Evaluation System for Public Higher Education Institutions

Description and Self-Review

December 9, 2016

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Abbreviations

AoA	The Association of Academics
AUI	Agricultural University of Iceland
AUTA	Association of University Teachers in Akureyri
DSI	Division of Science and Innovation
ERIH	European Research Index for Humanities
ES	Evaluation System for Public Higher Education Institutions
ESC	Evaluation System Committee
HUC	Hólar University College
SC	Science Committee for Public Higher Education Institutions
SUPU	State University Professors' Union
UA	University of Akureyri
UI	University of Iceland
UNS	Union of Natural Scientists
UP	The Union of Professors
UPI	The Union of Professors in Iceland
UUT	Union of University Teachers

For abbreviation and explanations of ES evaluation categories see appendix VI: *Evaluation framework for public universities 2009.*

Introduction

As far back as 1989, a system for evaluating the work of academic staff has been in place at the University of Iceland. In the almost three decades which have passed since then, various changes have been made to the system and it has been developed as described in further detail in this report. Today the system is used by all four public higher education institutions in Iceland. It is important to regularly review such systems to determine whether they are optimised for their intended purpose and, as appropriate, to elicit ideas for improvements.

In 2015, the University of Iceland University Council requested that the Evaluation System Committee conduct a comprehensive review of the system. The Evaluation System Committee then assigned the Science Committee for Public Higher Education Institutions and the University of Iceland Division of Science and Innovation the task of preparing for the review and submitting a proposal to the Evaluation System Committee regarding its implementation.

In March 2015, the Evaluation System Committee proposed a working procedure for the review (Appendix I: *Review of the Evaluation System for Public Higher Education Institutions – working procedure*). In accordance with the proposal, internationally accepted methodology was to be employed – the review was to be divided into two main parts, i.e. an internal review (description of the system and a self-review which involved requesting comments from the system's users) and an external review by independent international experts. A committee was appointed to manage the internal review, comprising five representatives from the Science Committee for Public Higher Education Institutions and five representatives of academic staff, one from each school. University of Iceland administrative staff also worked with the committee. The committee worked over the winter of 2015-2016, acquiring data and perspectives from the primary interested parties and compiling this report. Once the draft report was finished, it was uploaded to a website and all members of academic staff were given the opportunity to comment on it and express their opinions. The results can be found in Appendix X.

In order to ensure impartiality and international expertise, the appointment of the external review team was entrusted to the Quality Board for Icelandic Higher Education. The Quality Board is a six-member independent group of international experts under the administration of the National Research Council which, under the authority of the Minister for Education, Science and Culture, oversees external quality assurance for Icelandic universities.

This report is intended to present at once an impartial description of the Evaluation System and an analysis of how it works within the universities. It also contains different perspectives on the strengths and weaknesses of the system. In order to guarantee impartiality in the report, the description and evaluation components were kept separate.

Since significant changes were made to the system in 2010 with the introduction of so-called advanced points, the data used in the report is based on the period 2010-2014; older data was not used. Data in this report generally applies to all the public higher education institutions unless otherwise stated.

1 Description of the system

1.1 History and development of the Evaluation System for Public Higher Education Institutions

The Evaluation System for Public Higher Education Institutions (ES) dates from 1989 when special payments for publication output were first included in the collective wage agreement between the Union of University Teachers (UUT) and the Ministry of Finance. This change was intended to strengthen research at the University of Iceland and improve the wages of teaching and research staff. In the early years, UUT was responsible for oversight and management of the system and evaluation of publications. The University of Iceland Division of Research (now the Division of Science and Innovation) was later assigned the task of managing the system in order to make the evaluation more impartial, amongst other reasons.

In 1996, professors at the University of Iceland left the Union of University Teachers and founded the The Union of Professors (UP). All decisions on the wages and working conditions of UP members as well as professors at other state universities then came under the jurisdiction of a public committee, the State Salaries Committee (Act no. 150/1996). Professors at other state universities founded the Union of Professors in Iceland (UPI). These two union later merged into the State University Professors' Union (SUPU).

The State Salaries Committee after 1996 proposed a productivity evaluation system for professors, which was largely based on the existing UI Evaluation System. The State Salaries Committee was wholly responsible for implementing the evaluation, assisted by expert consultants from the universities. Shortly after, UUT agreed to adopt the system proposed by the State Salaries Committee for evaluating the work of professors, although the UI Division of Research would still manage the evaluation of UUT members. When the Official Remuneration Council took over the responsibilities of the State Salaries Committee in 2006 (Act no. 47/2006), professors were exempt from the Council's decisions on wages and working conditions. The UI Division of Research was assigned the task of evaluating the work of professors and calculating royalties and pay rises until the parties involved agreed to a different working procedure. In October 2009, a five-member committee was appointed to determine a future working procedure. The committee delivered its verdict on evaluation of the work of professors on 6 November 2009 (Appendix II: *Verdict of the committee for the performance evaluation of professors*). The committee's verdict forms the basis of the working procedure behind current performance evaluations, stating:

> **1. Evaluation System.** An evaluation system shall be in place, with the quality of University operations as a guiding principle. Furthermore, the same evaluation rules shall apply to as many academic staff at public universities as possible, regardless of union. The Evaluation System shall cover:
>
> a. Initial evaluation of new staff,
>
> b. annual performance reviews for academic staff, which determine:
>
> i. distribution of annual payments from productivity evaluation funds, such as the Writing and Research Fund and comparable funds,
>
> ii. salary bracket in accordance with collective wage agreement and/or institutional contract.
>
> **2. Evaluation System Committee (ESC).** The Evaluation System shall be determined by a four-member evaluation system committee. The committee shall receive proposals

from the Science Committee for Public Higher Education Institutions (SC) regarding amendments to the system. The committee shall comprise one representative from the Ministry of Education, Science and Culture, one from the Ministry of Finance, one from UI and one from the other public universities. The committee shall also be responsible for appointing the following committees: the Science Committee for Public Higher Education Institutions, up to six evaluation committees of experts in the main academic fields at the universities, and an appeals committee.

3. Science Committee for Public Higher Education Institutions (SC). The role of the committee is to develop the Evaluation System in consultation with those affected by the system. It shall comprise five representatives from the main academic fields at the public universities, at least one of whom shall be from a university other than UI. The committee shall submit proposals to the Evaluation System Committee regarding amendments to the system. The committee shall meet in the autumn to review that year's evaluation in advance and then propose amendments to the system. One of the committee's responsibilities is to take part in the categorisation of Icelandic scientific journals according to quality; this list is used when evaluating journal articles for points (see Chapter 1.3.1 *Research – Section A of the Evaluation System*).

4. Evaluation committees (productivity evaluation committees). The role of these committees is to professionally evaluate, in consultation with the DSI, submitted work on the basis of the current evaluation rules. The ESC, in consultation with the DSI, shall appoint up to six three-member evaluation committees. There are currently four evaluation committees reflecting the main academic fields of the public universities (social and educational sciences, engineering and natural sciences, health sciences, humanities), as well as a special evaluation committee for books, i.e. submitted publications in the form of books or book chapters. Each committee comprises three experts. The books committee shall seek the assistance of other specialists in evaluating individual books and book chapters. The convention has been that the evaluation committees of the four academic fields perform a preliminary evaluation of books and book chapters in their field before they are discussed by the books evaluation committee.

5. Appeals committee (Appellation Committee for Productivity Evaluation). The Evaluation System Committee shall appoint a three-member appeals committee. The conclusions of evaluation committees may be referred to the appeals committee. The ruling of the appeals committee is final (Appendix III: *Rules of procedure for the Appellation Committee for Productivity Evaluation*).

6. UI Division of Science and Innovation (DSI). The Division is responsible for handling central matters at UI pertaining to research. The DSI also oversees various projects related to research at other public universities within the Network of Public Universities. The conclusion of the aforementioned committee on 6 November 2009 was that the DSI should be responsible for overseeing the Evaluation System, in order to ensure consistency and continuity in performance evaluations of academic staff at public universities.

In connection with the Strategy for the University of Iceland 2006-2011, the UI Science Committee, which is one of the standing committees of the University Council, was assigned the task of reviewing the Evaluation System with regards to research and service. The UI Science Committee proposed amendments to the Evaluation System and submitted a report

of its review in July 2008 (Appendix IV: *Verdict of the Science Committee 3 July 2008 and proposed amendments*). Representatives of the UI schools were given the opportunity to comment on the proposals before they were discussed by the SC, which at that point was newly appointed. In the main, the proposals were approved, but the SC emphasised that provisions for special evaluation should be applied more actively and implemented by recognised experts outside the professional evaluation committees (Appendix V: *Report from the SC on the verdict of the committee for the performance evaluation of professors 18.12.2009*). It was also reiterated that the rules would apply to performance evaluations for academic staff at all four public higher education institutions: the University of Iceland, the University of Akureyri, the Agricultural University of Iceland and Hólar University College. Table I shows the number of academic staff, number of students and number of graduations in 2014 for each university.

On the basis of the above, new evaluation rules entered into force on 31 December 2009. The rules were first applied at the beginning of 2011 for the evaluation of work completed in 2010. The SC discusses the rules every year alongside its discussion of the results of the evaluation committees.

This report addresses the ES from 2010 to 2014.

Table I. Size of public universities 2014.

University	Students	Graduated	Academic staff
University of Iceland	13052	2987	728
University of Akureyri	1703	335	111
Agricultural University of Iceland	204	39	31
Hólar University College	184	88	29

Key figures for 2014. Source: Ministry of Education, Science and Culture

1.2 Evaluation process

On 1 February each year, academic staff at public universities submit an overview of their work over the past calendar year online. In this context, academic staff are those hired in accordance with a qualifications assessment (professors, senior lecturers, lecturers, research scientists, research scholars and research specialists) as well as adjunct lecturers, and postdoctoral researchers. Exceptions to this rule are Hólar University College and the Agricultural University of Iceland, where only professors have their performance evaluated through the ES. Furthermore, as of 2014, academic staff at Bifröst University have submitted reports through the ES. Regardless of the university involved, all academic staff are required to submit performance reports using a specific form. UI also requires an updated teaching portfolio, an overview of collaboration with parties outside the University and an overview of work completed outside the University. No points will be awarded for research, teaching or anything else unless a satisfactory performance report has been submitted. Documentation sent through the ES is stored in a database established and maintained by UI Computing Services.

Academic staff must categorise all their work in accordance with the rules of the Evaluation System. DSI staff do the groundwork for the evaluation committees by reviewing this categorisation and determining which evaluation committee is best suited to evaluate the work. Books and book chapters are all evaluated by the same evaluation committee regardless of academic field and are exempt from the DSI's preliminary evaluation. The role of the evaluation committees is to conduct academic evaluations of work on the basis of the

current evaluation rules. The evaluation committees are responsible for the productivity evaluation as a whole, although they do not discuss work that falls into the following categories: A11 (citations), A12 (grants), B1 (teaching experience), B3 (supervision of postgraduate students and thesis opposition), C (administration) – except in those cases where the DSI's preliminary evaluation indicates cause to do so. Otherwise, the preliminary evaluation will serve as the final evaluation for work in these categories.

Evaluation committees begin work in mid April and complete the evaluation at the end of May. Individual members of staff can decide for themselves whether to submit a performance report, but submission rates have been 75-100% depending on university and year – see Table II. Naturally, academic staff who do not submit a performance report surrender any chance to receive the benefits distributed through the system. Performance reports also directly impact the income of the member of staff's faculty/school, since the total number of research points earned by staff at the faculty/school is used in distributing funding within the university. It is therefore important, both for staff members themselves and their structural units, to take part in the system. Since 2010, around 13,000 works have been evaluated each year from just under 900 members of staff at public universities. Table III shows the number of works that have been evaluated through the Evaluation System in the period 2010-2014. Works completed at the University of Iceland are categorised by school.

Table II. Submission of performance reports according to university or affiliated institute.

University	2010	2011	2012	2013	2014
University of Iceland	88%	87%	91%	86%	93%
University of Akureyri	75%	77%	76%	77%	83%
Agricultural University of Iceland*	75%	75%	75%	100%	75%
Hólar University College*	100%	100%	100%	100%	100%
Science Institute	88%	90%	100%	93%	88%
The University of Iceland Institute of Research Centres	89%	89%	100%	100%	100%
Árni Magnússon Institute for Icelandic Studies	94%	100%	100%	90%	94%
Institute for Experimental Pathology at Keldur	78%	89%	88%	100%	100%

*Only professors submit performance reports

Table III. Number of works evaluated according to university and year.

University	2010	2011	2012	2013	2014
University of Iceland	11651	12149	10983	11630	11696
Social Sciences	*2146*	*2363*	*2054*	*2056*	*2178*
Health Sciences	*3200*	*3707*	*3235*	*3614*	*3214*
Humanities	*1738*	*1773*	*1490*	*1673*	*1877*
Educational Sciences	*1735*	*1678*	*1584*	*1715*	*1673*
Engineering and Natural Sciences	*2832*	*2628*	*2620*	*2572*	*2754*
Agricultural University of Iceland	173	199	151	170	171
Hólar University College	16	35	40	93	52
University of Akureyri	1147	1133	1329	1050	1097
Bifröst University*	*	*	*	*	117

*Bifröst University adopted the Evaluation System for Public Higher Education Institutions in 2014

Academic staff receive the results of the evaluation at the end of May, including information on which category each work was evaluated in and the number of points awarded for it.

Applicants have 14 days to respond if they are dissatisfied with the evaluation. The DSI receives comments and suggestions from around 300 members of staff a year regarding the results of the evaluation – this is around a third of all those who submit a performance report. Around half of cases are simply matters of minor corrections (e.g. failure to send a document that could have been evaluated for points) which are handled by DSI staff within a few days. More complicated matters are answered in writing by the relevant evaluation committee. All issues should have been dealt with before 1 July each year. Staff not willing to accept the final decision of the evaluation committee have three months to refer the matter to the appeals committee. In recent years, the appeals committee has ruled on around 10 cases per year.

On the basis of the results from the ES, DSI staff calculate annual payments to individual members of academic staff from the productivity evaluation funds. At the end of August, the DSI sends the results of the productivity evaluation to the payroll departments at the public universities. The universities then handle the payments and, as applicable, changes in salary bracket in accordance with the relevant collective wage agreement. Pay rises and other earned perquisites apply from 1 September. Research points from the last year are also sent to the relevant parties at UI and UA with regards to the allocation of funding to schools/faculties (see Chapter 1.5 *Application of points*).

1.3 What is evaluated?

The ES is the basis of the performance review for academic staff and must therefore cover the primary components of their jobs. The evaluation is divided into six main sections: Research (A), teaching (B), administration (C), service (D), previous employment (E) and general (F). Below is a short discussion of the sections (see also Appendix VI: *Evaluation framework for public universities 2009*). As is apparent from Figure I, the distribution of points between sections of the ES is very variable, but the total number of points for each individual section does not change much between years. The vast majority of points come from Section A of the system, i.e. research.

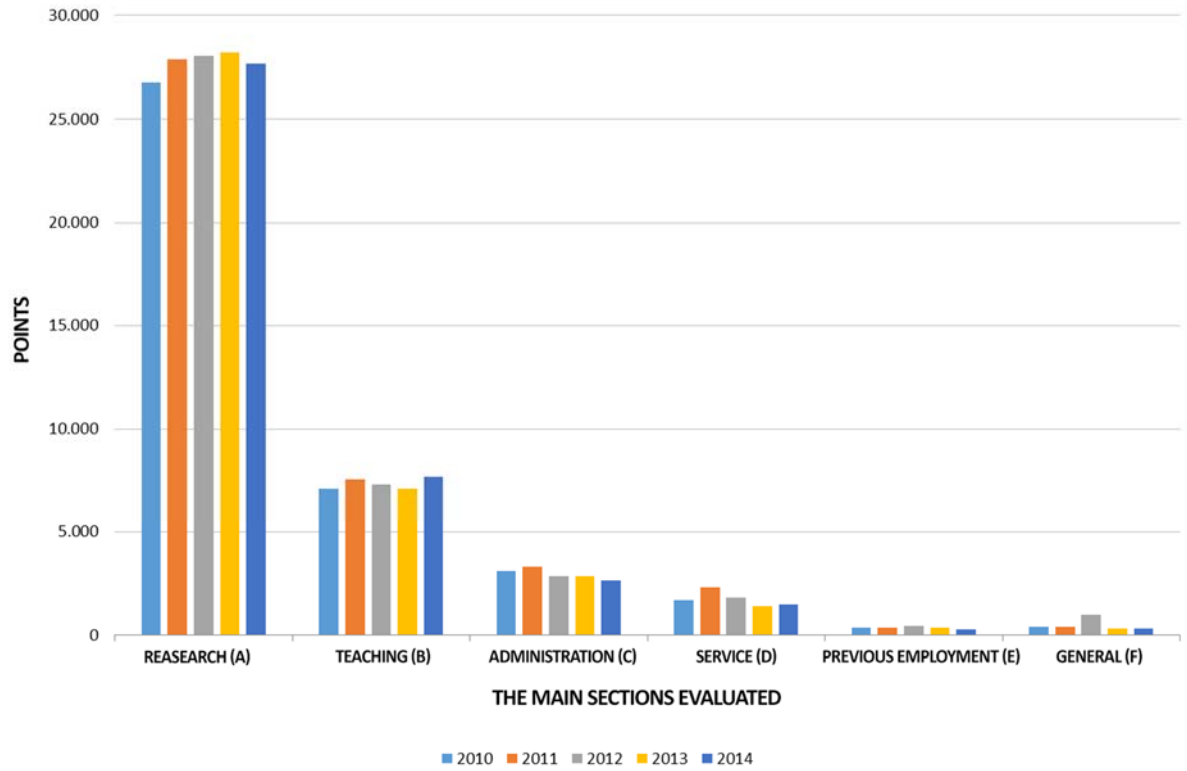


Figure I. Distribution of points by main sections of the ES in the period 2010-2014.

1.3.1 Research – Section A of the Evaluation System

Evaluation of research is primarily based on publication outlet, the principle being that publication outlet reflects quality. Research appearing in a publication outlet that makes rigorous scholarly demands of its content is considered to have already been evaluated with regards to the gathering of data, originality and contribution to advancement of knowledge. The publisher's peer-review process is of utmost significance. For peer review to be considered satisfactory, the material in question must be sent to at least two reviewers. Peer review must be anonymous, professional, substantive and carried out by recognised specialists in the field in question. Publication distribution, accessibility and impact are also evaluated. Written works not adequately marked with the name of the university in question will not be evaluated for points. The exception to this rule is work completed by a new member of staff in the year before being hired at the university.

There are twelve evaluation categories for research: Theses (A1), books (A2), book chapters (A3), journal articles (A4), articles in conference publications (A5), lectures and posters (A6), editorial work (A7), reports, reviews and translations (A8), creation of teaching material (A9), innovation and transfer of knowledge (A10), citations (A11) and grants from competitive funds (A12).

Theses (A1.1-2)

This refers to theses completed by the member of staff during the past year. Candidate's or Master's theses are evaluated for 15 points and doctoral theses for 30 points. Publications based on the content of the thesis are also evaluated for points in accordance with the rules of the Evaluation System.

Books (A2.1-5) and book chapters (A3.1-4)

A three-member evaluation committee handles the evaluation and categorisation of all books and book chapters submitted through the Evaluation System, regardless of academic field. The committee does, however, seek the advice of other experts when necessary. Just as scientific articles are categorised by publication outlet, so are books and book chapters.

Books are sorted into five categories (A2.1-5). Category A2.1 is for books published by the world's most respected academic publishers. Such books are evaluated for up to 100 points. The DSI publishes an updated list each year of examples of the world's most respected academic publishers, i.e. international academic publishers that make rigorous demands. The list is not exhaustive – authors of works published by academic publishers not on the list can request that their work be evaluated in category A2.1. Such requests are rare. Category A2.2 covers peer-reviewed books that meet demands regarding the creation of knowledge in international academic discourse in the twenty-first century. Such books are worth up to 75 points. Category A2.3 covers Icelandic or foreign peer-reviewed publications primarily aimed at a domestic academic community. Such books are evaluated for up to 50 points. Category A2.4 is for important academic works primarily aimed at a domestic academic community, worth up to 25 points. Category A2.5 is for republished material, worth up to 10 points. Table IV contains numerical data on books evaluated in the period 2010-2014, categorised according to university. Books submitted by University of Iceland staff are also categorised according to school. As the table shows, only 10 books in the period 2010-2014 were evaluated in the category A2.1, i.e. around 4.5% of the total.

Table IV. Number of works in categories A2.1-5 (books) in the period 2010-2014, categorised by university.

University	Category A2.1	Category A2.2	Category A2.3	Category A2.4	Category A2.5
University of Iceland	9	27	59	86	27
Social Sciences	*0*	*7*	*23*	*25*	*6*
Health Sciences	*2*	*0*	*6*	*3*	*1*
Humanities	*4*	*17*	*24*	*22*	*12*
Educational Sciences	*1*	*2*	*5*	*32*	*6*
Engineering and Natural Sciences	*2*	*1*	*1*	*4*	*2*
Agricultural University of Iceland	0	0	0	1	0
Hólar University College	0	0	0	0	0
University of Akureyri	1	1	1	6	0
Bifröst University*	0	1	0	2	0

*Bifröst University adopted the Evaluation System for Public Higher Education Institutions in 2014

Book chapters are evaluated in four categories (A3.1-4). Category A3.1 is worth 20 points and covers peer-reviewed publications by the world's most respected academic publishers, in accordance with the DSI list. Category A3.2 covers international peer-reviewed publications and Icelandic peer-reviewed publications with international significance. Works in this categories are evaluated for 15 points. Category A3.3 is for book chapters (Icelandic or otherwise) primarily aimed at the domestic academic community. Such chapters are evaluated for 10 points. Category A3.4 covers book chapters published in other books, worth up to 5 points. Generally material in this category is not peer-reviewed. Table V contains an overview of the number of book chapters evaluated in the period 2010-2014. Books submitted by University of Iceland staff are also categorised according to school.

Table V. Number of works in categories A3.1-4 (book chapters) in the period 2010-2014, categorised by university.

University	Category A3.1	Category A3.2	Category A3.3	Category A3.4
University of Iceland	182	331	352	446
Social Sciences	*59*	*90*	*98*	*83*
Health Sciences	*33*	*12*	*24*	*18*
Humanities	*32*	*154*	*112*	*207*
Educational Sciences	*19*	*56*	*97*	*34*
Engineering and Natural Sciences	*39*	*19*	*21*	*104*
Agricultural University of Iceland	1	2	1	9
Hólar University College	0	0	0	0
University of Akureyri	14	30	50	59
Bifröst University*	1	2	0	0

*Bifröst University adopted the Evaluation System for Public Higher Education Institutions in 2014

Journal articles (A4.1-4)

The categorisation of journal articles in recent years has been based on the inclusion of journals in two internationally recognised databases, i.e. Web of Science and European Research Index for Humanities (ERIH), as well as the 'Journal Survey', which is a list of academic journals published in Iceland. In 2014, the database Scopus was added. If a journal is included in more than one database, the points awarded will be based on the database that rates the journal most highly.

Web of Science[1] is a database under the auspices of Thomson Reuters, covering journals in five academic fields (Life Sciences & Biomedicine, Physical Sciences, Arts & Humanities, Technology and Social Sciences). The database contains around 12,000 journals in 156 academic areas covering around 250 subjects. The journals in the database are categorised according to impact factor, which is based on how often the articles published in a particular journal are cited. Publications and citations are more common in some subjects than others, which unavoidably means that the impact factor of journals in that subject is, on average, higher than in the others. To correct for this, WOS publishes a list for each and every subject in which journals are ranked by impact factor. These rankings are used when comparing journals in different subjects. The impact factor of journals is updated annually and may change slightly from year to year.

European Research Index for Humanities[2] (ERIH) is a database under the auspices of the European Science Foundation for journals in the humanities and, to a certain extent, the social sciences. The database contains around 7,000 journals in 30 academic areas. Journals within each discipline are sorted according to quality into category A, B or C by experts in the relevant field.

Scopus[3] is a database under the auspices of Elsevier, connecting databases that contain a total of around 22,000 journals and over 500 book categories in all academic fields. UI does not have a subscription to Scopus, but every year a list is produced of the journals in the database, which is used by the evaluation committees.

[1] http://apps.webofknowledge.com/WOS_GeneralSearch_input.do?product=WOS&SID=T1kMkvymbtDQ2ViKBpT&search_mode=GeneralSearch

[2] http://www.esf.org/index.php?id=4813

[3] https://www.elsevier.com/solutions/scopus

[4] http://www.hi.is/sites/default/files/sverrirg/mat_a_islenskum_timaritum_2014_0.pdf

The Journal Survey[4] is a list of journals published in Iceland. Every three years, a team of experts convenes to evaluate Icelandic journals. The evaluation team comprises representatives of the SC as well as five experts in the management of scientific and academic journals, selected by the SC. The evaluation team sorts the journals into three categories according to quality. Care is taken to ensure that working procedures are consistent with recognised international working procedures.

Journal articles are sorted into four categories, A4.1-4, according to publication outlet (Table VI). Journal articles in the first category receive 20 points. The category covers articles published in ISI journals with the 20% highest impact factors in their field, or in a journal placed in the ERIH category A. Journal articles in the second category receive 15 points. The category covers articles in ISI journals with an impact factor outside the top 20%, articles in the ERIH category B, articles in journals included in Scopus and articles awarded grade 1 in the 'Journal Survey'. The third category is worth 10 points. This category is for articles in the ERIH category C and articles awarded grade 2 in the 'Journal Survey'. The fourth and final category is worth five points and covers articles published in journals meeting the minimum requirements regarding peer review, i.e. grade 3 in the 'Journal Survey'. Table VII shows an overview of the number of journal articles evaluated for points through the Evaluation System in the period 2010-2014. Journal articles from the University of Iceland are also categorised according to school.

