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Evaluation of Research Quality



Valutazione Qualità della Ricerca

Evaluation of Research Quality 2011-2014 (VQR 2011-2014)

Criteria for the Evaluation of Research Outputs

Group of experts for evaluation

for Area 11a - History, Philosophy, Pedagogy

(GEV 11a)



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1. Introduction

This document describes the organization of the Group of experts for evaluation for the History, Philosophy and Pedagogy Area (from now on, the GEV) and the criteria the Group will use in evaluating research outputs. The document is divided in seven parts. Section 2 lists the Scientific Sectors (*Settori Scientifico-Disciplinari*), the Academic Recruitment Fields (*Settori Concorsuali*) and the ERC Sectors which are relevant for the GEV. Section 3 summarizes the internal operating rules of the GEV. Section 4 describes the evaluation criteria for the research outputs. Section 5 describes the peer review process and the guidelines for the selection of external reviewers. Section 6 defines the assessable and non-assessable product typologies. Finally, Section 7 describes how the GEV plans to solve potential conflicts of interest between GEV members and authors of research outputs.

2. Delimitation of the GEV Area

The GEV will take care of the evaluation of the research outputs submitted by researchers belonging to the Scientific Sectoris (SSD), Academic Recruitment Fields (SC) and ERC Sectors (ERC) listed in Tables 1-3.

	Relevant Scientific Sectors (SSD)
M-STO/01	MEDIEVAL HISTORY
M-STO/02	MODERN HISTORY
M-STO/03	HISTORY OF EASTERN EUROPE
M-STO/04	CONTEMPORARY HISTORY
M-STO/05	HISTORY OF SCIENCE AND TECHNOLOGY
M-STO/06	HISTORY OF RELIGIONS
M-STO/07	HISTORY OF CHRISTIANITY AND OF CHURCHES
M-STO/08	ARCHIVAL SCIENCE, BIBLIOGRAPHY AND LIBRARIANSHIP
M-STO/09	PALEOGRAPHY



M-DEA/01	DEMOLOGY, ETHNOLOGY AND ANTHROPOLOGY
M-GRR/01	GEOGRAPHY
M-GRR/02	ECONOMIC AND POLITICAL GEOGRAPHY
M-FIL/01	THEORETICAL PHILOSOPHY
M-FIL/02	LOGIC AND PHILOSOPHY OF SCIENCE
M-FIL/03	MORAL PHILOSOPHY
M-FIL/04	AESTHETICS
M-FIL/05	PHILOSOPHY AND THEORY OF LANGUAGE
M-FIL/06	HISTORY OF PHILOSOPHY
M-FIL/07	HISTORY OF ANCIENT PHILOSOPHY
M-FIL/08	HISTORY OF MEDIEVAL PHILOSOPHY
M-PED/01	PEDAGOGY, THEORIES OF EDUCATION AND SOCIAL EDUCATION
M-PED/02	HISTORY OF PEDAGOGY AND EDUCATION
M-PED/03	METHODOLOGIES OF TEACHING AND SPECIAL EDUCATION
M-PED/04	EDUCATIONAL RESEARCH
M-EDF/01	PHYSICAL TRAINING SCIENCES AND METHODOLOGY
M-EDF/02	SPORT SCIENCES AND METHODOLOGY

Table 1. The relevant Scientific Sectors (SSD) for Area 11a

	Relevant Academic Recruitment Fields (SC)
11/A 1	MEDIEVAL HISTORY
11/A 2	MODERN HISTORY
11/A 3	CONTEMPORARY HISTORY
11/A 4	SCIENCE OF BOOKS AND DOCUMENTS, HISTORY OF RELIGIONS
11/A 5	DEMOGRAPHY, ETHNOGRAPHY AND ANTHROPOLOGY
11/B 1	GEOGRAPHY
11/C 1	THEORETICAL PHILOSOPHY
11/C 2	LOGIC, HISTORY AND PHILOSOPHY OF SCIENCE
11/C 3	MORAL PHILOSOPHY



11/C 4	AESTHETICS AND PHILOSOPHY OF LANGUAGES
11/C 5	HISTORY OF PHILOSOPHY
11/D 1	EDUCATIONAL THEORIES AND HISTORY OF EDUCATIONAL THEORIES
11/D 2	METHODOLOGIES OF TEACHING, SPECIAL EDUCATION AND EDUCATIONAL RESEARCH

