 years in the context of publishing papers in journals with an IF larger than average in a particular area or in high-quality journals (if the project proposal is submitted in area of social sciences and humanities)?  Does the Principal Investigator have several publications in leading international journals in the area of research in which he is the lead or corresponding author, in the first quartile of the finest journals in the observed scientific area according to Web of Science database or registered patent(s)?	1-5

# National research evaluation schemes

The Research Council of Norway

APPLY FOR FUNDING NEWS EVENTS POLICY AND STRATEGY INTERNATIONAL FOR INDUSTRY T

You are here: Home page > Policy and strategy > Evaluations > Institute evaluations

POLICY AND STRATEGY

- Strategy plans
- Priority initiatives for 2018
- The institute sector
- Evaluations**
  - Subject-specific evaluations
  - Institute evaluations**
  - Evaluation of the Research Council's own activities
  - Evaluation of political reforms

## Institute evaluations

The Research Council is responsible for conducting evaluations of the research institutes that receive public basic funding via the Coun

## REF 2021

Research Excellence Framework

Home Publications News

## Research Excellence Framework

The REF is the system for assessing higher education institutions.

Search the REF website

## anvur

ITALIAN NATIONAL AGENCY FOR THE EVALUATION OF UNIVERSITIES AND RESEARCH INSTITUTES

Home Agency Activities Contacts

## Highlights

**Publicazione Resoconto delle attività nel 2018 e Giornata della Trasparenza**

📅 08/02/2019

Da oggi, 8 febbraio 2019, è disponibile nel sito dell'Agenzia il Resoconto delle attività dell'ANVUR nel 2018. Il prossimo 12 febbraio, tra le 10.30 e le 12.30, presso la nostra sede, si terrà la Giornata della Trasparenza dell'ANVUR. È un'occasione preziosa per un confronto con i principali interlocutori istituzionali

# Effectiveness of national level response

← → ↻ 🔒 Universities UK [GB] | https://www.universitiesuk.ac.uk/policy-and-analysis/research-policy/open-science/Pa



Home About us Facts and stats Policy and analysis Our work in parliament News and blog Ev

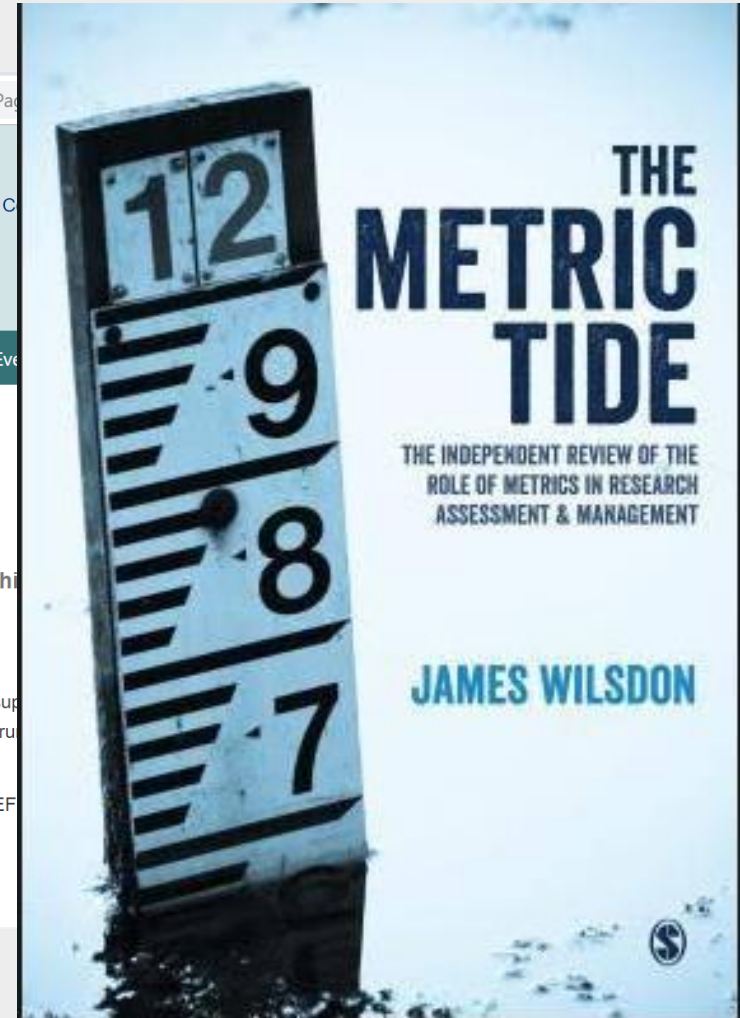
Home > Policy and analysis > Research policy > Open science > The UK Forum for Responsible Research Metrics

## The UK Forum for Responsible Research Metrics

A group of research funders, sector bodies, and infrastructure experts are working in partnership to promote the responsible use of research metrics.

