



EVALUATING THIRD MISSION: THE ITALIAN EXPERIENCE

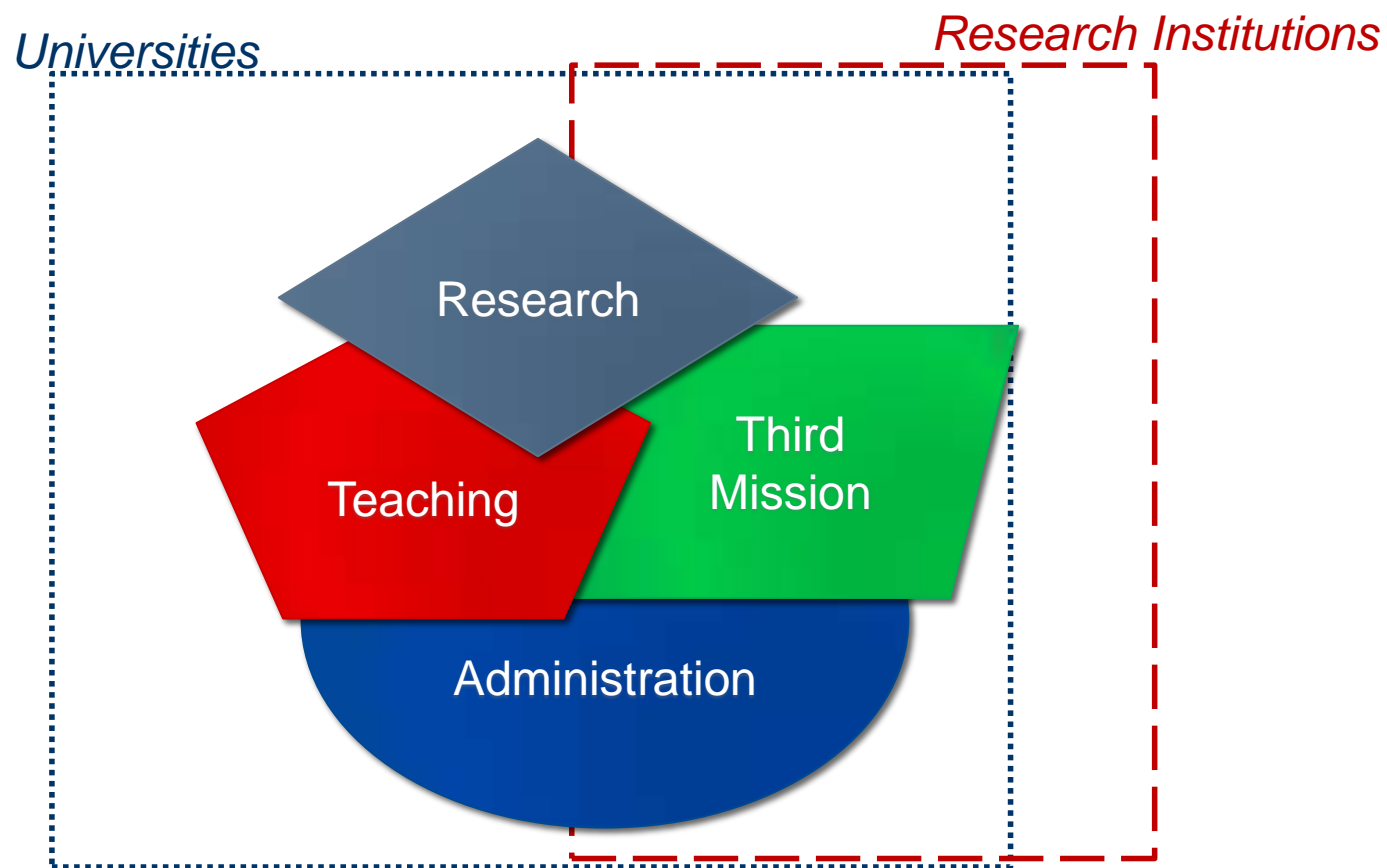
1st Meeting with Research England

16 April 2019 - ANVUR, Rome

ANVUR - mission

- Presidential Decree 76/2010 (art. 3, par.1): «to evaluate the quality of processes, results and products of management, teaching, research, including technology transfer activities»
- Evaluation of the Third Mission of **Universities** and **Research Institutions**