Table VI. Categorisation of journal articles according to publication outlet.

		Internationally recognised databases			
Category	Points	Web of Science	ERIH	Scopus	Journal Survey
A4.1	20	Journals with impact factors in the top 20% in their field	Category A		
A4.2	15	Journal included	Category B	Journal included	Grade 1
A4.3	10		Category C		Grade 2
A4.4	5				Grade 3

Table VII. Number of works evaluated in categories A4.1-4 in the period 2010-2014.

University	Category A4.1	Category A4.2	Category A4.3	Category A4.4
University of Iceland	1687	3229	835	273
Social Sciences	*48*	*302*	*191*	*100*
Health Sciences	*913*	*1424*	*122*	*47*
Humanities	*16*	*192*	*243*	*40*
Educational Sciences	*49*	*354*	*139*	*56*
Engineering and Natural Sciences	*661*	*957*	*140*	*30*
Agricultural University of Iceland	37	19	4	2
Hólar University College	8	22	5	0
University of Akureyri	35	203	97	17
Bifröst University*	0	3	3	0

*Bifröst University adopted the Evaluation System for Public Higher Education Institutions in 2014

Articles in conference publications (A5.1-2)

Peer-reviewed articles (not abstracts) in conference publications accessible in international databases are worth 10 points. Articles in conference publications not accessible in international databases are worth three to five points. The custom is for peer-reviewed articles to be evaluated for five points and others for three points.

Lectures and posters (A6.1-7)

Points for lectures are awarded to the person who gives the lecture and points for posters are awarded to the person who presents the poster. Supervisors receive points for their students' posters or lectures. The number of points is then calculated according to the rule for jointly authored material (see Chapter 1.3.1 *Jointly authored material – division of points*), assuming two authors. This is the only case in which the rule for the division of points is applied in category A6. When two or more members of staff give a lecture or present a poster together, the points are simply divided between them equally. Each individual work in category A6 is evaluated for between one and 10 points. A cap was set on the category in 2010 such that each member of staff could earn a maximum of 20 points per year for lectures and posters. Evaluation committees may also cap the number of points awarded if a member of staff makes an unusually large number of contributions at the same conference.

Academic editorial work (A7.1-2)

The editorial work must be based on the editor's specialist knowledge and the book or journal in question must be peer reviewed. A maximum of 18 points per year are available for each journal the member of staff edits. A maximum of 20 points are available for editing books, although it is possible to request a special evaluation for very substantial editorial work (see Chapter 1.3.1 *Special evaluation*).

Reports, reviews and translations (A8.1-4)

Evaluation of reports is generally based on the idea that their contents could be published in an outlet that makes rigorous academic demands. They are evaluated for between zero and three points. Reports may also be evaluated for service points under D4. Reviews for journals in categories A4.1-4 are evaluated for between one and three points. Translations are worth up to 25 points.

Creation of teaching material for preschools, primary schools or secondary schools (A9)

Teaching material may be evaluated for up to 10 points. The creation of teaching material may also be evaluated for service points.

Innovation and transfer of knowledge (A10)

Work in category A10 may be evaluated for up to 40 points. The category covers start-up companies, design, innovation, transfer of knowledge, software, psychological tests, legislative bills, published patents, development work in schools and other institutions, and innovation in the arts. Innovation and transfer of knowledge may also be evaluated for service points (D7).

Citations (A11)

Citations recorded in the ISI database are evaluated for points. A member of staff may also request that citations in peer-reviewed books and journals not included in the ISI database be evaluated for points.

Grants from competitive funds (A12)

A maximum of 20 points are available, based on the annual total sum awarded from research funds outside the university in question. Grants from international competitive funds are worth double the number of points, although never exceeding the maximum of

20. The project manager or coordinator for a grant application also receives points unless otherwise agreed otherwise with the grant recipient. Grants from non-competitive funds are evaluated for service points (D8).

Distribution of points between categories in Section A of the Evaluation System

The distribution of points between categories of research is very uneven – some categories are rarely or even never used, see Figure II.

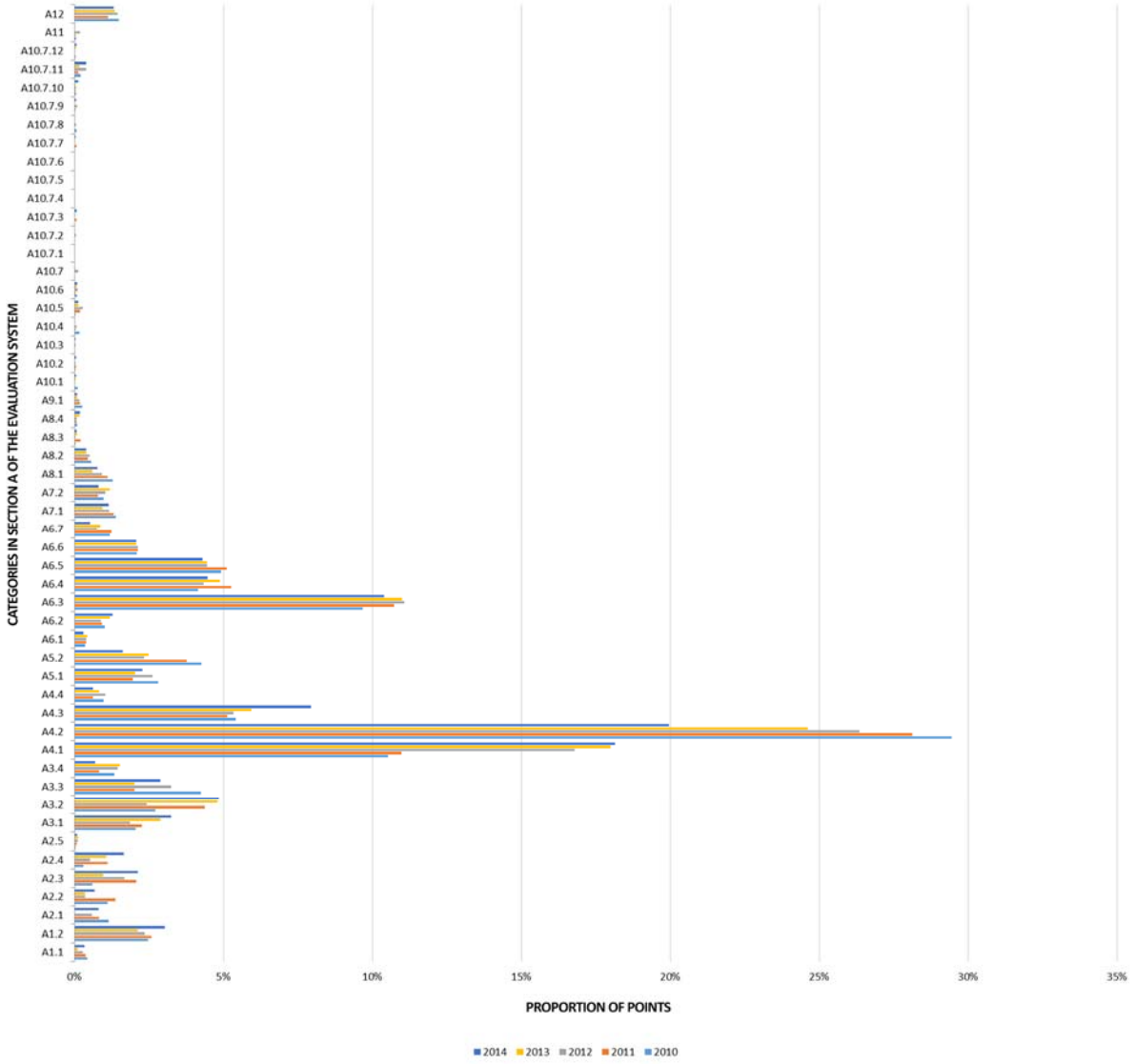


Figure II. Distribution of points between categories in Section A of the ES.

Jointly authored material – division of points

The rule for the division of points for jointly authored work is intended to encourage collaboration by awarding more points for jointly authored work. The rule applies to books (A2), book chapters (A3), journal articles (A4), conference publications (A5), academic editorial work (A7), reports, reviews and translations (A8), teaching materials (A9) and innovations (A10). The rule is twofold. The multiplicative factor goes up as the number of authors goes up, and additional points are also awarded for jointly authored works.

Increase in multiplicative factor as number of authors increases

The multiplicative factor increases with the number of authors, up to four authors, before the points are divided between them. No extra points are awarded for being the primary author or corresponding author – points are divided equally between authors.

Two authors	1.5 x base number of points / 2
Three authors	1.8 x base number of points / 3
Four or more authors	2.0 x base number of points / number of authors

Additional points for jointly authored work

Members of staff who submit between one and four jointly authored works in a year receive additional points for one of these works. Members of staff who submit five or more jointly authored works in a year receive additional points for two works.
The number of additional points is half of the difference between the points awarded for the work and the base number of points. No extra points are awarded for being the primary author or corresponding author – points are divided equally between authors. The work(s) selected are always those that will give the member of staff the most additional points. In accordance with the rule, each individual author receives 13.33 points for a six-author work evaluated for a base number of 20 points. (2*20/6) + ((20-(2*20/6))/2) = 13,33.

Special evaluation

Evaluation committees and the DSI may decide that submitted works, published in outlets that make particularly rigorous demands, so-called outstanding works, go through a special evaluation. Works subject to special evaluation may receive more points than the usual maximum. Works published in journals or books with an impact factor in the top one or two percent in their field are considered to be outstanding works and are automatically sent for special evaluation – the member of staff in question is not notified of this. Works covered by this provision earn 10 points for co-authors and 20 points for primary authors, undivided and in addition to points awarded through the conventional evaluation. Staff may also request special evaluation themselves in the case of:

- new written works (books, book chapters, articles or reports) that have demanded particularly extensive work
- extensive editorial work, e.g. editing a large collection of works
- citations in peer-reviewed books or journals not included in the ISI database

Figure III shows the impact of the number of authors on the number of points awarded for jointly authored articles. In the most respected journals, articles generally have many authors. The figure shows a comparison of points awarded for outstanding works in category A4, other works in category A4.1, works in category A4.2 and works in category A4.3. Three journals in each category that staff published most frequently in 2014 are: Nature (four publications; 27, 32, 198 and 300 authors), Science (four publications; 71, 154, 159 and 182 authors), and Cell (two publications[4]; 29 and 33 authors) for outstanding works in A4.1; Plos One (32 publications with average 10 authors and one publication with 150 authors), IEEE Transactions on Geoscience and Remote Sensing (11 publications, average 4

[4] Evaluated 2014

authors), and Astrophysical Journal (8 publications, average 70 authors) for other works in A4.1; the Icelandic journals Stjórnmál og stjórnsýsla (20 publications, average 2 authors), Læknablaðið (27 publications, average 4.7 authors) and Ritið (20 publications, average 1.3 author) for A4.2; and Netla (12 publications, average 2.2 authors), Studia Theologica Islandica – series from the Institute of Theology (11 publications, 1 author) and Náttúrufræðingurinn (9 publications, average 1.9 author) for A4.3.

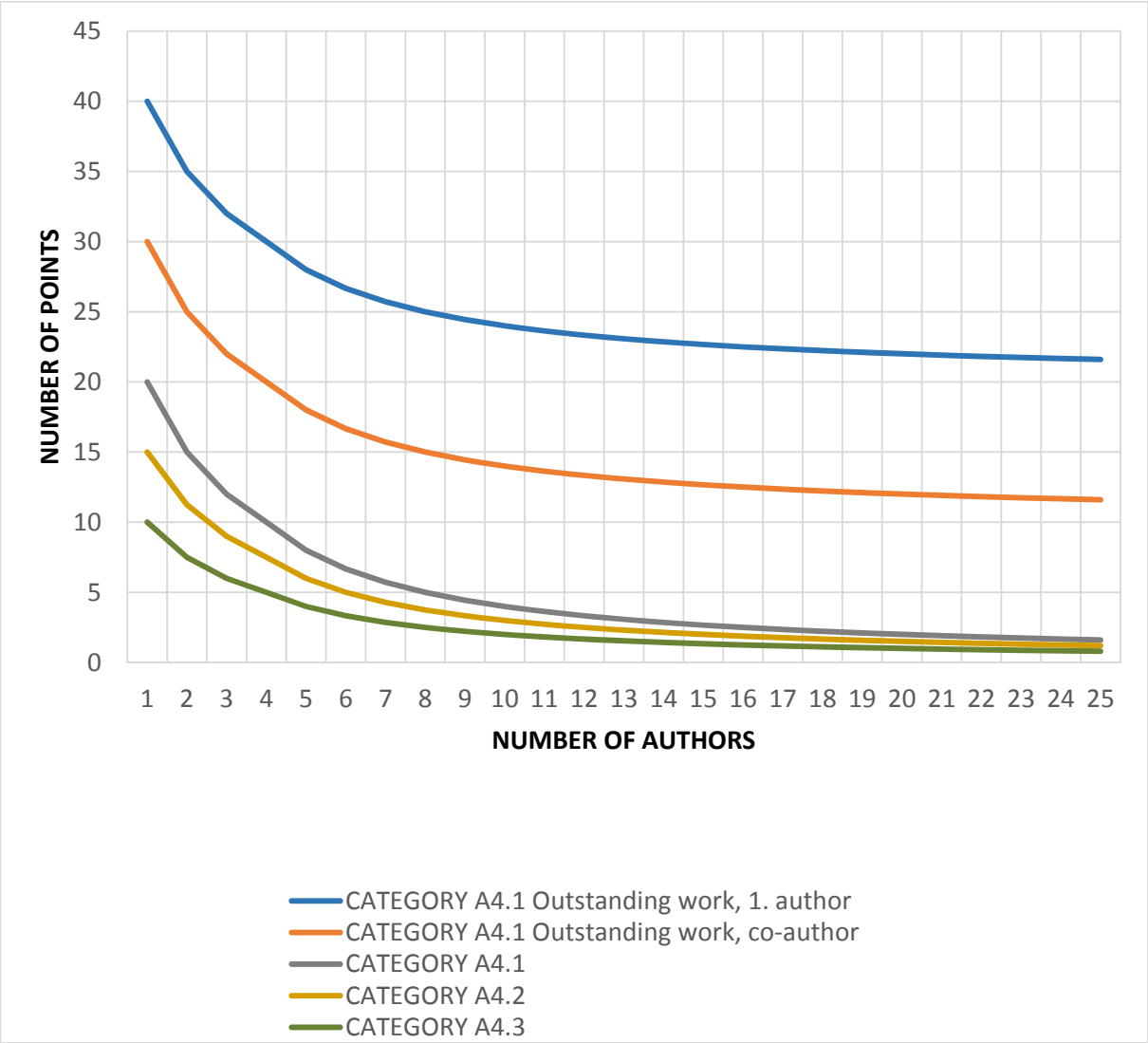


Figure III. The number of research points awarded for peer-reviewed journal articles according to number of authors.

Re-evaluation

Every five years, staff may request that a work be re-evaluated if they believe that the work has had an unusually significant impact on the academic field. Experts in the field are called in to assist in the re-evaluation. Points awarded for a re-evaluation do not affect payments from the Productivity Evaluation Fund.

1.3.2 Teaching – Section B of the Evaluation System

The teaching section is split into four main evaluation categories:

B1.1-3. Teaching experience is worth up to 10 points per year, depending on the employment ratio of permanent teaching staff, that is academic full time employees get 10 points regardless of teaching performed. Evaluation of teaching in regard to teaching duties is performed by the faculties and there are several ways to fulfil teaching duties other than to teach classes. Teaching performed by other staff at the university, or as part of an academic exchange programme, is also evaluated for points. Up to two points per year are also available for attending teacher training courses. At UI, teaching points for teaching experience are not awarded unless the member of staff has updated his or her teaching portfolio alongside submission of the annual performance report. Research specialists and research scientists with research duties receive points for employment experience (F) in proportion with teaching points for teaching staff.

B2.rann The creation of university teaching material is evaluated for up to 60 points, depending on scope and publication outlet.

B3.1-4. Supervision of postgraduate students and thesis opposition. The supervisor of a Master's student receives between two and four points and the supervisor of a doctoral student receives 10 points. The points are awarded after the supervision is completed. Membership of a doctoral committee is evaluated for three points, as is work as an opponent for a doctoral defence. Points are awarded once the work is complete.

B4. Innovation in teaching. This category includes the organisation and definition of new study programmes, the reorganisation of courses, definition of new courses, development of teaching methods, creation of project databases and so forth. The evaluation committees evaluate innovation in teaching, for up to 10 points. No specific rules of procedure have been established for this evaluation, but efforts are made to follow precedents that have been created. It is worth mentioning that not many works are submitted in this category.

Figure IV shows the distribution of the total number of teaching points for the period 2010-2014. The distribution of points within Section B of the ES is extremely uneven; around 80% of teaching points each year are awarded from category B1.1 (teaching experience) and just under 10% from B3.2 (membership of doctoral committee).

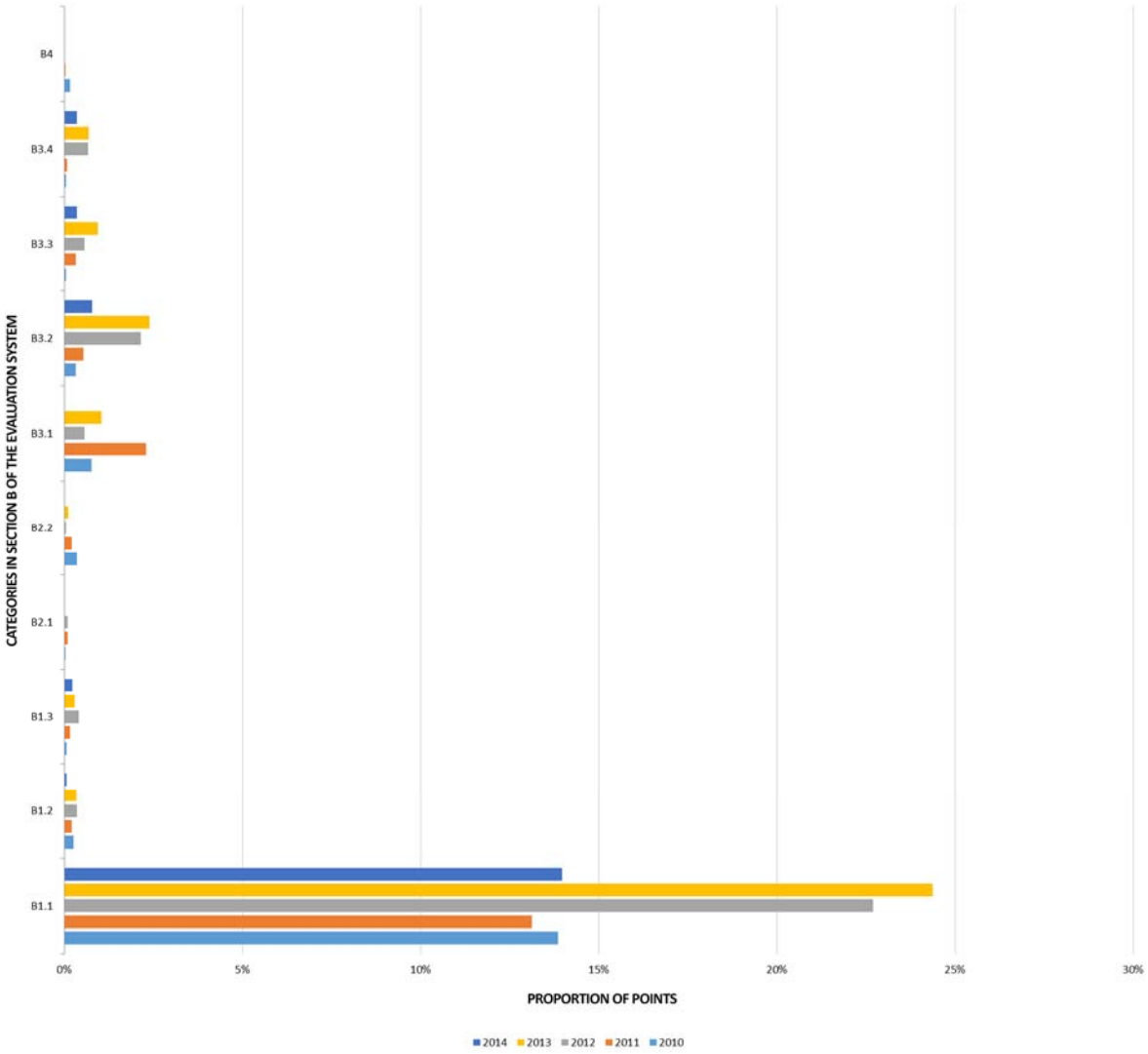


Figure IV. Distribution of points between categories in Section B of the ES.

1.3.3 Administration – Section C of the Evaluation System

Points are awarded for specific administrative positions (categories C1-10), in particular under the auspices of the university as a whole, or its schools. Around a third of the total number of points from Section C result from the administrative duties of faculty heads.

1.3.4 Service – Section D of the Evaluation System

This section covers organisation of international academic conferences, public evaluation work, software development and the founding of start-up companies, as well as various work in service or education for the general public, performed by university staff in their capacity as specialists, e.g. writing educational newspaper articles or giving lectures. Points are also awarded for grants from non-competitive funds. Work evaluated in this section is often based on extensive experience, data acquisition and research.

1.3.5 Previous employment and other – Sections E and F of the Evaluation System

Points are awarded for previous employment, but these points combined with points for teaching may not exceed 10 points per year. Research specialists in full-time employment

without teaching duties may receive up to 10 points per year for employment experience (F).

As Figure I shows, Sections C, D, E and F of the Evaluation System are little used in comparison with research and teaching. Sections C and F account for only around 5-10% of the total number of points from the system.

1.4 Types of points and their distribution

The ES gives five types of points according to job component: research points (A), advanced points (subset of research points), teaching points (B), administration points (C) and points for service, previous employment and other work (D-F). As Table VIII shows, around 40% of points from the system are defined as advanced points, around 27% are research points other than advanced points, just under a fifth are teaching points and the rest come from other sections. The proportions of different types of points have changed very little in recent years (Table VIII).

Table VIII. Proportional division of all points from the ES by year.

Year	Advanced points	Research points (not advanced points)	Teaching points	Administration points	Points for service, previous employment and other
2010	41%	27%	18%	8%	6%
2011	39%	27%	18%	8%	8%
2012	42%	26%	18%	7%	7%
2013	43%	27%	18%	7%	5%
2014	43%	26%	19%	7%	6%

Of those members of staff who submitted a performance report in the period 2010-2014, 61-69% submitted work defined as giving advanced points, just under 90% submitted work giving other research points, 76-89% submitted work giving teaching points and 79-89% submitted work under administration, previous employment or other. The proportion of those submitting work giving teaching points has increased every year since 2010, from 76% to 89% (Figure V).

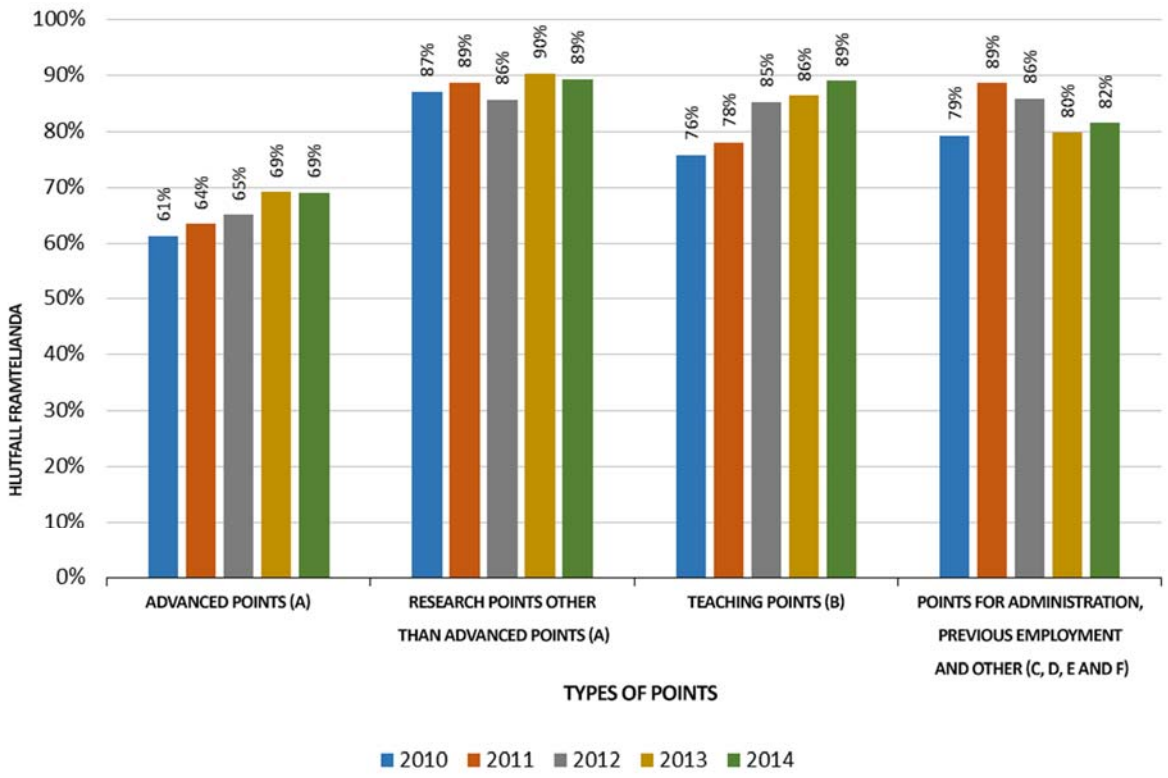


Figure V. The proportion of staff submitting work giving advanced points, other research points, teaching points, and points for administration, previous employment and other.