The Forum for Responsible Research Metrics, chaired by Professor Max Lu (Vice-Chancellor at the University of Surrey), supports the responsible use of research metrics in higher education institutions and across the research community in the UK. The Forum has a programme of activities, including:

- Advice to the higher education funding bodies on quantitative indicators in the Research Excellence Framework (REF)
- Advice on, and work to improve, the data infrastructure that underpins metric use
- Advocacy and leadership on the use of research metrics responsibly



# Unspecified credit for doing research metrics responsibly in REF

## Annex B: example indicators (REF5a/b)

### Indicators for the institutional-level statement (REF5a)

1. The indicators for REF5a set out below can be drawn on, as relevant, to support information about the institution's research environment. Institutions should reference the 'Guidance on submissions' Part 3, Section 5 and the 'Panel criteria' Part 3, Section 4, for information about how REF5a will be assessed.

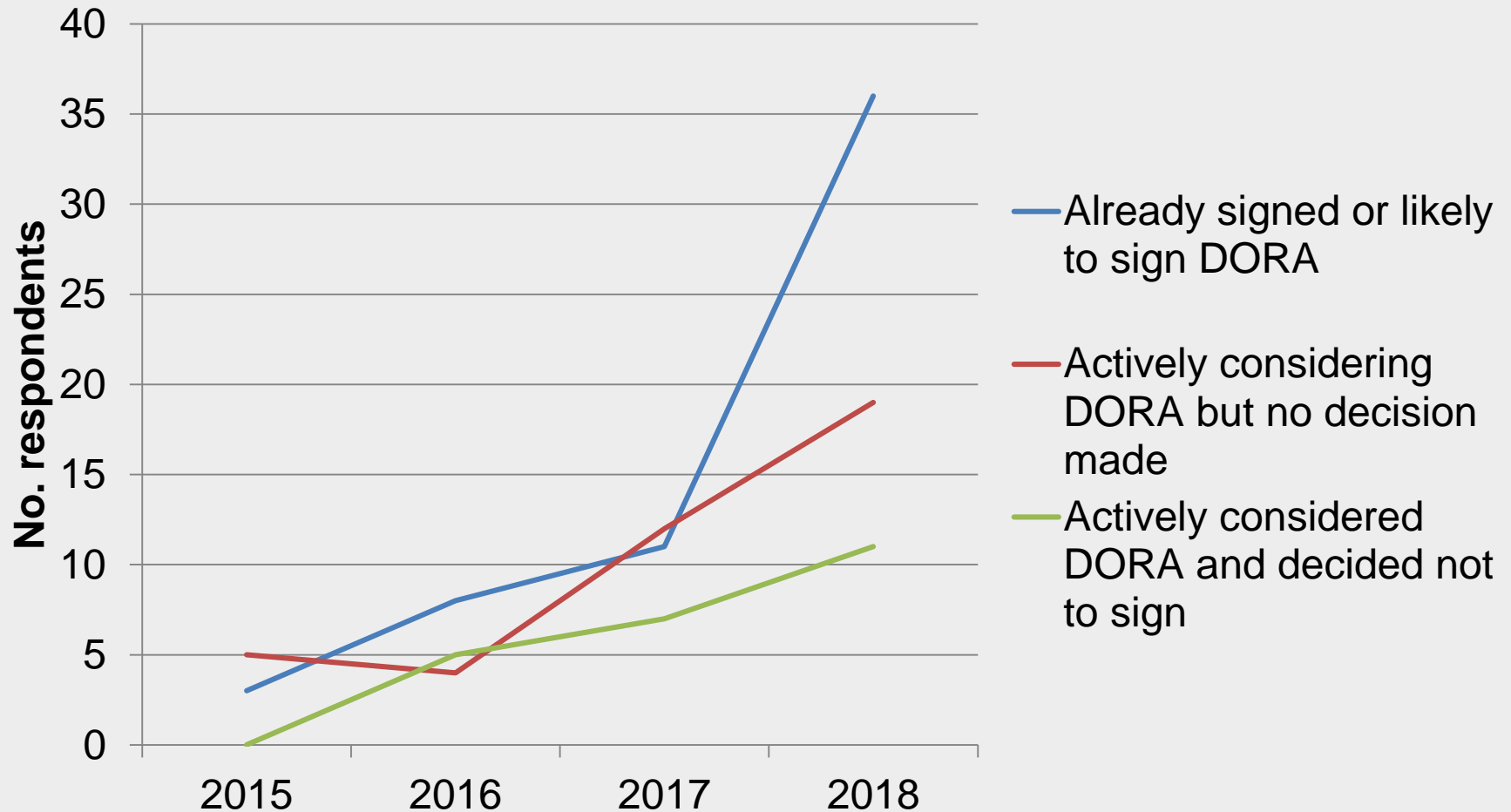
### Strategy

Table 2

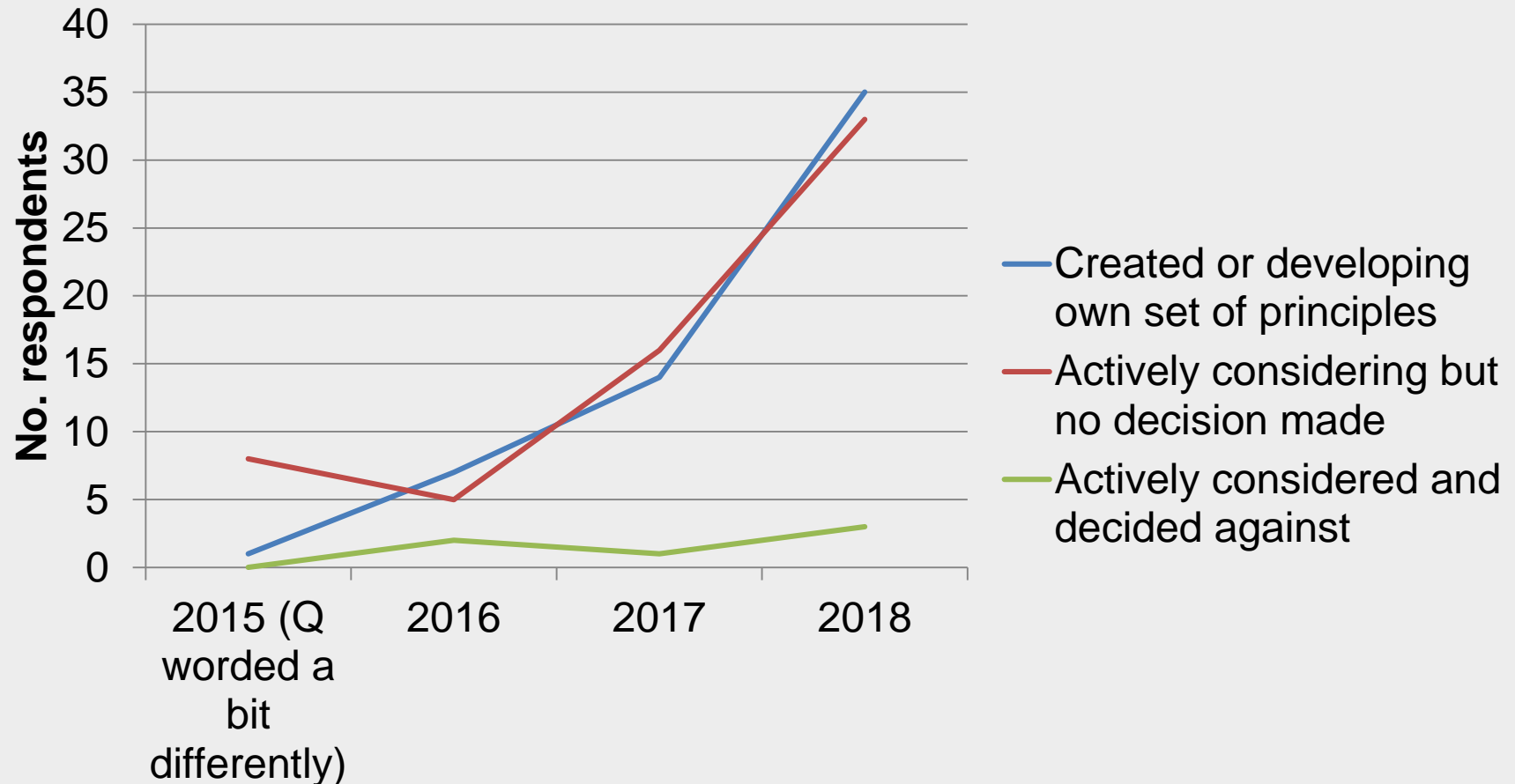
Indicator	Indicator definition	Notes
Open data	[Compliant / working towards compliance] with the Concordat on Open Research Data at institution level	
Responsible use of metrics in research evaluation	[Commitment to] responsible use of metrics, as evidenced by (for example) signing the San Francisco Declaration on Research Assessment at institution level or the Leiden manifesto	
Use of metrics in research evaluation	[Have] a policy on the use of research metrics for research assessment at institutional level	
Research integrity	[Compliant] with the Concordat to support Research Integrity at institution level	Compliance with the concordat to support research integrity is a condition of grant in English institutions. Institutions can explain in the narrative how they reach compliance.



