

Performance based funding – a comparative analysis of EU28 Member States

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***disclaimer: the content of this presentation does not
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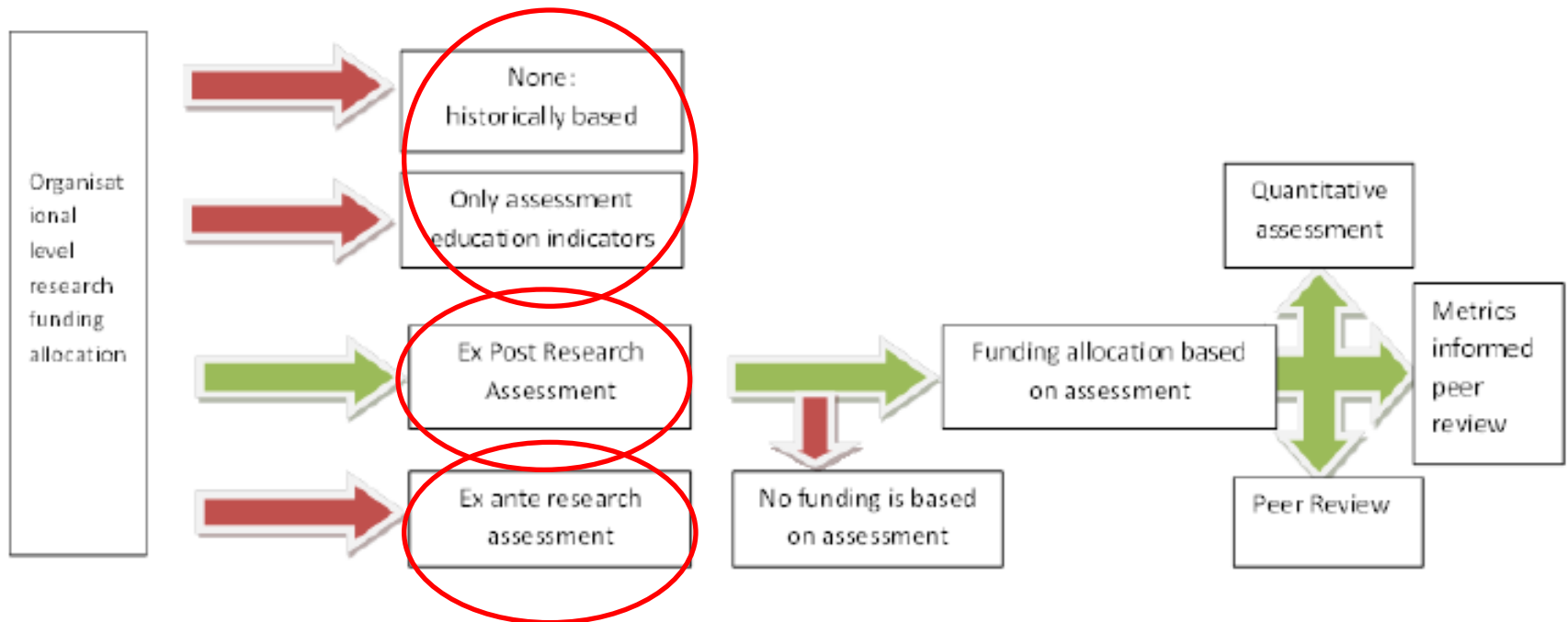
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ERA priority 1: increasing the effectiveness and performance of public sector research systems