1.4.1 Research points

Research points are awarded for productivity and success in research. Research points are awarded for all work within Section A of the ES. The majority of research points from the system are awarded for journal articles (A4), around 50%. The next largest category is lectures and posters (A6), giving around 25% of research points, and the third largest is book chapters (A3), giving around 10%. These three categories account for around 85% of the total number of research points each year. If research points other than advanced points are considered, staff are very unevenly distributed between schools at UI, cf. Figure VI.

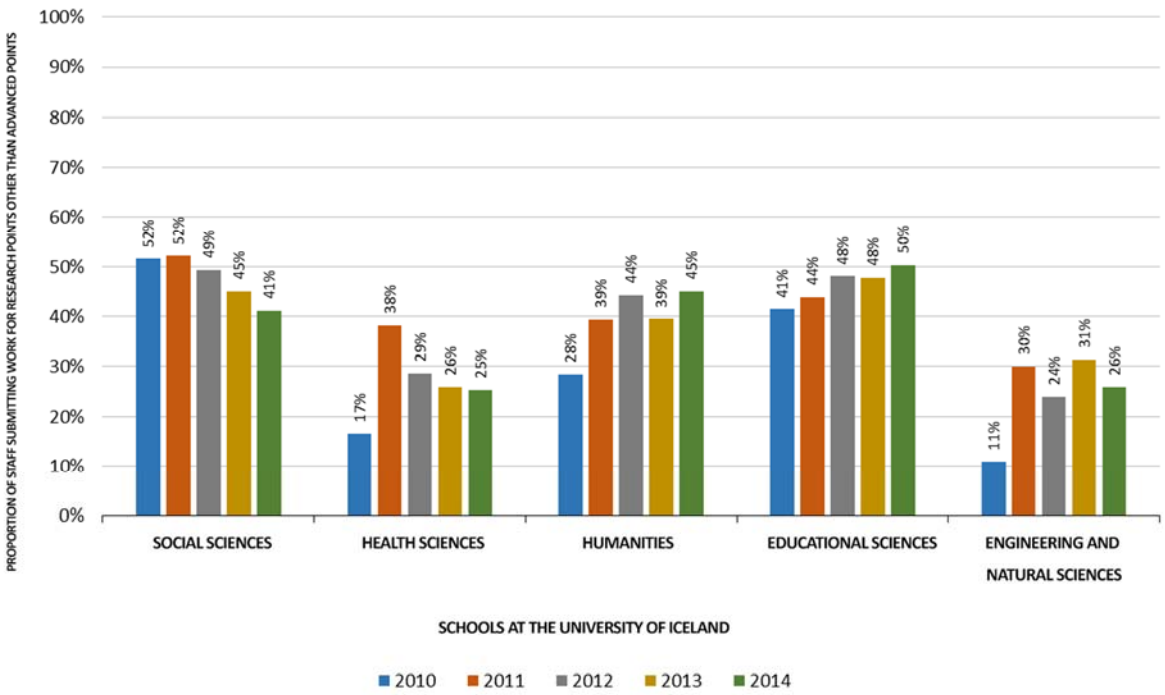


Figure VI. Proportion of staff submitting work for research points other than advanced points, by UI school and year.

Advanced points

Advanced points are a subset of research points, awarded for research output that is demonstrably peer reviewed and published in an outlet that makes rigorous academic demands. To be more specific, advanced points are awarded for peer-reviewed books, peer-reviewed book chapters, peer-reviewed journal articles, articles in international conference publications and published patents (A2.1-3, A3.1-3, A4.1-3, A5.1). Table VIII shows the proportional distribution of points between the different types by year. The largest category of points from the Evaluation System are advanced points, around 40% (60% of all research points are advanced points). Those who submit work for advanced points are very unevenly distributed between schools at the University of Iceland.

The distribution of advanced points between categories is also very uneven, but the majority of them are awarded in category A4.2, cf. Figure VII.

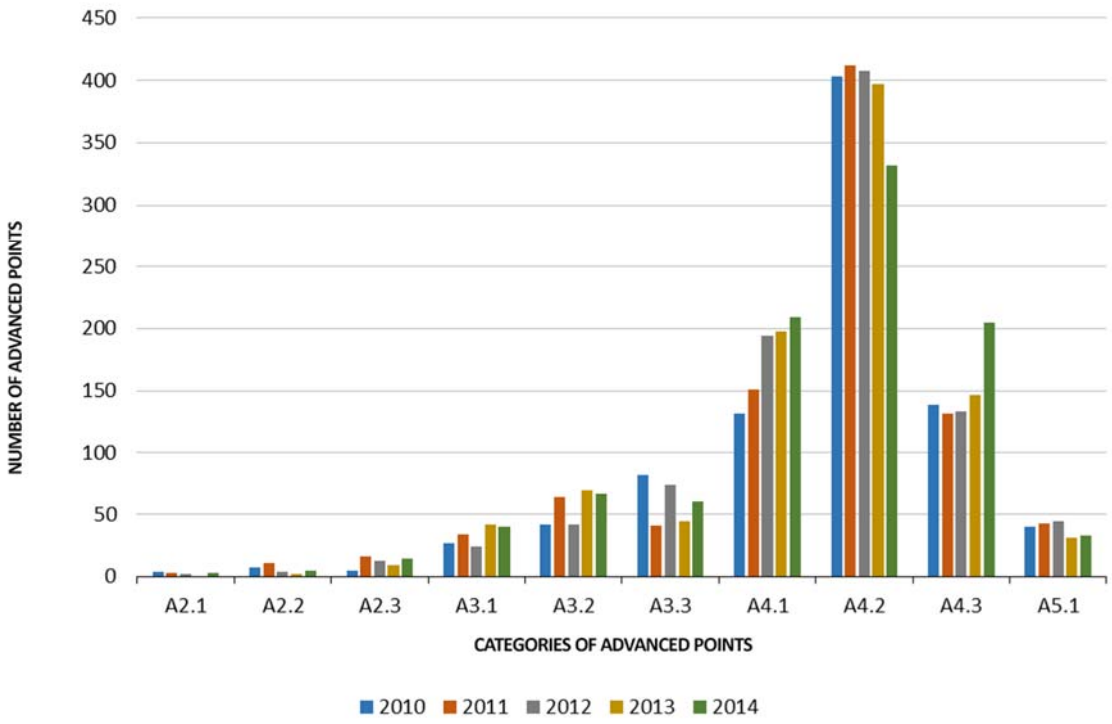


Figure VII. Number of advanced points by category and year.

If gender and professional titles are considered for the period 2010-2014, it transpires that women receive proportionally fewer advanced points than men. This gap has been reasonably steady over the period. Postdoctoral researchers are an exception to this. In this group, women have received proportionally more advanced points than men since 2012, cf. Figure VIII.

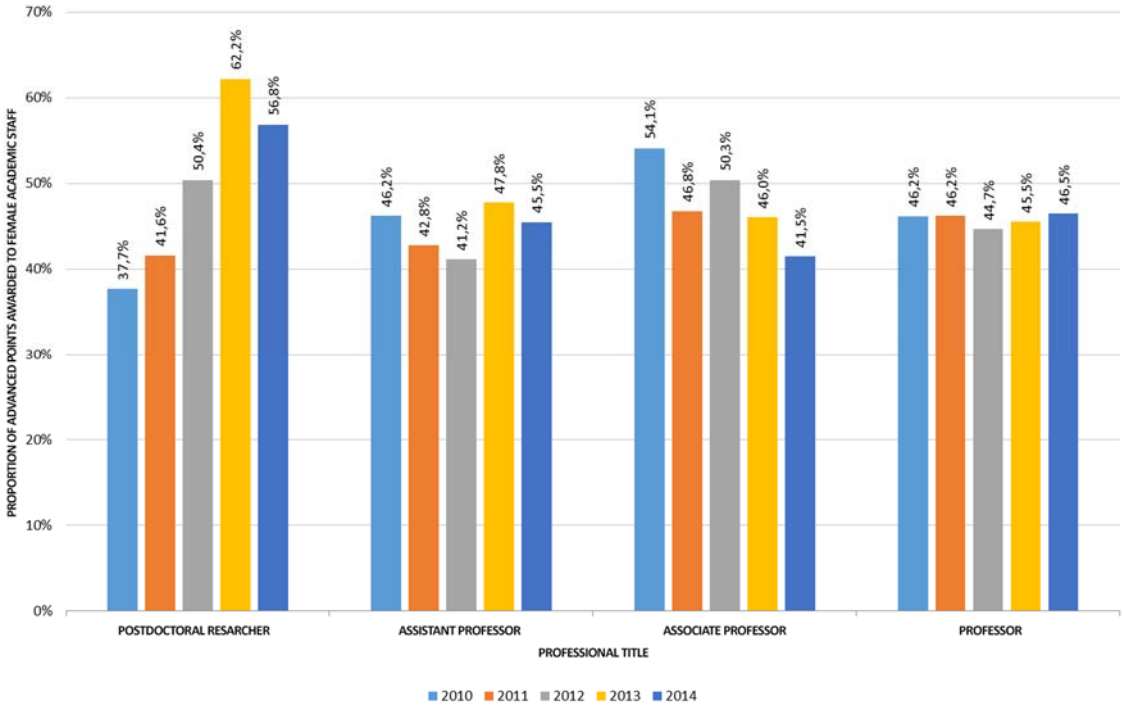


Figure VIII. Proportion of advanced points awarded to female academic staff by professional title and year.

Comparing staff by age reveals that younger staff receive proportionally more advanced points than older staff. This applies to both male and female academic staff, cf. Figures IX and X.

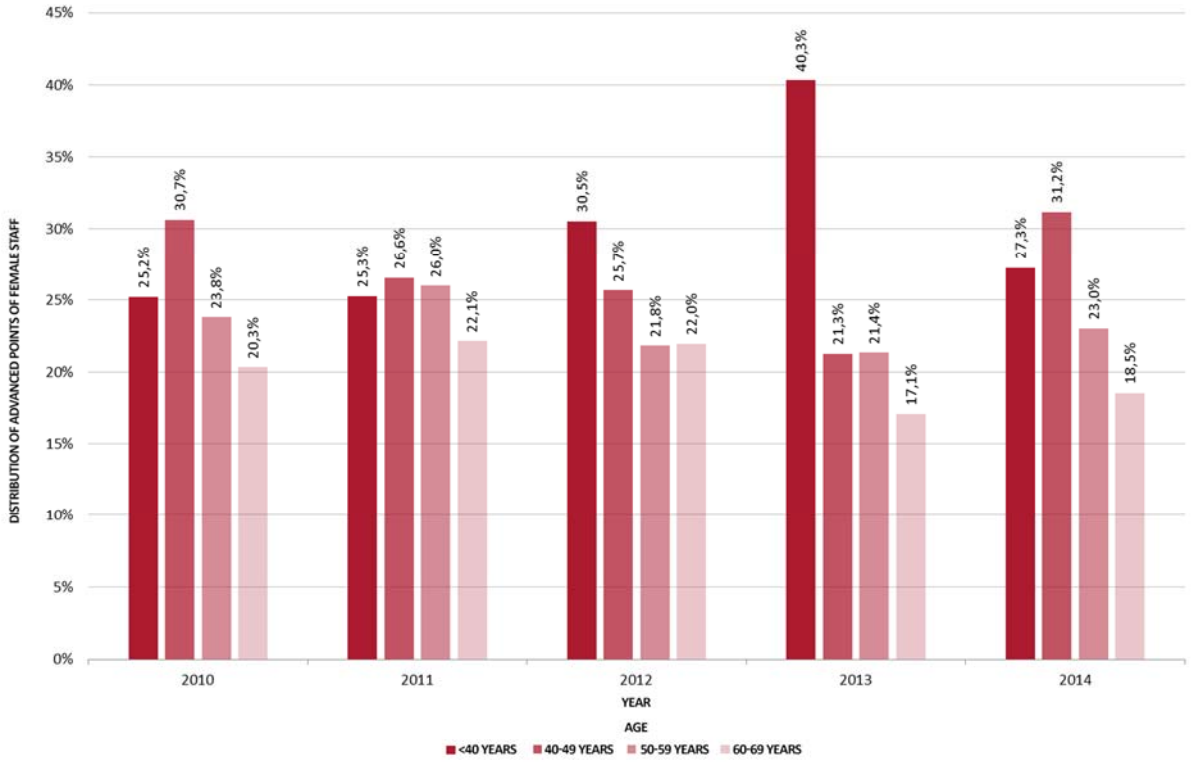


Figure IX. Distribution of advanced points for each year by age of female staff.

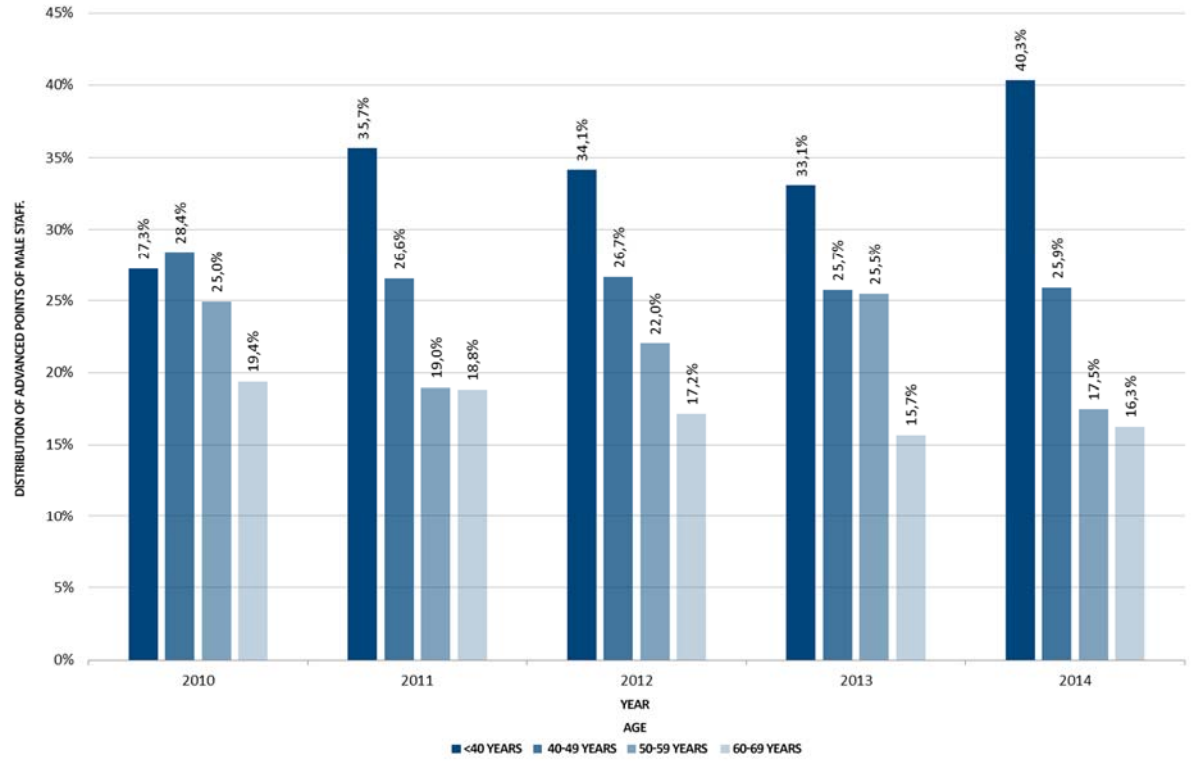


Figure X. Distribution of advanced points for each year by age of male staff.

1.5 Application of points

The system is used in various different ways within the universities. It affects the granting of sabbaticals, promotions, the right to supervise doctoral students and various perquisites for staff. Performance evaluations are concluded before 1 September each year and pay rises or other earned perquisites apply from that time.

1.5.1 Sabbaticals (UI, UA, AUI, HUC)

Standardised rules apply to the granting of sabbaticals in all four universities. Permission to take a sabbatical is not granted unless the member of academic staff has fulfilled all teaching and administration duties for the past six semesters or six years, depending on whether the application is for a one or two-semester sabbatical. The member of staff in question must have earned 10 advanced points on average over the last three years or on average for the best three years in the last five, as well as having submitted annual research reports. School deans/faculty heads can, however, authorise deviation from these rules in exceptional circumstances.

1.5.2 Promotion to other professional titles (UI, UA, AUI, HUC)

In 2010, the requirements for promotion to another professional title were raised significantly and the rules for hiring and promotion were standardised in all four universities. Eligibility for promotion requires a minimum number of points from certain categories of the ES, Table IX. In exceptional circumstances, a higher or lower minimum number of points may be required. The application deadline for promotion is 1 November at all the universities. Promotion is conferred 1 June the next year at UI and 1 July at UA. At UI, the school evaluation committee evaluates the application. After the evaluation committee produces a verdict, the applicant has seven days to dispute it before the verdict, along with the application documents, are sent to the University Promotion Committee. The Promotion Committee submits a recommendation to the rector on whether the promotion should be conferred. Applications for promotion at UA are processed by the University's three-member evaluation committee. The evaluation committee obtains references from two recognised experts in the applicant's field. After the committee issues a verdict, the applicant has 14 days to dispute it. If the evaluation committee recommends promotion, the committee's report and the application documents shall be sent to the University Promotion Committee.

Table IX. Minimum number of points from each section of the ES required for promotion of academic staff.

Professional title	Research points	Advanced points	Teaching points	Threshold for total number of points
Lecturer	30	(0)	0	30
Senior lecturer	130	(80)	20	200
Professor	270	(180)	50	400
Research specialist	30	(0)	0	30
Research scholar	150	(90)	0	200
Research scientist	320	(200)	0	400

1.5.3 Permanent appointment of academic staff (UI, UA)

Should a member of academic staff desire a permanent position, an application must be sent to the rector no later than nine months before the temporary period of employment

ends. A statement shall be submitted with the application detailing work done in research, teaching, administration and service from the beginning of the temporary period of employment.

The Promotion Committee shall evaluate the applicant's work and make a reasoned recommendation to the rector on whether the applicant should be hired to a permanent position. Lecturers, senior lecturers and professors must have earned 40 advanced points over the last five years, whilst research specialists, research scholars and research scientists must have earned 50.

1.5.4 Salary brackets (differs according to university)

Professors

An agreement between the State University Professors' Union and the Ministry of Finance from 2009 determines salary brackets for professors (professor II-VII). The ES forms the basis of this but it also stipulates that in addition to a minimum number of total points, a minimum number of these must come from Section A (research) and Section B (teaching) of the system, cf. Table X. When determining salary bracket, it is possible to transfer up to 10% of the total number of points between research and teaching points.

Table X. Minimum number of points from each section of the ES for determining salary brackets for professors.

Salary bracket	Research points	Teaching points	Threshold for total number of points
Professor II	270	100	400
Professor III	400	120	600
Professor IV	550	150	900
Professor V	750	180	1,200
Professor VI	1,000	180	1,600
Professor VII	1,500	180	2,000

UI, UA – academic staff other than professors

Salary brackets for academic staff in UUT and AUTA are determined by the unions' institutional contracts. The most recent institutional contract between UUT, AUTA and the universities dates from 16 November 2015.

Union members are sorted into salary brackets in accordance with total number of points and, as applicable, number of research and teaching points (Table XII and Table XIII). When determining salary bracket, it is possible to transfer up to 10% of the total number of points between research and teaching points. There are eight grades (0-7) within each salary bracket for adjunct lecturers, lecturers and senior lecturers (Table XI) and eight (1-8) for research specialists, research scholars and research scientists (Table XIII). Salary grades are determined by the aggregate number of points from Sections B-F of the ES. Postdoctoral researchers hired to full-time research positions may have their work evaluated in accordance with the ES and are then ordered into salary brackets like research specialists, research scholars and research scientists.

Table XI. Minimum number of points for determining salary grades for adjunct lecturers, lecturers and senior lecturers.

Salary grade	0	1	2	3	4	5	6	7
Total number of points from Sections B-F of the ES	<50	50	100	150	300	450	600	800

Table XII. Minimum number of points from each section of the ES for determining salary brackets for adjunct lecturers, lecturers and senior lecturers.

Salary bracket	Research points	Teaching points	Total number of points
4-0	0	0	<50
5-0	0	0	50
6-0	50	0	100
7-0	80	0	150
8-0	120	0	200
9-0	270	100	400
10-0	400	120	600
11-0	550	150	900
12-0	750	180	1200

http://fh.hi.is/files/Stofnanasamningur%20janúar_2015a.pdf

Table XIII. Minimum number of points from each section of the ES for determining salary brackets for research specialists, research scholars and research scientists.

Salary bracket	Research points (40%)	Research points (60%)	Total number of points
3-1	0	0	<50
4-1	0	0	50
5-1	50	60	100
6-1	80	90	150
7-1	120	140	200
8-1	270	320	400
9-1	400	480	600
10-1	550	720	900
11-1	750	960	1200
12-1	1000	1280	1600
13-1	1500	1600	2000

http://fh.hi.is/files/Stofnanasamningur%20janúar_2015a.pdf

Table XIV. Minimum number of points for determining salary grades for research specialists, research scholars and research scientists.

Salary grade	1	2	3	4	5	6	7	8
Total number of points from Sections B-F of the ES	<50	50	100	150	300	450	600	800

AUI – academic staff other than professors

The ES has a small impact (total number of points) on the base salary brackets of academic staff in the Union of National Scientists but no effect on staff in other unions within the Association of Academics.

HUC – academic staff other than professors

The ES has no effect on the base salary brackets of academic staff other than professors.

1.5.5 Payments from productivity evaluation funds (differs according to union)

In accordance with information from the University of Iceland, 90% of members of the State University Professors' Union at the University of Iceland receive payments from the Writing and Research Fund. Of these, around 42% receive a sum greater than 12.5% of the average wage for professors. This means that this group receives more from the fund than the calculated average contribution to the fund over a year's employment.

In accordance with information from the University of Iceland, 70-75% of members of the Union of University Teachers working at the University of Iceland receive payments from the Union of University Teachers Productivity Evaluation Fund. 20% of these people receive more than 12.5% of the average wage for their professional title (senior lecturers, lecturers, adjunct lecturers, research specialists, research scholars and research scientists). Average wages and payments from productivity evaluation funds by sex, professional title and structural unit can be found in Appendix VII.

Professors

Payments from the productivity evaluation fund of the State University Professors' Union (the so-called Writing and Research Fund) are based on the total number of research points earned, minus any points awarded for theses (A1), citations (A11, grants from research funds (A12) and re-evaluations of older work. The annual threshold is 10 points. Should the number of points above the threshold exceed 60, points beyond this point shall be calculated to the power of 0.8.

The size of the fund should be 12.5% of the standard wages of those who have the right to payments from the fund. This sum is distributed evenly between the points eligible for payments.

University teaching staff

Payments from the Union of University Teachers Productivity Evaluation Fund at UI and UA are organised in a similar manner, but the annual threshold for teaching and research staff with 50% research duties (40% at UA) or less is 7 points; for union members with a higher proportion of research duties the threshold is 14 points. Points awarded for a re-evaluation of older work do not affect payments from the Productivity Evaluation Fund. When calculating payments to UI teaching staff, the value of points over a threshold of 60 is reduced, as when calculating payments for professors. The value of a point depends on the annual value of points in the Professors' Writing and Research Fund.

When calculating payments to UA teaching staff, the size of the fund is 12.5% of the standard wages of UA teaching staff and the sum is distributed evenly between the points eligible for payments. The value of points is not reduced.

There is not productivity evaluation fund at HUC.

At AUI, there is a productivity evaluation fund for unions (other than for professors) within the AoA, but the evaluation is not connected to the ES.

1.5.6 Transfer between job components (differs according to university)

UI

UI operates a fund for temporary changes to the employment duties of teaching staff who show outstanding achievement in research (UI Regulation no. 605/2006). The size of the fund was increased to ISK 75 million in 2015 (from ISK 20 million). Around 80% of the fund is allocated on the basis of advanced points such that staff who have the most advanced points on average over three years receive up to a quarter of their teaching duties transferred to research duties. In 2015 these were 80 individuals. School deans are

authorised to propose that teaching staff from outside this group be awarded a temporary transfer of employment duties; around 20% of the fund is allocated in this manner. If research points drop below a certain minimum (research points for the last year, three-year or five-year average), teaching duties are increased. This minimum is 10 points for lecturers, senior lecturers and professors and 7 points for adjunct lecturers. Teaching duties may be increased by a maximum of 10% at the expense of research duties.

UA

Those who do not earn 10 research points per year on average over 3 or 5 years receive increased teaching duties. Those who put a lot of effort into research are not rewarded with reduced teaching duties.

AUI and HUC

Standardised rules on the reduction of teaching duties for professors are in place at AUI and HUC. To earn the right to a reduction in teaching duties, permanent teaching staff must have (a) fulfilled their teaching duties for the last three years and (b) earned a minimum of 10 advanced points per year on average over the last three years. On meeting these requirements, teaching staff may receive a reduction in teaching duties of 200 hours for the next academic year.

