

Experiences with a bibliometric indicator for performance-based funding of research institutions in Norway

Sivertsen, Gunnar 2012

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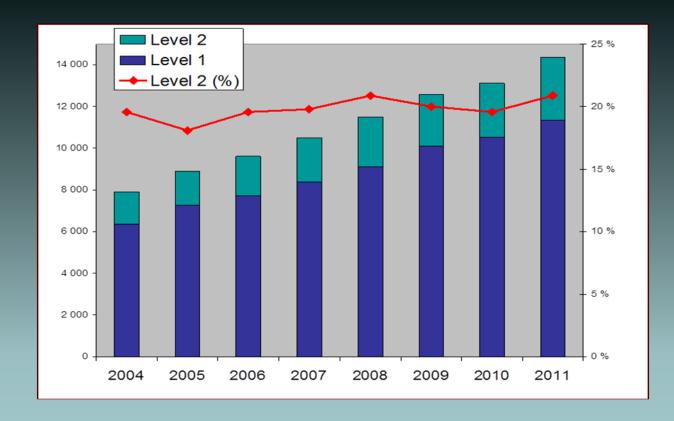
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Experiences with a bibliometric indicator for performance-based funding of research institutions in Norway

Gunnar Sivertsen

Nordic Institute for Studies in Innovation, Research and Education, Oslo, Norway



Overview of this presentation

- 1. Performance based funding: Expert panels or indicators or both?
- 2. Bibliometric data sources
- 3. A bibliometric indicator covering all fields of research
- 4. Experiences: Effects, Discussions, Criticisms
- Results from and questions for two evaluations of the indicator

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- 1. <u>Performance based funding: Expert panels or indicators or both?</u>
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"The dual funding system"

(A simplified model excluding international sources, etc.)

Government

Research Councils

Projects and Programmes

Competition

Research Evaluation

Direct grants

Historical, Political Strategic

Performance based

Higher Education Institutions

Same aims, methods, and effects?

Government

Research Councils

Projects and Programmes

Competition

Research Evaluation

Direct grants

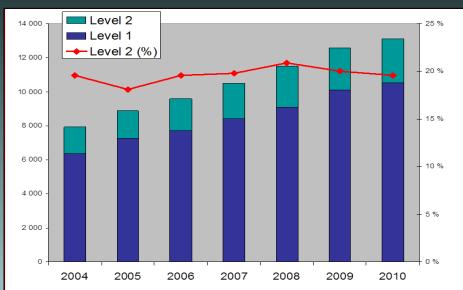
Historical, Political Strategic

Performance based

Higher Education Institutions

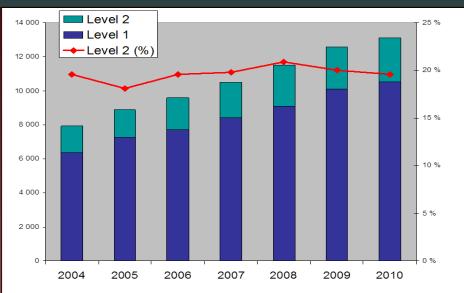
Panel evaluation and bibliometric methods





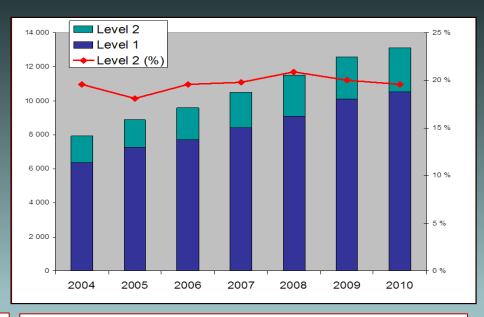
Panel evaluation and bibliometric methods in the Scandinavian countries





- Used for (indirect) project and programme funding via research councils
- Used for systematic (repeated) research evaluations of large programmes, disciplines and/or institutions
- Used as information by panel evaluations
- Used for direct performancebased funding of research institutions

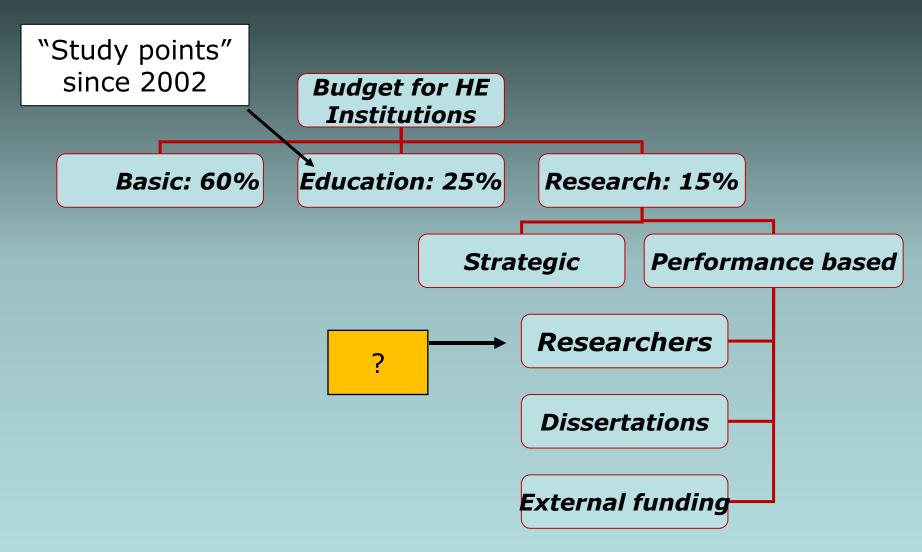
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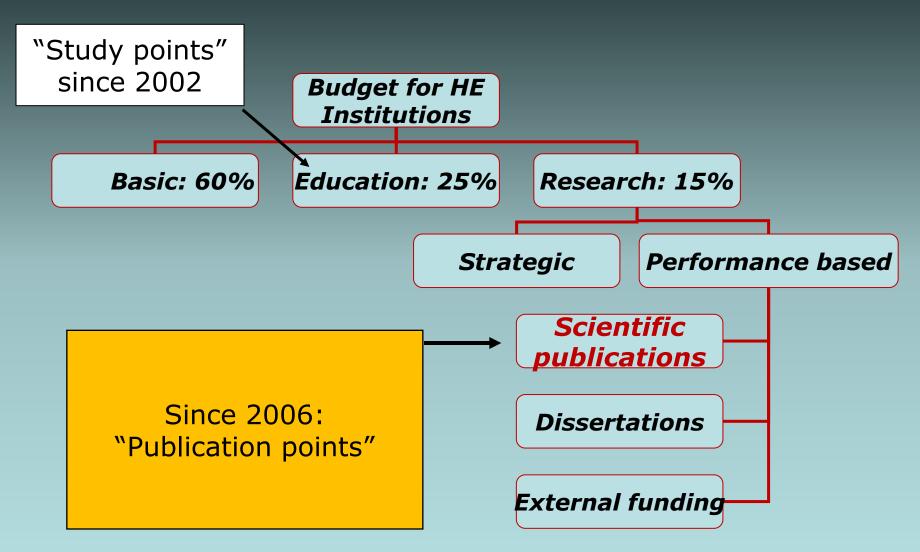
Motivation in Norway:

The need for more emphasis on research in the overall funding model for the Higher Education Sector



