



VALUTAZIONE ISTITUTI CNR 2014



LA VALUTAZIONE 2009 1/2

1 Panel Generale
(15 componenti)

26 Panel di area

➤A: Science, Medicine, Engineering, and
Economics (87 Istituti)

➤B: Humanities, Social Sciences and Law
(20 Istituti)

150 valutatori esterni (60 stranieri)

Obiettivi

- a) individuare i punti di forza e di debolezza degli Istituti al fine di potenziarli e di correggere eventuali carenze;
- b) giudicare l'opportunità della loro collocazione attuale all'interno dei Dipartimenti esistenti;
- c) vagliare l'opportunità di aggregazione tra Istituti diversi;
- d) stabilire un ranking di massima degli Istituti stessi, almeno all'interno del loro Dipartimento.

Costo: ≈ 2 M€



LA VALUTAZIONE 2009 2/2

- Ogni Istituto è stato valutato da almeno due Panel di Area
- Ogni Panel di Area ha effettuato una visita in situ
- Ogni Panel di Area ha redatto un report e assegnato dei giudizi

Struttura del report

- Do you believe the present structure of the Institutes as a “network” (most Institutes have sites which can also be located in areas geographically far from each other) is the most suitable to achieve an advanced research? Or do you believe it is better to gradually establish research Areas geographically well defined, (at least as a general trend), as it was CNR before last transformations?
- Would you suggest any transfer of Institutes, or their Sections, to Departments different from the present ones and/or suggest a different organization of the Departments themselves?
- Do you think that the activities of the evaluated Institutes are in line with the stated mission? Do you think that, considered the present activity, the name of some Institute should be changed?
- Which Institute or detached Sections do not have a critical mass suitable for the stated mission?
- Bearing in mind the current evolution of Science and Technology, could you propose, for some Institutes, extending the research activity?
- Is there any scientific activity which must be abandoned?
- Is there any Institute or Division which must be eliminated?
- Did you identify in some Institute (or some researcher) a scientific and/or technological leadership at Italian and/or international level?
- For some of the Institutes did you find some results that are presently in use at industrial (or medical) level?

Struttura tabella giudizi

INSTITUTE:		
DEPARTMENT:		
AREA PANEL:		
The Institute is also assessed by the following Area Panels:		
	Maximum assessment (in hundredth)	Real assessment (in hundredth)
Scientific publications	X_i	
Promotion of the scientific and technological dissemination	Y_i	
Intellectual property 1 (editorial activity)	Z_{1i}	
Intellectual property 2 (patents)	Z_{2i}	
Education activity and scientific exchanges	W_i	
Participation to projects and contracts	Σ_i	
Realization and management of facilities and infrastructures	Q_i	
TOTAL SCORE	100	

Final summary of the Area Panel
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LA VALUTAZIONE 2014–2015

OBIETTIVO

L'esercizio si prefigge la valutazione delle strutture e la loro capacità di avanzamento delle conoscenze, in coerenza e integrate nella programmazione scientifica nazionale, europea ed internazionale, nonché della capacità di offrire un apporto al sistema produttivo

Risultanze della valutazione per

Razionalizzare la rete scientifica

- duplicazioni e complementarietà
- accorpamenti
- Verifica delle *mission*

Identificare aree di investimento

- Aree da potenziare
- Utilizzo delle infrastrutture
- Presenza sul territorio

Fornire un ulteriore strumento decisionale

- Definizione di strategie di Ente
- Programmazione del personale



LA VALUTAZIONE 2014–2015

SOGGETTI COINVOLTI

Il Consiglio Scientifico

- Definisce le linee guida della valutazione
- Seleziona i valutatori
- Discute con gli esperti i risultati intermedi ed eventualmente richiede approfondimenti
- Approva i Rapporti Finali degli Expert Panels

Expert Panels

- Uno per ogni dipartimento
- Non collegati al CNR
- Composto da 7-9 valutatori, riconosciuti internazionalmente
- Un chairman per ogni Panel

Il gruppo tecnico di supporto

- Prepara la documentazione di base per ogni Istituto
- Assiste gli Expert Panels

Consiglio di Amministrazione

- Approva il processo di valutazione
- Approva la composizione degli Expert Panels
- Approva i Rapporti Finali del Consiglio Scientifico