1.5.7 Rules on secondary employment (UI)

Specific payments are made for secondary employment within UI funded by money other than official government funding. One example is the MBA programme, which is run through the Continuing Education Institute and for which students are charged tuition fees. Authorisation of payments is based on the average number of research points earned by the employee in question. This means that teaching staff with 0-7 research point can receive a maximum of ISK 500 thousand per year for such secondary employment, whilst teaching staff with over 20 research points can receive a maximum of ISK 5,000 thousand.

1.5.8 Supervision of doctoral students (UI)

Supervisors for doctoral students are required to have professorial competence and be able to demonstrate publication activity, measured in research points in accordance with the ES, amounting to at least 15 advanced points per year or 30 research points on average over the last three years. The board of the Graduate School may, however, deviate from this requirement in exceptional circumstances.

1.5.9 Funding for schools/faculties (differs according to university)

UI

The Finance Committee of the UI University Council has developed a special internal funding distribution model in order to divide funding between the units of the University. The model can be expressed in the following equation:

Teaching part

$$F = [c_1 \sum V_i R_i] + 550MS + 2.750ND + 150BS + 40RS + 0.6ES + 0.35IS + 0.2\text{AS} - HK + Other$$

Scaling to complete the model

The individual components of the model are:

F = annual funding to the university
BS = number of graduated undergraduate students
c_1 = proportion of teaching funding allocated to schools
V_i = active students in category *i*
R_i = payment grade no. *i* (annual sum that universities receive for each student in each payment grade is determined by the Ministry. The sum is primarily based on the field of study, such as humanities and social sciences, medicine, teacher training studies, etc.)
MS = number of graduated Master's students
ND = number of graduated doctoral students
RS = number of research points
ES = sum of grants from foreign competitive funds
IS = sum of grants from domestic competitive funds
AS = sum from other funds
HK = building management costs
Other = running expenses for schools that do not come under other components of the model

In accordance with the internal funding distribution model, funding is allocated to schools depending on performance in teaching and research. The sum available for distribution through the internal funding distribution model depends on the national budget and a contract with the Ministry. Funding for the University is not automatically increased in line with improved performance in research and teaching. However, the number of research points directly impacts the proportional division of funding to faculties within the University, although it is not a large part of the equation. The first part of the equation, the teaching part, is scaled to make the result conform with the annual funding provided to the University. Funding allocated to schools is intended to cover the costs of teaching and research; salaries for teaching and research staff are the main expense here.

UA

Each performance report and confirmed research point for a faculty or school is worth ISK 17,748 and the total sum is allocated to the school in question. The number of research points from the most recent evaluation is used.

AUI and HUC

The ES is not used to divide funding between schools/faculties within the universities.

1.5.10 UI Research Fund

The board of the Research Fund comprises the chairs of five independent review panels, one for each school. The chair of the board shall be appointed by the University Council in accordance with a nomination from the rector. The rector shall appoint the review panels, comprising four to five experts, one of whom shall be primarily employed outside the University. The role of the review panels is to professionally evaluate and prioritise applications to the University of Iceland Research Fund and UI doctoral funds. The chairs of the review panels meet regularly while the evaluation of applications is underway. Professional evaluation shall be based on criteria set by the University Council Science Committee.

Article 75 (The University of Iceland Research Fund**)** of the Regulation for the University of Iceland states that: "Assessment of projects shall be based primarily on their academic value

and the research activity of the applicant." The board of the Fund has taken the position that as many applicants as possible will be funded, meaning that grant sums are low. Therefore, applications to the Fund are short, 3 A4 pages at the most. Since the vast majority of applications to the Fund are deemed to be 'good applications', publication output is also used to determine the grant sum, since this factor is more variable. The review panels have a certain amount of leeway to suggest changes to the ordering of applicants, which may put them in a higher or lower position. This is based on the following factors: whether the applicant is a new member of staff, quality (impact) of publications, publication conventions and other issues directly related to publication output. Furthermore, personal circumstances may be taken into account, such as illness, parental leave, work in the field and applications to other research funds in general.

Evaluation of publication output is based on the results of the annual performance review in accordance with the Evaluation System for Public Higher Education Institutions, or so-called publication points (see:
http://sjodir.hi.is/sites/sjodir.hi.is/files/greinargerd_rsj_2017enska_0.pdf).

Review panels may determine which points system they use. When the Evaluation System is used, only so-called advanced points are taken into consideration, i.e. points awarded for peer-reviewed material. Each review panel receives a list of applicants, ordered in accordance with the number of points they have in each system. Once the evaluation process is complete, the board of the Research Fund shall determine the number of applicant groups and where the boundaries between groups lie.
The Science Committee shall review the statement on application evaluation every year following the allocation of grants.

Link to the 2017 statement:

http://sjodir.hi.is/sites/sjodir.hi.is/files/greinargerd_rsj_2017enska_0.pdf

1.5.11 UI doctoral funds

The following points are also taken into consideration in evaluating applications:

- The quality of the project in terms of its scientific value and the research plan.
- The supervisor's publication output and experience in supervising students. (Allowances are made for those in the early stages of their career).
- How the research project relates to the supervisor's specialist field.
- The competence of the student (option A). Based on grades at the undergraduate and Master's levels, other experience and publications.

The final grade of an application to a doctoral fund is determined by the above factors. The weighting of individual factors varies between schools. Applications are longer than those to the project section of the Research Fund, and evaluation of projects is therefore more detailed. For example, the publication output of the supervisor does not carry as much weight as it does for the project section.

The same working procedure is followed as for the Research Fund following grant allocation. Link to the 2017 statement (in Icelandic):
http://sjodir.hi.is/sites/sjodir.hi.is/files/greinargerd_vid_mat_a_doktorsumsoknum_fyrir_arid_2017_netid.pdf

2 Self-review

2.1 The impact of the Evaluation System on evaluation of staff and administrators

The existence of the Evaluation System is far from uncontroversial within the public universities, since it is difficult to measure everyone using the same metrics. For this report, we sought different perspectives by asking the board of the Union of University Teachers, the board of the State University Professors' Union, the rectors and a group of academic staff from the four universities about the merits and downsides of the system. The rectors were asked to answer three questions relating to the use and impact of the system on the operations of their university as a whole. School deans and faculty heads were asked to form six to eight-member working groups of academic staff in the field (including postdoctoral researchers) to discuss the merits and downsides of the system. The schools/faculties were free to determine the composition of these working groups.

2.1.1 Answers from the rectors

The following three questions were put to the rectors of the public universities. The rectors' answers are published here unedited.

1. Has the Evaluation System enhanced performance in research?

UI

The Evaluation System for Public Higher Education Institutions systematically encourages improvements in quality and research productivity. At the University of Iceland, quality and research productivity are requirements for tenure and academic promotion. They have a direct and indirect impact on salary and the time that academic staff have to devote to research. Various data indicates that the Evaluation System has promoted better research at the University and strengthened the University's international standing.

In the autumn of 2011, the University of Iceland was included on the Times Higher Education University Ranking list of the 300 best universities in the world. This success was based on high quality research work under the auspices of the University of Iceland as well as collaborating institutions and companies. The main factors in the ranking of a university on the THE list are number of articles published in recognised international journals and their impact.

Two recent research projects clearly highlight the development over the last decade:

- Comparing Research at Nordic Universities using Bibliometric Indicators, second report, NordForsk
- Biblometric Study in Support of Norway's Strategy for International Research Collaboration, Research Council of Norway

The first report, published by NordForsk in 2014, addresses research in the period from 2000 to 2012, based on data and bibliometric indicators from Thomson Reuters. The report covers 64 universities and 23 university hospitals in the Nordic countries, including the University of Iceland, the Landspítali University Hospital, the University of Akureyri and the Agricultural University of Iceland. The methodology was based on field normalised criteria, whereby different publication and citation frequencies in different fields and subjects are taken into account.

The latter report was produced for the Research Council of Norway by international experts from the company *Science Metrics*. The results were published in a report issued by the council in 2014. The objective of the research was to analyse the research activity of the countries that are Norway's primary research partners. The report was relevant to policy making regarding international research collaboration by Norwegian scientists. This research covered 57 countries, including Iceland. The comparison applied to 2003 to 2012 and was based on the Scopus database from Elsevier – Thomson Reuters acquire their data from Web of Science. The comparison included not only universities and university hospitals, as in the NordForsk review, but all publications in the countries in question. All data was field normalised.

These reports clearly indicate that the growth of research at the University of Iceland has been among the fastest in international terms. The NordForsk report shows that universities in the Nordic countries have a very high impact factor at an international level. It emerges that the University of Iceland, with regards to impact factor, is amongst the foremost of these. UI has the highest impact factor in all the Nordic countries in life sciences and among the highest in engineering and materials science. The NordForsk review also indicates that, when the number of international publications are taken into account, earth sciences, social sciences and humanities are particularly strong at the University of Iceland compared to other Nordic universities. It is notable that the University of Iceland is responsible for 82% of all scientific articles from Icelandic universities. No university in the Nordic countries has a comparable national share; the University of Copenhagen has the next highest with 37% of scientific articles from Danish universities.

It is well known that the most significant scientific success is achieved through well organised international research teams. For precisely this reason, ambitious universities constantly seek to strengthen their links with other prestigious universities and university faculties all over the world. It is also clear from the data in the aforementioned reports that there is a direct correlation between impact factor and the internationality of a university's publications. In other words, the impact factor rises in relation to the number of international publications. Both reports confirm that Icelandic researchers are among the most international in the world, i.e. regarding international co-authorship of published articles. This is also clearly demonstrated in the itemised grade for the University of Iceland in the THE rankings.

The report from the Research Council of Norway is extremely interesting and in fact exceptional research material, indicating that Iceland has the highest impact factor for scientific articles out of the countries compared. The first column in the table below refers to all scientific articles. The last column refers to international articles, for which the authors come from more than one country. The global average is 1 and the factor 1.62 is therefore 62% higher than the global average. The table below shows that Iceland has a factor of 2.13 for international articles, which means that the impact of articles authored or co-authored by Icelandic researchers is 113% higher than the global average.

Country	All articles	International articles
Denmark	1.62	1.99
Switzerland	1.66	1.98
Iceland	1.72	2.13
Nordic countries	1.40	1.76

It is sometimes claimed that the increased research activity amongst researchers at the University of Iceland in recent years or decades is first and foremost explained by international trends, since increased competition for research funding has led to an increase in the number of articles published. It is certainly correct that research activity has increased on an international scale, but at the University of Iceland the growth has been far faster, cf. The following figure shows the proportional increase in ISI articles at the University of Iceland in the period 1999 to 2014.

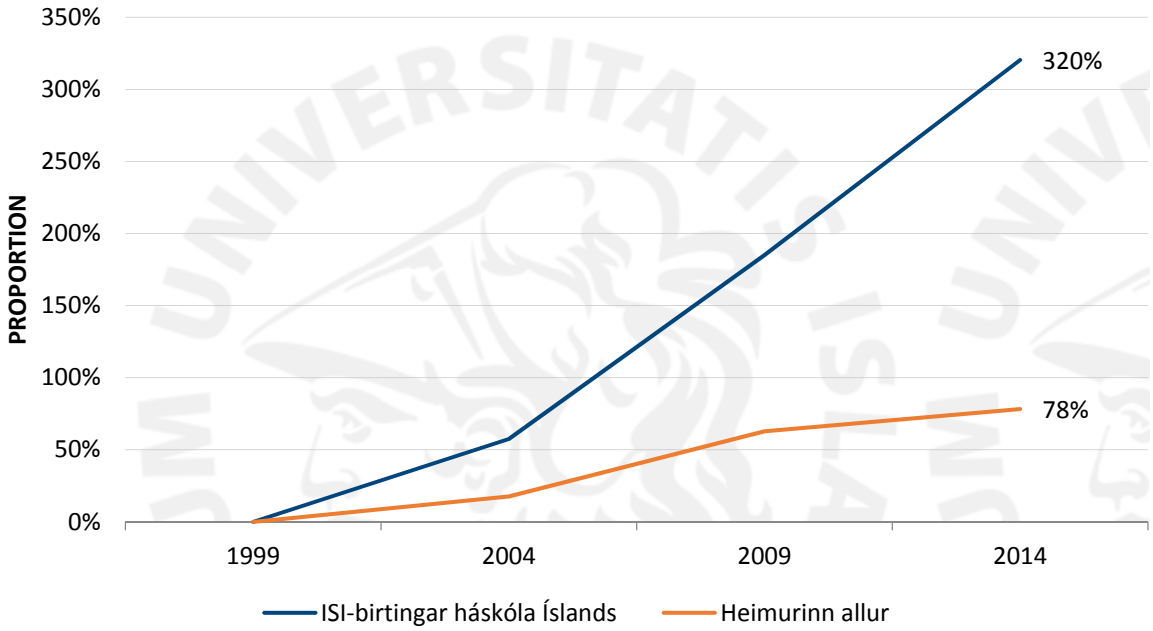


Figure: The proportional increase in ISI articles at the University of Iceland from 1999 to 2014.
Source: Web of Science and InCites

There is no doubt that the Evaluation System has played a part in this development. One example of the impact of the system is that in 2009, changes were made to the system, implemented in 2010, for the purpose of increasing the quality of research. The changes involved an increase in the number of points for articles published in ISI journals in the top 20% for impact factor in the relevant field. It is clear that this change has had a direct effect on development since 2010. The following figure shows that the 2009 change has played a part in considerably increasing the number of articles in journals with impact factors in the top 20%, or from around 300 to 400. The proportion of such articles rose from 44% to 54% in 2013, but fell slightly in 2014.

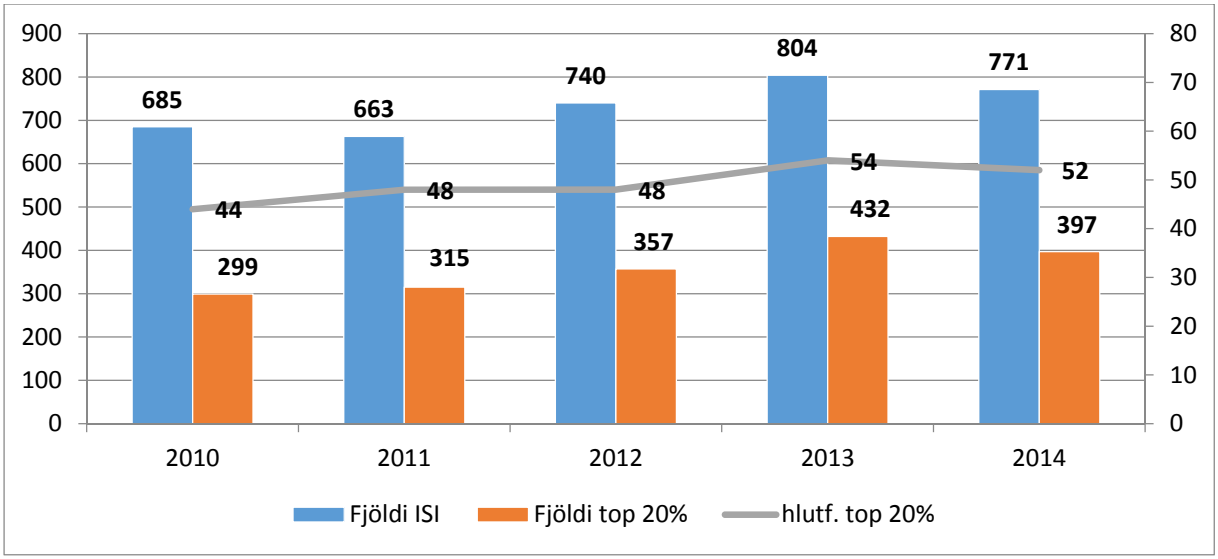


Figure: Number of ISI articles at UI and the proportion of articles with 20% highest impact factor.

The same development can be seen from 2010 to 2014 when considering the development of total research points according to individual publication categories. For example, it is clear that publications in the higher book chapter categories (A3.1 and A3.2) significantly increase at the same time as publications in the lower categories (A3.3 and A3.4) sharply drop. The same applies to journals, where publications in the lowest category had almost dwindled to nothing by 2014 compared to 2010. Furthermore, there was a significant proportional drop in points, around 63%, for local conferences – they were given less weighting by the 2009 changes to the system.

Finally, it is sometimes claimed that the Evaluation System encourages quantity over quality, i.e. encourages publications in outlets that make few demands or work that has little impact on international academic discourse in the 21st century. It is difficult to draw such a conclusion from the above data. That which above all characterises the output of researchers at the University of Iceland is a high proportion of articles in journals with the highest impact factors, an unusually high level of international collaboration and a high citation frequency. This output is the basis for the success of the University. The Evaluation System for Public Higher Education Institutions is specifically designed to encourage such results and it doubtless played a role in this success.

UA

Though no formal study has been conducted on enhanced research performance, the overall research points for UA have been increasing since the system was introduced, except for 2012. The dip in 2012 is due to the cancellation of sabbaticals for academic staff in 2009 through 2011, due to budgetary constraints. This resulted in a reduction in publications in the coming years, but the University was able to get back on track, re-establishing sabbaticals in 2013.

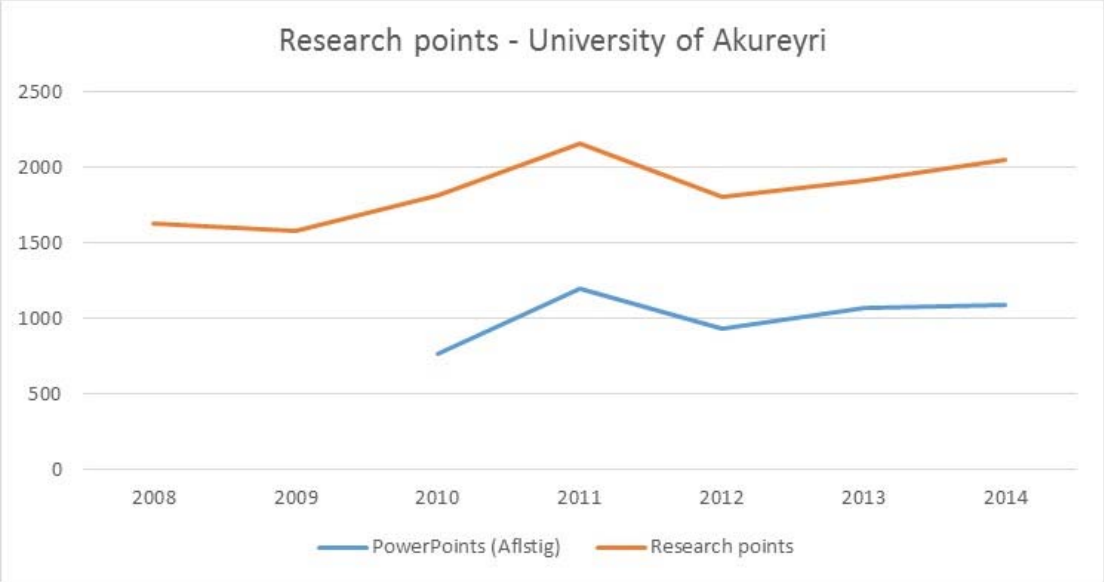


Figure: Research points – University of Akureyri.

The University uses data from the Evaluation System to increase teaching duties for those staff who do not demonstrate a minimum level of research activity. Hence teaching duties can reach up to 80% of employment duties, whereas the standard proportion is 48%.

Based on this assumption it is apparent that the system does have a significant impact on academic staff and with the focus on advanced points it is apparent that the system does indeed impact behaviour and research output, both negatively and positively.

In the past two years increased criticism of the importance of advanced points has been raised. It is seen as an inhibitor on other research activity as well as putting strain on the time that academics have to work more closely with companies and the community in general on applying new knowledge to solve current social issues.

AUI

It is difficult to state with any certainty whether the Evaluation System has enhanced performance in research but we believe that it has had positive effects on publication rates, particularly among full professors.

HUC

The Evaluation System has benefited faculty in their academic progress, particularly professors, but HUC does not systematically foster departments based on research activities. Furthermore, HUC will initiate a system of sabbatical leave and travel grants in the year 2016, thus the research activities of faculty have not contributed to their staff development regarding scientific advancement.

2. ***Does the Evaluation System generate an imbalance between research and teaching and learning?***

UI

The system undeniably does this. However, it is worth mentioning that the Evaluation System was originally established first and foremost to evaluate research activity and success. Evaluation of other professional responsibilities, such as teaching, was added later for the purpose of encouraging innovation and quality in teaching and learning. Evaluation of teaching is to a certain extent based on the same factors as evaluation of research, i.e. measurement of tangible works that are a product of teaching, e.g. teaching material and innovations in teaching. The evaluation also extends to supervision of postgraduate students and teaching experience. Trial attempts have been made to improve the evaluation, e.g. under the auspices of the University Council Academic Affairs Committee, which have not produced the desired results.

There is an urgent need to develop better ways to evaluate success and quality in teaching and ways to reward successful teaching. It is important that experts in the field of teaching technology and pedagogy be involved in such an evaluation. Finally, it is worth mentioning that the new union contracts for academic staff took a step towards increasing the monetary rewards for parts of the job other than research, e.g. teaching and communication with the public.

UA

A formal study on this issue has not been carried out but the general criticism from some academic staff members has been that by paying bonuses only for research points, teaching and learning is set as a lower priority for UA. Student course evaluations and general oversight by deans is used to monitor quality of teaching, as well as the review of the Quality Board for Icelandic Higher Education. Through those review processes no major issues have been found with quality of teaching or imbalance between research and teaching although, again, some academic staff members do feel that the system is unjust.

AUI

Undeniably it does. Evaluation of scientific research output is the major outcome of the system developed so far. Evaluation of teaching has proven to be a much harder task to implement, a fact that has been recognised in international discussion on the matter. For the development of university teaching it is, however, important that teaching is given attention in further amendments of the Evaluation System, as far as realistically possible. Other dimensions in the system should also be considered, namely the academic contribution to industry and society, which is an important responsibility of an industry linked university such as AUI.

HUC

The Evaluation System has not created an imbalance between research and teaching and learning at HUC. All faculties are dedicated to their work and active researchers communicate their knowledge through teaching according to departmental needs. Faculty at HUC, other than professors, have a flexible teaching load which can range to up to 70% of

their time. Furthermore, several faculty members at HUC teach in more than one department at HUC and a few teach courses at other public universities.

3. Is the Evaluation System too much focused on incentives for individuals rather than research groups or organizational units such as departments and faculties?

UI

It is necessary to draw a distinction between the Evaluation System on the one hand and how it is used with incentives and motivational systems on the other hand. The University considers its motivational systems to have worked well in many ways, but it is clear that they are largely focused on individuals, although accumulated points within schools/faculties do play a role in the internal funding distribution model. Evaluation systems and motivational systems must be constantly reviewed to ascertain whether we are measuring that which we want to reward. We must be sure that the system is really measuring quality and success in all academic fields.

One possible way to improve the evaluation would be to introduce regular international peer reviews of faculties and other academic units of the University. The main purpose of such peer reviews would be to evaluate the status of academic units in an international context. It would be possible to use the results of the evaluation to reward academic units performing well in comparison to similar units in other countries. It would also be useful for the University to be able to compare results from different evaluation methods, to assess their reliability. Regular peer review, e.g. every five years, could be conducted under the auspices of the Quality Board for Icelandic Higher Education.

UA

It is difficult to answer this question without further analysis of research output from UA in general. Organisation of research within public universities in Iceland over the years has not been a top down model but rather has given individuals the freedom to study subjects and conduct research that broadly fall within the specialisation of each faculty. As faculties develop more towards specific research strategies and visions the question above might come up, but the UA faculty funding model could deal with that situation if it arose. The short answer to this question is therefore that there has not been too much focus on individuals in the past but with future changes some challenges may arise that should be possible to solve within the current system.

It is nevertheless obvious that the system will need to be changed in accordance with the guidelines that will be put forward in the next Quality Enhancement Framework for Icelandic Higher Education. This is necessary so that the tools and incentives available to manage the universities' performance match the expected outcome and focuses of QEF II.

AUI

This is an interesting question that has not been discussed much within AUI. The reason why this issue might be interesting is a political one; it is important to develop an evaluation system that enhances other qualities of research and university culture beyond the individual. Increasingly successful research and research granting is dependent on research

teams and cooperation rather than individual contributions. It should be kept in mind that an evaluation system has a multifaceted influence on a university's activity, since it not only evaluates, but also shapes academic behaviour, how people approach their duties and work strategies. In that respect it is obvious that the Evaluation System is important and very influential. The short answer to the question is yes.

HUC

The driving mechanisms for fruitful research are individuals; consequently, it is important to base the evaluation system on the research drive of each person. However, it might be of benefit to include an incentive in the Evaluation System which would foster collaboration and interdisciplinary research.

2.1.2 Answers from school/faculty working groups

The following chapter was produced from the results of school/faculty working groups, along with answers from the Union of University Teachers and State University Professors' Union. The answers are also published in abridged form (Appendix VIII: *Answers from school/faculty working groups, UUT and SUPU - abridged form*).

Summary of answers from all respondents to question 1.

Is evaluation of categories within the system fair and objective, or is there cause to change the number of points awarded for certain categories or kinds of work/publication?

Positives

- The system is predictable and transparent.
- The system encourages people to publish.

Negatives

- The system measures quantity rather than quality.
- Expensive, long-term research demanding interdisciplinary research teams is not rated as highly as it deserves.
- The focus on journals included in the Web of Knowledge (ISI journals) is ill-suited to the evaluation of research in the humanities, social sciences and educational sciences. Other models must be used in these fields.
- International and location non-specific research is rated more highly than specifically Icelandic projects – there is a lack of incentive to publish in Icelandic and the system therefore does not serve the Icelandic academic community well.
- Contributions to society are not rated highly.