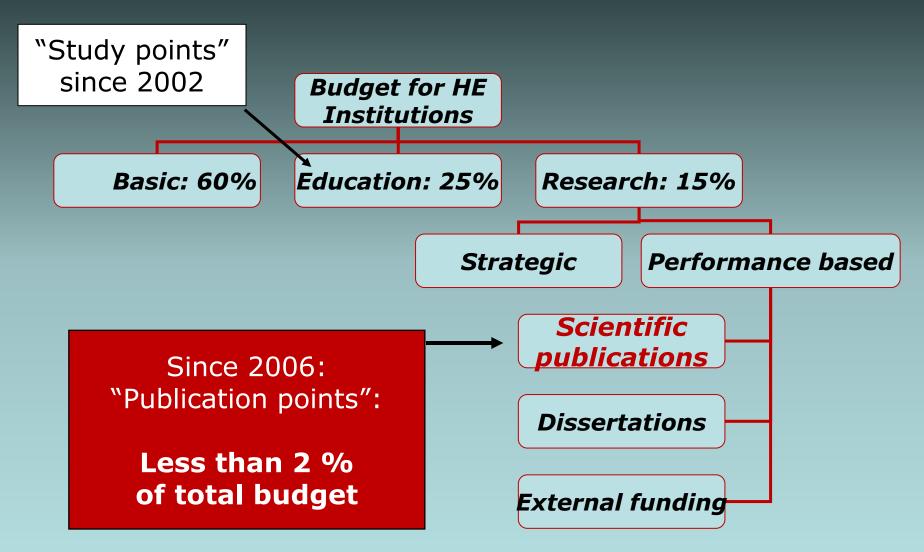
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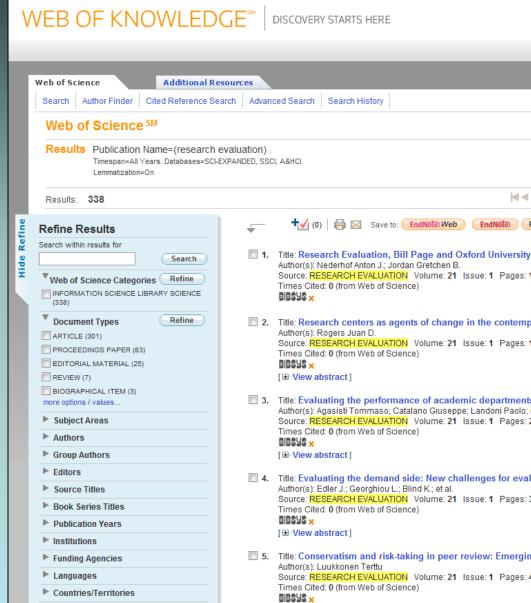
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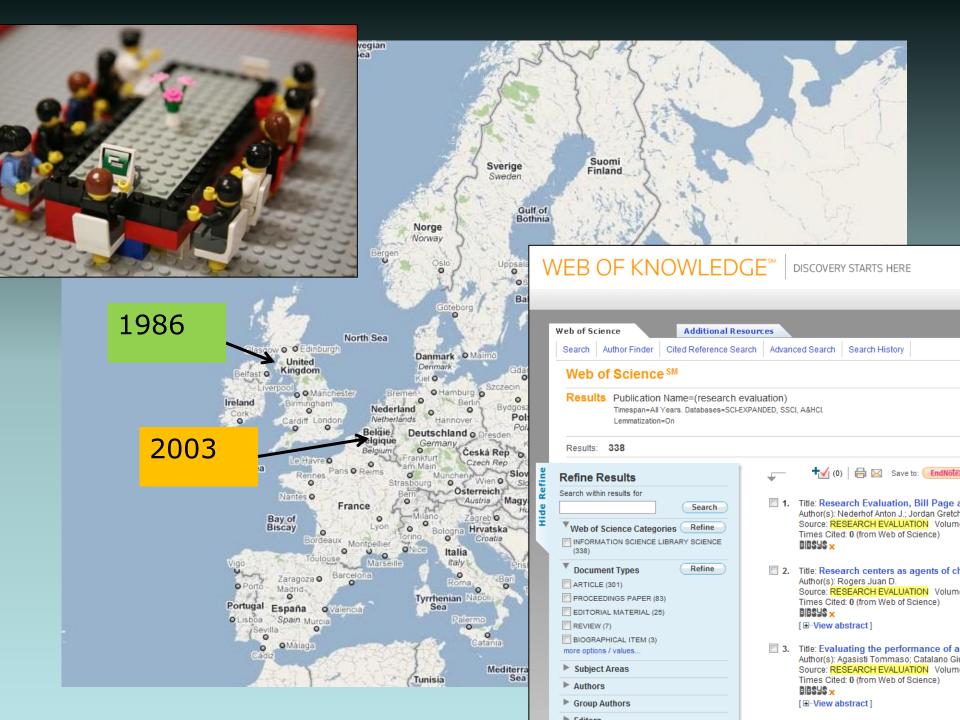


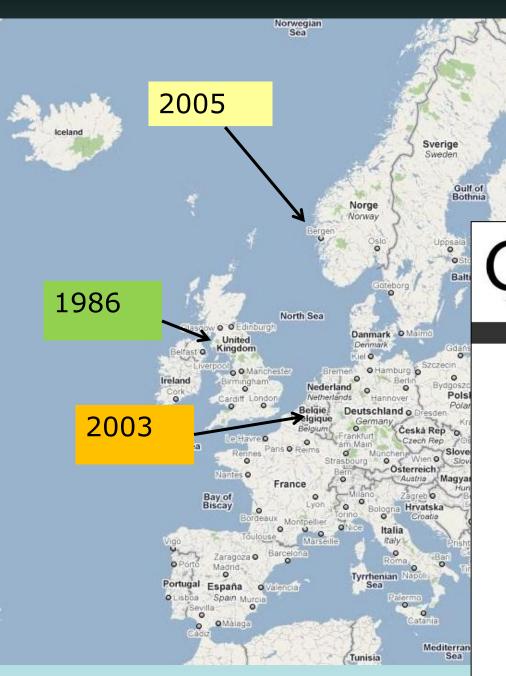
Panel evaluation and bibliometric methods













Suomi

Finland

Research documentation in Norway

Cristin is the new joint research documentation system in Norway. The system will be uncertainty cristin system will be implemented in 2011 in all sectors.

Cristin is both the name of the computer system and an agency for research administration universities and university colleges with its own board. The Board has the professional reuniversity assists with administrative services.

Cristin research will provide increased value for society by facilitating that the research in on the principle of open access for all. Cristin will also document, present, and make pub financing systems in the higher education sector, research institutes and the regional he

Cooperation Cristin is also given other tasks:

Licensing and consortium agreements

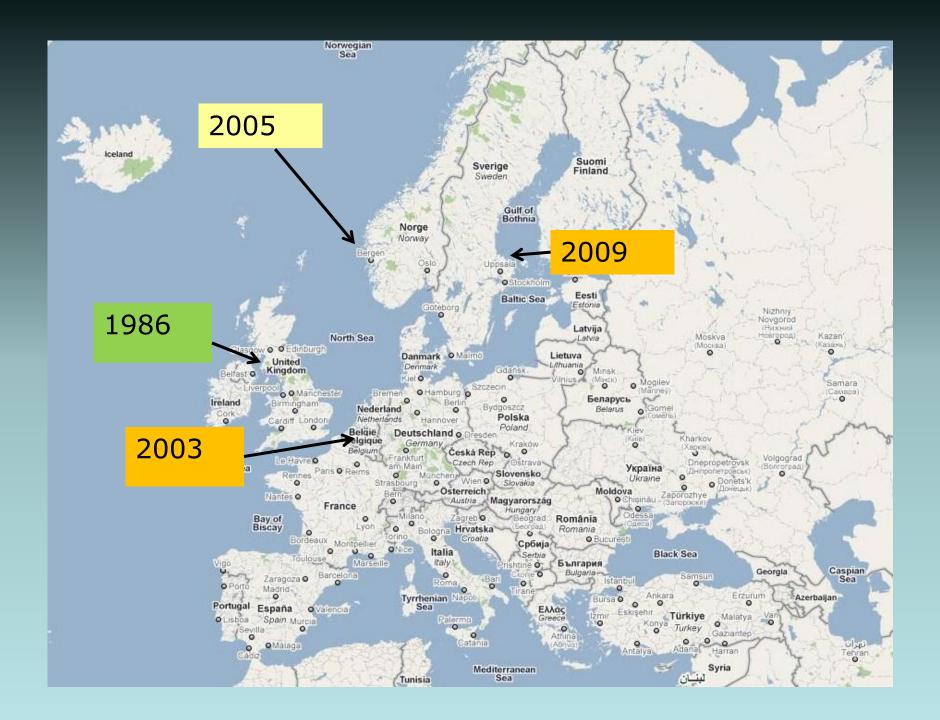
Cristin will have national responsibility for negotiating licensing and consortium agreement

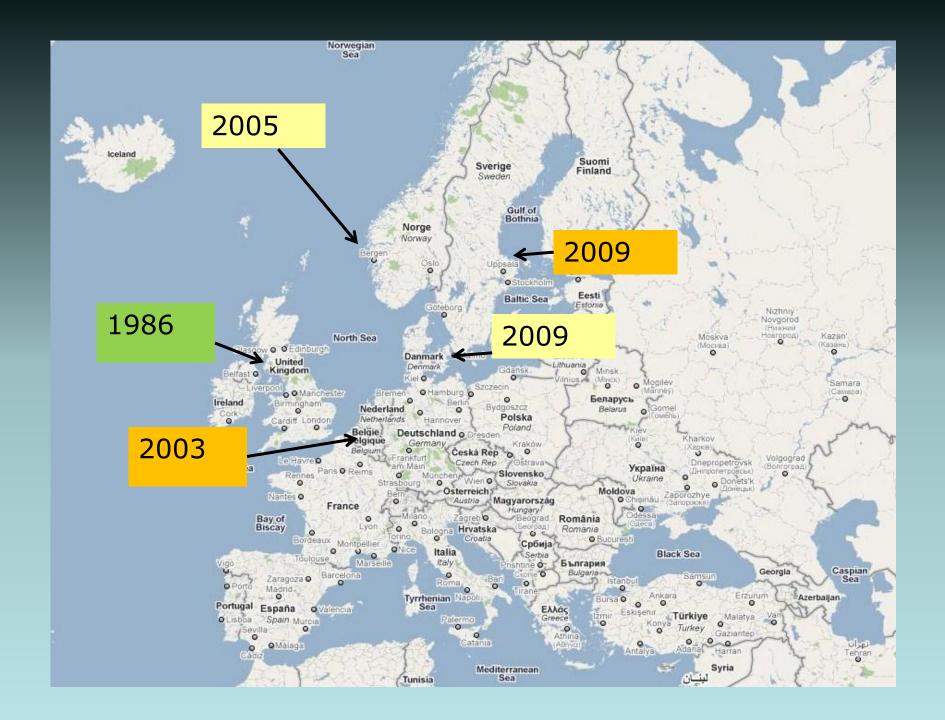
Institutional repositories and open access