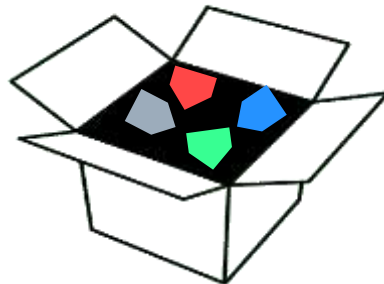
ANVUR: mission



What we mean for third mission

DEF: *the openness of the University towards the socio-economic context through the valorization and transfer of knowledge.*

TM is a process of knowledge transfer, not only related to technology and encompassing social and cultural benefits (production of public goods)



what is there inside TM?

TM evaluation

Evaluation of Research Quality VQR 2004-2010

- definition of a set of indicators based on counting (number of spin-off companies,..) built on data from HEIs internal monitoring systems (no central data collection system):
need for more reliable data and definition refinement

Evaluation of Research Quality VQR 2011-2014

- building of a central data collection system
- integration with quali-quantitative indicators (spin-off companies' revenues and employees, ...)
- development of the informed peer review model (publication of the Evaluation Manual): **need for metrics on impact and a more context-based evaluation model**

2011 ▶▶

▶▶ 2019

VQR 2004-2010

- Total revenues from **third party contracts**
- No. of granted **patents** owned by the university
- No. of **spin-off** companies
- No. of incubators
- No. of **technology transfer consortia and associations**
- No. of archaeological excavations
- No. of museums
- No. of **other third mission activities**

ONE FINAL INDICATOR FOR THIRD MISSION

group of experts (data, evaluation, indicators)

two international workshops

consultation of the academic community

VQR 2011-2014

- central data collection system
- definition of evaluation method (informed peer review)
- publication of ANVUR TM Evaluation Manual
- institution of a TM Evaluation Panel