Summary of answers from all respondents to question 2.

Is the evaluation of impact suitably weighted within the Evaluation System, or is there cause to expand the definition of 'impact'?

- The definition is too narrow and encourages homogeneity in publications – and a situation whereby researchers and academics only talk to other researchers and academics.
- The definition of impact covers communication and links with society, culture and the economy; development of the field or profession; dissemination of scientific knowledge to the public; and the creation of teaching material and impact on the education system.
- Insufficient consideration is given to the impact of publications and therefore the system encourages the publication of a larger number of smaller articles rather than articles with higher scope and impact. There must be more difference between journals with higher and lower impact factors.
- Citations should be evaluated for points and these points treated in the same way as other research points (eligible for payments), although this should be based on the staff member's relative position within the subject or field. A system must be developed for counting citations in Icelandic outlets and/or to measure the impact of publications on the domestic level and in books.
- Consideration must be given to different conventions with regards to citations; the current metric is too restrictive.

Summary of answers from all respondents to question 3.

Division of points for jointly authored material. Does the Evaluation System take into sufficient account differing contributions to articles/publications from different authors?

- Opinions were very divided on this question.
- Academics in the health and natural sciences generally believe
    - that the rule for division of points lowers the incentive to collaborate and that the system punishes those who publish large research projects with many authors.
    - primary authors and/or corresponding authors should carry more weight.
    - the opinion was expressed, however, that this risks affecting the position of students in the order of authors.
    - that dissatisfaction with the rule is widespread.
- Academics in the humanities and social sciences generally believe
    - that there should not be too much of a distinction drawn, i.e. not too many points should be awarded for articles with many authors.
    - and point out that an increasing number of articles have extremely high numbers of authors and that this may potentially need to be addressed.

Summary of answers from all respondents to question 4.

Does the system discriminate against or favour any group of academic staff in particular?

- Discrimination based on language – the system favours those who publish in English to the detriment of those who publish in other languages.
- Discrimination based on the nature of the work – research rated far more highly than other work. This means that those who devote themselves to teaching (innovation in teaching material and teaching methods, supervision of theses at all levels), faculty administration (not in specific administrative positions), public projects and work in the field, e.g. collaboration with industry, have less to show for their efforts. There is doubt over whether these focuses within the system are sufficiently in line with the universities' strategic planning.
- Discrimination based on academic field – the answers here depended somewhat on which field the respondents were in.
    - Discrimination against individuals, groups and administrative units that, due to conventions in the relevant field, do not produce many jointly authored articles (UI School of Social Sciences).
    - Discrimination against those working in experimental research, forward-thinking or long-term research, as well as interdisciplinary research requiring collaboration between many parties. Those leading such research projects get a particularly raw deal (UI School of Health Sciences, UA School of Business and Science, State University Professors' Union).
    - The system is focused on the natural sciences and favours those who publish in ISI journals and receive a lot of advanced points to the detriment of those who direct their efforts towards public projects or work in the field – hostile to the Icelandic learning environment (UI School of Education, UA School of Health Sciences, HUC Department of Tourism Studies, AUI, Union of University Teachers).
    - Young researchers still getting established struggle, as do those with significant family responsibilities.

Summary of answers from all respondents to question 5.

Should the Evaluation System evaluate the quality of teaching or the integration of teaching and research to a greater degree than it currently does? What would be the best way to go about this?

- It is important – but difficult – to evaluate the quality of teaching, and the integration of teaching and research, more than is currently done.
- In evaluating teaching, consideration should be given to innovation and diversity in teaching methods and course assessment; participation in teacher training courses; and supervision of students for their final projects, in both undergraduate and postgraduate studies.
- It was generally not considered advisable to use teaching evaluation surveys in the evaluation in their current form.
- Evaluation of the integration of teaching and research could involve peer review amongst teaching staff (each course reviewed every 3-5 years).
- Superiors could be responsible for evaluating teaching, as is done in the private sector.
- Evaluation of teaching could be based on the Australian system, the Australian University Teaching Criteria & Standards Framework, www.uniteachingcriteria.edu.au.

Summary of answers from all respondents to question 6.

Is the Evaluation System a burden – does it involve an excessive workload for academic staff?

- Opinions were very divided on whether the Evaluation System was a burden.
- The vast majority agreed that workloads were excessive.
- Many believed that the Evaluation System led to less focus on other areas of the job, especially teaching.
- Some questioned how widely the Evaluation System was used in university administration.
- The system was a burden in fields where it is not possible to publish many articles per year due to the nature of the research work required.
- Some believed that one advantage of the Evaluation System is that it is central and systematic and not dependent on the opinion of superiors (an objective system).
- Could lead to neglect of things like communication with students, collaboration with industry (other than purely through research) or communication with the public and other levels of the education system.

2.1.3 Opinion poll conducted by the Union of University Teachers at UI

The Union of University Teachers at UI (UUT) conducted an opinion poll on the Evaluation System for Public Higher Education Institutions in January 2016. Around 31% of those sent the survey responded. Just under 60% of these were academic staff, i.e. 244 individuals. A summary of the primary results from the survey are presented here; the results are published in full in Appendix IX: *Opinion poll conducted by the Union of University Teachers at UI*.

There was general dissatisfaction with the Evaluation System among participants and only 9% believed the system to be fair. Just under 72% believed that the Evaluation System did not present an accurate image of the work of individual academics and just over 67% believed that the Evaluation System did not provide an accurate comparison between schools. There was some variation between schools in this regard; staff at the School of Humanities were the most negative about the system (83%), whilst staff at the School of Social Sciences were the most positive (62%), as well as staff at UI institutes (60%). Despite considerable dissatisfaction, 39% of respondents believed that the Evaluation System had been useful for them whilst only 24% said that it had not. Just under 37% had no opinion or did not answer the question. Almost equal proportions of men and women answered this question in the affirmative, but a few more men than women answered negatively (28% and 21%, respectively). Research specialists, research scholars and research scientists were generally more positive about the system than adjunct lecturers, lecturers and senior lecturers (63% of this group believed that the system had been useful for them, compared to 49% of senior lecturers, 33% of lecturers and 18% of adjunct lecturers.

Asked whether the system in its current form should be discontinued, 39% agreed, 25% disagreed and 36% did not have an opinion or did not answer the question. Support for discontinuing the system increased with the age of participants and was higher amongst women than men (40% compared to 37%). If the schools are considered, opposition to the system was highest at the School of Education, where 50% of respondents agreed and 19% disagreed.

2.1.4 Job satisfaction survey for UI 2014

The 2014 job satisfaction survey among staff at the University of Iceland asked academic staff about the research component of their work and the University's strategy for success in research.* We will here touch on the results from these questions and look at the connection between workload and stress. Staff were asked about their position on the University's strategy of encouraging more high quality publications in all schools and focusing on outlets that make rigorous academic demands and increase the impact of research. As seen in the following figure, just under a fifth of respondents were dissatisfied with this strategy, or 17%. Around three fifths, however, were satisfied with the strategy (62%). Men were proportionally more often satisfied with the strategy than women, and younger staff more often satisfied than older staff. The proportions of those satisfied with the strategy varied significantly by school.

* University of Iceland Social Science Research Institute. (2015). *Job satisfaction at the University of Iceland: Survey of staff in the autumn of 2014*. Reykjavík: University of Iceland Social Science Research Institute.

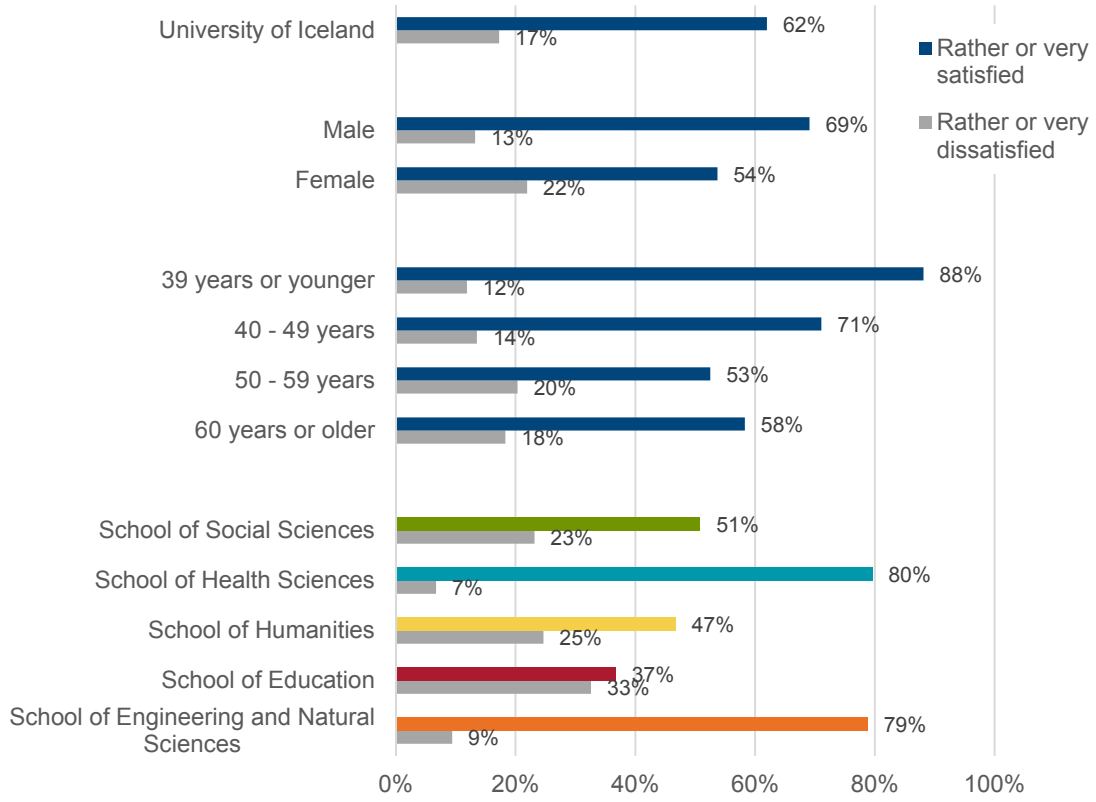


Figure: The proportions of academic staff at the University of Iceland who were rather or very satisfied or dissatisfied with the following research strategy for UI 2011-2016: "An increase in the number of high quality publications will be encouraged in all schools at the University. Emphasis will be placed on publication outlets that make rigorous academic demands and increase the scientific impact of research work." For the sake of simplification, respondents who answered that they were *neither satisfied nor dissatisfied* with the policy are not included in this figure.

Academic staff were also asked how easy or difficult it was for them to meet the demands of the aforementioned policy. A third of staff reported that they found it rather or very difficult, but two of every five respondents (40%) reported that they found it easy to meet the demands of the policy. A higher proportion of men found it easy to meet these demands compared to women, and those under the age of forty were more likely to find it easy than older staff. The proportions of those who found it easy to meet these demands also varied significantly by school.

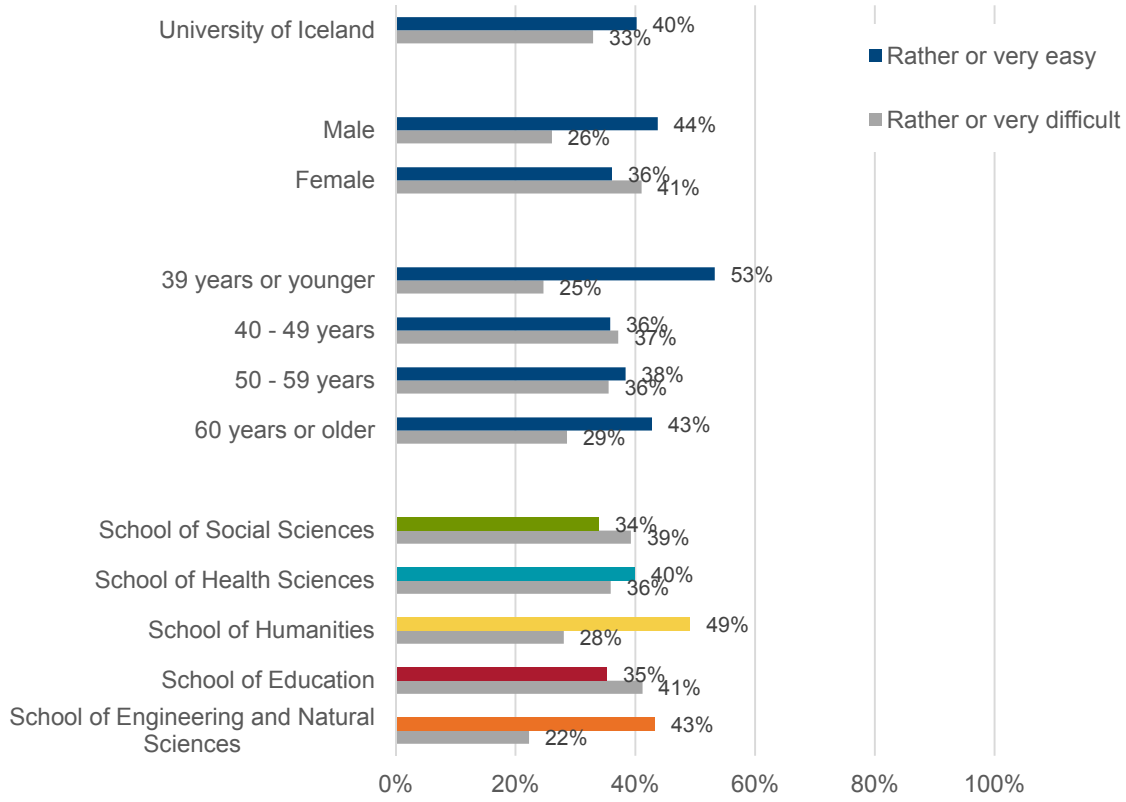


Figure: The proportions of academic staff at the University of Iceland who reported they found it rather or very easy or difficult to meet the demands of the following research strategy for UI 2011-2016: "An increase in the number of high quality publications will be encouraged in all schools at the University. Emphasis will be placed on publication outlets that make rigorous academic demands and increase the scientific impact of research work." For the sake of simplification, respondents who answered that they found it *neither easy nor difficult* to meet the demands of the policy are not included in this figure.

Participants rated themselves on questions that belong to a scale that workload and stress at work. The results were analysed in relation to the respondents' opinions on the aforementioned policy. In general, those who found it easy or easier to meet demands for high quality publications scored lower on the scale for workload and stress (average = 3.4) than those who found it difficult (average = 3.8). Those who found it difficult to meet this demand therefore appeared to experience more workload and stress in their work than others who found it easier.

The survey also asked academic staff how well they managed to fulfil various responsibilities in their work, including research duties. A third of respondents found it rather or very difficult to fulfil their research duties, whilst around half found it rather or very easy to perform this part of their job (52%). Men found it easier than women to fulfil these duties, as did the youngest and oldest groups, compared to those between the ages of 40 and 60. The proportion of staff who found it easy to fulfil their research duties varied slightly by school. The results of the survey also show that those who find it easy to fulfil their research duties generally experience less workload and stress in their work (average = 3.3) than those who find it difficult (average = 3.8).

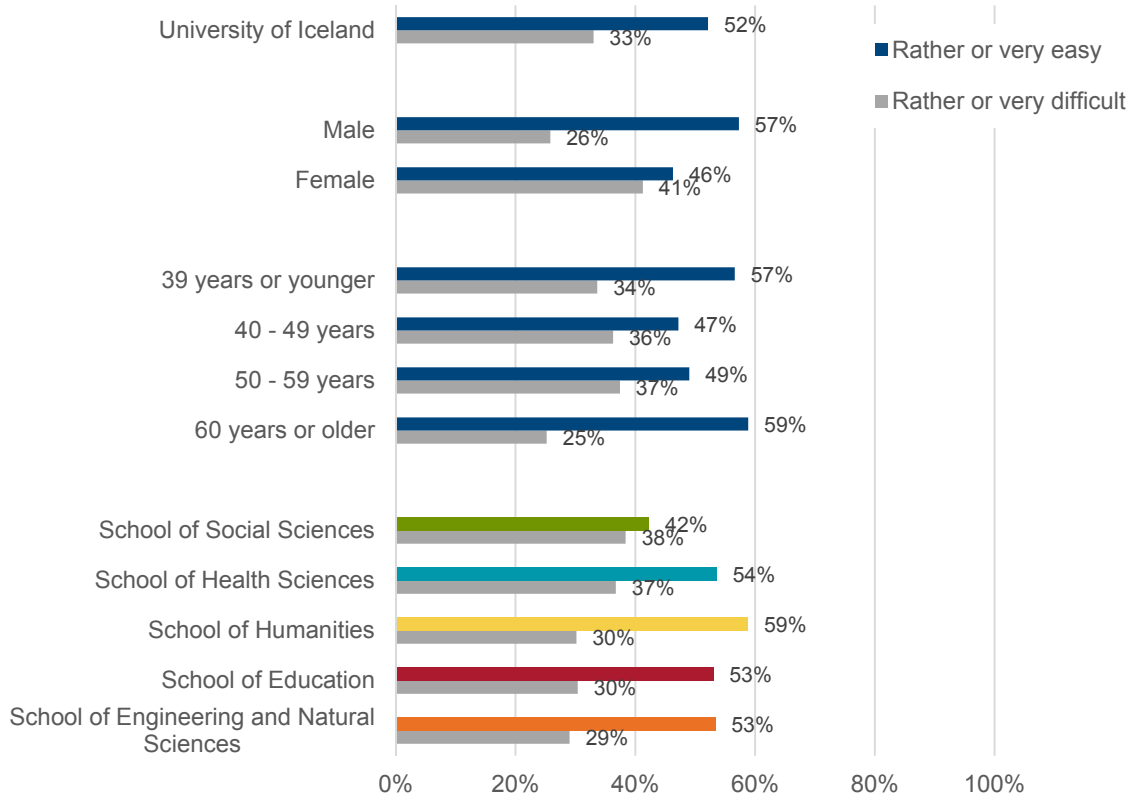


Figure: The proportion of academic staff at the University of Iceland who find it rather or very easy or difficult to fulfil their research duties. For the sake of simplification, respondents who answered that they found it *neither easy nor difficult* to fulfil their research duties are not included in this figure.

2.2 Summary

Several common points emerge in the answers from schools, faculties and other interested parties to most, if not all, of the six questions. Although most people considered the system to be objective, i.e. centralised and systematic and therefore both predictable and transparent, dissatisfaction was expressed with many features of the system and various improvements were recommended. The most prominent comments were:

- Evaluation of research carries by far the most weight in the Evaluation System; this is the component that forms the basis of annual payments from productivity evaluation funds, the right to a reduction in teaching duties or sabbaticals and access to internal research funds.
- Those who focus their energies more on teaching, faculty administration, various public projects or work in the field feel they have less to show for their efforts.
- The system encourages people to publish, but more emphasis is on measuring quantity rather than quality and the impact of research receives only limited attention.
- Academics in the humanities, social sciences and educational sciences believe that the system is too focused on the natural sciences and that there is too much emphasis on journals included in the Web of Knowledge (ISI journals).

- Opinions are divided over the merits of the rule for division of points for jointly authored material. Academics in the humanities and social sciences believe that this rule discriminates against those who do not write many jointly authored articles and that it is important not to award too many points for articles with many authors. Dissatisfaction is widespread amongst academics in the health and natural sciences. They believe that the rule for division of points punishes those who conduct experimental research, long-term research and interdisciplinary research requiring collaboration between many parties. Those leading such research projects get a particularly raw deal as the responsibility and workload of leading (first and senior) authors is not acknowledged in the form of a greater share of the points. Further, they argue that the multi-author point system discourages national and international collaboration.
- The system rewards in particular international and location non-specific research, whilst research into Icelandic society is given less weight. The system thereby favours those who write in English at the expense of those who write in Icelandic or other languages.
- Consideration should be given to whether the focuses within the system are sufficiently in line with the universities' strategic planning.

Appendix I: Review of the Evaluation System for Public Higher Education Institutions- working procedure

Criteria for review

The University Council of the University of Iceland [háskólaráð Háskóla Íslands] has requested that the Evaluation System Committee of Public Universities in Iceland [Matskerfisnefnd opinberra háskóla] conduct a review of the Evaluation System for Public Higher Education Institutions [matskerfi opinberra háskóla]. The Evaluation System Committee assigned the Science Committee for Public Higher Education Institutions [vísindanefnd opinberra háskóla] and the University of Iceland Division of Science and Innovation [vísinda- og nýsköpunarsvið Háskóla Íslands] the task of preparing for the review and submitting a proposal to the Evaluation System Committee regarding its implementation. The main objective of the review is to evaluate how well the system serves its purpose, i.e. whether and how well it encourages high productivity and performance in research, in accordance with international development and the strategies of the four public higher education institutions in Iceland. This includes an evaluation of the impact of the system on the internal operations of the universities, e.g., determination of salaries, annual bonuses, promotion, sabbaticals, transfer of employment duties, distribution of funding between schools and faculties, assessment of grant applications to research funds, etc.

Following is the proposal of the Science Committee for Public Higher Education Institutions and the Division of Science and Innovation at the University of Iceland of the implementation of the review.

Implementation

Implementation of the review shall conform with internationally accepted methodology, comprising an internal review (self-review and production of a self-review report) on the one hand, and an external review (and production of an external review report) on the other. The internal review shall be managed by a self-review team appointed by the Evaluation System Committee. The external review shall be entrusted to independent experts, Icelandic and international.

Care shall be taken in performing the self-review and producing the self-review report, which must contain a sincere, self-critical and analytical discussion of the status, strengths, weaknesses and effectiveness of the system within the universities. All statements made in the self-review report shall be well reasoned and supported by evidence. The self-review shall be solution focused, such that any analysis of challenges or weaknesses shall be accompanied by realistic plans for improvements. In this way, the self-review can be used as the basis for progression and reform.

The self-review team's report must discuss, e.g., the following:

1. The Evaluation System in general

1.1. Development and content of the Evaluation System.

1.2. Statistical overview of the development and distribution of research points in accordance with the Evaluation System from its introduction, analysed according

to university, school, faculty, professional title, age, sex and other variables which the team considers relevant. All data must be anonymous.

2. Equality dimension

2.1. Does the Evaluation System take the equality dimension into account, as well as the universities' equal opportunities strategies?

3. Effectiveness of the Evaluation System

3.1. Is the evaluation of categories within the system fair and objective, or is there cause to change the number of points awarded for certain categories or kinds of work/publication?

3.2. Is the evaluation of impact suitably weighted within the Evaluation System, or is there cause to expand the definition of 'impact'?

3.3. Division of points for jointly authored material.

3.4. Does the Evaluation System take into sufficient account differing contributions to articles/publications from different authors?

3.5. Does the system discriminate against or favour any group of academic staff in particular?

3.7. Is the Evaluation System a burden – does it involve an excessive workload for academic staff?

3.8. Should the Evaluation System evaluate the quality of teaching or the integration of teaching and research to a greater degree than it currently does? What would be the best way to go about this?

4. 'Supplementary' evaluation systems

4.1. Should the possibility of having more than one evaluation system for public higher education institutions be considered?

4.2. Would it strengthen the Evaluation System if a comprehensive evaluation of the quality of research work (a 'qualitative evaluation') was conducted regularly, e.g. every five years?

5. Incentive and quality assurance system

5.1 How is the Evaluation System used in the internal operations of the universities, and has it enhanced performance in research? This question applies to the use of the system in relation to, e.g., determination of salaries, annual bonuses, promotion, sabbaticals, transfer of employment duties, distribution of funding between schools and faculties, assessment of grant applications to research funds, etc. Does the Evaluation System generate an imbalance between research and teaching and learning? Is the Evaluation System to much focused on incentives for individuals rather than research groups or organisational units such as departments and faculties?

6. Basis of the Evaluation System

6.1 Is there a need to strengthen the basis of the Evaluation System? For example, this could mean updating the agreement upon which the system is based. Are there grounds to include provisions on the Evaluation System in the universities' regulations?

Self-review team

The Evaluation System Committee shall appoint a self-review team. The self-review team shall oversee the self-review and the writing of the self-review report. The team shall comprise 10 members: five members from the Science Committee for Public Higher Education Institutions and five selected by the Evaluation System Committee. The self-review team shall consult interested parties while the self-review is underway. The self-review team shall submit a self-review report (a maximum of 40 pages in length, with appendices) in English.

The secretaries for the self-review team are Guðlaug Þóra Kristjánsdóttir, Project Manager at the Graduate School Office, Magnús Diðrik Baldursson, Managing Director of tge Rector's Office and Head of Quality Administration at the University of Iceland, and Magnús Lyngdal Magnússon, Director of the Graduate School Office.

External review team

The external review team, composed of independent experts, shall assess the self-review report, carry out site visits and meet with government representatives, university administrators, representatives of academic staff in different subject areas, trade union representatives and other interested parties. The review team shall gather further information as appropriate. Following this, the external review team shall write a report evaluating the self-review and submitting proposals for reform measures. The main focus of the external review team shall be whether the Evaluation System works in conformity with the policies set by the universities.

The Quality Board for Icelandic Higher Education shall appoint the external review team, and the Icelandic Centre for Research shall provide it with a secretary and office facilities. The Network of Public Universities shall cover the costs of the evaluation process.

Schedule

September to December 2015:	Self-review and writing of the self-review report.
2016:	Site visit from the external review team and writing of the review report.

Follow up

The Evaluation System Committee shall be responsible for general presentation of the external review team's report amongst interested parties. By the end of 2016, the Evaluation System Committee should have determined any possible changes to the Evaluation System in the wake of the review. The Committee shall inform the Quality Board and the four public higher education institutions of their response to the proposals from the external review team.