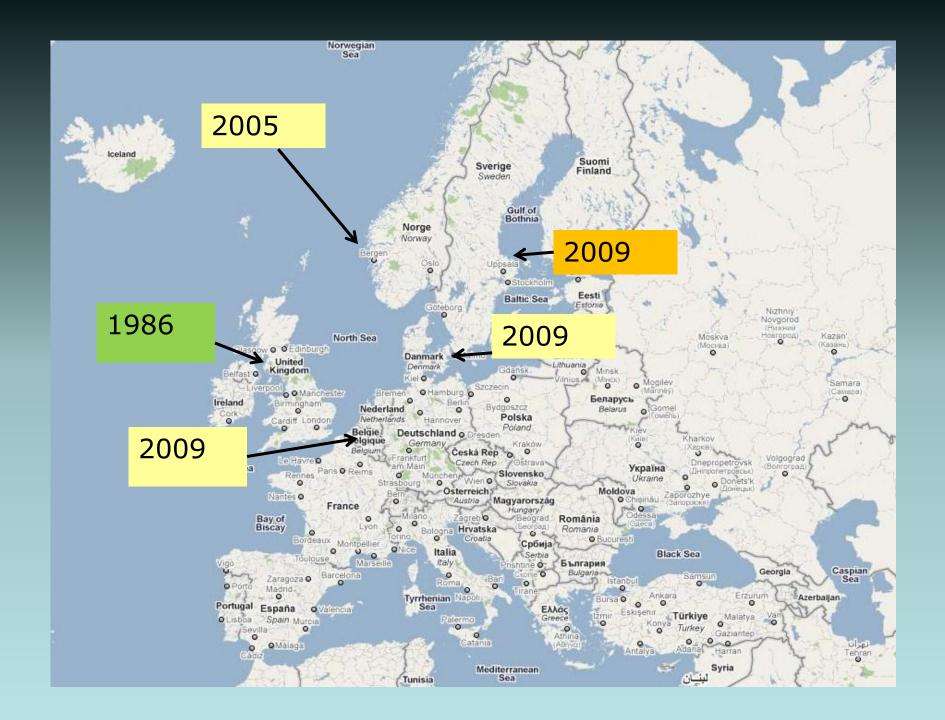
Norwegian Open Research Archives (NORA) has worked to promote open access to Nor will have the responsibility for the work of open access to the Norwegian research.

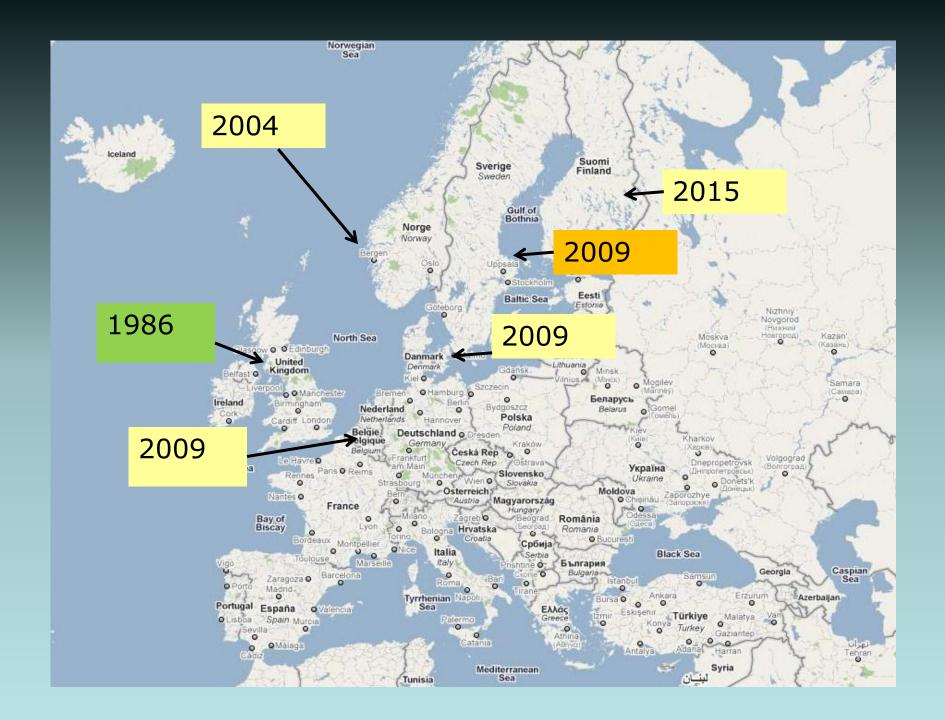
Acquisition of indexed data

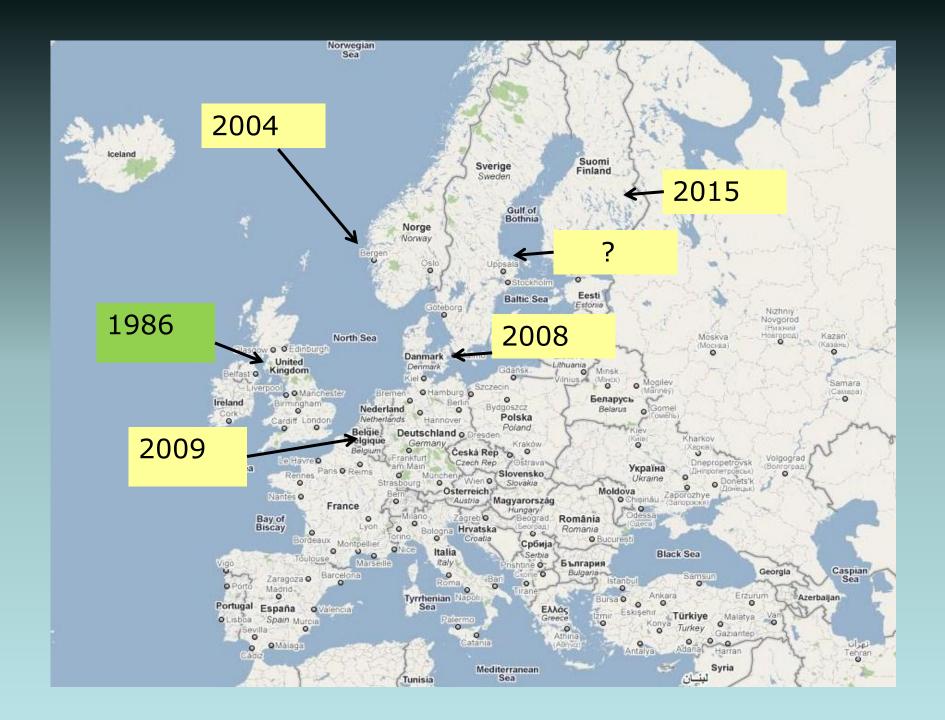
Cristin will, among other things, have the national responsibility for the procurement and