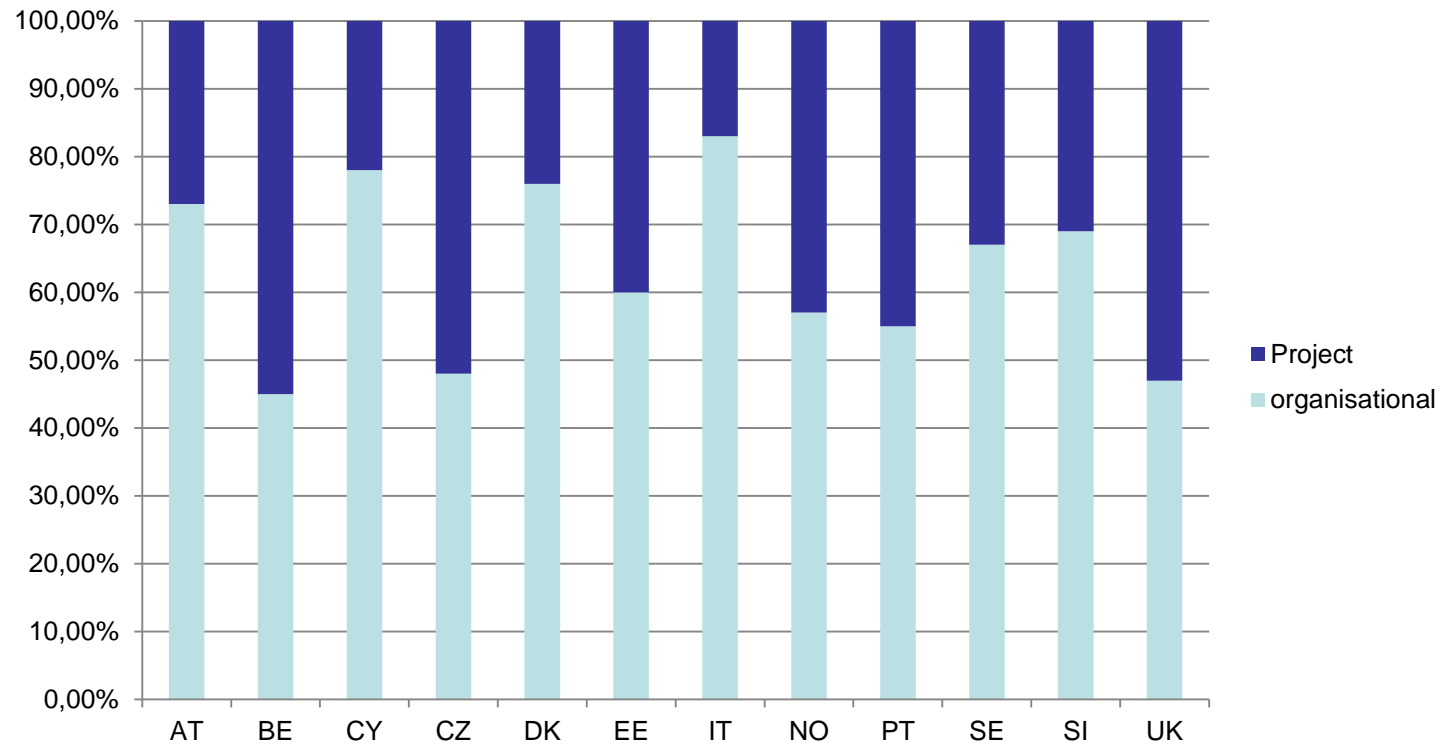
A research performance based funding system bases the allocation of institutional funding on the ex post assessment of research outputs (Hicks, 2012).





- based on a comparative qualitative analysis of 35 national R&I systems.
- RIO Country reports 2014-2015 (+ national policy documents and scientific literature)
- Quantitative data collected in the framework of a project on Public Funding for Research

Novel data on project vs institutional funding: also info on e.g. funding formulas



Source: The PREF study (provisional, ongoing)