The members of the self-review team are:

1. Representatives from the Science Committee:

- Áslaug Helgadóttir, Professor, Chair
- Guðmundur Heiðar Frímannsson, Professor
- (Sigrún Aðalbjarnardóttir, Professor), Ingólfur Ásgeir Jóhannesson, Professor
- Viðar Guðmundsson, Professor
- Þórdís Kristmundsdóttir, Professor

2. Five additional representatives:

- From the School of Health Sciences: Magnús Karl Magnússon, Professor
- From the School of Social Sciences: (Bradley Thayer, Professor) Sif Einarsdóttir, Professor
- From the School of Humanities: Björn Þorsteinsson, Lecturer
- From the School of Education: Börkur Hansen, Professor and Chair of the Academic Affairs Committee
- From the School of Engineering and Natural Sciences: Fjóla Jónsdóttir, Professor

Appendix II: Verdict of the committee for the performance evaluation of professors

Act no. 150/1996 assigned the task of determining professors' salaries to the State Salaries Committee. The committee determined, as well as salaries, the rules for performance evaluations for professors. The committee was responsible for implementation of the evaluation, with the assistance of appraisers from the universities. Following this, an agreement was made with the Union of University Teachers at the University of Iceland determining that the same evaluation system would be used. Amendments made to the system would also apply to the members of this union. The UI Division of Science and Innovation would be responsible for implementing this. In 2006, the Official Remuneration Council took over the responsibilities of the Wage Tribunal and the State Salaries Committee, in accordance with Act 47/2006, including responsibility for determining professors' salaries. Article 5 of this Act stated that the Council should rule on who its decisions on salaries and working conditions should apply to. In January 2007, the Council ruled that decisions on the salaries and working conditions of professors should no longer be its responsibility. Following this, the UI Division of Science and Innovation was assigned the task of overseeing the performance evaluation of professors in public universities, calculating royalties and pay rises. This decision was supported by an agreement between the State University Professors' Union and the Minister of Finance on 26 September 2008 and was to remain in force until the parties to the agreement determined a working procedure for performance evaluation.

The agreement stated that a special committee should be appointed before 1 November 2008 with the responsibility of implementing the future organisation of points calculations for professors in public universities. The committee was to comprise one representative from the Ministry of Education, Science and Culture, one representative from the Ministry of Finance, one representative from the University of Iceland, one joint representative for the other state universities, one representative from the State University Professors' Union and a referee, agreed upon by the other members and also acting as the chair of the committee. The committee should submit its proposals to the parties to the agreement no later than 1 February 2009.

The committee was not fully appointed until 12 October 2009 and then held its first meeting of five. The committee comprised: Guðrún Zoëga, chair, Eiríkur Smári Sigurðarson from the Ministry of Education, Science and Culture, Guðmundur H. Guðmundsson from the Ministry of Finance, Halldór Jónsson from the University of Iceland, Áslaug Helgadóttir representing other state universities and Gísli Már Gíslason from the State University Professors' Union.

The committee agreed upon the following proposals:

1) The performance of professors shall be evaluated in the same way as before, with quality as the guiding principle. The committee considers it advisable that the evaluation rules be used for as many state university academic staff as possible, regardless of which union they belong to. The Evaluation System affects the following:
    i) Initial evaluation of new staff,
    ii) annual performance reviews, which determine:

(1) distribution of payments from productivity evaluation funds, such as the Writing and Research Fund, UI Productivity Evaluation Fund and comparable funds,

(2) salary bracket in accordance with collective wage agreement and/or institutional contract.

2) The role of collective wage agreements (and/or potential institutional contracts) shall be to determine salaries, salary brackets and rules on overtime for professors, as well as the general legal components of collective wage agreements.

3) Development of the Evaluation System shall be in the hands of a science committee under the auspices of the universities, in consultation with professors and others affected by the system. The committee shall submit proposals to the Evaluation System Committee, cf. item 4, on joint evaluation rules. The science committee shall comprise five members, representing the main academic fields at the universities. The rector of the University of Iceland shall nominate six representatives and the rectors of the other state universities two representatives. The Evaluation System Committee shall appoint the science committee from the group of nominated representatives. At least one member must come from a state university other than the University of Iceland.

4) The common evaluation rules shall be approved by the four-member Evaluation System Committee; the four members shall represent the Ministry of Education, Science and Culture, the Ministry of Finance, the University of Iceland and the other public universities. Additionally, the role of the Evaluation System Committee will involve appointing a science committee for the universities cf. item 3, appointing evaluation committees cf. item 5 and an appeals committee cf. item 6. These committees shall be appointed for three-year terms. The Evaluation System Committee shall assemble before 1 December 2009.

5) To ensure consistency and cohesion in working practices for performance evaluations for academic staff at public universities, the committee considers it important that a single body be responsible for overseeing the evaluation. It is proposed that the University of Iceland Division of Science and Innovation shall be responsible for annual performance reviews. . The Evaluation System Committee, in consultation with the University of Iceland Division of Science and Innovation, shall appoint up to six three-member evaluation committees of experts in the main academic fields of the universities. These committees shall be responsible for the professional evaluation of publications. The Division of Science and Innovation shall send the results of the evaluation committees to professors/staff. The Division of Science and Innovation and, as appropriate, the evaluation committees shall respond to any objections.

6) Staff members dissatisfied with the results of the evaluation may refer them to a three-member appeals committee, appointed by the Evaluation System Committee. The ruling of the appeals committee shall be final.

7) It is proposed that new evaluation rules, to enter into force in accordance with the working procedure detailed above, should be established before the beginning of the next year and first applied in 2011 to the evaluation of publications and other work completed in 2010. This is aimed at ensuring that all affected staff will be

familiar with the contents of these rules for work completed in 2010 in good time. In the meantime, the current working procedure shall be maintained.

Reykjavík 6 November 2009,

Guðrún Zoëga, Eiríkur Smári Sigurðarson, Guðmundur H. Guðmundsson, Halldór Jónsson, Áslaug Helgadóttir, Gísli Már Gíslason

Appendix III: Rules of procedure for the Appellation Committee for Productivity Evaluation

The Appellation Committee for Productivity Evaluation is appointed in accordance with the Union of University Teachers' Productivity Evaluation Fund rules concerning research, approved by the University Council 7 April 2006, and the verdict of a committee for the arrangement of evaluating the work of professors (dated 6 November 2009). The Appellation Committee has established the following rules of procedure concerning the appeal of productivity evaluations.

Article 1

It is possible to appeal the conclusions of a productivity evaluation committee. Such appeals shall be referred to the Appellation Committee.

Article 2

The deadline for referral is three months from the issuing of the productivity evaluation committee's conclusions. This period should commence following conclusion of the productivity evaluation committee's 14-day comment process.

Article 3

The Appellation Committee shall only take a position on the evaluation of individual works, which shall be referred to the committee in the form of a written claim. Claims for re-evaluation must be clear and well-reasoned. The written claim must be accompanied by those documents necessary for the committee's decision making process. One such necessary document is that work with which the appeal is concerned; in addition to this the conclusions of the productivity evaluation committee on the annual performance report of the staff member in question must be submitted, with disputed items marked.

Article 4

Only individuals have the right to appeal and the Appellation Committee shall only evaluate the work of the individual who sends the claim. Should more than one University employee be involved in a project, they may submit a joint appeal, on the condition that the claim is accompanied by a clear confirmation of each party's involvement. Should such a confirmation be lacking, the Appellation Committee will not be able to acquire it on its own initiative from others, for example from co-authors of articles. Should claims in a joint appeal differ, the committee may request further explanation from the parties and give them the option of altering their claims. Rulings shall, in the main, be based on final claims.

Claims must be sent to the committee secretary, Sigurlaug Kristín Jóhannsdóttir, lawyer at the University of Iceland Division of Human Resources.

Reykjavík 10 May 2012

On behalf of the Appellation Committee for Productivity Evaluation

Guðrún Zoega, Chair

Appendix IV: Proposals from the Science Committee regarding changes to the Evaluation System for research and service

Introduction

These proposed changes reflect the priorities defined in the *Strategy of the University of Iceland 2006 to 2011*. The proposals concern the sections of the Evaluation System at the University of Iceland covering research (section A) and service (section D).

Evaluation criteria

Evaluation of written works is generally based on two main factors, a) peer review methods, b) distribution, access and impact. When material is published in a recognised peer-reviewed outlet, it is considered that evaluation of data acquisition, originality and contribution to new knowledge has already taken place. Peer review methods are satisfactory when the article or other material has been sent to at least two reviewers. Peer review must be anonymous, professional, substantive and carried out by recognised specialists in the field in question.

Identification of written works

Written works and other material not adequately marked with the name of the University of Iceland will not be evaluated for points.

Division of points between authors

In the case of jointly authored material, a special rule for the division of points applies. It is relevant to categories A2, A3, A4, A5 and A8. The rule assumes that the primary author shall receive the maximum number of points for the publication, whilst co-authors receive points divided by the square root of the number of authors. Example: An article is evaluated for 20 points and has three authors. The square root of three is 1.73. The primary author receives 20 points whilst the other two each receive 20/1.73 or 11.5 points. Table 1 includes more examples of how points are divided between authors. In certain cases there are two primary authors of the same article. In such cases, both shall receive the maximum number of points for the article since it is the product of two collaborating research teams.

Table 1

	1. auth. / primary auth.	2 authors	3 authors	4 authors	5 authors	10 authors	20 authors	50 authors	100 authors
Publication, 5 points	5	3.5	2.9	2.5	2.2	1.6	1.1	0.7	0.5
Publication, 10 points	10	7.1	5.8	5	4.5	3.2	2.2	1.4	1
Publication, 15 points	15	10.6	8.7	7.5	6.7	4.7	3.4	2.1	1.5
ISI article	20	14.1	11.5	10	8.9	6.3	4.5	2.8	2
ISI, 10% highest	25	17.7	14.4	12.5	11.2	7.9	5.6	3.5	2.5

A – RESEARCH

A1 Theses

A1.1 Doctoral theses (30 points)

Doctoral theses are always evaluated for 30 points.

A2 Books

A2. Books (0-100 points)

Evaluation of books in all categories below is based on the evaluation criteria outlined in the introduction. A statement or other information from the publisher on the peer review process must be available.

A2.1. International academic publication (≤100 points).
Books published by the most respected academic publishers in the world. See examples of such publishers in
Instructions for the Evaluation System.
A2.2. International peer-reviewed publications and Icelandic publications with international significance (≤75 points).
A2.3. Icelandic or foreign peer-reviewed publishers without international significance (≤50 points).
Published by a recognised publisher. A2.4.
Other publication (≤25 points).
Publication which was peer reviewed, but not anonymously, cf. the aforementioned evaluation criteria. A2.5 Republication (≤10 points).
Only republications with amendments shall be evaluated for points.

A3 Book chapters

A3 Book chapters (0-20 points)

A3.1 International academic publication (20 points).
Chapters in books published by the most respected academic publishers in the world. (see A2).
A3.2 International peer-reviewed publications and Icelandic publications with international significance (15 points). A3.3 Icelandic or foreign peer-reviewed publishers without international significance (10 points). Published by a recognised publisher.
A3.4 Other publication (0-5 points).
Publication which was peer reviewed, but not anonymously, cf. the aforementioned evaluation criteria.

A4 Journal articles

A4.1 Article published in ISI journal (20-25 points)

ISI journals are those international scientific journals documented in the Institute for Scientific Information (ISI) databases under the auspices of *Thomson Scientific*. Articles in such journals are evaluated for 20 points, but articles in journals with an impact factor in the top 10% for their group, excluding journals of overview articles, shall receive 25 points.[5] Overview articles are always evaluated for 20 points.

A4.2 Article published in other peer-reviewed journal (5, 10 or 15 points)

Articles published in other peer-reviewed journals are divided into three categories giving 5, 10 or

[5] On impact factor, see: http://scientific.thomson.com/free/essays/journalcitationreports/impactfactor/

15 points. Several outstanding journals are included in the highest category – examples of such journals can be found in the *Instructions for the Evaluation System*.

A5 Articles in conference publications

A5 Conference publications (10, 5 or 3 points)

A5.1 Article published in a distinguished conference publication (10 points).
Peer-reviewed articles in regular conference publications published in a format recognised in the relevant academic field. Such conference publications must be accessible through international databases. Examples of such databases can be found in the *Instructions for the Evaluation System*.
A5.2 Article in international conference publication (5 points).
A5.3 Article in another conference publication (3 points) Conference publication that has been peer reviewed, but not anonymously, cf. the aforementioned evaluation criteria.

A maximum of two articles from the same conference publication may be evaluated for points in categories A5.2 and A5.3. Abstracts and extended summaries are not evaluated for points.

A6 Lectures and posters

A6 Lectures and posters (1-5 points)

A6.1 Plenary lecture or keynote address at an international academic conference (5 points).
A6.2 Public guest lecture at a university outside of Iceland (3 points). A6.3 Lecture at an international conference (3 points).
A6.4 Lecture at an international seminar (1 point). A6.5 Lecture at a domestic conference (2 points). A6.6 Lecture at a symposium (1 point).
A6.7 Poster at an international conference (2 points). A6.8 Poster at a domestic conference (1 point).

Only the person giving the lecture or presenting the poster shall receive points, with the exception of teaching and research staff whose students present material. In this case the number of points is calculated in accordance with a general rule based on the assumption that there are two authors. For A6.1 and A6.2 a letter of invitation must be available. A maximum of two contributions to the same conference, posters and/or lectures, may be evaluated for points.

A7 Academic editorial work

A7.1 Editor of an academic journal (3-5 points)

Only academic editorial work on peer-reviewed articles is evaluated for points. Editing a journal published by an international publisher is evaluated for 5 points, whilst editing a domestic publication is worth 3 points.

A7.2 Book editor (3-5 points)

Only academic editorial work on peer-reviewed books is evaluated for points. Editing a book published by an international publisher is evaluated for 5 points, whilst editing a domestic publication is worth 3 points.

A8 Other

A8.1 Reports (0-3 points).

Evaluation is based on the scope of the gathering of data, originality and contribution to

advancement of knowledge. This category covers peer-reviewed, published reports (working papers, university publication series with publication numbers and reports covered by legal deposit legislation (e.g. having an ISBN).

Reports may also be evaluated under D4.

A8.2 Reviews (0-2 points)

Reviews in peer-reviewed journals.

A8.3 Translations (0-10 points)

Academic introductions to translations are evaluated for points under category A3 (book chapters). Translations of books and articles are evaluated for points if the subject matter is within the staff member's field and constitutes a contribution to academic discourse. Republications of works in other languages are not evaluated for points.

A8.4 Patents (15 points)

Only published patents are evaluated for points. Points are not awarded for republished patents or patent applications.

A8.5 Innovation and links with industry and society (0-20 points)

A8.5.1 Start-up company, design, innovation and transfer of knowledge (0-20 points). Evaluation is based on conventional evaluation criteria, cf. the introduction to this Regulation. Transfer of knowledge of this kind is evaluated for points when the founding of a company or creation of a contract involves the publication of new knowledge or scientific innovation.

A8.5.2 Software (0-20 points). Only software that entails demonstrably new knowledge of software engineering solutions and that has not been previously published will be evaluated for points.
The release format shall be software distributed outside Iceland, either as merchandise or open source software.

A8.5.3 Psychological tests (0-5 points). To be evaluated, tests must be published, accessible and involve research work not published in any other format.

A8.5.4 Legislative bills (2 points). Only the chair of the committee or the primary author shall receive points. Only bills involving research work that has not been published in any other format are evaluated.

Innovation and links with industry and society may also be evaluated in the service section, D5-D7.

A9 Citations

Citations in the ISI databases are evaluated as follows: First 10 citations: 1 point per citation.
Next 20 citations: 0.5 point per citation.
Citations exceeding 30: 0.1 point per citation.
Citations exceeding 2000: 0.05 point per citation.

A request may be made for citations in books and journals not listed in the ISI databases to be evaluated.

A10 Grants

A10 Grants from competitive funds (0-20 points per year)

The total sum of grants from research funds outside the University of Iceland. Only those grants which go through the accounting system of the University or its affiliated institutions, are evaluated. The project manager or coordinator for a grant application also receives points unless agreed otherwise.

Evaluation for points:

1 point for ISK 0.5-1.999 million per year
2 points for ISK 2-3.999 million per year
3 points for ISK 4-6.999 million per year
4 points for ISK 7-9.999 million per year
One point is then awarded for every additional ISK 10 million per year, up to a maximum of 20 points per year.

D – SERVICE

D1. Organisation of international academic conference (2-5 points)

Chair/member of conference committee.

D2. Evaluation work within public sector (0-2 points)

Membership in public evaluation committees, specific temporary projects.

D3. Member of committee or board (0-2 points)

External to the University of Iceland.

D4. Advisory verdicts and reports (0-5 points)

Reports published without formal peer review or unpublished reports and advisory verdicts appearing under the auspices of or for parties outside the University of Iceland. A productivity evaluation committee must have access to a report for it to be evaluated for points.

D5. Software (0-10 points)

Software must involve practical software development and be distributed nationally or abroad either as merchandise or open source software.

D6. Educational material for the public (0-10 points)

D6.1 Articles in newspapers and magazines, general material and lectures. D6.2 Communication of information and advisory work.

D7. Start-up company (0-50 points)

Start-up companies and licence agreements with parties outside the University of Iceland. After a company has been operating for some time (e.g., after 5-10 years), the company or license agreement may be re-evaluated for up to 50 additional service points. Evaluation shall be based on employee and student participation, ownership and the visibility of the University of Iceland in connection with the project.

D8. Grants from competitive funds (0-20 points)

The total sum of grants from sources outside the University of Iceland. Only those grants which go through the accounting system of the University or its affiliated institutions, are evaluated. The project manager or coordinator for a grant application also receives points unless agreed otherwise.

Evaluation for points:

1 point for ISK 0.5-9.999 million per year
2 points for ISK 2-3.999 million per year
3 points for ISK 4-6.999 million per year
4 points for ISK 7-9.999 million per year
One point is then awarded for every additional ISK 10 million per year, up to a maximum of 20 points per year.

SUGGESTED TO MOVE TO CATEGORY B. – TEACHING

Member of doctoral committee (3 points)

This is evaluated for points only after the work is concluded.

Thesis opponent (3 points)

This is evaluated for points only after the work is concluded.

SUGGESTED TO MOVE TO CATEGORY C. – ADMINISTRATION

Chair of an evaluation committee / selection committee (2/3 points)

This is evaluated for points only after the work is concluded.

Member of an evaluation committee / selection committee (2/3 points)

This is evaluated for points only after the work is concluded.

Instructions

Regarding the marking of articles, attention is drawn to the resolution of the University Council from 8 May 2008 stating that staff at the University of Iceland and affiliated institutes shall mark all material published in Iceland or abroad with the name of the University of Iceland. The resolution includes the following:

Research points will not be awarded for published material not marked in the aforementioned fashion. Such material is eligible neither for productivity evaluation payments nor to be taken into account when distributing funding to faculties.

Exemptions may be granted to this rule in the case of new staff, i.e. work completed before they started working at the University of Iceland.

A – Research

A1. Theses

A1.1 Doctoral theses. One copy of the thesis must be submitted along with certification of graduation. The following must be specified: Title, year of publication, university, number of pages.

A2. Books

One copy of the book must be enclosed. It is not sufficient to submit a manuscript or proof.

The following must be specified: Title of the book, year of publication, publisher, number of pages, name(s) of author(s).

A2.1. International academic publishers. Publications by academic publishers that make rigorous demands. Examples of such publishers:
Cambridge University Press
Elsevier
Harvard University Press
John Wiley & Sons (incl. Blackwell Publishing) Kluwer/Springer
Oxford University Press
Peter Lang
Taylor and Francis (incl. Routledge)

This list is not exhaustive. Evaluation committees will evaluate individual cases concerning other publishers than those listed above.

A2.2. International peer-reviewed publications and Icelandic publications with international significance. A work distributed beyond the country in which it was published.

A2.3. Icelandic or foreign peer-reviewed publishers without international significance. Domestic publications that are peer-reviewed but intended only for the domestic market.

A2.4. Other publications. Peer review in the hands of the editor or editorial team.

A2.5. Republications. Points are awarded for republications if the work has been amended or altered. If amendments or changes are significant, the republished book may be evaluated under other categories within A2.

A collection of articles which has previously been published elsewhere and evaluated as such shall be evaluated under A2.5.

Where published material is based on a doctoral thesis, such additional publications are also evaluated for points in the relevant category.

A3 Book chapters

A photocopy of the chapter, along with a photocopy of the book's cover page and table of contents, must be submitted. An offprint will also suffice. In the case of a very long chapter, the entire book may be submitted.
The following must be specified: Title of the chapter, title of the book, year of publication, publisher, number of pages in the book and name(s) of author(s).

A3.1. International academic publishers. Publications by academic publishers that make rigorous demands. Examples of such publishers:
Cambridge University Press
Elsevier
Harvard University Press
John Wiley & Sons (incl. Blackwell Publishing) Kluwer/Springer
Oxford University Press
Peter Lang
Taylor and Francis (incl. Routledge)

This list is not exhaustive. Evaluation committees will evaluate individual cases concerning other publishers than those listed above.

A3.2. International peer-reviewed publications and Icelandic publications with international significance. A work distributed beyond the country in which it was published.

A3.3. Icelandic or foreign peer-reviewed publishers without international significance. Domestic publications that are peer-reviewed but intended only for the domestic market.

A3.4. Other publications. Peer review in the hands of the editor or editorial team.

A3.5. Republications. Points are awarded for republications if the work has been amended or altered. If amendments or changes are significant, the republished book chapter may be evaluated under other categories within A3.

A4. Journal articles

A photocopy of the article, along with a photocopy of the journal's cover page / title page and table of contents shall be submitted. An offprint will also suffice. It is not sufficient to submit a manuscript or proof.
The following must be specified: Title of the article, name of the journal, year of publication and number, number of pages in the journal and names of authors. The names of all authors must be stated.

A4.1 Article published in ISI journal. International scientific journals included in special databases under the auspices of *Thomson Scientific*.

A4.2 Article published in other peer-reviewed journal. See the list of Icelandic journals on the

website. (Link).

A5 Article in conference publication

A photocopy of the conference article, along with a photocopy of the conference publication's cover page and table of contents, must be submitted. It must be stated from what conference the article is (not abbreviated), who held the conference, where and when it was held.
The following must be specified: Name(s) of article author(s), title of article, name of conference publication, year of publication, name of the conference, location and date of conference, publisher and number of pages in the conference publication.

A5.1 Examples of databases for international conferences including articles in the relevant academic field:

IEEE Xplore: http://ieeexplore.ieee.org
MSME digital store: http://store.asme.org/
SPIE: http://spie.org
ASCE: http://www.asce.org
ACM Digital Library: http://portal.acm.org

This list is not exhaustive. Productivity evaluation committees shall evaluate other publications on a case by case basis.

A5.2 Article in international conference publication.

A5.2 Article in other conference publication.

A6 Lectures and posters

The programme for a conference or forum must be enclosed. It must be stated who held the conference (not abbreviated) and where it was held. There is no need to submit a printed version of the lecture, though this is permissible. If a student delivered the lecture, this must be stated. For a lecture to be evaluated for 5 points, a letter of invitation must be submitted along with a programme.
The following must be specified: Names of authors and name of speaker, title of lecture, name of conference, location and date of lecture.

The programme for a conference must be enclosed in order to confirm presentation of a poster. It must be stated who held the conference (not abbreviated) and where it was held.
The following must be specified: Name(s) of author(s), title of poster, name of conference, location and date of presentation.

A6.1 Plenary lecture or keynote address at an international academic conference.

A6.2 Public guest lecture at a university outside of Iceland.

A6.3 Lecture at an international conference.

A6.4 Lecture given at a university or other academic institution for a small group of academics.
A6.5 Lecture at a domestic conference.

A6.6 Symposium organised by an academic body or educational organisation. This refers to one or two-day symposiums not divided into seminars.

A6.7 Poster at an international conference.

A6.8 Poster at a domestic conference.

A7 Academic editorial work

A photocopy of the book's cover page and photocopy of an inside page giving information about the editorial team must be enclosed.
The following must be specified: Name of journal, year of publication and publication number, publisher, number of issues per year.

A7.1 Editor of an academic journal.
A7.1 Editor of a book.
The points awarded for books (A2) are a guide to the points awarded in this category.

A photocopy of the book's cover page and photocopy of an inside page giving information about the editing must be enclosed. It is not sufficient to submit a manuscript or proof.
The following must be specified: Title of the book, year of publication, publisher, number of pages, name(s) of editor(s).

A8 Other

A8.1 Reports.

A copy of the report/verdict must be submitted. It is not sufficient to send a print-out. Reports/verdicts must have been published, have publication numbers and be accessible in a library. Unpublished reports/verdicts are not evaluated for research points, but may be evaluated under category D4. The following must be specified: Title of report, year of publication, institute, number of pages, publication number or number in series and name(s) of author(s).

A8.2 Reviews.

A photocopy of the review and a photocopy of the journal's title page and table of contents must be submitted. It is not sufficient to submit a manuscript or proof.
The following must be specified: Title of article, title of the book/material being reviewed and its author, title of the journal, year of publication and number, publisher, number of pages in the journal and names of authors.

A8.3 Translations.

One copy of the work must be enclosed. It is not sufficient to submit a manuscript or proof. In the case of a translation of an article or book chapter, it must be stated where this was published.
The following must be specified: Title, name of original author, date of publication for the translation, publisher of the translation, number of pages, name of translator.