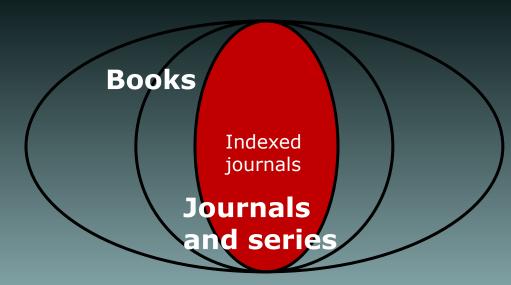


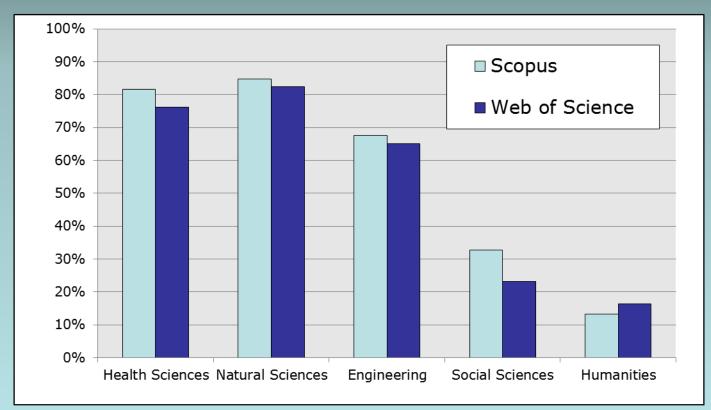




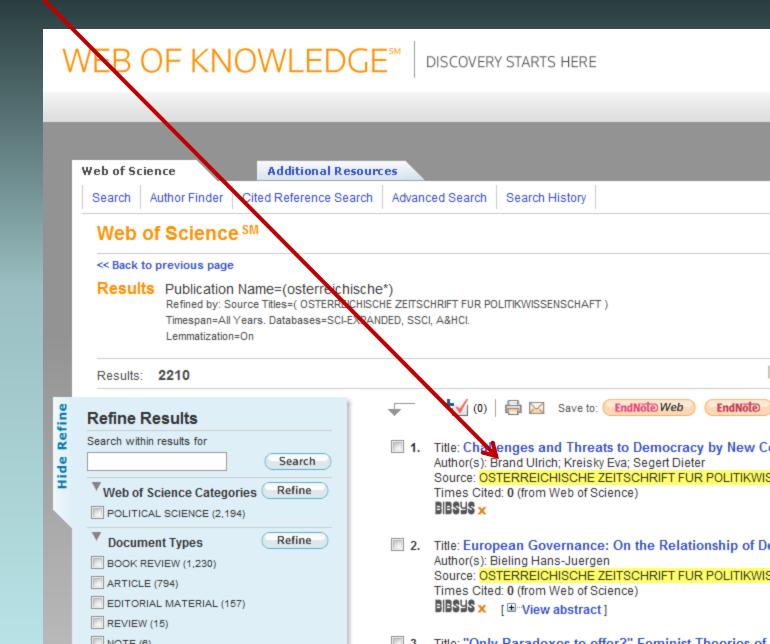
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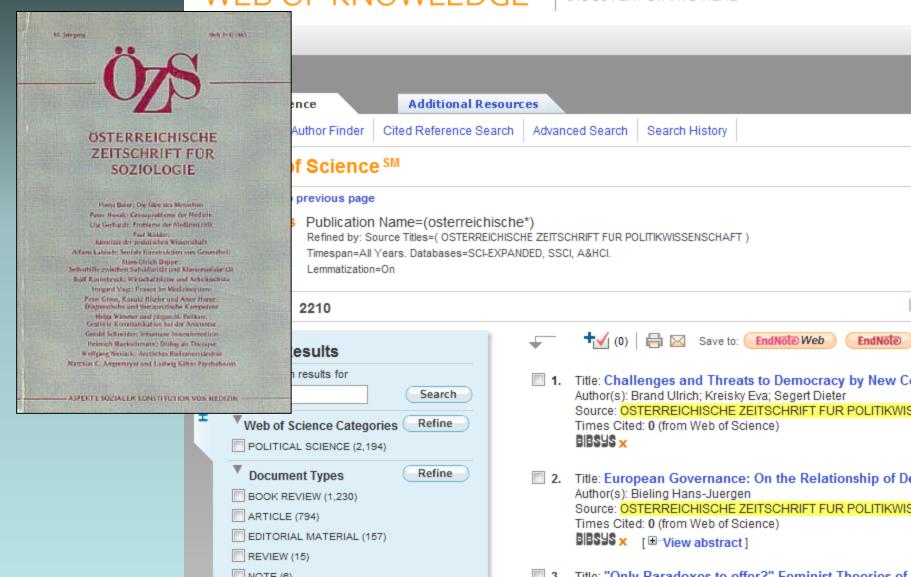
Österreichische Zeitschrift für Politikwissenschaft is covered ...



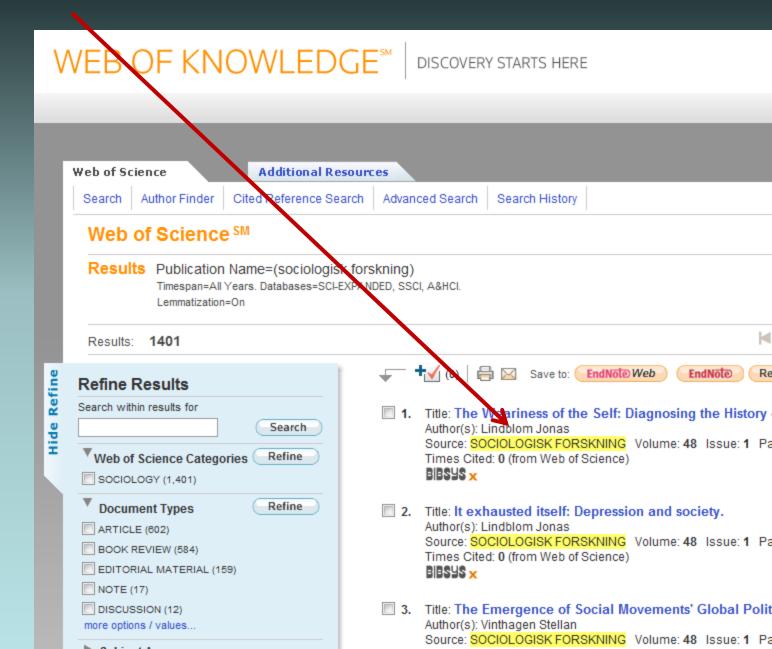
But Österreichische Zeitschrift für Soziologie is not covered

WEB OF KNOWLEDGE™

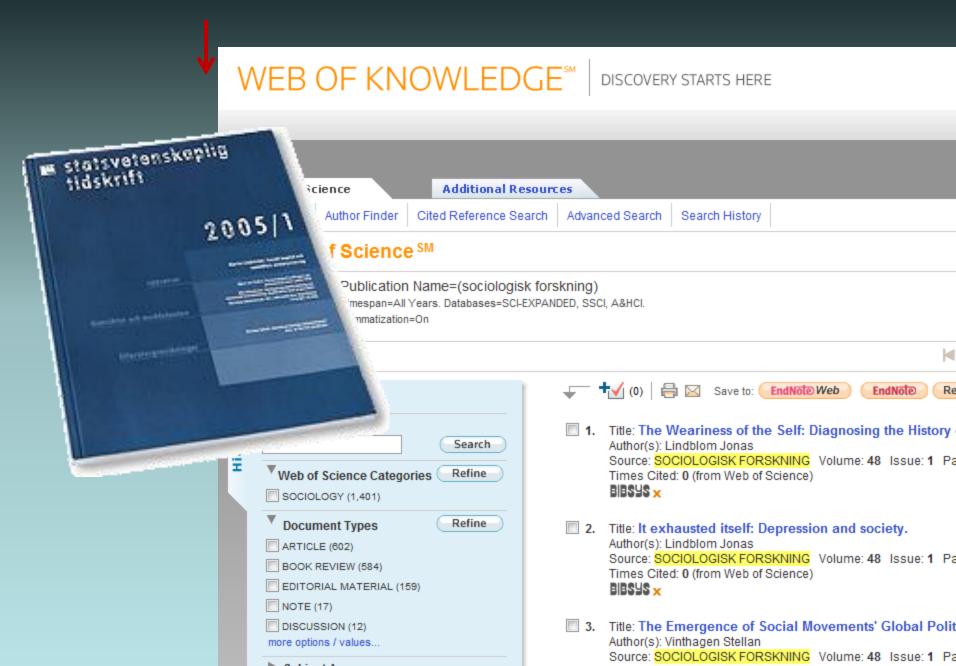
DISCOVERY STARTS HERE



Swedish Journal of Sociology is covered ...



But Swedish Journal of Political Science is not covered





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Principles behind the use of institutional data in a national information system

- Completeness: All scholarly publications should be included
- Transparency: Every institution can see and check all other institutions' data. The national database is also online and open to society at large.
- Participation: The indicator is developed and maintained in collaboration between the institutions and the authorities
- Multiple use of the data: CV's, applications, evaluations, annual reports, internal administration, bibliography for Open Archives, links to full text, etc.

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eful links

in seminar

wegian Scientific Index -CRIS lication channels

ntact information

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ard

d email

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n Henrichsen, NSD

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Oftedal, UiO





In order to register data in Cristin, you must be an academic or administrative employee.