Table 2. The relevant Academic Recruitment Fields (SC) for Area 11a

	Relevant ERC Sectors (ERC)
SH1_2	International trade; international business; international management; spatial economics
SH1_3	Development economics, health economics, education economics
SH1_5	Labour and demographic economics; human resource management
SH1_9	Industrial organisation; strategy; entrepreneurship
SH1_11	Technological change, innovation, research & development
SH1_12	Agricultural economics; energy economics; environmental economics
SH1_14	Quantitative economic history; institutional economics; economic systems
SH2_1	Political systems, governance
SH2_2	Democratisation and social movements
SH2_3	Conflict resolution, war
SH2_4	Legal studies, constitutions, human rights, comparative law
SH2_5	International relations, global and transnational governance
SH2_6	Sustainability sciences, environment and resources
SH2_7	Environmental and climate change, societal impact and policy
SH2_8	Energy, transportation and mobility
SH2_9	Urban, regional and rural studies
SH2_10	Land use and regional planning
SH2_11	Human, economic and social geography



SH2_12	GIS, spatial analysis; big data in political, geographical and legal studies
SH3_1	Social structure, social mobility
SH3_2	Inequalities, discrimination, prejudice, aggression and violence, antisocial behaviour
SH3_3	Social integration, exclusion, prosocial behaviour
SH3_4	Attitudes and beliefs
SH3_5	Social influence; power and group behaviour; classroom management
SH3_6	Diversity and identities, gender, interethnic relations
SH3_7	Social policies, welfare
SH3_8	Population dynamics; households, family and fertility
SH3_9	Health, ageing and society
SH3_10	Social aspects of learning, curriculum studies, educational policies
SH3_11	Communication and information, networks, media
SH3_12	Digital social research
SH3_13	Science and technology studies
SH4_1	Cognitive basis of human development and education, developmental disorders; comparative cognition
SH4_9	Theoretical linguistics; computational linguistics
SH4_10	Language typology
SH4_11	Pragmatics, sociolinguistics, discourse analysis
SH4_12	Philosophy of mind, philosophy of language
SH4_13	Philosophy of science, epistemology, logic
SH5_3	Philology and palaeography; historical linguistics
SH5_8	Cultural studies, cultural identities and memories, cultural heritage
SH5_9	Social anthropology, religious studies, symbolic representation
SH5_10	Metaphysics, philosophical anthropology; aesthetics
SH5_11	Ethics; social and political philosophy
SH5_12	History of philosophy
SH5_13	Computational Modelling and Digitisation in the Cultural Sphere
SH6_1	Historiography, Theory and methods in history, including the

	analysis of digital data
SH6_6	Medieval history
SH6_7	Early modern history
SH6_8	Modern and contemporary history
SH6_9	Colonial and post-colonial history
SH6_10	Global history, transnational history, comparative history, entangled histories
SH6_11	Social and economic history
SH6_12	Gender history; Cultural History; History of Collective Identities and Memories
SH6_13	History of ideas, intellectual history, history of economic thought
SH6_14	History of Science, Medicine and Technologies
PE1_1	Logic and foundations
PE6_4	Theoretical computer science, formal methods, and quantum computing
PE6_7	Artificial intelligence, intelligent systems, multi agent systems
PE10_13	Physical geography
LS7_11	Medical ethics

Table 3. The relevant ERC sectors (ERC) for Area 11a

3. Organizzazione del GEV

The GEV Coordinator is Professor Massimo Mori. The GEV is divided into three Sub-GEVs.

3.1. Sub-GEV composition

Sub-GEV name and relevant research areas (SSD)	Coordinator	Members
History, Geography, Demology, Ethnology and Anthropology (M-	Paolo Macry	Roberto Bizzocchi, Alberto Camplani, Alessandro Carocci,

STO/01-09, M-DEA/01, M-GRR 01-02)		Elena Dell’Agnese, Franco Farinelli, Maria Guercio, Paolo Macry, Giovanni Muto, Leonardo Piasere, Paolo Pombeni, Silvio Pons, Emanuela Scarpellini
Philosophy (M-FIL/01-08)	Carlo Natali	Alessandra Beccarisi, Laura Boella, Pasquale Frascolla, Roberto Giuntini, Enrica Lisciani Petrini, Giuseppe Micheli, Carlo Natali
Pedagogy, Physical training/Sport Sciences and Methodology (M-PED 01-04, M-EDF 01-02)	Massimo Baldacci	Massimo Baldacci, Davide Malatesta, Simonetta Polenghi, Maria Grazia Riva, Pier Giuseppe Rossi

Table 4. Sub-GEVs, relevant Scientific Sectors (SSD), coordinators and members

3.2. Assignment of research outputs to the GEV and within the GEV

The assignment of research outputs to the GEV will occur according to the SSD of the author. On the basis of the SSD specified in research output descriptive form, the GEV may decide to assign the research output to another GEV, if the content is found to be more appropriate to the latter; in this case the evaluation of the research output is based on the criteria of the GEV of destination.