A8.4 Patent.

Confirmation of publication must be submitted. The role of the staff member in question must be detailed in the submitted material.
The following must be specified: Title, year of publication, number of pages, name of author and other details as applicable.

A8.5 Innovation and links with industry and society.

Confirmation of publication must be enclosed, along with one copy of the work if applicable. The role of the staff member in question must be detailed in the submitted material.
The following must be specified: Title, year of publication, number of pages, name of author and other details as applicable.

See also evaluation of innovation and connections with industry and society in the service section, D5-D7.

A9. Citations

The Division of Science and Innovation shall gather information on citations from ISI databases. A search for citations is always performed in an initial evaluation, but following this it is possible to request a new count in the annual evaluation. Citations do not affect payments from the Productivity Evaluation Fund.

A10 Grants

A10 Grants from competitive funds.
Grants from research funds. A letter of confirmation for the grant must be submitted

D – Service

D1. Organisation of international academic conference

The conference programme must be submitted. The name of the conference must be stated, along with information on who held the conference (not abbreviated) and where and when it was held.

D2. Evaluation work within public sector

One example of evaluation work in the public sector is a report for a court of law. In order to be evaluated in this category, the work must not result in publication.

D3. Member of committee or board

The name of the committee/board and length of service must be stated. Confirmation of the work must be enclosed with the application.

D4. Advisory verdicts and reports

Unpublished but accessible reports, e.g. reports compiled for a certain institution which can be accessed at that institution. The name of the institution must be stated. A copy of the report/verdict must be submitted. If a report is compiled for a certain institution, the name of this institution must be stated.

D5. Software

Confirmation of publication must be enclosed, along with one copy of the work if applicable. The role of the staff member in question must be detailed in the submitted material.
The following must be specified: Name of the author, title, year of publication, publisher, and other information as appropriate.

D6. Educational material for the public

Various educational material for the public may be evaluated in this category, e.g. articles in general

magazines and public lectures.

Confirmation of the presentation/publication must be enclosed with the application. The contribution must relate to the staff member's academic field.

D7. Start-up company

Confirmation of involvement must be submitted. The role of the staff member in question must be detailed in the submitted material.

D8. Grants from sources other than competitive funds

A letter of confirmation for the grant must be submitted

Statement on the University Council Science Committee's review of the Evaluation System for research and service

1. INTRODUCTION AND BASIS

The Evaluation System in its current form, with annual performance reports and evaluations, was established at the University of Iceland in 1998. The system was reviewed in 2002. The Evaluation System assesses four components in the work of university academic staff: research, teaching, service and administration. Of these, research is by far the most extensive. People have generally been satisfied with the existence of the Evaluation System, but various features of its implementation, particularly the evaluation of research, have drawn criticism. Examples include the evaluation of ISI articles and articles in highly respected journals, jointly authored articles, books, articles in Icelandic journals, articles in conference publications etc. It is clear that the Evaluation System enables the University to influence the work and performance of its staff; this is frequently mentioned in the Strategy for the University of Iceland 2006-2011, which dictates the Science Committee's review.

The University of Iceland aims to become a leading international research university. The ranking of universities is based on internationally recognised criteria. These include:

- Publications in ISI journals
- Number of articles in Nature and Science
- Scientific awards presented to teaching staff and students
- The impact of research results
- Number of international students
- Number of international members of teaching staff
- Reviews of universities by respected academics
- Student-teacher ratio
- Student outcomes after graduation

All over the world, these criteria are used to evaluate the performance of universities (cf. e.g. http://ed.sjtu.edu.cn/rank/2007/ranking2007.htm and http://www.timeshighereducation.co.uk/). The results affect universities' competitiveness and reputation and have a significant impact on funding, the ability of universities to attract the best students and teaching staff, and therefore their ability to lay a solid foundation for the creation, preservation and communication of knowledge. Research is generally the most important part of the evaluation of universities. However, the other main components in the work of university teaching staff are no less important, i.e. teaching, service and administration. The proposals submitted here address only two components, research and service.

Evaluating research

Before going any further, it is worth explaining how research can be defined. Of course, there is no universal formula for such a definition, but the proposal presented here is based on the idea that research involves the creation of new knowledge and new understanding. The Icelandic word 'rannsókn(ir)' has a broader definition than the concepts it is often used to translate, e.g. the English words 'research' and 'investigation'. The following is the definition of research for an evaluation of British universities:

'Research' for the purpose of the RAE is to be understood as original investigation undertaken in order to gain knowledge and understanding. It includes work of direct relevance to the needs of commerce and industry, as well as to the public and voluntary sectors; scholarship*; the

invention and generation of ideas, images, performances and artefacts including design, where these lead to new or substantially improved insights; and the use of existing knowledge in experimental development to produce new or substantially improved materials, devices, products and processes, including design and construction. It excludes routine testing and analysis of materials, components and processes, e.g. for the maintenance of national standards, as distinct from the development of new analytical techniques. It also excludes the development of teaching materials that do not embody original research. See http://www.hero.ac.uk.[6]

The first principal objective of the Strategy for the University of Iceland 2006-2011 addresses outstanding research: The University of Iceland intends to promote high quality research which meets international criteria, in diverse fields of scholarship and science. This will require a significant expansion of doctoral studies and higher levels of collaboration with other universities, research institutes and industry. Under this principle objective are 7 sub-objectives:

1. Quintuple the annual number of graduated doctors
2. Increase research activity and quality of research – increase number of articles published in respected international peer-reviewed journals
3. Increase collaboration with leading universities and university faculties outside Iceland
4. Seek more funding from competitive research funds
5. Significantly improve facilities for research and teaching and increase access to online journals and databases
6. Increase interdisciplinary research
7. Promote innovation and links with research institutes, industry and regions beyond the capital area

The work of the Science Committee in reviewing the evaluation system for research takes into account the following points in the Strategy of the University of Iceland 2006-2011 pertaining to the second, fourth and sixth of the aforementioned objectives. Under the seventh sub-objective was a discussion of proposals regarding evaluation of service.

From the second sub-objective: "Number of articles published in respected international peer-reviewed ISI journals to increase by 100% by the end of 2011. To this end, the evaluation system for research is to be revised to give greater weight to such publications. Special recognition will be given for articles published in the world's leading journals in each field, such as Nature and Science. Special recognition will also be given for books published by the most respected international publishing houses. Changes are to take effect in 2007. Rules on special evaluation and re-evaluation of publications will remain in effect.

Evaluation of publications will emphasise the leading role of the University of Iceland in Icelandic culture and society, and researchers are therefore encouraged to publish in respected peer-reviewed Icelandic journals and books."

From the fourth sub-objective: Applications to competitive funds to be encouraged by taking grants into consideration in the University's Evaluation System. Changes are to take effect in 2007."

From the sixth sub-objective: "In the review of the University's Evaluation System by the end of 2007, jointly authored articles are to be given more weight. Primary authors to be awarded more research points than co-authors."

It is important to try to evaluate the quality of research, not simply the quantity. However, this is

[6] * Scholarship for the RAE is defined as the creation, development and maintenance of the intellectual infrastructure of subjects and disciplines, in forms such as dictionaries, scholarly editions, catalogues and contributions to major research databases.

easier said than done and some kind of tally is necessary in order to produce usable data. All over the world, a so called *bibliometria* is used in evaluating the productivity and research success of individuals and institutions. This is generally based on international, recognised journal databases. This method has the advantage of simplicity and producing numerical data. However, the method also has various drawbacks. For example, it does not take into account the different publication conventions in different academic field or publications in books and journals not included in the databases. There is also a risk of various registration errors and it is debatable whether the inclusion of journals on international lists (such as ISI, http://scientific.thomson.com/isi/) is necessarily a satisfactory metric for quality.
Methods have also been developed to calculate other metrics, e.g. the so called H-index,[7] which evaluates the impact of research, and the so called M-quotient,[8] which indicates the development of the research career of the academic in question.

The University of Iceland Evaluation System includes a defined points system which weights publications according to publication outlet. The key principle here is that publication outlet reflects quality. A detailed analysis of this points system was a significant part of the review.

Evaluating service

An important part of a university's role is communicating knowledge to society. This often involves highly specialised work and consultation based on extensive experience, data acquisition and research, although it may not entail the creation of new knowledge in the spirit of the aforementioned definition of research. Evaluation of this work by teaching staff at the University of Iceland has been rather limited. The Strategy for the University of Iceland 2006-2011 emphasises that improvements will be made on this count. The seventh sub-objective discusses '[promoting] innovation and links with research institutes, industry and regions beyond the capital area". This includes the following:

- The University is to build up a collaborative network for research and innovation with key parties in industry.
- Increased technical transfer of research results, e.g. through establishing more start-up companies in connection with the University and applying for more patents.
- University Science Committee to make proposals by the end of 2007 on how research and consultation work in the interests of industry and society should be assessed by the University's Evaluation System.

The Science Committee's review took these points into account. The vital role the University plays in communicating knowledge to the general public was also considered. This work is key to the high levels of trust that surveys show the public has in the University of Iceland.

2. REVIEW OF THE EVALUATION SYSTEM

The Science Committee based its review of the Evaluation System on the objectives of the Strategy for the University of Iceland 2006-2011. The Committee also received letters from various parties within the University and countless suggestions via email and through conversations.

[7] Hirsch, J. E. *Proc. Natl Acad. Sci. USA* 102, 16529 (2005). The H-index is calculated based on the number of published articles and the number of citations in each article.

[8] Hirsch, J. E. *Proc. Natl Acad. Sci. USA* 102, 16529 (2005). The M-quotient is a calculated slope for published articles over a certain period.

There is much debate all over the world over how best to evaluate research. The Science Committee specifically set about to familiarise itself with this debate as it appeared in published articles, reports and websites.

The Evaluation System was discussed at 36 meetings in which Committee members exchanged views and eventually reached a unanimous conclusion. Between meetings, individual Committee members gathered data and consulted school review panels and other parties, within and outside the University. Division of Science and Innovation staff gathered data on the results of the Evaluation System in previous years, the division of research points, journal working procedures, number of citations, etc. A specific, organised search for data on Icelandic journals and their peer review practices was conducted. Furthermore, Division of Science and Innovation handled the final drafts and implementation of proposals according to their aims.

The most significant changes and the reasoning behind them

The Science Committee's proposed changes to the Evaluation System for research and service take into account the Strategy for the University of Iceland and the points therein regarding the following topics:

- encouraging publication in respected international peer-reviewed ISI journals (second sub-objective),
- publications in respected peer-reviewed Icelandic journals and books (second sub-objective),
- the weighting of jointly authored articles and points awarded to primary authors (sixth sub-objective),
- more applications to competitive funds (fourth sub-objective) and
- encouraging innovation, patent applications and foundation of start-up companies (seventh sub-objective).

One drawback of the current Evaluation System for research is that it does not take sufficient account of the quality of the publication outlet. The reward for an important publication is therefore relatively small, particularly in the case of jointly authored works. It has also been pointed out that evaluation of books has not been properly in accordance with quality. The proposals are focused on correcting this imbalance. Categorisation according to publication outlet was maintained, but the evaluation of each category was carefully reviewed with emphasis on quality requirements, peer review and rejection rates. Circulation and access were also considered. Special care was taken to ensure that different publication conventions in different fields were taken into account.

In accordance with the second sub-objective, the proposals assume increased weighting for ISI articles. The sections on books and book chapters have also been worked out in much greater detail with quality in mind. Proposals for changing the evaluation of publications in Icelandic journals are based on a survey of peer review practices. Significant changes are proposed to the evaluation of jointly authored works. It is suggested that the primary author shall receive all available points and that it be possible for there to be two primary authors, with the encouragement of international collaboration and interdisciplinary research in mind (third and sixth sub-objectives). It is also suggested that co-authors receive points in accordance with a calculation formula based on dividing by the square root of the number of authors. Division by the square root means that jointly authored articles are evaluated more accurately than before, as stipulated by the University Strategy. Therefore, the primary author of a 20-author article in, e.g., Science, would receive 25

points in accordance with this proposal. The co-authors would each receive 5.6 points. Under the old system, each author would have received 0.75 points.

A new category was added for the securing of grants from competitive funds, in the hope of encouraging staff to apply for funding from outside the University. The section on service has been expanded and made more detailed. Various points pertaining to innovation and industry are included in both sections (on research and service). One important example is start-up companies which are not evaluated by the current Evaluation System.

A. Research

A1. Theses

The awarding of points for Master's theses is discontinued. These theses vary considerably in terms of scope and content and do not involve independent scientific work. The awarding of points for doctoral theses is as before.

A2. Books and A3. Book chapters

The maximum number of points awarded is dramatically increased. Sub-categories are defined in more detail with regards to quality.

A4. Journal articles

The number of points for articles in ISI journals is increased and the best journals are weighted more heavily than others. Icelandic journals have been categorised on the basis of a detailed survey on their peer review practices. Therefore, a number of outstanding journals are weighted more heavily than others. Publications in journals which are not peer reviewed are not eligible for research points.

A5. Articles in conference publications

In this sub-category, special consideration will be given to the fact that articles in outstanding conference publications are common and a recognised form of publication in several academic fields.

A6. Lectures and posters

A provision is added limiting the number of lectures or posters that can be evaluated from a single conference.

A7. Academic editorial work

Only the editor receives points.

A8. Other

This section addresses things that can also be found in the service section, i.e. reports, software and start-up companies. In order to be evaluated in this category, the work must contribute to new knowledge. Special attention is given to patents.

A9. Citations

Largely unchanged.

A10. Grants

A new category for awarding points for securing grants from competitive funds.

D. Service

D1. Organisation of international academic conference
Unchanged

D2. Evaluation work within public sector New
category.

D3. Member of committee or board

Unchanged, but clarification given that this category applies to committees/boards outside the University of Iceland.

D4. Advisory verdicts and reports

This category is for advisory verdicts and reports involving the application of academic knowledge, but which do not come under the definition of research.

D5. Software

This category addresses the creation of practical software.

D6. Educational material and communication of information to the public
Unchanged, but explained more precisely.

D7. Start-up company
New category.

D8. Grants from sources other than competitive funds

New category. Awarding of points corresponds to proposals for competitive funds in the research section.

It is suggested that the evaluation of membership of a doctoral committee and the work of opponents at a doctoral defence be moved to the teaching section and the evaluation of membership or chairing of an evaluation committee or selection committee be moved to the administration section.

3. TO CONCLUDE

The University of Iceland has set its aims high. In order for these objectives to be attained, it is vital that quality is always at the forefront. The University of Iceland must come out favourably when its work is evaluated using international criteria. This was a guiding principle in the review of the Evaluation System for research and service presented here. The Evaluation System is used to evaluate the work of individuals and it is therefore important that rewards relate to that which is considered desirable. Significant contributions to science and knowledge from the staff of the University of Iceland are key to the success of the University within the international academic community.

	1. Publication of previously unpublished results.	2. Editor and editorial team have postgrad. education in the field.	3. Preliminary review by editor or academic editorial team – accepted/rejected.	4. Submitted articles never published without undergoing anonymous peer review from two or more specialists in the field.	5. Comments from peer reviewers are substantive.	6. Peer-reviewed articles specifically identified in journals which also publish non-peer-reviewed material.	7. Rejection rate at least 15% of submitted articles over last three years.	8. Regular, scheduled publication frequency. Based on last five years.	9. Abstract in Icelandic.	10. Abstract in English.	11. Descriptive journal title.	12. Descriptive article titles.	13. Satisfactory bibliographical information for all citations.	14. Satisfactory indication of authors' addresses.	15. At least 10% of authors of peer-reviewed articles from outside UI.	16. Domestic subscriptions	17. International subscriptions.	18. Online access.	19. Inclusion in international databases.	Rules on peer review.	Membership subscription.	Proposed points.
Archaeologica Islandia																60	35					5
Árbók VFÍ						No	.									2000	200				Members of Association of	5
Bliki																480	70					5
Gripla																24	50					15
Hugur																320	30					5
Icel. Agricultural Sciences																144	167					5
Íslenskt mál og almenn málfræði																300	100				Members of Linguistics Soc. and	15
Landabréfið																203	3					5
Læknablaðið																1400	50				Yes	5
Náttúrufræðingurinn																1159	32				Members of Icel. Institute of	5
Netla							No	No							(IUE)	No info					Online journals	5
Orð og tunga																168	6				Yes	10
Raust																Libraries						5
*Ritið																345	9					10
Saga																700	100				Historical Soc. of Iceland, and	10
Sálfræðiritið																423	0				Icel. Psych. Association	5
**Skírnir																850	120					15
Stjórnmál og stjórnsýsla																					Online journals	10
Tímarit félagsráðgjafa							No	.		No info											Icel. Association of Social	5
Uppeldi og menntun															(IUE)	440	0					10
Ulfljótur							No	.								300	?					5

* Provision that abstracts included with articles

** Provision that abstracts included with articles and peer-reviewed articles distinct from other

Requirements Requirements not met

9. If article in Icelandic / English

9. If article in Icelandic/English

Partially / in progress

Statement on the review of Icelandic journals

In evaluating Icelandic journals, the Science Committee emphasised that working practices at the journal be in keeping with international practice. To this end, consideration was given to the requirements used by *Thomson Scientific* for registering international academic journals in special databases, so called ISI journals.[9] The requirements address factors such as peer review, whether an abstract in English is included, publication frequency and circulation of the journal, as well as the article rejection rate. The Science Committee divided these requirements, 19 in total, into 'essential' and 'desirable' categories.

The Committee proposes the establishment of three points grades.

- Fifteen points will be awarded for articles published in outstanding journals that meet the first 17 requirements (see attached file), and which are in a field for which Icelandic journals are the primary publication outlets, e.g. Icelandic studies. Such journals must have international significance.
- Ten points will be awarded for articles published in journals that meet the first 15 requirements (see attached file).
- Five points will be awarded for articles published in journals that meet four essential requirements (see attached file).

A journal must have been in circulation for at least three years for articles published in it to be eligible for 10 or 15 points.

A survey based on the aforementioned requirements was submitted to the editorial teams of Icelandic academic journals. The editorial teams for a total of 21 journals answered the survey. In some cases, journals were very close to meeting requirements. This applied in particular to the identification of peer-reviewed material to distinguish it from other material, as well as abstracts in English and Icelandic. Low rejection rates were also rather common. Rejections rates serve as a yardstick with which to gauge a journal's quality assurance requirements and indicate how attractive it is as a publication outlet.

The survey revealed that several Icelandic journals have already adopted strict working procedures in order to ensure quality and circulation. The Science Committee urges the editorial teams of these journals to apply for inclusion in ISI databases and reminds them that one Icelandic journal (Jökull) is already listed.

Notes on the peer review of journals

Peer review in accordance with strict requirements (10 and 15 points).

Essential requirements:

1. Publication of previously unpublished results.
2. Editor and editorial team have postgraduate education in the field.
3. The article is subject to preliminary review by the editor or academic editorial staff – accepted/rejected.
4. Rules on peer review. Submitted articles never published without undergoing anonymous peer review from two or more specialists in the field.

[9] http://scientific.thomson.com/free/essays/selectionofmaterial/journalselection/

5. Comments from peer reviewers are substantive.
6. Peer-reviewed articles specifically identified in journals which also publish non-peer-reviewed material.
7. Rejection rate at least 15% of submitted articles over last three years, based on articles sent for peer review.
8. Regular, scheduled publication frequency. Based on last five years.
9. Abstract in Icelandic.
10. Abstract in English.
11. Descriptive journal title.
12. Descriptive article titles.
13. Satisfactory bibliographical information for all citations.
14. Satisfactory indication of authors' addresses.
15. At least 10% of authors of peer-reviewed articles from outside UI.

Desirable requirements:

16. Domestic subscriptions
17. International subscriptions.
18. Online access.
19. Inclusion in international databases.

Peer review by the editor / editorial team (5 points).

Essential requirements:

1. Publication of previously unpublished results.
2. Editor and editorial team have postgraduate education in the field.
5. Comments from the editor and editorial team are substantive.
6. Peer-reviewed articles specifically identified in journals which also publish non-peer-reviewed material.

Appendix V: Report from the SC on the verdict of the committee for the performance evaluation of professors, 18 December 2009

In January 2007, the Official Remuneration Council, operating in accordance with Act no. 47/2006, ruled that it would not be responsible for decisions on the salaries and working conditions of professors. Following this, the Ministry of Finance temporarily entrusted the oversight of performance reviews for state university professors to the University of Iceland Division of Science and Innovation, along with calculation of royalties and promotion between salary brackets. This decision was confirmed by an agreement between the State University Professors' Union and the Minister of Finance on 26 September 2008. This agreement also involved the appointment of a committee tasked with implementing the future working procedure for evaluating the performance of professors. This committee comprised representatives of the parties to the agreement (Ministry of Finance and Professors' Union) and four other members: one nominated by the University of Iceland, one representative of the other public universities, one representative of the Ministry of Education, Science and Culture and one un-nominated member to act as referee. This committee came to an agreement on the organisation of performance reviews for academic staff at state universities on 6 November 2009.

This agreement established the **Science Committee for Public Higher Education Institutions**, which is intended to develop the Evaluation System in consultation with the Professors' Union and other affected unions. The Science Committee for Public Higher Education Institutions comprises four representatives of the University of Iceland: Professor Ástráður Eysteinsson, research scientist Gunnlaugur Björnsson, Professor Helga Ögmundsdóttir and Professor Sigrún Aðalbjarnardóttir, as well as one representative of the other public universities, Professor Áslaug Helgadóttir.

In accordance with the agreement, the Science Committee for Public Higher Education Institutions shall submit proposals regarding amendments to the Evaluation System to the **Evaluation System Committee**, which shall approve the system on behalf of the parties to the agreement. The Evaluation System Committee comprises four members: one from the Ministry of Finance, specialist Sverrir Jónsson; one from the Ministry of Education, Science and Culture, specialist Eiríkur Smári Sigurðsson; one from the University of Iceland, pro-rector Jón Atli Benediktsson; and one from the other public universities, rector Stefán B. Sigurðsson.

The proposal for a reviewed Evaluation System, which the University Council Science Committee had been working on for a long time, was discussed at the University of Iceland University Forum on 15 May 2009. A report was also presented on comments regarding the proposal submitted from the University of Iceland's schools and faculties, the teachers' unions and the University of Akureyri. Following an in depth discussion, the University Forum agreed to assign the Rector and school deans with the task of concluding the matter on the basis of the Science Committee's proposal and the submitted comments. The review of the system was to be concluded before the end of 2009. On 5 November 2009, the University of Iceland University Council approved the reviewed proposal for amendments to the Evaluation System.

The Science Committee for Public Higher Education Institutions has received the proposal from the University of Iceland University Council. In light of the limited time available, the committee has decided to make no substantial changes to the proposal as it stands; the committee believes that to a certain extent, the proposal is an improvement on the current Evaluation System. The committee is aware that opinions are divided amongst university staff on this proposal; the same is true of the committee members. A substantive review of the rules will commence next year and the committee will seek input from all affected parties. It will also examine in particular how the Evaluation System performs in comparison to its current form. In reviewing the rules, the committee will mainly focus on quality, keeping international criteria in mind.

It will be clear that the rules apply to performance evaluations for academic staff at four public higher education institutions: the University of Iceland, the University of Akureyri, the Agricultural University of Iceland and Hólar University College.

The Science Committee for Public Higher Education Institutions emphasises that provisions on special evaluations should be more effective than they currently are and implemented in a reciprocal manner. Such peer review shall be conducted by recognised specialists external to the conventional evaluation committees for performance reviews.