LA VALUTAZIONE 2014-2015

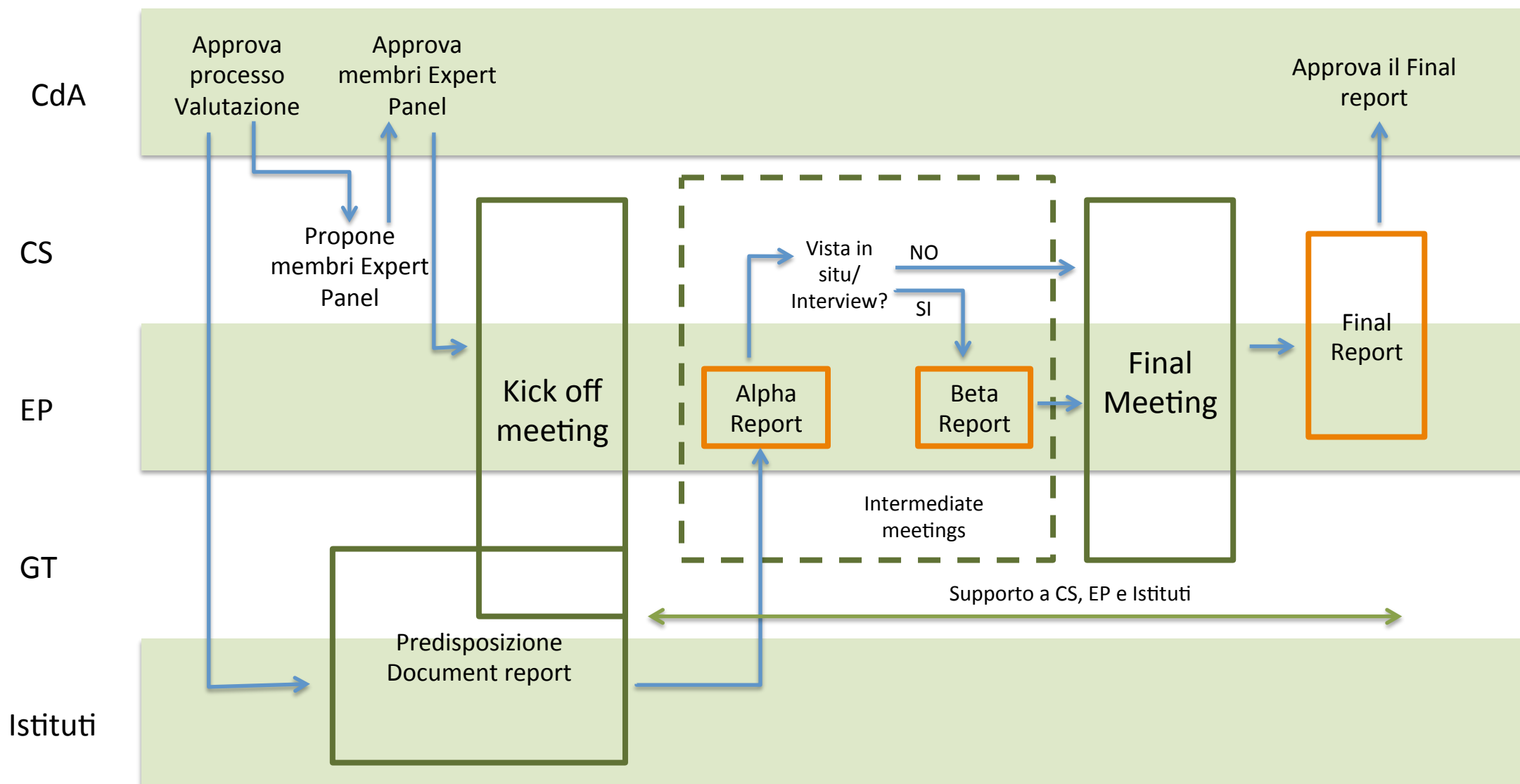
PROCESSO

- **Proposta degli Expert Panel e dei chairman** **CS**
- **Approvazione della composizione degli Expert Panel** **CdA**
- **Kick off meeting : il CS presenta le guidelines agli esperti** **CS+EP**
- **Consegna agli esperti dei Document Report** **GT+Istituti**
- **Alpha Report: basato su documenti e relazioni degli Istituti** **EP**
- **Intermediate meetings :gli EP e il CS valutano
l'opportunità di visite e interviste** **EP+CS**
- **Beta Report: basato su visite e interviste** **EP**
- **Final Meeting: i chairman e il CS finalizzano le valutazioni** **EP+CS**
- **Final Report: conterrà dati e valutazioni per ogni Istituto** **EP+CS**
- **Approvazione del Final report** **CdA**