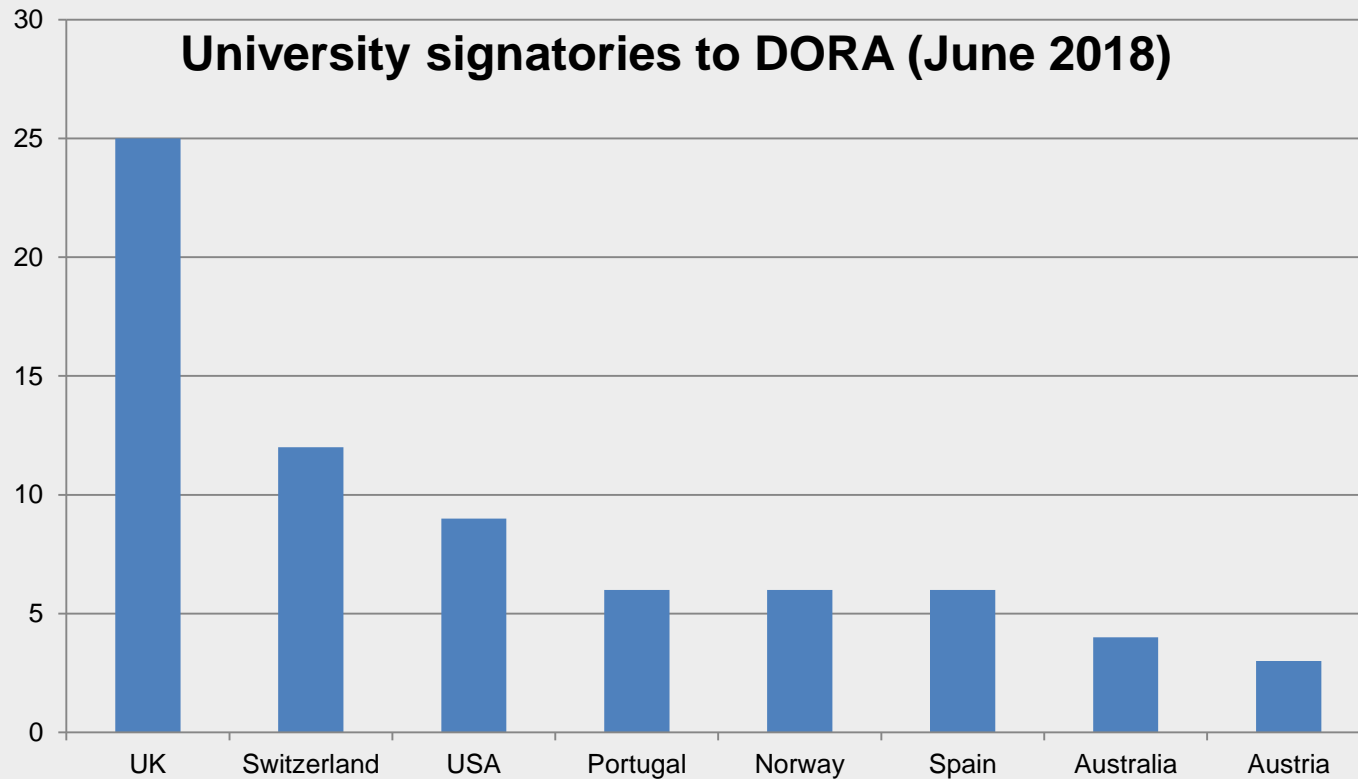
# Response to DORA



# Statements on responsible metrics



# International response to DORA



# China



PROFESSIONAL JOBS SUMMITS RANKINGS ST

## Cash-for-publications is 'common practice'

Lucrative offer to secure professor's journal papers has  
used to distort university rankings

'ethical' contracts

## Chinese scholars 'win up to £127,000' for papers in top journals

Analysis reveals extent of reward system for international publications, which could be distorting scientific incentives

nature

Home | News & Comment | Res

Archive | Volume 547 | Issue 7662

NATURE | EDITORIAL

## Don't pay prizes for published science

China and other countries should look again at how they pay bonuses a...  
that are based on individual research papers.

07 July 2017

#InspiringWinners since 1909

# Indonesia's scientists voice concerns about the country's researcher ranking system

Critics flag unclear methodology, lack of credit for research contributions other than publications

by **Dalmeet Singh Chawla**

DECEMBER 31, 2018



Sinta Indonesia

HOME

ABOUT

AUTHORS

SUBJECTS

AFFILIATIONS

SOURCES

REGISTRATION

FAQ

Authors



152,363

Authors

Verified in Sinta



Professors



Assoc. Professors



Senior Lecturers



Lecturers

Search...



1

2

3

4

5



Page 1 of 15237 | Total Records : 152363

Author

3 Year Score

All Year Score



**DINA NUR ANGGRAINI NINGRUM**

Universitas Negeri Semarang

NIDN /NIP/NIDK : 0011098101

Scopus<sup>®</sup> H-Index : 11 | Google H-Index : 13 |

58.82  
Since 2017

59.61  
Overall Score



**SUHARYO SUMOWIDAGDO**

Lembaga Ilmu Pengetahuan Indonesia

NIDN /NIP/NIDK :

Scopus<sup>®</sup> H-Index : 28 | Google H-Index : 132 |

52.84  
Since 2017

97.55  
Overall Score



# Australia

CAMPUS MORNING MAIL  
Hard Facts and Insider Analysis from Stephen Matchett

[Home](#) [Advertise](#) [Archives](#) [Features](#)

[Subscribe](#)

## THE PEOPLE YOU NEED READ CAMPUS MORNING MAIL

Opinion makers and policy shapers get their university news from Campus Morning Mail. Make sure they read yours. Ask us how.