- Main page
 - Research results/NVI
- Researchers
- Projects
- Research units
- Logon
- About Cristin

Back to search

Short format

Full format

Search criteria:

Surname: sivertsen First name: gunnar From: 2010 To: 2011 Main category: Journal publication Main category: Book Main category

Showing results 1-4 of 4

1. Gilhus, Nils Erik; Sivertsen, Gunnar.

Publishing affects funding in neurology. *European Journal of Neurology* 2010 ;Volume 17.(1) p. 147-151 HAUKELAND NIFU UiB

2. Aksnes, Dag Westreng; Rørstad, Kristoffer; Piro, Fredrik Niclas; Sivertsen, Gunnar.

Are Female Researchers Less Cited? A Large-Scale Study of Norwegian Scientists. Journal of The American Society For Information NIFU

3. Sivertsen, Gunnar.

Kilden til Jeppe paa Bierget. Aarhus Universitetsforlag 2010 (ISBN 9788779346284) 294 p. NIFU

4. Sivertsen, Gunnar.

Ludvig Holbergs essay om likestilling. I: Sakprosa i skolen. Fagbokforlaget 2010 ISBN 978-82-450-0921-7. NIFU

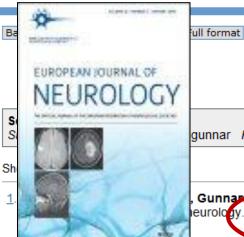
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References imported from ISI

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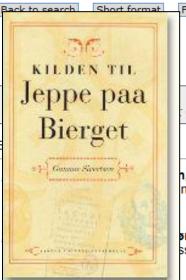




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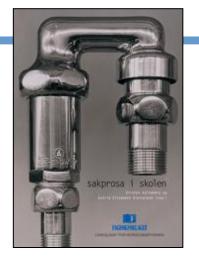
NIFU

4. Sivertsen, Gunnar.

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Cristinv1.0.5, 23.08.2011 [drift@cristin.ne

References to book and article in book added



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Delimitation of publication data by definition

Definition

A scientific or scholarly publication must:

- 1. present new insight
- 2. in a form that allows the research findings to be verified and/or used in new research activity
- 3. in a language and with a distribution that makes the publication accessible for a relevant audience
- 4. in a publication channel with peer review*)
- *) In addition: Publication channels with authors coming mainly from only one institution are not included.

Three main publication types

1) Article in ISSN-title 2) Article in ISBN-title 3) ISBN-title Channel E.g. scientific article in Nature or scholarly ISBN-Type title on Oxford University Press.

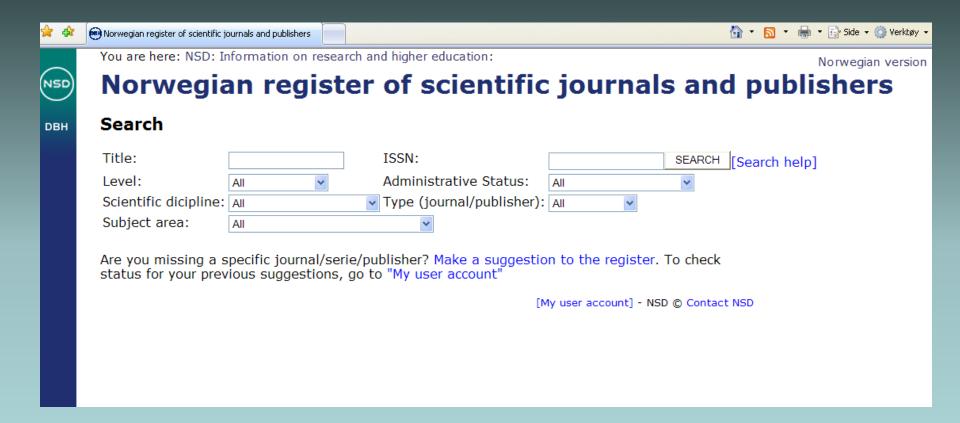
Dynamic records of scientific and scholarly ISSN-titles and ISBN-publishers

22,000 ISSN-titles and 1,200 book publishers so far

0001-9887	Africa Today
0001-9909	African Affairs
1062-4783	African American Review
0263-0338	African Archaeological Review
0001-9933	African Arts
1017-6772	African Development Review
0145-2258	African Economic History
1021-3589	African Entomology
1472-5843	African Identities
1684-5315	African Journal of Biotechnology
1021-9730	African Journal of Crop Science
0141-6707	African Journal of Ecology
1438-7890	African Journal of Environmental Assessment and Management
1684-5378	African Journal of Food, Agriculture, Nutrition
1015-8618	African Journal of Neurological Sciences
0065-4000	African Literature Today

CABI Publishing	
Cambridge University Press	
Cappelen Akademisk Forlag	
Carfax Publishing	
Carl Heymanns Verlag	
Carlsson bokförlag	
Catholic University of America Press	
Central European University Press	
Channel View Publications	
Chinese University Press	
Christian Ejlers´s Forlag	

All channels can be searched, and new channels can be suggested



Publication channels on two levels

Level 2 represents the most prestigous international channels

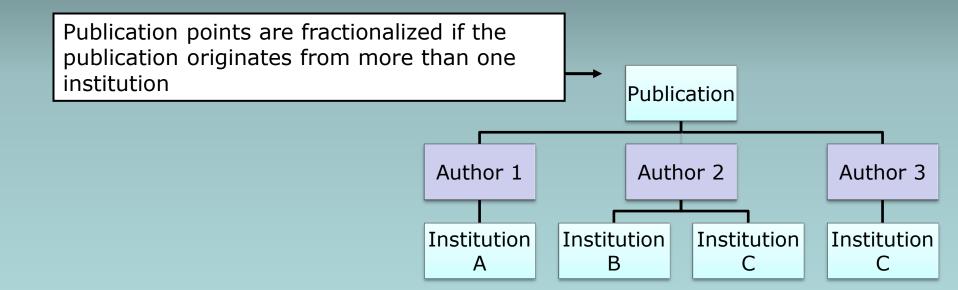
Defined in each discipline by expert panels informed by indicators

Level 2: Higher points to 20 % of the publications

Level 1: Normal points to 80 % of the publications

Publication points

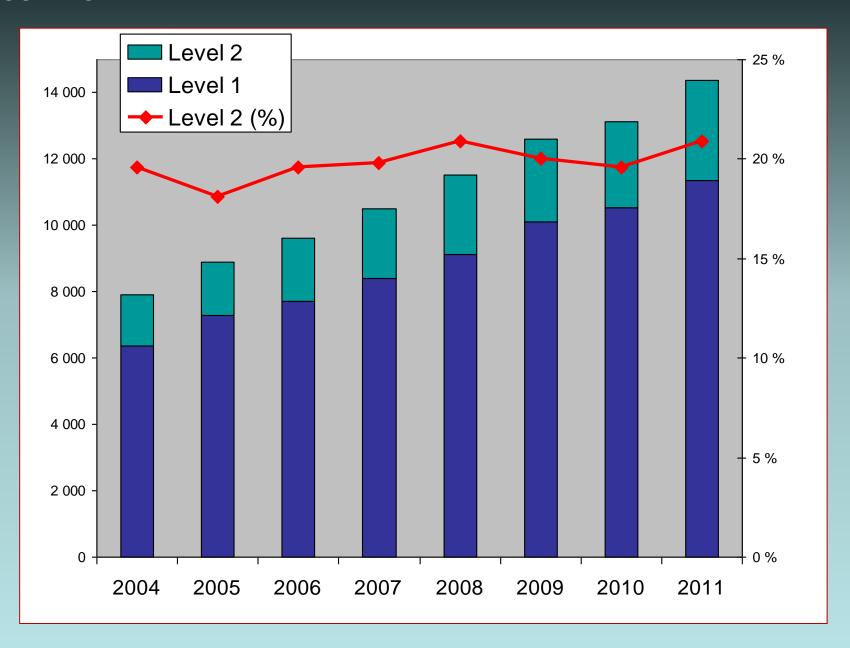
Publication type	Level 1	Level 2
Article in ISSN-title	1	3
Article in ISBN-title	0,7	1
ISBN-title	5	8