FINAL REPORT ON THIRD MISSION

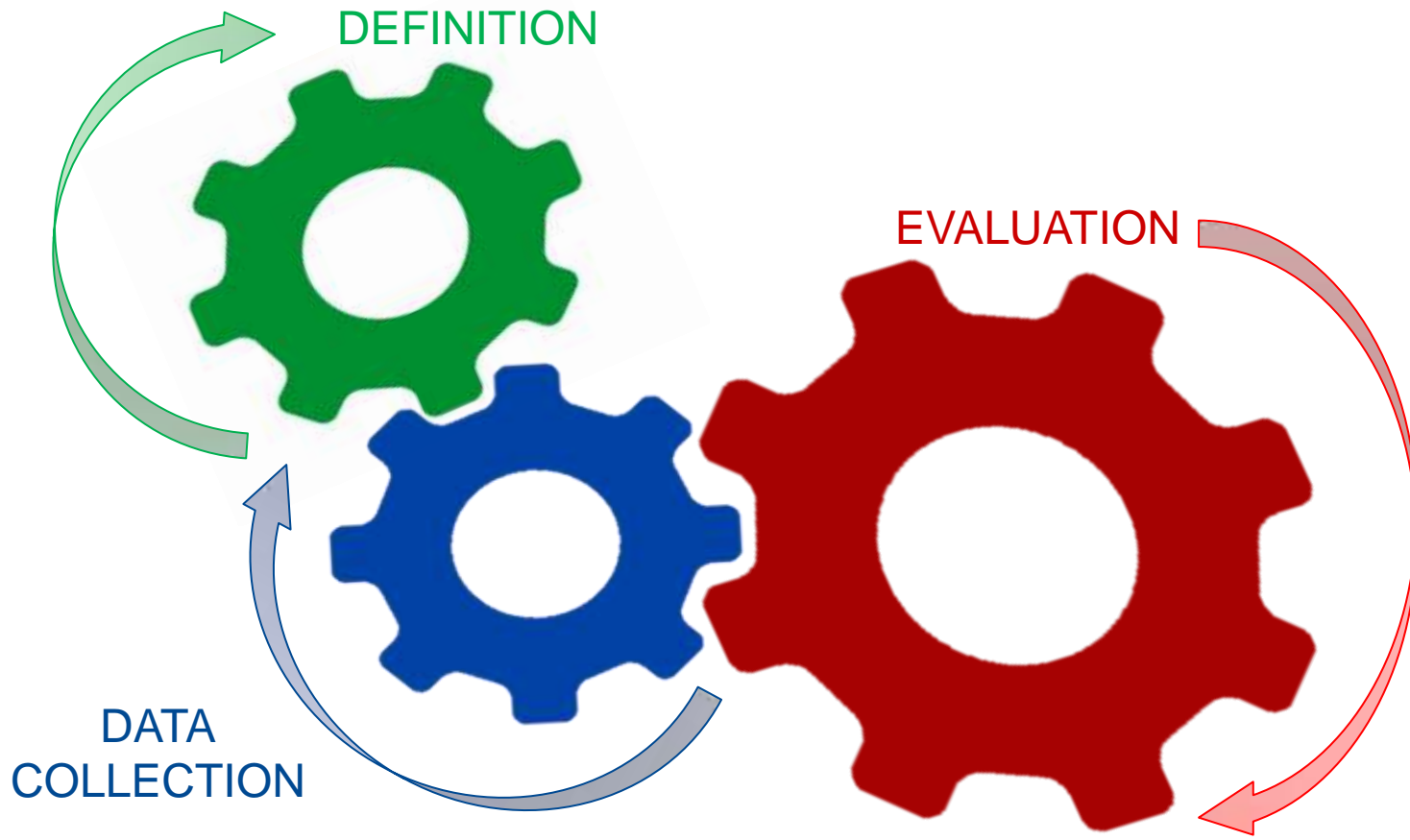
group of experts (metrics on impact and relevance of context)

publication of new guidelines for monitoring

revision of TM Evaluation Manual

VQR 2011-2015

Not only evaluation

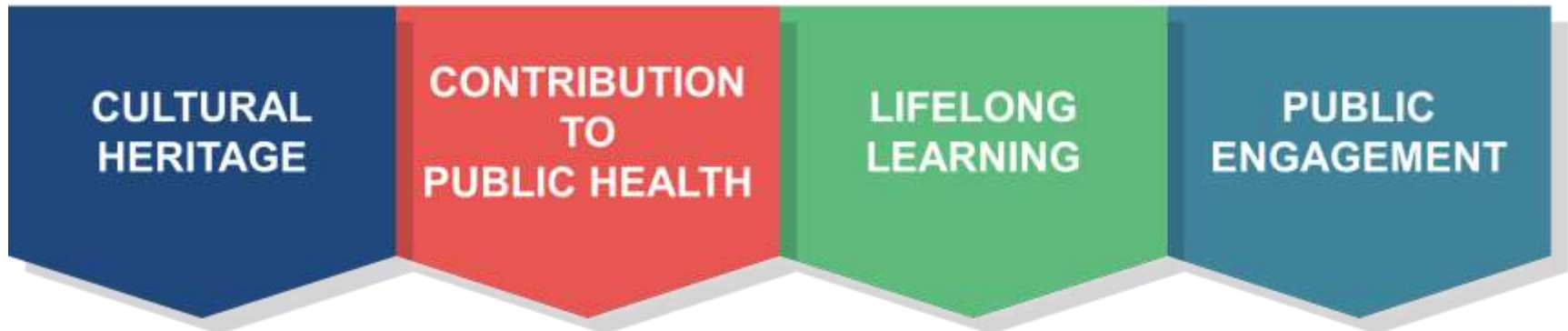


What is there inside TM?