CAMPUS MORNING MAIL

CLICK FOR OUR

[MEDIA KIT](#)



## Union calls on UNSW to hold new research metrics for more consultation

January 16, 2019

[in](#) | [SHARE](#)

[TWEET](#)

[EMAIL](#)

Proposed research metrics for UNSW continue contentious. Last year the university proposed performance measures, which PVC Academic Excellence Anne Simmons said met staff demand for “a more formal quantitative way to measure what ‘good’ looks like in



*"The unexamined life is not worth living."  
Socrates in Plato's Apology 38a*

Staff Number  
Password

**Publication Points**

Publications are imported from the UWA Research Repository, which is administered by the Library. Only audited publications are assigned points.

Publications	Points
A1 Book	12 Points
B1 Book Chapter	1
C1 Journal Article (WOS Science Citation Index Only)	2
C1 Journal Article (Science Citation Index and Social Science/Humanities Index)	3
C1 Journal Article (Social Science/Humanities Citation Index only)	4
C1 Journal Article non-indexed	1
E1 Refereed Conference Paper	1
Additional Bonus: Article is in the top 20% Journals (WOS JCR used)	1
Nature or Science Article	6 (including top 20% bonus)
D Review Article indexed in WOS Science Citation Index and/or Social Science/Humanities Index	1
P Research Report for an external body	3
Fs Creative Original Works (all Fs .1)	5
Fs Creative Original Works (all Fs .2)	1

## **Socrates Research Quality Management System.**

The Socrates has been designed to gather data from a variety of UWA databases in order to present information required by the Commonwealth Government for the Excellence in Research Australia exercise (ERA).

The following UWA databases feed data into Socrates:

- UWA Publications Database
- InfoED (UWA Grant Applications Database)
- Callista (Student Information Management System)
- Alesco (Human Resources Database)
- Unit Information Management System

Socrates also draws citation data from Clarivate Analytics' Web of Science and Incites, as well as from Scopus. The JIF for journals is sourced annually from Clarivate Analytics' Journal Citation Report.

### **The Socratic Index (SI III)**

Socrates integrates data from multiple authoritative data sources so that the data can be searched and sorted. It also calculates a "Socratic Index" (SI) or performance measure for researchers using research performance data.

Socrates provides information for all staff considered current on the HR system. This includes adjuncts, honorary and general staff. All data in Socrates is updated daily, except citations which update weekly. However, the SI is calculated annually following the UWA Publication audit.



USA

#News

## Refusing to Be Measured

Rutgers professors vote a second time to seek access to and limits on use of data from Academic Analytics -- as faculty advocates vow to take such criticism to other campuses.

By Colleen Flaherty // May 11, 2016

12 COMMENTS

The faculty of the Graduate School at Rutgers University in New Brunswick took a stand against Academic Analytics on Tuesday, resolving that administrators shouldn't use proprietary information about faculty productivity in decisions about divvying up resources among departments, or those affecting the makeup of the faculty, graduate teaching assignments, fellowships and grant writing. They also demanded to view their personal data profiles by Sept. 1. The vote was 114 to 2.

The new resolution is similar to one passed by the faculty of the School of Arts and Sciences in December, in that it expresses concern about the accuracy of the Academic Analytics data and the implications for academic freedom. Rutgers signed a nearly \$500,000 contract with the data-mining company in 2013, in exchange for information about the scholarly productivity of individual professors and academic units and how they compare to those at peer institutions. Yet some faculty members who have seen their personal profiles -- an opportunity most



# Fixing research evaluation has to be a global enterprise

- Irresponsible research evaluation is a global phenomenon
- Fixing it is going to take a global effort
- INORMS Research Evaluation WG
- Plan S



PUSHING  
THE FRONTIERS  
OF INNOVATIVE  
RESEARCH

ADVICE PAPER  
NO.24 - MAY 2018

# Open Science and its role in universities:

ole in universities

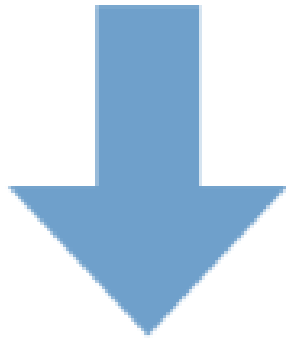
research. In order for these goals to be achieved, universities should align their assessment, reward and evaluation systems with Open Science developments.<sup>9</sup>



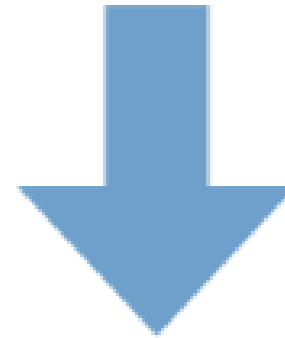
Loughborough  
University

.....  
#InspiringWinners since 1909

**Open Science =  
(Open Outputs + Open Infrastructure) x Cultural Change**



**Access, reuse &  
discoverability**



**Evaluation & researcher  
behaviour**

Author: Catriona McCallum



# Recommendation on access to and preservation of Scientific Information

Commission Recommendation of 25 April 2018 on access to and preservation of scientific information

31.5.2018

EN

Official Journal of the European Union

L 134/17

- the quality and reliability of the infrastructure are ensured, including through the use of widely recognised certification mechanisms, specifications and standards,
- researchers have an increased access, in a transparent and non-discriminatory manner, to research resources and services for storing, managing, analysing, sharing, and re-using scientific information, including through the EOSC, when available,
- through the use of additional indicators and metrics, infrastructures are fit to collect information that underpins the monitoring and assessment of openness and open science as well as of research and career evaluation.