LA VALUTAZIONE 2014-2015

PROCESSO





LA VALUTAZIONE 2014–2015

Budget a disposizione per la Valutazione: 1M€

Saranno coinvolti circa 70 esperti

Ad ogni esperto sono richiesti 15 giorni di lavoro

Costo stimato per il compenso dei valutatori: ~ 250.000 €

Per ogni missione si stima un costo di € 3.000 (ogni Istituto verrà visitato da almeno tre esperti)

Costo delle missioni: ~ 300.000 €

A questi costi si sommeranno costi del materiale messo a disposizione dei valutatori, kick off e intermediate meetings, trasferte del gruppo tecnico di supporto e altro.



TIMELINE

Data	Task
9 ottobre	Approvazione Cda e Avvio progetto
31 ottobre	Selezione degli Esperti
31 ottobre	Kick off meeting
31 ottobre	Relazioni dei Direttori
31 ottobre	Preparazione Rapporti di Documentazione
15 novembre	Alpha Reports
30 novembre	Intermediate meeting
28 febbraio	Completamento delle visite – Beta Reports
31 marzo	Final Report

Guidelines for the 2nd Evaluation Process of CNR Institutes

Document of the Scientific Committee

Objectives

The aim of the 2014-2015 rounds of evaluations is to provide the President and the Governing Council with an assessment of the achievements of CNR's Institutes based on the following criteria, corresponding to the main aspects of organisation's mission:

1) scientific production

- a) quantity and quality of publications by researchers of each Institute, including, where applicable, average impact factor and citation index statistics
- b) extent of interdisciplinary and innovative contributions to science
- c) success in attracting external research funding, with particular attention to participation and coordination of international projects funded by peer-review scientific agencies
- d) awards and other recognitions given to members of each Institute for scientific merits
- e) organising international conferences, workshops and special sessions, and presenting scientific contributions at prestigious international scientific venues
- f) serving as board members or editors of prestigious national and international journals

2) formation of highly qualified personnel (HQP)

- a) successful training of young researchers, and post-docs, and/or or doctoral students as demonstrated by the placement of these individuals in research environments
- b) participation of members of the Institute in relevant university teaching and/or professional development activities
- c) organising, running, giving invited talks, and/or lessons at scientific meetings at the national and international levels

3) transfer of research results to society:

- a) number of patents awarded to members of the Institute
- b) licensing agreements with industry
- c) spin-offs and start-up companies based on the research results of the Institute
- d) policy recommendations to government and industry
- e) high-level consulting activities by the unit and/or its researchers individually
- f) public outreach activities
- g) press and media impact of the scientific activities of each Institute
- h) other relevant indicators of outreach and community service

This cycle of evaluations is intended to provide a mid-term assessment of the present state of all CNR Institutes by comparing them to the first evaluation that was conducted in 2009-2010. Specifically, the present evaluation process will provide information to enable CNR to update policies regarding:

- resource allocations to Departments and Institutes
- indicators of excellence in terms of research outputs and international scientific leadership
- incentives for rewarding high quality outputs
- poor performance, including lack of internal and international collaboration
- decisions on re-design and re-structuring of research units based on potential overlap, synergies, and/or complementarities among the Institutes involved.

Process and provision of relevant information

One Expert Panel will be established for each CNR's seven (7) Departments. Expert Panels will consist of five (5) to seven (7) internationally recognised researchers who are not affiliated with CNR. Each Expert Panel will have the responsibility of evaluating all Institutes affiliated with a given CNR Department.

In addition to the present guidelines, each panellist will receive three sets of data about the institutes to be used in the assessments:

1. *Document of the Scientific Committee for the Evaluation of CNR Research (Appendix 1)*
2. Composition and activities of the target Institutes as described on their websites and from other relevant internal CNR sources
3. A report of approximately 5000 words from the Director of each Institute which has been endorsed by the Institute Committee (IC) containing the following sub-sections:
 - a. description (up to 2000 words) of existing groups and research lines, financial state, participation to research grants and other sources of funding, affiliations, discipline background, age distribution, number and positions of permanent researchers, number of limited-term scientists, average h-index and, when applicable, average impact factors and other citation statistics
 - b. analysis (up-to-1000 words) of the Institute's performance and of its attractiveness to young researchers, including those from countries other than Italy, identifying the strongest groups and the most productive and/or most interesting research lines
 - c. SWOT analysis (up-to-1000 words) consisting of a matrix outlining strengths and weaknesses of each Institute under evaluation, a discussion of opportunities from which it could benefit, and a candid statement of existing threats the Institute is facing
 - d. an appendix containing short CVs of all researchers, including a self-assessment of their best ten (10) publications and, at the discretion of the Director of the Institute, a comprehensive list of all peer-reviewed publications and patents during the last five (5) years.