Overview of this presentation

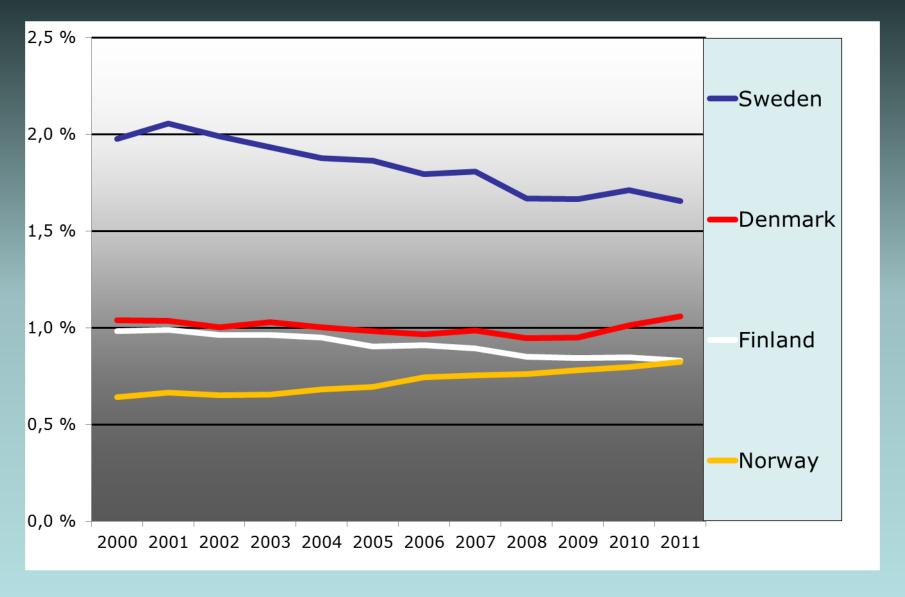
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Publication points in Norway's Higher Education Sector 2004-2011



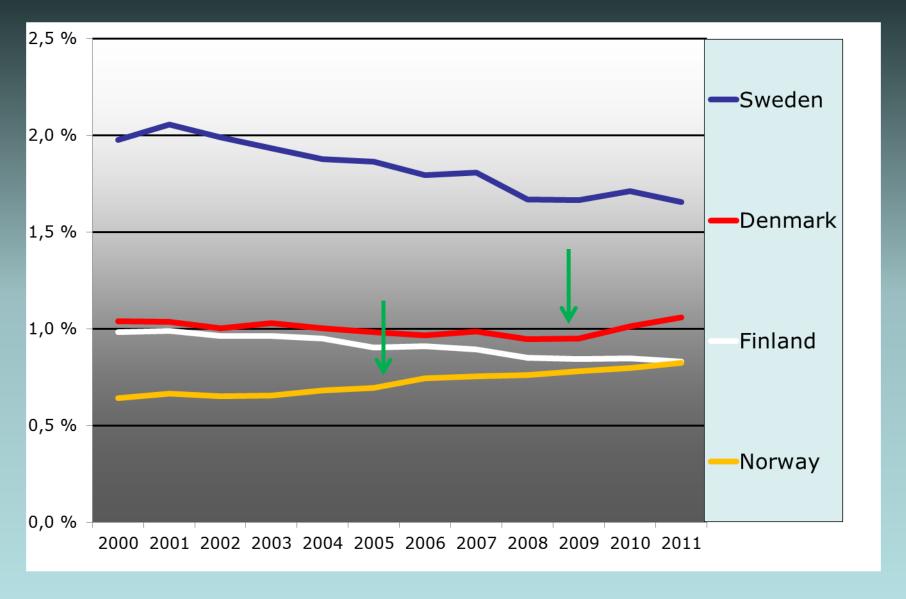
Shares in the world's scientific output (ISI 2000-2011)

Source: National Science Indicators (NSI), Thomson Reuters



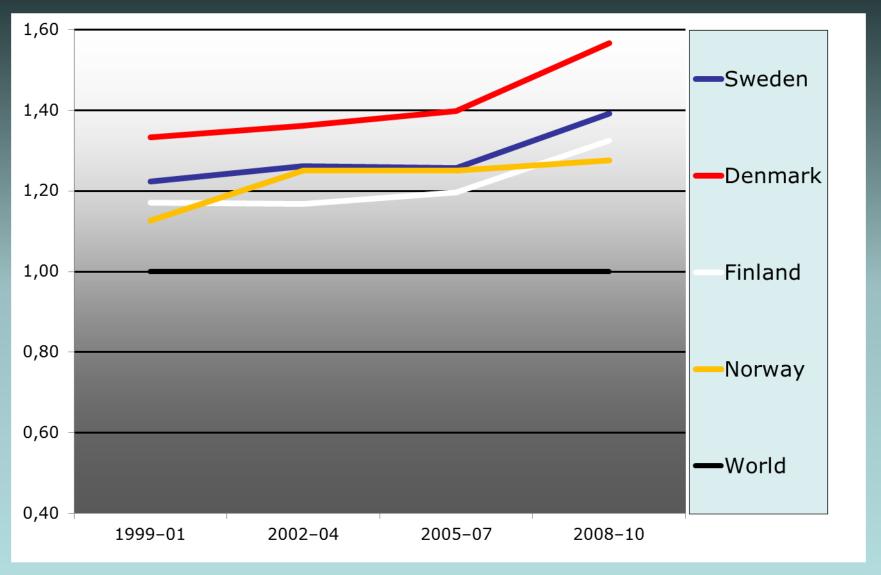
Shares in the world's scientific output (ISI 2000-2011)

Source: National Science Indicators (NSI), Thomson Reuters



Relative citation rates (ISI 1999-2010)

Weighted according to research profiles.
Source: National Science Indicators (NSI), Thomson Reuters



Effects on the institutional level

- The institutions have stronger incentives to facilitate research for their researchers
- Research is now perceived as a common and institutional responsibility, not only as an individual task
- New publications receive attention, not only from external peers, but also internally from the institution
- Research management improves with the aid of complete bibliometric information about the research activities

An example of effect at department level: Poster in the toilets of The Centre of Excellence in linguistics at the University of Tromsø

Hey! Need something to think about in here? How about this: Which level 2 journal will you send an article to this semester?

Bilingualism Bilingualism Language and Cognition Brain and Language Canadian Journal of Linguistics-Revue Canadienne de Linguistique Cognitive Linguistics Deutsche Sprache Diachronica Die Sprache Francais Moderne Historiographia Linguistica International Journal of Bilingual Education and Bilingualism Journal of Child Language Journal of Comparative Germanic Linguistics Journal of French Language Studies Journal of Germanic Linguistics Journal of Linguistics Journal of Neurolinguistics Journal of Phonetics Journal of Semantics Journal of Slavic Linguistics Language Language Acquisition Language and Speech Lingua Linguistic Inquiry Linguistic Typology Linguistics Linguistics and Philosophy Natural Language Semantics Natural Lg & Ling theory Phonology des Langues Romanes Russian Linguistics Sprachtypologie und Universalienforschung Sprachwissenschaft Studia Linguistica Studies in Language Studies in Second Language Acquisition Syntax Syntax and Semantics Travaux de Linguistique Voprosy jazykoznanija Zeitschrift fur Dialektologie und Linguistik Zeitschrift fur Germanistische Linguistik Zeitschrift für Sprachwissenschaft

Criticism A: Use and abuse of the indicator on the local or individual level

Hey! Need something to think about in here? How about this:
Which level 2 journal will you send an article to this semester?

Bilingualism Bilingualism Language and Cognition Brain and Language Canadian Journal of Linguistics-Revue Canadienne de Linguistique Cognitive Linguistics Deutsche Sprache Diachronica Die Sprache Français Moderne Historiographia Linguistica International Journal of Bilingual Education and Bilingualism Journal of Child Language Journal of Comparative Germanic Linguistics Journal of Journal of Germanic Linguistics French Language Studies Journal of Linguistics Journal of Neurolinguistics Journal of Phonetics Journal of Semantics Journal of Slavic Linguistics Language Language Acquisition Language and Speech Lingua Linguistic Inquiry Linguistic Typology Linguistics Linguistics and Philosophy Natural Language Semantics Natural Lg & Ling theory Phonology des Langues Romanes Russian Linguistics Sprachtypologie und Universalienforschung Sprachwissenschaft Studia Linguistica Studies in Language Studies in Second Language Acquisition Syntax Syntax and Semantics Travaux de Linguistique Voprosy jazykoznanija Zeitschrift fur Dialektologie und Linguistik Zeitschrift fur Germanistische Linguistik Zeitschrift für Sprachwissenschaft

Criticism B: Will research published in the Norwegian language disappear?