*Open Scholarship Initiative Proceedings*, Volume 2, 2017, issn: 2473-6236  
doi: <http://dx.doi.org/10.13021/G8osi.1.2017.1928>

---

## **Promotion & Tenure Reform Workgroup Report**

*Promoting openness in professional advancement practices*

*Cheryl Ball, Kim Barrett, Peter Berkery, Jessica Clemons, Sheree Crosby, Holly J. Falk-Krzesinski, Stacy Konkiel*

### **Abstract**

The remit of the [Open Scholarship Initiative](#) 2017 Promotion & Tenure Reform workgroup clearly connected researchers' personal publishing choices to the oft-traditionalist system of promotion and tenure in the United States, wherein researchers feel compelled to publish in toll access journals or monographs if they wish to achieve tenure, win grants, receive awards, or otherwise advance professionally. Other professional advancement systems worldwide, such as university hiring, contract renewals and government and foundation grantmaking processes similarly reinforce the primacy of toll access research formats. Hiring practices were of concern for our workgroup, given the increasing "adjunctification" and precarious state of tenured university posts in the United States. Due to these parallels, the Reform workgroup expanded our charge to consider hiring, grants, and other professional advancement scenarios common to researchers' concerns worldwide.





# Mutual Learning Exercise

## Open Science: Altmetrics and Rewards

Horizon 2020 Policy Support Facility

MLE participants agreed that small fixes are not enough: implementing Open Science requires **systemic and comprehensive change in science governance and evaluation**. Crucial for a successful transition to Open Science will be strategic and paradigmatic shifts in the incentives and reward systems.

# Two ways to fix research evaluation (and thereby usher in OS)

1. Don't judge output quality based on the outlet it's published in (e.g. through the JIF)
2. Introduce new measures of quality and openness instead.

And this is the Plan S approach,

# Route 1:

“COAlition S supports the intentions of the San Francisco Declaration on Research Assessment (DORA) that **research needs to be assessed on its own merits** rather than on the basis of the venue in which the research is published. cOAlition S members intend to sign DORA and implement those requirements in their policies.”

*Plan S Implementation Guidance*

# Route 2:

“The Funders will monitor compliance and sanction non-compliance”

*10<sup>th</sup> principle of Plan S*



# What will this mean in practice?

**W**  
wellcome

Funding What we do About us News

Scheme finder Funding guidance Develop your research career

## Open access policy

Published outputs that arise from our funding must be open and accessible to everyone

From 1 January 2020  
Read our [explainer](#) at  
[frequently asked que](#)  
changes.

8. Wellcome is committed to making sure that when we assess research outputs during funding decisions we will consider the intrinsic merit of the work, not the title of the journal or publisher.

All Wellcome-funded organisations must publicly commit to this principle. For example, they can sign the [San Francisco Declaration on Research Assessment](#), [Leiden Manifesto](#) or equivalent. We may ask organisations to show that they're complying with this as part of our organisation audits.

9. Researchers and organisations who do not comply with this policy will be subject to appropriate sanctions. These may include Wellcome:
  - not accepting new grant applications
  - suspending funding to organisations in extreme cases.

# So that's good news right?

- In principle, yes!
- In practice, some challenges

# Challenges with Route 1: RRE mandates

- **Are you being asked to promise or prove your commitment?**
- Are you actually publicly committing to valuing research on it's merits by signing DORA & the Leiden Manifesto?
- Is it even possible to tell organisations what principles to hold?

# Promise or prove?

8. Wellcome is committed to making sure that when we assess research outputs during funding decisions we will consider the intrinsic merit of the work, not the title of the journal or publisher.

All Wellcome-funded organisations must publicly commit to this principle. For example, they can sign the [San Francisco Declaration on Research Assessment](#), [Leiden Manifesto](#) or equivalent. We may ask organisations to show that they're complying with this as part of our organisation audits.

9. Researchers and organisations who do not comply with this policy will be subject to appropriate sanctions. These may include Wellcome:
  - not accepting new grant applications
  - suspending funding to organisations in extreme cases.

# DORA & Leiden Manifesto: bad metrics?

## Bad Metrics

*The Metric Tide* steering group has set up this website as a forum for ongoing discussion of the issues raised by our review. We want to celebrate and encourage responsible uses of metrics and indicators but also name and shame bad practices when they occur.