The assignment of research outputs to the members of the GEV in charge with their evaluation will occur according to the SSD indicated by the author in the research output descriptive form. The SSD assigned to the research output may differ from the author’s SSD, since it refers to the GEV 11a and, within the GEV, to the SSD which, according to the author, is more competent to evaluate the research output. The GEV will divide research outputs by type of publication and by research area and will assign them to the appropriate Sub-GEV. The Sub-GEV Coordinator will assign them to two competent Sub-GEV members.



If a research output is assigned to more than one GEV (for instance, since co-authors indicate different SSD belonging to different GEVs), the output will be evaluated according to the VQR Guidelines for the Groups of Evaluation Experts (Sub-section 3.2). If necessary, the Coordinators of the GEVs involved will constitute specific Inter-Area Consensus Groups.

3.3. Operating rules of the GEV

The operating rules of the GEV are defined as follows:

- a GEV meeting is called with an at least 15 days notice. The meeting is called by the Coordinator, who also sets the agenda;
- decisions within the GEV are made by simple majority rule among members who attend a meeting. In order to vote, physical presence is not required if presence is assured via web or phone connection;
- the assistant assigned by ANVUR to the GEV, Francesca Pentassuglio, attends the GEV meetings, with secretariat functions and without voting rights. At the end of each meeting, minutes and a synthetic report outlining the main decisions will be drafted, circulated among GEV members, approved by the Coordinator and the members, and then sent to ANVUR to be filed.

4. The evaluation of research outputs

The evaluation of research outputs by the GEV follows the informed peer review methodology, which avails itself of the possibility of resorting to all available means in order to carry out a thorough evaluation of the research outputs (journal ranking, international indexing, editorial positioning, translations, awards, etc). The GEV as a college ultimately remains responsible for the final assessment.

The evaluation means the GEV will use are:

- Peer review entrusted to external referees (as a rule two for each publication) selected by two members of the GEV;



- Direct evaluation by the GEV, which can conduct an internal peer review according to the same procedure described for external peer review (that is, two GEV members will be involved). In particular, this evaluation procedure will be adopted in case of lack of appropriate external referees or in exceptionally complex cases (e.g. in case of sharp disagreement between the two external referees: see Section 5.2).

5. Peer review evaluation

Each research output to be evaluated by peer review will be sent to two external reviewers, independently chosen by the two GEV members to whom the research output was assigned. Alternatively, a research output will be evaluated within the GEV according to the same procedure, provided that the necessary expertise is available and that no conflict of interest is present.

5.1. The selection of external peer reviewers

The selection of external reviewers, among Italian and foreign scholars, given its essential goals in the public interest, follows the principle of honest institutional cooperation and is founded on the criteria of correctness, objectivity and impartiality.

Great attention will be devoted to maintaining the anonymity of the reviewers, both at the stage of preparation of the list of reviewers and at the operational stage of the evaluation. The results of the evaluation of individual products and the identity of the reviewers in charge will not be made public. A list with the reviewers' names will be published by ANVUR within 30 days of the publication of the VQR Final Report.

Reviewers will be selected among the most authoritative and scientifically qualified scholars and specialists in the disciplines relevant to the research outputs to be examined. They are expected to have been active in research during the period covered by the VQR.

Starting from the list provided by ANVUR, the GEV will prepare an updated list of external reviewers such to adequately satisfy the standards set by the GEV in terms of scientific quality and experience with evaluation. Before the evaluation procedure begins, the list will be extended



with new reviewers selected by the GEV. In particular, through the Sub-GEV Coordinators, the Coordinator will invite GEV members to suggest a significant number of experts who satisfy the required standards and are available for the evaluation.

It will be possible to extend the reviewer list throughout the evaluation procedure, on the basis of the needs that might emerge after the research outputs are transmitted by institutions.