Til forsvar for norsk som forskningsspråk

anskelig å sette et skarpt sville mellom forskning og formioling. Forskerne

De sicte årene er skit iverkeatt en atomstit krákning. Pieren eller ž belønne forckore com publicerer i engelskopritit lige faglideskrifter, har man oversett af dette hnacerer et lac for nuck som kunnekapsspråk. De nye belenningssystemeno spoterdrer i proko si terako til **M**esiá publisaria pá no sa_s ogeš pa consider der dette ecsandle har vest forbunget med høy premiale og ged kvalifet

Humany de samfungs/tenskepena bit med dotto trengt ut av sin egen kultur og tranget til å sække kummunikasionen med det bredere publikum. I alase fagorie or det i mange

oppfylier noan av aine oppgever når de henvender seg til stenlandske kolleger, mer like viktig er det af de levarer premisser for hele samfunness setvrottelingen og attentlige debott. En scakkelse av 'aganes nærvær's del norska sprákat pa den norske kulturan Det er viktig at norske forskere oppbeforeilnussysaemer som eler forskoling. på norskittlien arnernangs skriti tet. Den

erske innstitiegen om aprikkapitekk vod er slik degrædering ved å forestå som er sin begrasterig des a ribestations overschote principo fru unhamicitoris har et ansuer for å hamer og uthikke norsk enn fispanisk", in still lingen fraske enhres lebbing mellom franskeringesystem og mig ov austiceringsapnik. Dette or det de notiversligt å ef abbres som mom for hole universitets, og heleskolossktoren

på rv: Samt.nne- og kulturfagene menger ordninger dom ikke dickt minoret det norske kringerskepsspåket og som ikke skaper tyre skiller mellom forskring

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Johan Halling (Transport) Barbora Semblow (Urs) Barbord Semblow (U.S.) Hoddie Glertger (U.D.) Nite Gler (U.B.) Statish Simmer (NTNU) Burl Grankvist (NTNU) Burl Grankvist (VTNU) Filling Glerthrandson (U.B.) Serin Grandomen (U.D.)

Erik Blorak Hagon YUBA Bilk Bjorck Hagon (Vek) Berm Hagrer (Vik) Tarja Halvorean (HL) Guinnar Harcas (Vik) Hans Ton Hansen (LRI) Journal Hansen (LRI) Hagnar Hango (LRI) Willy Howard (UE) Frode Helland (UE) Jon Hellannas (LTI) Dellations (LTI) Cher Helmist (10)

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Curi Larser (UIC) Poter Lorden (UIB) Stein Logelijk Larsen (UIB) John Laught (UIC) Cudleff Lairbukz (UIB)

Sugaryra Eliver Lib (UIU) Svain Lib (ILN UIX) Selvi Libriard (UB) Arid Limeberg (DIE) Arth Nea Longva (UB) Swin Longton (NTNL) Jekob Lotte IIIKU Runal Candiby (UILX) Inguine Jurido (LIB)

Lare Leola (LIC) Paint Makes (UK) Gri Malett (UK) Leif Die Manger (UK) Willy Marbhusonn (NTNC) And Mighere (UK) Cle Meeted (UK) Gia Magad (UIG)
Siri Magad (UIG)
Siri Mayar (LIB)
Georgen Micha (UIT)
Lateth Milectison (UIR)
Manaka R. Mittelmack (UIR)
Late Masset (UIC)
Treil Mich (Saker)
Lilen Michanson (UIU)
Fer Krinton Mydalis (SAO)
9th Motham (Mi

Jong-Lay (versize (UTT) Geir Pertmark Nielsen (JRB) Terban Hold Nielsen (JAC) Agn Nielse (URS) Benti Dyhle Ni san (HTNU) Trook Nicolly (JRT) Lora Ny aneer (N INU)

Audun Offerdel (UIB) Finn Olyted (ferf) Sign and Ongestal (HiC)

Jone Promer Hills Jona Channie IN' NUI

Tarreld Resmussen (UIC) To jo Remission (U.C) Ragnild Reinton (U.C) Option Bian (UIC) Paul G. Ronese (UIC)

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Jon Inge Corbs (H-VO)

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Harard Taigen (HII)
Stephen von Tetzchner (URX)
Harald Thuen (IRX)
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Kell Underto (HB) Ariol Uteres (UB)

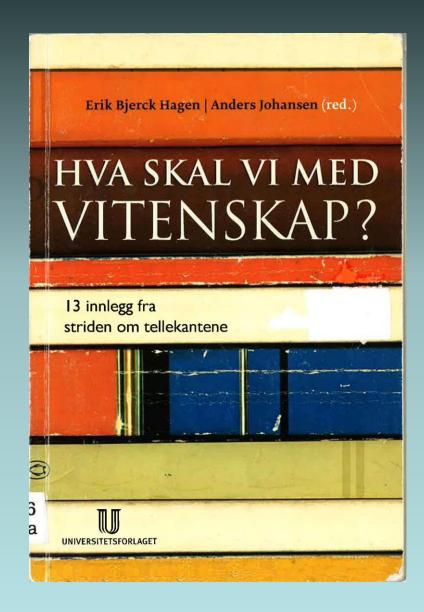
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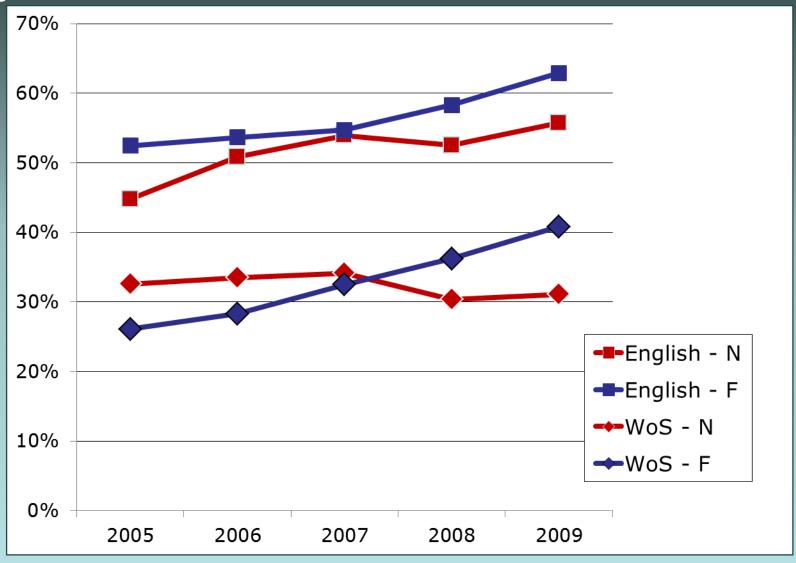
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Annonaten er stattet av Institusjoner. Fritt D. d. Den Yimske Furlegger kvendigen. Den Vanske Bektranderforming, enkanstelle og nærskoldberhonderna UNIPA og Nerok legittader forfallær og grenvetlarforning (NFF).



Trends in use of English and WoS coverage in the humanities and social sciences

Percentages of all scholarly journal articles from Flemish (F) and Norwegian (N) universities that were published in English and covered by Web of Science 2005-2009



Criticism C: Are the best publications getting most points?

6



KULTUR

Økonomiprofessor er beste formidler

Øhonomiprofessor Kall e Moen e ved Universitetet i Oslo fär Norges Forsknings-räds formidlingspris for 2011, en pris på 250000 kroner. Moene er leder for senteret for fremragende forskning, ESOP (Equality, Social Organization, Performance), ved for ferningende forstning. SOF (Equality, Social Organization, Performance), vid. bet a miture interpolacije fish intels, som bet in amerit bristing in den nordiselvel for distributional fisher. Jugi file is sear in jour 3 dit is med forstning, men denie for distributional fisher in the search point of the search point of the search search for search point of the search point of the search point of the search search for search point of the search point of the search point of the search search for search point of the search point of the search point of the search good of besting significant for the search point of the search point of the search or search point of the search point of the search point of the search of the search point of the search point of the search point of the search of the search point of the search point of the search of the search point point point of the search point p

Systemet som brukes til å avgjøre hvem som er de mest talentfulle forskerne, verdsetter publisering av artikler i enkelte middelmådige tidsskrifter høvere enn å ha artikler på trykk i verdens beste.

Halvbra tidsskrifter gir flest poeng

Vil du gjøre det bra som forske handlerdet i dagom å publiser vitenskapelige artiklermed mest mulig gjernomslagskraft og kvalitet. I 2004 ble et nytt og kvalitet. I 2004-ble et nytt system forkategorisering avvi-terskapelige tidsskrifter grad-vis innført i norsk forskning. Det skulle gjøre det lettere å måle hva skatte betalerne får måle hva skatte betalerne får gjen for pengene sine. Det var grovkomet og skulle like bur-hest til å peke på om in dividuelle forskere var dyktige eller slap-pe. Fen år senere brikes syste-met likevel til vurdering av en-kelt personer. Men de tidsskrif-tene som girflest poen, er tilde nadvendigvis de som har det transcette åller. trangeste nåløvet.

Publikasjonssystemet, po-pukert kalt tellekantsyste-met, inneholder to nivåer kalt I og 2. Nivå 2 er for de

antatt yppens te tids skrifte-ne. Det gir forskerne hele tre ganger så nange publise-ringspoeng son måå. Nivå 2 sleal være ekskinsivt, og kantetter reglene for midle nals sinalt 20 prosentar publikasjonene på et tagelt. A læå det bes te av det beste.