We encourage researchers, administrators, managers, publishers and other interested stakeholders, to send us examples of good or bad design and application of metrics and quantitative indicators across the research system.

Adapting the approach taken by the Literary Review's "[Bad Sex in Fiction](#)" award, every year we will award a **Bad Metric** prize to the most egregious example of an inappropriate use of quantitative indicators in research management.

# Challenges with Route 1: RRE mandates

- Are you being asked to promise or prove your commitment?
- Are you actually publicly committing to valuing research on it's merits by signing DORA & the Leiden Manifesto?
- **Is it even possible to tell organisations what principles to hold?**



# Challenges with Route 2: measuring openness

- **Openness and quality are not the same thing**
- Measuring both leads to double the metrics
- Is openness mature enough to be measured?
- Wasn't openness supposed to be it's own reward?

“Open science is just good science”.  
(Always?)

“Closed science is bad science”.  
(Really?)

“If it’s not open, is it really research?”  
(Erm, yes?)



**Janne Pölönen**

@PolonenJanne

Follow



Today the Finnish Government approved core-funding model for universities for the period 2021-2024, including 1.2 extra-weight for openly available peer-reviewed outputs. [#openaccess](#) Background info on the Finnish publication indicator: [doi.org/10.2478/jdis-2](https://doi.org/10.2478/jdis-2)

...

**Janne Pölönen** @PolonenJanne

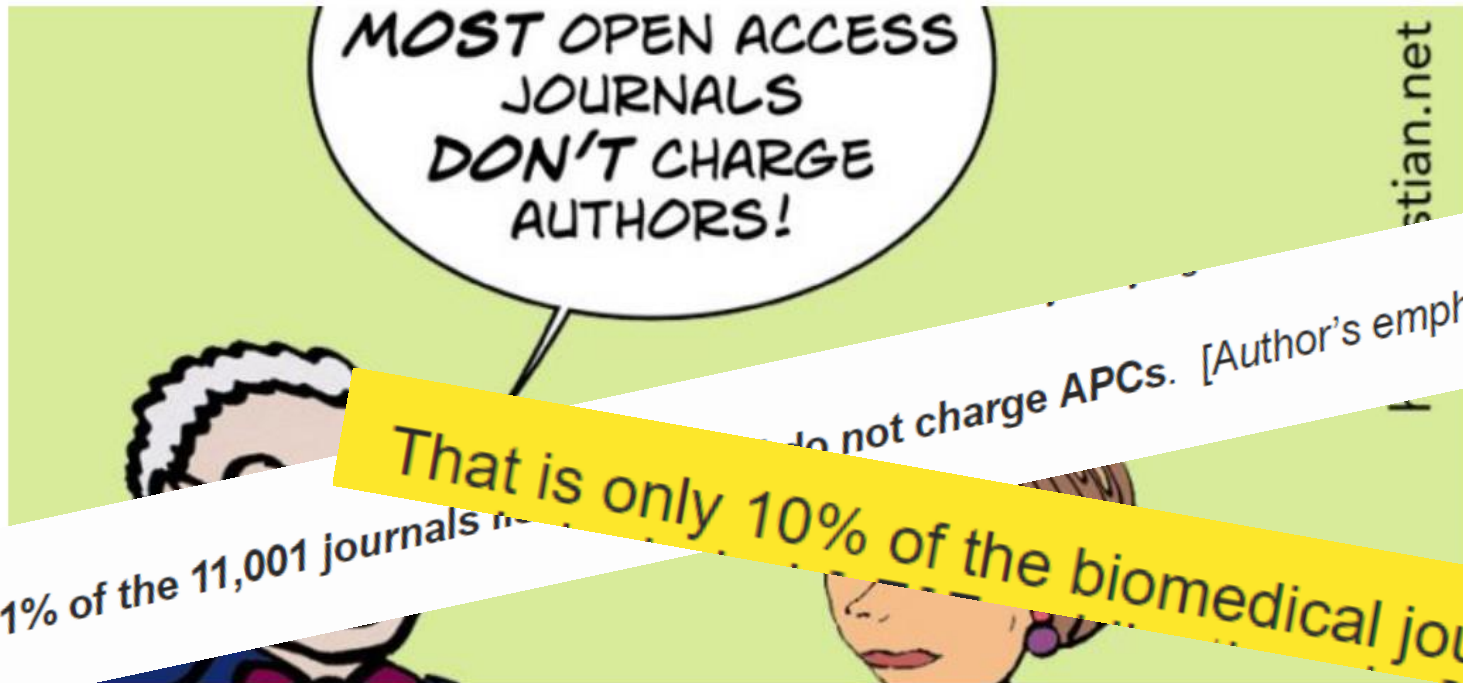
Plans to make openly available peer-reviewed articles and books 20 % more valuable than closed ones in a publication indicator (based on quality index of journals and book publishers) allocating 14 % of core funding annually to Finnish universities [minedu.fi/artikkeli/-/as...](https://minedu.fi/artikkeli/-/as...)