Procedure

In order to facilitate its work and to streamline communications with relevant offices and committees of CNR, each expert panel will have a Chairperson whose task will be to interact

directly with the Scientific Committee (SC) during the course of the review. Each Expert Panel will participate, in person or by video-conference, in the following:

1. *a kick-off meeting*, in which the SC's members will discuss the guidelines and answer any outstanding questions as posed by the Chairpersons of the Expert Panels
2. *intermediate meetings*, allowing members of the Expert Panels to achieve an integrated view of the Institutes under evaluation and their interrelation within the Department and, if possible, CNR as a whole
3. *a final report meeting*, in which the Chairpersons of each of the Expert Panels will provide their final reports and answer questions posed by the SC as it prepares a global assessment for the President of CNR.

Upon request, the SC will provide additional advice and data to the Expert Panels. The SC may in rare cases recruit additional experts if an Expert Panel feels it lacks the competences necessary to complete the evaluation.

Timeline

The timeline for the evaluation of CNR Institutes is as follows:

Date	Task
31 July 2014	Call for Directors' Reports (DR)
15 September 2014	Finalisation of memberships of Expert Panels
15 September 2014	DRs to be submitted to SC
30 September 2014	DRs distributed to Expert Panels
31 October 2014	Alpha Reports (AR) due from Panels Site/interview visits scheduled as required
20 November 2014	Visits completed. Beta Reports (BR), if required
10 December 2014	Final Reports to SC for review and comment
31 December 2014	Final reports submitted by SC to President

Visits

If necessary, two types of visits can be arranged:

1. *On site*: At the Panel's discretion, all or a subset of its members may schedule visits to Institutes and their laboratories if
 - a. the alpha report (AR, defined below) confirms a negative evaluation of the first evaluations of assessment completed in 2009-2010
 - b. a supplementary detailed analysis is required due to potential significant overlap, considerable inter-dependencies and suspected inefficiencies.
 - c. a new institute has started activities after the previous evaluation

2. *Interview*: the Expert Panel may ask the Director(s) of one (or more) Institutes to participate in person to a meeting in Rome to clarify his/her DRs. The Director may be accompanied by other members of his/her Institute as recommended by the IC.

Reports

The panels will produce two or three reports to be submitted to the SC:

1. *Alpha Report* (AR): the provisional submission of the Expert Panel for each Institute based exclusively on the written material and deliberations by the members. If at this stage, the Expert Panel believes that a site visit or interview is necessary, a Beta Report will be required upon completion of the visit. If no site visit or interview is required and the SC has no suggestions and accepts the AR, there will be no further report required of the Expert Panel for that Institute.
2. *Beta Report* (BR), if necessary: a short report on the Institute activity and the outcome of the visit and/or of the interview. If the SC has no suggestions and accepts the BR as is, there will be no further reports required of the Expert Panel for that Institute.
3. *Final Report* (FR): the final assessment of each expert panel prepared after the final Report Meeting, based on the ARs and BRs. The structure of the Final Report will be as follows:
 - a. Objective description of the Institutes assessed by the Expert Panel
 - b. Analysis of the main achievements of the Institutes including best research lines, average h-index, impact factors, and technology transfer activities.
 - c. Evaluation, according to the following categories:
 - i. *Excellent*: world-class
 - ii. *Very Good*: competitive within the European context
 - iii. *Good*: doing well at the national level
 - iv. *Average*: meeting expectations but could be improved
 - v. *Poor*: remedial actions are required immediately
 - d. Recommendations for actions to be undertaken by the CNR President and Governing Council.

All reports (alpha, beta, and final) should be drafted in a simple, straightforward language and style; they should be informative but brief. A suggested model for a framework for evaluating research enterprises can be found at <http://www.rand.org/pubs/monographs/MG1217.html>.