Sk jevt. Likevel er et tidsskrift som det norske Historisk tids-skrift plassert på det gjeve nivå 2, mens en ubestridt verdensner som Journal of Global Hisener som Journal of Global His-tory bare er på nivå 1,0 de dekker naturlig nok ikke helt samme tema). Publisering i det norske tidsskriftet gir altså tre ganger så mye målbar prestisje som det internasjonale topptidsskriftet. Sosiologiforsker og tidsskriftredaktør Cathrine Holst har et

 Overrasket – Jegble veldig overrasket da jeg så at tidsskrif-ter som Rationality and Society og Journal of Applied Philosop-hy, derjeg selvneppe hadde

kommet inn umiddelbart, lig-ger på nivå 1. Samtidig ligger for eksempel Retfærd og Tidsskrift for menneskerettigheter på nivå 2. Der er det nok noe lettere à fa inn en artikkel, tror hun. Holst forteller at nivasystemet likevel brukes til å vurdere folk.

likevel brukes til a vundere folk.

– Dette er noe folk bryr seg
om og snakker om. Og vi oppmuntres jo til å publisere på nivå 2. I praksis brukes dette også
til vurdering av individer, selv
om bled det en herelite. om ikke det var hensikten. Sys temet oppmuntrer til å priori-tere tidsskriftene det er enklest ten tidsskrift ehe det er enkest å komme tinn i, mener hun. Holst etterlyser at seniorer og professorer signaliserer sterke-re hurdan de yngre, som har mer å bevise og arbeider Imall-hardt for å skaffe seg en fast stil-

ling, skal forholde seg til syste-met Professor Øyvind Østerud er preses i Vitenskapsakadentiet og professor i statsvitenskap.

Vilkårlig. – Systemet med nivå 1 og 2 er problem at isk og bør vurderes grundig. Noen tidsskal plasseres på. Den endelige beslutningen tas av det overord-nede publikasjonsrådet.

nede publikasjonsrådet.

– Jegilker ilde rollen jeg har der Valgene vi tan blir fort veldig villsärlige, men får likevel store konsekvenser. Systemet kan føre til at fagniljøene til-passer seg og slejeler til hvasom gir flest pong, snarere enn hvilke tidsskrifter dens egne fagfeller leser sig han feller leser, sier han

Lonn etter nivå. Øst erud pe-kerpå at flere miljøer også har innført personlig admring ba-sert på om forskeme oppnår publisering på nivå 10g 2, med prisertilden som får flest pub-liseringsnoms

liseringspoeng.

— System et er utsatt forveldig mye m erkelig misbruk og viser ekstremt uheldige utslag. Det ekstremt uheldige utslag. Det hele skaper et imntrykk av at det finnes objektive kvalitetsmål, et inntrykk det ikke er grunnlag for. Vi bar wirdere om oppdel ingen i nivå 1 og 2 skal kuttes ut eller erstattes av noe annet, sier

Østerud og fagrådet hans har prieruo og lagracet nars nar tatt initiativtil en ny gjernom-gang av publiseringssystemet, og dette er nå til vurdering. Han presiserer at han ikke er motstander av forskningsvurdering og innslag av telling, men me-ner system et og bruken av det bør gjennomgås på nytt.

KULTUR

Forløsning

merenn 17 prosent av norskes pedbarn blir forløst ved læisers nitt, og det lyder i kke bra. lkke biologisk sannsynlig heller, og takkfor det. Den som blir forlæst ved en fødsel, er den fødende kvinnen, og naturen har ord-net det så viselig – keisers nitt eller ikke- at hun pr. definision er i kiønnsmoden alder

Barnet blir derimot født. Det er sannsynlig at forløse henger sammen med løs og løs-ne. Det er logisk nok, for barnet blir jo løst fra moren når det er kommet til verden, og nav lestrengen er kuttet. Vi har ordet direkte fra tysk: «Giewurdeverlöst» (hun ble forløst) skriver den besømte legen ignac Semmel-weis: (1816-1862) om en 19-år ig mor som tødte normalt, men som trag isk nok døde

av barselfeber et par døgn senere. Ordet kan også brukes overført: Visnak-ker gjerne om at en forfatter er forløst når han eller hun har brakt et litterært verk frem i dagen. En kritiker kan innvende mot et stykke kunst at det ikkeer helt forløst eller at det er uforlætt det er altså noe som mangler på at det er fullkomment eller vellykket. perejilhegesjaftenpst

SPRÅKET VÅRT



Forsker: Systemet er en suksess, men omstridt

Det skjeve tellekant-systemet har bidratt til en kraftig vekst i publiseringen av norske vitenskapelige artikler de siste årene. Nå vil flere land ta det i bruk.

Forsker Gurnar Stvertsen ved NIFU, Nordisk institut for studier av innova-sjon, forskning og utdanning, konstruer te i sin ti di forslaget til tellekantsystem et som nå er blitt en internasjonal eksport-artikkel. Både Belgia og flere nordiske krakben blevakte steder til den med krak land har allerede innført eller vorderer å innføre det. Norsk forskning ernemlig nå 60 prosent mer å se i ledende kanaler internacionalt enn for bare seks år siden.

Ølmingen skyldes i stor grad innfæringen avtellekantsystem et.

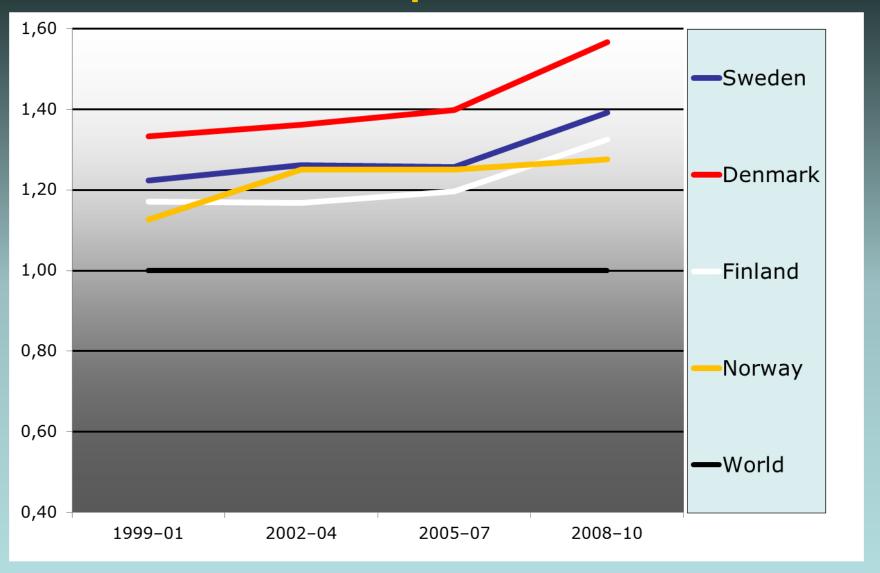
– Systemet er en suksess, men det er li-kewel omstridt oversalt hvor det innfæres. Når Østerud reiser spørssmål ved om det i det hele tatt bør være to nivåen, er det en interessant diskusjon, sier Sivertsen. Han vedgår at systemet likevel kan ha negative utslag fordi det ervor effektivt. – Man kan kanskie kalle det en slags

overreaksjon: Miljene blir weldig opp-tatt ay publiseringspoengog mindre opptat av selve firstleningen. Men for å si det rett til, virar på et veldig lavn nivå sammenlignet med andre land. Noe måt-te gjære. Vilhadde næten hakprarten så mye publisering som andre. Nå er vi op-pe på et mer akseptabelt mis. Men silke systemer bør kontinuerlig vurderes, me-ner Sinetten.

«Valgene vi tar, blir fort veldig vilkärlige, men für likevel store konsekvenser»

gyvind gisterud, professor statsviten skapog leder av fagrådet somer med å avgjøre hvilke n kråer faget stid skrifter skal plassere spå

Criticism D: What happens to research quality? Should we measure impact?



Overview of this presentation

- 1. Performance based funding: Expert panels or indicators or both?
- 2. Bibliometric data sources
- 3. A bibliometric indicator covering all fields of research
- 4. Experiences: Effects, Discussions, Criticisms
- 5. Results from and questions for two evaluations of the indicator

Results from an evaluation in Denmark in 2012

- Difficult to measure effects after only three years
- Keep it, and keep it simple / add citations
- Increase transparency and statistical use

Questions for an evaluation in Norway in 2013

- Does the indicator balance well between different domains of research?
- Are the two levels appropriate?
- What happens to research collaboration?
- Changes in the publication patterns?
- How is the indicator perceived by researchers?
- The impact on research and on other activities
- Local use of the indicator