# Challenges with Route 2: measuring openness

- Openness and quality are not the same thing
- **Measuring both leads to double the metrics**
- Is openness mature enough to be measured?
- Wasn't openness supposed to be it's own reward?

# Challenges with Route 2: measuring openness

- Openness and quality are not the same thing
- Measuring both leads to double the metrics
- **Is openness mature enough to be measured?**
- Wasn't openness supposed to be it's own reward?



## A Reality Check on Author Access to Open Access Publishing

Posted April 2, 2018 by Hilda Bastian in Science Communication

# Challenges with Route 2: measuring openness

- Openness and quality are not the same thing
- Measuring both leads to double the metrics
- Is openness mature enough to be measured?
- **Wasn't openness supposed to be its own reward?**



# Plan S: the beginning, middle or end of responsible research evaluation?

# The beginning?

- Plan S explicitly mandates RRE for the first time
- It might initiate engagement with the broader RRE agenda for many HEIs
- It may have an effect on National Research Evaluation Schemes such as Norway and Finland's

# The middle?

- Calls for RRE are not new (DORA 2012)
- Plan S-type mandates are a step on the journey
  - a milestone?
  - A game changer?
- But not the beginning and perhaps not the final word

# The end?

- Is Plan S the end of voluntary engagement with RRE?
- IF RRE becomes a compliance issue, will it result in a tick-box culture?
- Is RRE ONLY about measuring research based on intrinsic merits?

# Other opportunities to do research evaluation badly

- University KPIs based on rankings
- Collaboration indicators for non-collaborating disciplines
- Use of h-index for assessing grant proposals
- Doing appraisal, promotion and recruitment based on citation performance and income generation
- Need I go on?

# The end?

- Is Plan S the end of voluntary engagement with RRE?
- IF RRE becomes a compliance issue, will it result in a tick-box culture?
- Is RRE ONLY about measuring research based on intrinsic merits?
- **Is measuring research on its intrinsic merits (through peer review) any better than metrics?**

# PEER REVIEW WATCH

Peer-review is the gold standard of science. But as the number of retractions has made academics and journalists alike start questioning the peer-review process, one researcher has taken a look at it.

Medical Republic

CLINICAL ▾

THEHILL ▾

KNOWCENTS ▾

REI

1 MARCH 2016

## THE GOLD STANDARD: WHAT YOU SHOULD KNOW ABOUT PEER REVIEW

### When is Peer Review the Gold Standard, and When is it Only Tin?

Published on *October 22, 2016* by *Tony Waters*

ceOPEN.com  
publishing network

In: Peer Review ▾

### A new gold standard of peer review is needed

September 29, 2017 \* Author: Jon Tennant



Loughborough University

#InspiringWinners since 1909



## The publication game leads to trivial pursuits

Growing pressure to publish only in elite tier ignores the vital importance of lesser-ranked titles to academia and society, says Adam Graycar

August 23, 2018



By [Adam Graycar](#)



”I recently was told about a rising star in a US university who proudly told her colleague that she rejected **all** the articles that came her way because she did not want her competitors to get ahead.”



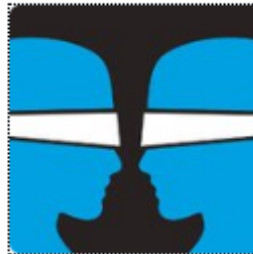
**Alex@nder Grossmann**

@SciPubLab

Following



Effectiveness of Anonymization in Double-Blind [#PeerReview](#) Study: reviewers with author information were 1.76x more likely to recommend acceptance of papers from famous authors, and 1.67x more likely to recommend acceptance of papers from top institutions.



**Effectiveness of Anonymization in Double-Blind Review**

Assessing the effectiveness of anonymization in the review process.

[cacm.acm.org](http://cacm.acm.org)

5:52 AM - 28 May 2018

2 Retweets 6 Likes



metrics are  
rubbish  
but ... (far)  
people are ~~worse~~

Alan Dix

University of Birmingham and Talis

<http://alandix.com/ref2014/>

**Responsible metrics**

**+**

**peer review =**

**best chance of responsible research  
evaluation**





**Better to light a candle than  
curse the darkness.**

## Research Evaluation Working Group

- <https://inorms.net/activities/research-evaluation-working-group/>
- Addressing two big agendas:
  - Ranking the rankers
  - Educating decision-makers
- NARMA Representative:
  - Tanja Strøm
  - [tanja.strom@oslomet.no](mailto:tanja.strom@oslomet.no)

# Thank you for listening

**Dr Elizabeth Gadd**

**Research Policy Manager (Publications)**

**Loughborough University**

**Skype: lizziegadd**

**Twitter: @lizziegadd**

**Email: [e.a.gadd@lboro.ac.uk](mailto:e.a.gadd@lboro.ac.uk)**

**<http://orcid.org/0000-0003-4509-7785>**

**<http://about.me/elizabeth.gadd>**