5.2. Peer evaluation

The evaluation by external or internal reviewers is based on an evaluation form to be prepared by the GEV, following ANVUR guidelines, together with instructions for reviewers. The evaluation form will allow the reviewer to assign a score to the three evaluation criteria established by the Ministerial Decree and the VQR Call, that is, originality, methodological rigor, and attested or potential impact. The form will also include an empty space where a brief comment should be entered, to summarize a motivation for the answers provided to the questions.

The GEV will translate the indications contained in the evaluation form into one of the five classes of merit established by the VQR Call.

In case of non-converging evaluations or disagreement between the reviewers, the Sub-GEV creates a Consensus Group with the task of proposing to the GEV the final score for the research outputs under examination, using the consensus report methodology. Depending on how problematic the case is, the decision can be made by resorting to the opinion of a third expert, by direct evaluation or by combining the three referees' external evaluation with the internal evaluation.

In case of conflict in the evaluation between the members of the Consensus Group, this group will be integrated with the sub-GEV Coordinator or the GEV Coordinator.

In any case, the GEV ultimately remains responsible for the final evaluation.



6. Admissible and non admissible research outputs

On the basis of the indications provided by the VQR Call (Section 2.3), the GEV considers as assessable the following product typologies:

- A. Scientific monograph and analogous products:
 - a. Research monograph
 - b. Congruent collection of research essays (excluding essays published before 2011)
 - c. Concordance
 - d. Scientific commentary
 - e. Research bibliography
 - f. Critical editions
 - g. Publication of unpublished sources accompanied by introduction and commentary
 - h. Critical manuals, if not merely didactic
 - i. Scientific dictionaries
 - j. Translations of relevant works, if characterized as hermeneutic works and marked by a critical approach on the part of the translator
 - k. New editions and translations of works published before 2011, if they include original elements such to connote the work as mostly new.

- B. Journal essay:
 - a. Scientific papers
 - b. Review essay or broad review including proper contextualization and critical analysis of the reviewed text/texts.

- C. Essay in volume:
 - a. Essay in volume (book chapter or essay)
 - b. Scientific papers in peer reviewed conference Proceedings
 - c. Introduction/Preface/Postface essays
 - d. Volume editing with introductory essay



- e. Catalogue or inventory with introductory essay
 - f. Critical dictionary or encyclopedic entries
 - g. Part of catalogues, repertoires, *corpora*
 - l. Introduction/Preface/Postface essays published before 2011, if they include original elements such to connote the contribution as mostly new.
- D. Other scientific products:
- a. Thematic maps
 - b. Audiovisual, auditory and multimedia products, if associated with official elements allowing the identification of the publication date.

The GEV considers as non assessable the following product typologies:

- A. Merely didactic manuals and texts
- B. Reviews without contextualization and critical analysis of the pertaining literature
- C. Short and unoriginal dictionary or encyclopedic entries
- D. Short parts of catalogues without independent scientific contribution.

7. Conflicts of interest

GEV members will not evaluate or assign to external reviewers or other GEV members:

- research outputs they have authored or co-authored;
- research outputs which have been authored or co-authored by spouses and relatives up to the fourth degree of kinship;
- research outputs submitted by universities of which they have been employees or official associates (even through research centers) since 1/1/2011;



- research outputs submitted by research centers controlled by MIUR or other public and private entities that are voluntarily subjected to the VQR of which they have been employees or official associates (even through research centers) since 1/1/2011.

For the above research outputs there exists a conflict of interest in the following cases:

- when the institution in question has a permanent internal division along a territorial or disciplinary dimension (e.g., a local section of a research center, institute, department), a conflict of interest exists only with respect to the research outputs presented by the same internal unit;
- when the institution in question does not have a permanent internal division along a territorial or disciplinary dimension (e.g., a local section of a research center, institute, department), a conflict of interest exists with respect to the research outputs presented by the institution;
- when the internal organization is based on several hierarchical levels (e.g., several institutes within a single department) a conflict of interest emerges at the lowest level (e.g., GEV members who are affiliated with different institutes belonging to the same department have a conflict of interest only with respect to the research outputs presented by authors belonging to the same institute).

In case of conflicts of interest, the GEV Coordinator, or the sub-GEV Coordinator when appropriate, will assign the research output to be evaluated to another GEV member for whom no conflict of interest is present.

In case of conflicts of interest involving the GEV Coordinator, the corresponding research outputs will be assigned by the VQR Coordinator or by a person designated by the VQR Coordinator.