▼ VALORIZATION OF RESEARCH ▼

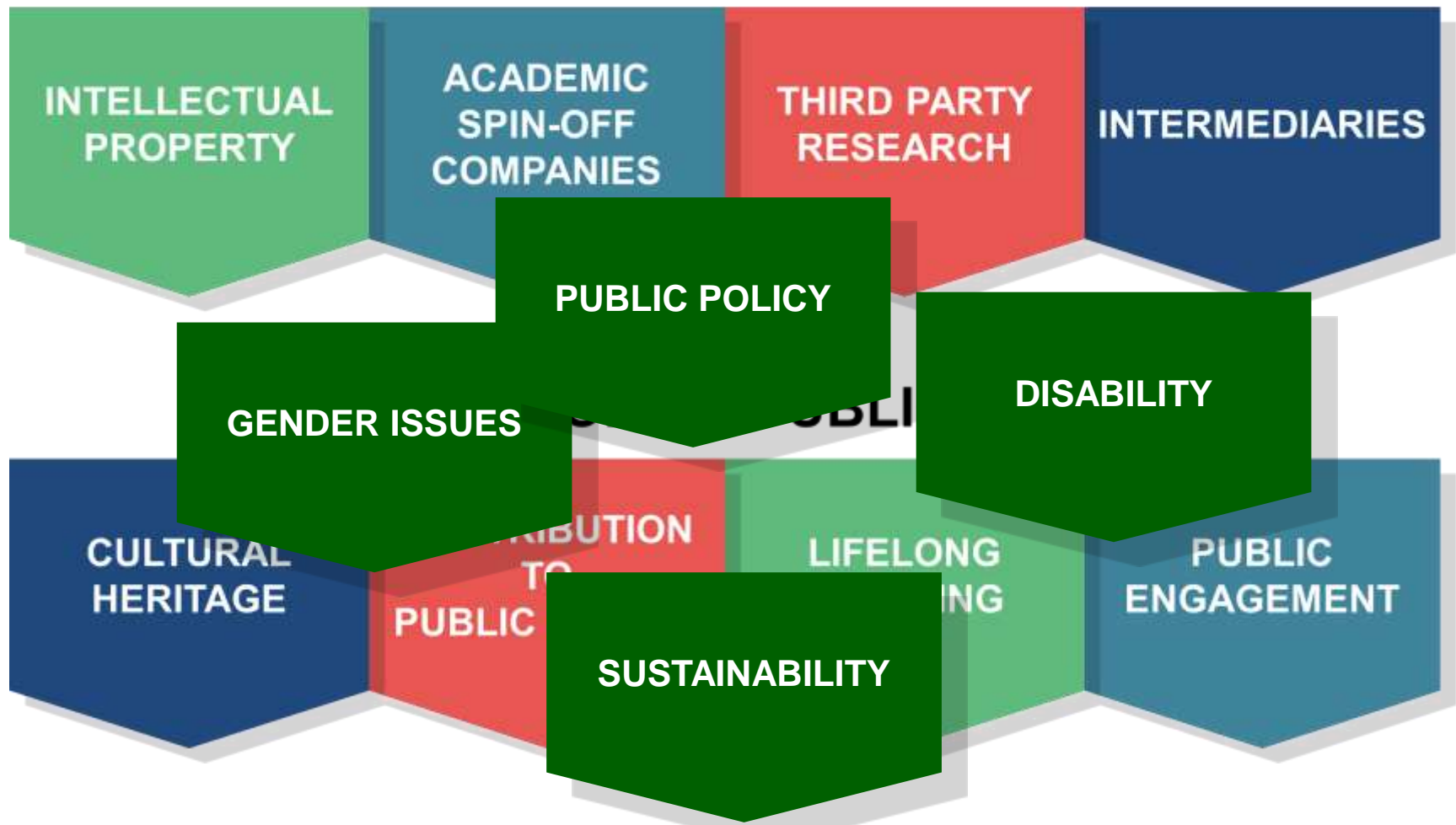


▼ PRODUCTION OF PUBLIC GOODS ▼



What is there inside TM?