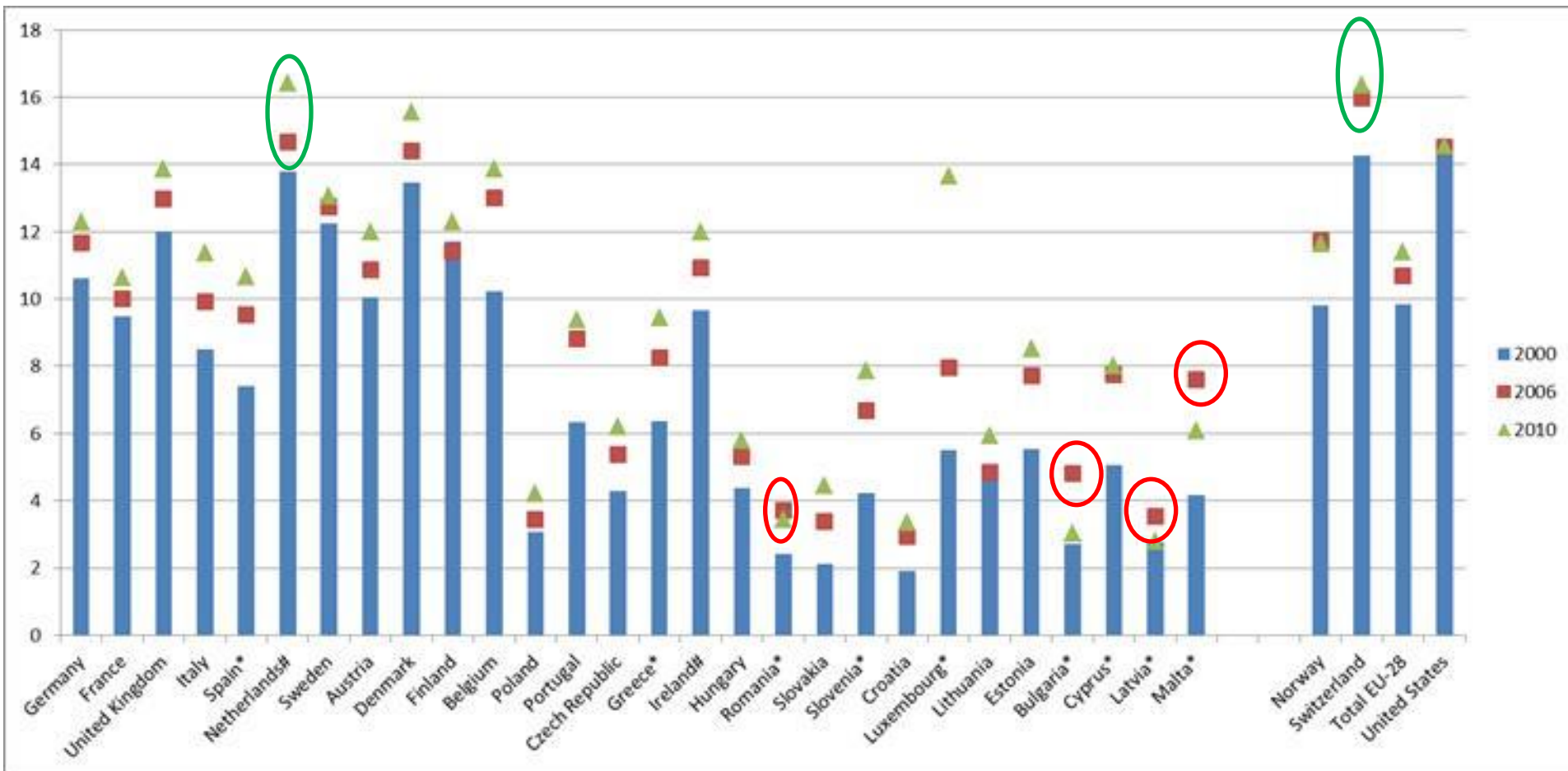
Dominant assessment approach

		No RPBf											Limited RPBf			formula: Bibliometric assessment											Formula: Peer review				
Country		B G	C Y	E L	E S	H U	I E	L U	L V	M T	R O	SI	AT	GE	NL	BE (FI)	BE (W A)	C Z	D K	E E	FI	H R	PL	S E	S K	F R	I T	L T	P T	U K	
Education metrics		X			X	X	X	X			X		X	X	X	X	X		X	X	X				X				X		
Historical		X	X	X	X	X			X	X	X	X				X	X	X	X	X	X				X	X		X	X	X	
Bibliometrics	Publications	X				X			X	X						X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	
	Journal Impact	X						X								X		X	X	X	X						X	X			
	Based Citation	X				X										X	X					X		X		X	X				
Other formula elements	PhD graduates					X	X	X					X		X	X			X	X	X	X		X		X					
	Patents							X						X			X	X	X			X		X		X	X				
	Project funding						X							X			X	X	X	X	X			X	X	X					
	Business funding						X	X											X	X	X	X	X			X	X				
	Gender/diversity													X		X	X														
	Internationalisation														X						X	X			X	X	X	X			
Peer review													X		X											X	X	X	X	X	
Performance Contracts													X		X				X	X	X					X	X	X	X	X	

Discussion Effects of PBF



Share of publications among top 10% most cited (field weighted)





Benefits

- Incentives to publish high impact research "translated" by these organisations to incentives at the level of departments, research groups and the individual researchers
- Potential increase in efficiency / effectiveness of funding : more impact per euro

Risks

- Perverse incentives resulting in undesirable behaviour
- Prioritisation of certain fields of research
- Indicators are imperfect: there is a risk to incentivize the wrong thing

Discussion

Benefits and risks



Strengths and drawbacks of peer review

- Grounded in specialised knowledge
- Can help assess elements that are difficult to quantify
- Nuanced understanding of research
- Difficult to implement in countries where the pool of experts is insufficiently large
- Risk of nepotism and a lack of transparency
- conservative, favour mainstream research?
- **Costly and time-consuming**

Strengths and drawbacks of bibliometric approaches

- Low costs both in terms of resources/ time
- Non-intrusive
- Perceived objectivity
- Arguably more difficult to game
- Can involve complex data collection
- Limitations bibliometric databases (Social Sciences)
- sensitive to the methodology adopted and the choice of indicators

Key messages

- Introducing/adapting PBF is a potential avenue to improve the efficiency of the research systems of several MS
- Choice for type of system: consider costs, incentives and unintended side effects.
- Case for bibliometrics informed peer review: but costly
- Scope for learning from MS with experience: consider rationale for changes made in the past decade

Concentration vs widening?



*In the past, English football knew many teams that could win the premiership. At present [...] only a few teams have the required resources to compete. By contrast in American football the least performing team gets the first pick of college players.
(Ben Martin – conversation/paraphrased)*

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