▼ VALORIZATION OF RESEARCH ▼



TM in VQR 2011-2014

- Publication of **ANVUR Evaluation Manual**:
 - classification in 8 areas
 - informed peer review (analysis of quantitative indicators through expert judgement)
 - for the 8 areas: criteria, indicators & questions - *the evaluation chain*
- Set up of the **central data collection system** (standardized and comparable data related to all HEIs)
- Use of **existing official data sources** (i.e. for patents and spin-off companies) to improve data quality and reduce burden & costs for institutions
- Creation of **90 TM indicators** (standardized and comparable for all the HEIs)
- Constitution of an evaluation **panel**
- **Systemic picture** (not case study): activities promoted by the HEIs (not at the individual researcher's level)
- TM not inserted in the **funding formula** (no money incentive)

An example



AREA	1. INTELLECTUAL PROPERTY MANAGEMENT
CRITERIA	<p>a. inventive activity b. portfolio management c. exploitation <i>ability to strategically choose the inventions to be valorized through assignments, licenses, options and spin-out constitutions</i></p>
INDICATORS	<p>exploitation</p> <p>1.c.i) number of assignments, licenses, options contracts/ total number of university patents</p> <p>1.c.ii) number of spin-out companies using university patents / total number of university patents</p> <p>1.c.iii) total revenues / total number of university patents</p>
QUESTIONS	<p>1.c.1) Has the university developed a policy on intellectual property management and exploitation?</p> <p>1.c.1) Is the intellectual property portfolio able to attract the interest of the economic world and obtain a flow of revenues?</p>

Methodological key points

- Universities and research institutes are not asked to report activities in all the areas but based on institutional **strategy and features** (size, history, competences, local context, excellence areas...)
- There is **no unique aggregate ranking**, but separate evaluations by TM areas (*maturity model*: qualitative judgements, ratings, rankings)
- All the methodological tools (Manual, data collection guidelines...) have been object of **review**: participation of international experts, public consultation, comments from academics and stakeholders, conduction of pilots and tests

Lessons learnt

- Adoption of a broad definition of third mission and inclusion of new topics such as health, cultural activities and heritage and lifelong learning
- Definition of broad targets for impacts, for example the valorization of health research entails:
 - Economic valorization (patents, spin-off companies, third party funding)
 - Clinical aspects (screening campaigns, trials)
 - Educational impact (lifelong learning in medicine)
 - Social impact (objective and subjective quality of life)
- Development of a quali-quantitative evaluation model (expert opinions based on informed peer review)
- Adoption of an evaluation approach based on *openness* and *participation* of stakeholders and *systematic reviews* of tools and documents (international experts, academia, managers in HEIs, TM brokers, ...)

Work in progress

- publication of new guidelines for monitoring and revision of TM Evaluation Manual and set of indicators (socio-economic impacts and relevance of context/strategy)
- specific model for the evaluation of TM of Research Institutions
- preparation of VQR 2011-2015
- development of a new framework on TM Quality assurance in HEIs: *process of TM*

Challenges ahead

- To reward researchers' third mission activities without reducing their research and teaching incentives (analysis of the relationship TM-research quality)
- To focus on socio-economic impacts and relevance of context/strategy in the new Manual and set of indicators
- To integrate external sources of data (as already done with EPO database on patents and Chamber of Commerce database on spin-off companies)
- To restart the data collection process by the opening of the central data collection system (*deadlock*)

Thanks!



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