Reykjavík, 18 December 2009

_____	_____
Áslaug Helgadóttir	Gunnlaugur Björnsson
_____	_____
Ástráður Eysteinsson	Helga M. Ögmundsdóttir

_____
Sigrún Aðalbjarnardóttir

Appendix VI: Evaluation framework for public universities 2009

Matskerfi opinberra háskóla 2009		
A- Rannsóknir		
A1.1	Kandidats- eða meistararitgerð	15 stig
A1.2	Doktorsritgerð	30 stig
***A2.1**	**Ritrýnd útgáfa hjá virtustu vísindaforlögum heims**	**allt að 100 stig**
***A2.2**	**Alþjóðleg ritrýnd útgáfa og innlend ritrýnd útgáfa með alþjóðlega skírskotun**	**allt að 75 stig**
***A2.3**	**Íslensk eða erlend ritrýnd útgáfa sem einkum miðast við staðbundið fræðasamfélag**	**allt að 50 stig**
A2.4	Aðrar bækur	allt að 25 stig
A2.5	Endurútgáfur	allt að 10 stig
***A3.1**	**Bókarkaflar: Ritrýnd útgáfa hjá virtustu vísindaforlögum heims**	**20 stig**
***A3.2**	**Bókarkaflar: Alþjóðleg ritrýnd útgáfa og innlend ritrýnd útgáfa með alþjóðlega skírskotun**	**15 stig**
***A3.3**	**Bókarkaflar: Íslensk eða erlend ritrýnd útgáfa sem einkum miðast við staðbundið fræðasamfélag**	**10 stig**
A3.4	Bókarkaflar: Kaflar í öðrum bókum	0-5 stig
***A4.1**	**Grein birt í ISI-tímariti með háan áhrifastuðul og í tímariti sem raðast í A-flokk skv. ERIH**	**20 stig**
***A4.2**	**Aðrar greinar í ISI tímaritum, greinar í B-flokki skv. ERIH eða greinar sem fá 1. einkunn í könnun fyrir tímarit**	**15 stig**
***A4.3**	**Greinar tímaritum í C- flokki í ERIH og greinar sem fá 2. einkunn í könnun fyrir tímarit**	**10 stig**
A4.4	Greinar birtar í tímaritum sem fá 3. einkunn í könnun fyrir tímarit	5 stig
***#A5.1**	**Grein birt í ráðstefnuriti í úrvalsflokki**	**10 stig**
A5.2	Grein í öðru ráðstefnuriti	3-5 stig
A6.1	Plenum-fyrirlestur eða inngangsfyrirlestur á alþjóðlegri vísindaráðstefnu	5 stig
A6.2	Opinber boðsfyrirlestur við erlendan háskóla	3 stig
A6.3	Erindi á alþjóðlegri ráðstefnu	3 stig
A6.4	Erindi á innlendri ráðstefnu	2 stig
A6.5	Erindi á fræðilegu málþingi, málstofu eða fundi fyrir faghópa	1 stig
A6.6	Veggspjald á alþjóðlegri ráðstefnu	2 stig
A6.7	Veggspjald á innlendri ráðstefnu	1 stig
A7.1	Ritstjóri vísindatímarits	3-6 stig /hefti
A7.2	Ritstjóri bókar	5-20 stig
A8.1	Skýrslur	0-3 stig
A8.2	Ritdómar	1-3 stig
A8.3	Þýðingar á fræðilegum greinum, bókarköflum og öðrum stuttum ritverkum	0-5 stig
A8.4	Þýðingar á fræðibókum	10-25 stig
A9.1	Námefnisgerð	0-10 stig
A10.1	Sprotafyrirtæki, hönnun, nýsköpun og þekkingaryfirfærsla	0-20 stig
A10.2	Hugbúnaður	0-20 stig
A10.3	Sálfræðipróf	0-5 stig

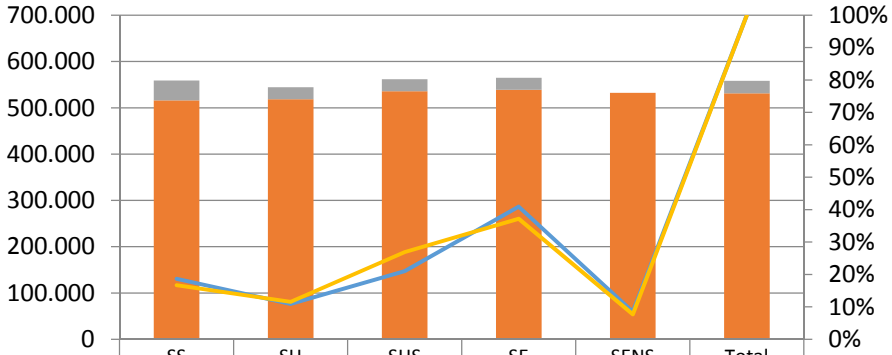
A10.4	Lagafrumvörp	2 stig
***A10.5**	**Einkaleyfi**	**10-15 stig**
A10.6	Þróunarstarf í skólum og öðrum stofnunum	0-10 stig
A10.7	Nýsköpun í listum	0-40 stig
A10.7.1	Stór einkasýning í viðurkenndu listasafni samþykkt af listráði	10-30 stig
A10.7.2	Einkasýning eða þátttaka í samsýningu í viðurkenndu listasafni eða á alþjóðlegum lista- og menningarhátíðum	0-15 stig
A10.7.3	Viðamikil frumsamin tónsmíð eða leikverk sem flutt er opinberlega af viðurkenndum listamönnum	10-30 stig
A10.7.4	Frumsamin tónsmíð eða leikverk sem flutt er opinberlega af viðurkenndum listamönnum	0-10 stig
A10.7.5	Tónlistarflutningur/leiktúlkun á alþjóðlegum lista- og menningarhátíðum, á opinberum áskriftartónleikum eða í viðurkenndu leikhúsi	0-15 stig
A10.7.6	Tónleikahald eða viðamikil leiktúlkun	0-10 stig
A10.7.7	Útgefnar hljóðritanir	0-10 stig
A10.7.8	Bókmenntatextar	0-10 stig
A10.7.9	Bókarverk	10-40 stig
A10.7.10	Þýðingar á bókarköflum og öðrum stuttum ritverkum sem hafa listrænt gildi	0-5 stig
A10.7.11	Þýðingar á bókum sem hafa listrænt gildi	10-25 stig
A10.7.12	Hönnunarverk, sýningarstjórn eða leikstjórn	0-10 stig
A11	Tilvitnanir	
A12	Styrkir úr samkeppnissjóðum	0-20 stig/ári
B-Kennsla		
B1.1	Aðjunkt, lektor, dósent eða prófessor, fullt starf	10 stig/ári
B1.2	Stundakennari sem hefur umsjón með námskeiðum	2 stig/ári
B1.3	Kennslutækninámskeið	0-2 stig
B2.1	Smárit eða kennsluefni á vefnum	0-3 stig
B2.2	Kennslurit, kennslubækur	5-60 stig
B3.1	Leiðbeining við meistaraverkefni	2-4 stig
B3.2	Leiðbeining við doktorsverkefni	10 stig
B3.3	Seta í doktorsnefnd	3 stig
B3.4	Andmælandi við doktorsvörn	3 stig
B4	Nýsköpun í kennslu	2-10 stig
C-Stjórnun		
C1	Formaður námsbrautar	5-10/ári
C2	Formaður í starfsnefnd háskólaráðs og fastadómnefnd fræðasviðs	10 stig/ári
C3	Formaður í helstu starfnefndum fræðasviða	5 stig/ári
C4	Forstöðumaður rannsóknastofnunar	5-15 stig/ári
C5	Deildarforseti/deildarformaður	25-50 stig/ári
C6	Fræðasviðsforseti	75 stig/ári
C7	Rektor	100 stig/ári
C8	Aðstoðarrektor	50 stig/ári

C9	Seta í háskólaráði	5 stig/ári
C10	Seta í nefnd á vegum háskólaráðs eða rektors	2 stig/ári
C11	Formaður í nefnd á vegum háskólaráðs eða rektors	3 stig/ári
C12	Seta í dómnefnd um störf við háskóla	2 stig
D-Þjónusta		
D1	Skipulagning alþjóðlegrar vísindaráðstefnu	2-10 stig
D2	Opinber matsstörf	0-2 stig
D3	Seta í nefndum eða stjórnum	0-2 stig
D4	Álitsgerðir og skýrslur	0-5 stig
D5	Hugbúnaður	0-10 stig
D6	Fræðsluefni fyrir almenning	0-20 stig
D7	Sprotafyrirtæki	0-50 stig
D8	Styrkir frá öðrum en samkeppnissjóðum	0-20 stig
E	**Fyrri störf (vegna grunnmats)**	**10 stig/ári**
F	**Almennt**	

*Aflstig
#Aðallega í verkfræði

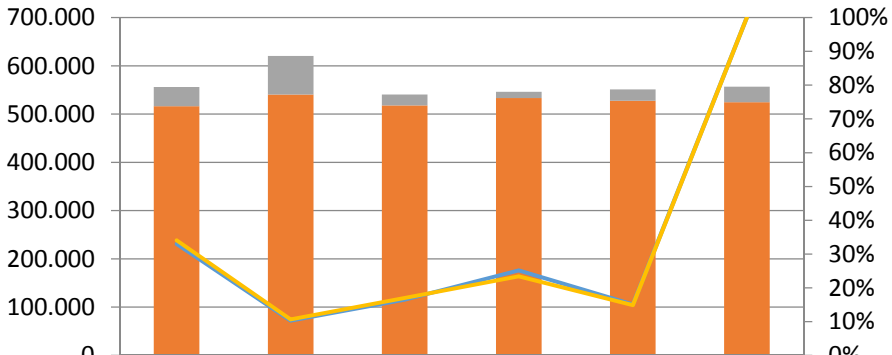
Appendix VII: Average salaries and payments from productivity evaluation funds according to employee's sex, professional title and structural unit

Women - lecturers (50%+), base salary and productivity evaluation per month, 2015



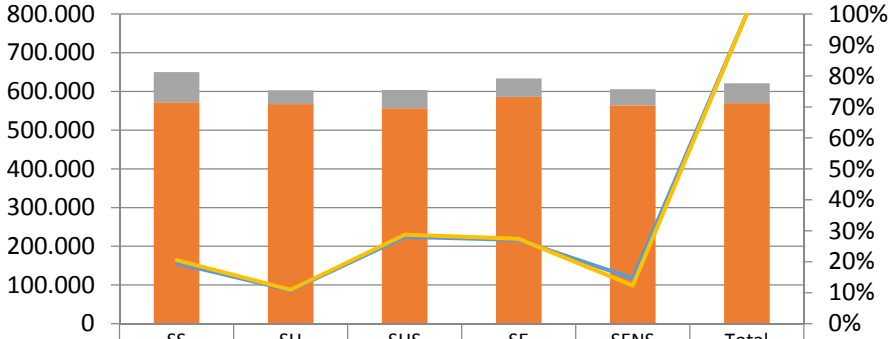
	SS	SH	SHS	SE	SENS	Total
Productivity eval. per month	42.734	26.036	26.220	26.037	0	26.974
Average monthly base salary	516.124	518.558	535.651	538.887	532.294	531.182
FTE %	19%	11%	21%	41%	09%	100%
Number %	17%	12%	27%	37%	08%	100%

Men - lecturers (50%+), base salary and productivity evaluation per month, 2015



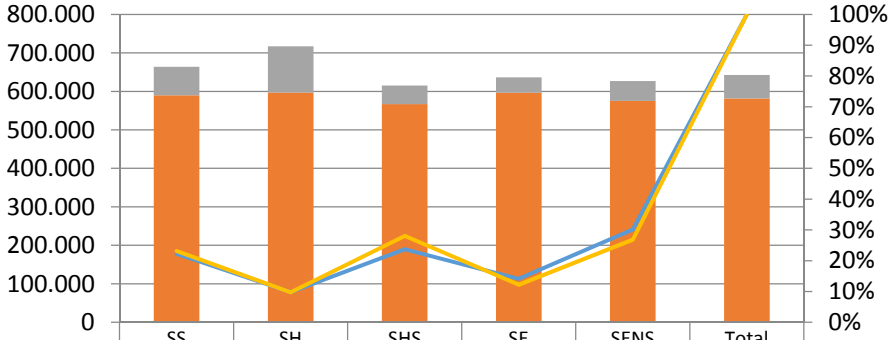
	SS	SH	SHS	SE	SENS	Total
Productivity eval. per month	39.905	80.098	22.440	13.087	23.661	31.964
Average monthly base salary	516.248	540.465	518.028	533.223	527.682	524.703
FTE %	33%	10%	16%	25%	15%	100%
Number %	34%	11%	17%	23%	15%	100%

Women - senior lecturers (50%+), base salary and productivity evaluation per month, 2015



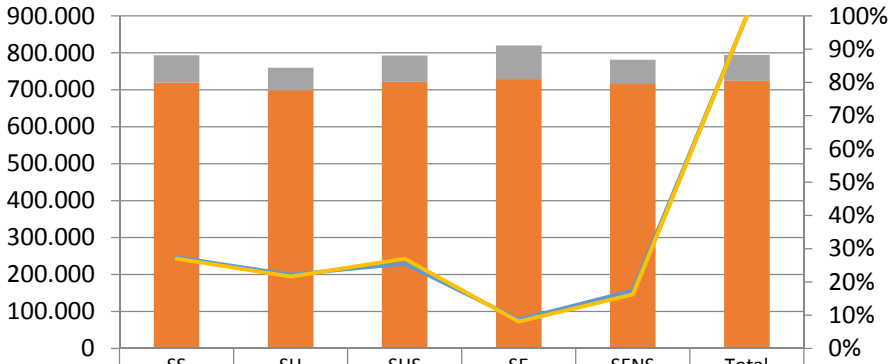
	SS	SH	SHS	SE	SENS	Total
Productivity eval. per month	78.040	35.726	46.806	47.669	41.678	51.200
Average monthly base salary	572.069	567.147	556.792	585.914	563.936	569.816
FTE %	20%	11%	28%	27%	15%	100%
Number %	21%	11%	29%	27%	12%	100%

Men - senior lecturers (50%+), base salary and productivity evaluation per month, 2015



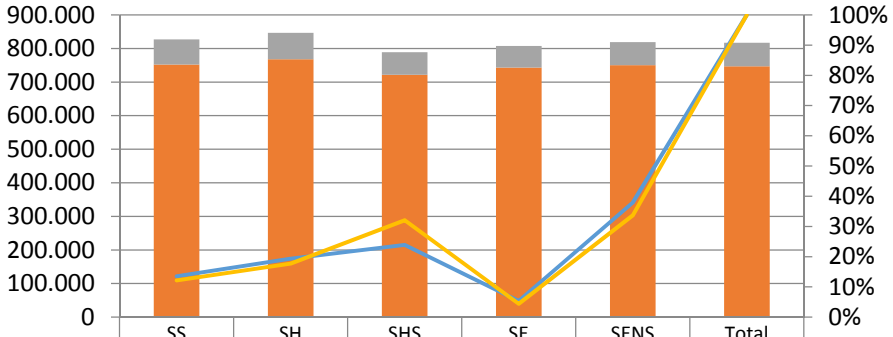
	SS	SH	SHS	SE	SENS	Total
Productivity eval. per month	74.186	120.370	48.315	40.127	51.854	61.014
Average monthly base salary	589.681	596.829	566.943	596.469	575.136	581.566
FTE %	22%	10%	24%	14%	30%	100%
Number %	23%	10%	28%	12%	27%	100%

Women - professors (50%+), base salary and productivity evaluation per month, 2015



	SS	SH	SHS	SE	SENS	Total
W&R Fund per month	73.937	60.559	70.993	91.228	65.998	70.364
Average monthly base salary	719.540	699.270	721.637	728.858	715.447	724.023
FTE %	27%	22%	25%	09%	17%	100%
Number %	27%	22%	27%	08%	16%	100%

Men - professors (50%+), base salary and productivity evaluation per month, 2015



	SS	SH	SHS	SE	SENS	Total
W&R Fund per month	74.645	78.739	66.978	64.404	68.751	70.473
Average monthly base salary	752.276	767.748	721.762	743.241	750.344	746.757
FTE %	13%	19%	24%	05%	38%	100%
Number %	12%	18%	32%	04%	34%	100%

Appendix VIII: Answers from school/faculty working groups and UUT and SUPU- abridged form

Answers from individual respondents to question 1:

Is evaluation of categories within the system fair and objective, or is there cause to change the number of points awarded for certain categories or kinds of work/publication?

School of Humanities (UI)

- The system must evaluate books – both monographs and collections of articles – fairly in comparison with journal articles.
- There should be no discrimination between languages, cf. evaluation of books and book chapters in A2.2 and A3.2. Icelandic books are seldom evaluated in these categories. This must be amended.
- Journals at the School of Humanities must be evaluated within ERIH PLUS.
- Academic editorial work and peer review must be evaluated fairly.
- The development of course material for universities is not evaluated within A9. This must be amended.
- The evaluation of development projects must be amended – such work often takes a long time and happens in stages.

School of Social Sciences (UI)

- To a certain extent, the system encourages high quantities of publications at the expense of quality – this has been fixed with changes to the rules, though.
- The system is predictable and transparent.
- Evaluation of results on publication of data – discourages long-term research and encourages piecemeal publication in outlets with lower impact factors.
- The system can discourage research that first and foremost serves the domestic academic community, even if this research has international significance – recognition of Icelandic academic books in A2.2. Discourages authors from researching conditions in Iceland.
- Web of Knowledge is not suitable for evaluating the quality of publications in the social sciences, since only a small proportion of journals in this field are included in the database.
- Editorial work in the humanities and social sciences is not rated highly enough.
- Teaching experience not given due consideration in decisions on promotion.
- The cap on points for lectures (and various service projects) should be based on the proportional number of advanced points in a certain number of years rather than a fixed number.
- Ensure consistency between fields in evaluation of services for the public. Should not be evaluated for advanced points, cf. evaluation of patents.

School of Health Sciences (UI)

- Measures quantity rather than quality.
    - Greater rewards for journals in domestic and/or low-impact journals and conference abstracts / lectures at the domestic level with few authors than for more significant works in outstanding journals involving interdisciplinary collaboration between a large number of researchers.

    - No distinction drawn between differing contributions from different authors of jointly authored articles.
- The system encourages people to publish.
- Does not sufficiently evaluate innovation and quality in teaching or the supervision of postgraduate students.
- Does not evaluate crucial continuing education and vocational training for teaching staff in clinical subjects.
- Proposed that there should be a special evaluation for academic staff involved in the organisation and implementation of teaching in clinical subjects – must meet legal requirements.
- Administrative work within faculties is underrated.

School of Education (UI)

- The weighting of evaluation between categories must be amended to make it fairer and more objective. ISI journals are not the primary outlets for communication and discourse in the educational sciences.
- Publications and projects pertaining to services to Icelandic society are underrated, e.g. various evaluation projects and reports.
- Need clearer evaluation of reviews.

School of Engineering and Natural Sciences (UI)

- The system is too much based on quantity rather than quality.
- Ranking of journals by weight must be reviewed.
- Number of points awarded is often unfathomable, e.g. books (0-100= and creating software (0-20).
- Participation in conferences is underrated (reduces incentive to form links beyond UI).
- Professional work and experience outside UI not given much weight.

School of Health Sciences (UA)

- Evaluation of categories of publications not always fair – Icelandic journals in narrow fields underrated.
- Published academic reports should perhaps be given more weight – current criteria unclear.
- Contributions to society are not rated highly (development of professional knowledge and user services).

School of Humanities and Social Sciences (UA)

- The system favours those who work in international and location non-specific research at the cost of specifically Icelandic research material.
- Difficult for new journals to be included.
- Development work is underrated, reports and social impact.
- The system does not address teaching. Administration duties and work on committees must not be deducted from either research or teaching.
- The evaluation of non-peer-reviewed work must be reviewed (currently outside Section A). Such work can be hugely influential and is often practical in nature – presented to politicians, the media etc.

School of Business and Science (UA)

- The Evaluation System is neither objective nor fair.
- Research in the natural sciences is time-consuming and expensive and often requires the collaboration of many researchers. The Evaluation System works against this. Results are often better suited to professional and lower-ranked journals, e.g. Icelandic journals.
- There must be more incentive to publish in Icelandic.
- The categorisation of journals into outstanding and ordinary is ill-considered and careless.
- Published academic reports and lectures at conferences must be given more weight. Do not draw a distinction between Icelandic and foreign.
- Work for the scientific community must be rated more highly.
- The creation of study material must be rated much more highly.

Department of Tourism Studies (HUC)

- Should depend to some extent on the strategies of the institution/school/faculty in question.
- More weight given to writing for the public and writing textbooks.

Department of Aquaculture and Fish Biology (HUC)

- The system is not transparent enough – unclear which category work comes under.

AUI

- More emphasis should be placed on public outreach work on the basis of staff's academic knowledge.

UUT

- The advanced points system should be reviewed and perhaps even discontinued. It works against certain points in the Strategy for UI, e.g. innovation in teaching and learning and social and global responsibility.

SUPU

- There should be clearer criteria for evaluating books (A2) and book chapters (A3). Book chapters generally have less impact than journal articles – this is not taken into consideration in the evaluation.
- The category for teaching material (A9.1) should be expanded and moved from Section A (since it does not involve the acquisition of new knowledge) to Section D.
- Innovation (A10), communication, transfer and application of knowledge and experience should all be moved to Section D. The arts and clinical training are in a special position, though, which must be taken into consideration.
- There is an urgent need to find a place for digital humanities in the system within Sections A and D.

Answers from individual respondents to question 2:

Is the evaluation of impact suitably weighted within the Evaluation System, or is there cause to expand the definition of 'impact'?

School of Humanities (UI)

- Citations in accordance with the ISI database are a very limited metric of the impact of research.
- A thorough dialogue must be initiated on what we mean by 'impact', including the impact research has on society, culture and economies.
- Impact often takes longer to become apparent in the humanities than in medical or natural sciences.

School of Social Sciences (UI)

- It would be helpful to be able to measure the impact of publications on the domestic level and in books.

School of Health Sciences (UI)

- Insufficient consideration is given to the impact of publications in the current system.
- The system encourages the publication of a larger number of smaller articles rather than articles with higher scope and impact.
- The best journals in each category should be worth many more points than they currently are, even as much as three or four times more points than the lowest-rated journals in each category.

School of Education (UI)

- Impact must be better defined and more consideration given to social impact and work in the field.
- Insufficient consideration is given to those who write in Icelandic.

School of Engineering and Natural Sciences (UI)

- Opinions are divided within the School on whether the evaluation of impact is suitable.
- Social impact is not rated highly enough.
- The metrics for impact are skewed and not suited for comparing different academic fields.
- Number of citations is a flawed metric of academic performance.

School of Health Sciences (UA)

- The definition of impact must be expanded.
- In particular, links between subjects and professions and discourse with society must be given greater weight.
- The work of academic staff in policy making decisions within society must be given greater weight.
- Greater consideration must be given to advances in the field or profession resulting from research.

- The definition of impact is too narrow: reduces variety and encourages homogeneity in publications.
- Impact is measured too much based on citations counted in Web of Science – tallies of how often other academics cite a particular scientific article.
- Citations are a flawed metric since in some academic fields it is conventional to use fewer citations where others use more.
- Common these days that scientific journals set limits on the number of sources that may be cited.
- More factors than just advanced points should be evaluated when awarding sabbaticals and promotions.

School of Humanities and Social Sciences (UA)

- Publications in Icelandic must be valued more highly – it is important that students learn to discuss their field in Icelandic.
- Public outreach work must be evaluated for points.
- The use of academic material in university teaching must be taken into consideration.
- The current Evaluation System is very favourable for the natural sciences, e.g. medicine, due to jointly authored publications, amongst other reasons.
- Work related to policy making decisions within society is not evaluated at all.
- More factors than just advanced points should be evaluated when awarding sabbaticals and promotions, e.g. points earned for lectures, reports and supervision of postgraduate students and even undergraduate students.

School of Business and Science (UA)

- There is far too much emphasis on advanced points in evaluating performance.
- The definition of 'impact' must be expanded to cover links between subjects and professions and encourage public debate in which academics engage with the public rather than simply other academics.
- Quantity is not necessarily the same thing as quality – pioneers in science are not necessarily those who follow the herd, are more popular or most cited.
- Universities should give researchers the academic freedom to pursue the research that will enable them to carve out a niche and excel in the long run.
- The current Evaluation System punishes researchers who want to forge new paths and take risks and instead favours 'points researchers', i.e. those who have learnt the system and know how to easily acquire research points.

Department of Tourism Studies (HUC)

- The number of citations in ISI journals is a skewed metric and is better suited to some disciplines than others.
- Too little emphasis is placed on the social role of universities and academics, e.g. with regards to participation in innovation and development projects (start-up companies, projects that encourage social development).

Department of Aquaculture and Fish Biology (HUC)

- The organisation of journals into 'good' and 'better' categories is unfair, since:

    - it is based on impact factor, which has been widely criticised as a metric of quality for journals, since a few articles can have a significant effect on the impact factor of individual journals;
    - it is rather unclear how categorisation takes place within individual academic fields and which journals are in the higher and lower category.
- It would be better to measure quality by placing greater emphasis on the impact of each individual article, with regards to citations.

AUI

- The definition of impact should be expanded to include not only the impact that the work in question will (potentially) have on other academics, but also impact elsewhere in society (public administration, professional groups, general public, politicians, etc.).
- Participation in public discourse must be rewarded, e.g. with more points for lectures given to professional groups and educational meetings for the general public.
- Evaluation of impact is a seriously flawed metric, e.g. journals in the health sciences have much higher impact factors than those in agricultural science. This says nothing about how important the research is.
- The writing of textbooks should be given more weight.

UUT

- It would be reasonable to treat research points for citations the same as other research points, i.e. they should be eligible for payments.
- Efficient systems must be developed for counting citations and the publication of journals in Icelandic outlets, as well as increasing the number of journals available online.

SUPU

- The number of sub-categories for peer-reviewed journals must be increased such that journals with higher impact factors will be worth more than they currently are within the Evaluation System.
- Points for citations should be treated the same as other research points. Consideration must be taken of differing numbers of citations in different subjects and fields and the relative position of each academic within their subject/field must be evaluated for points.

Answers from individual respondents to question 3:

Division of points for jointly authored material. Does the Evaluation System take into sufficient account differing contributions to articles/publications from different authors?

School of Social Sciences (UI)

- The basis for the system is unclear but the School of Social Sciences believes that the rule involves discrimination since it gives more overall points for an article with many authors, which disadvantages those fields in which articles generally have fewer authors.

- If the aim of the rule is to increase collaboration at the same time as the quality of research, it would be better to award more points for high quality articles.

School of Humanities (UI)

- The School of Humanities has no comments to make about the current rule for the division of points.
- However, the School of Humanities will not be able to accept a system for the evaluation of jointly authored articles which creates an easy way for researchers at UI to receive points and would like to point out that an increasing number of articles have extremely high numbers of authors (even over 1000).

School of Health Sciences (UI)

- Believes that the current Evaluation System does not take into sufficient account differing contributions to articles/publications from different authors. Suggest that the primary author (first author) and corresponding author (often the last author) receive twice as many points as co-authors. This opinion was not unanimous, however, and it was pointed out that inequality between authors could discourage interdisciplinary collaboration and cause tension between researchers involved in such collaboration. It was also suggested that this could result in students not being ranked fairly in the order of authors.
- Regarding the rule for the division of points, the group generally believed that more points should be awarded for articles with more authors and that this feature should be extended rather than cut back.

School of Education (UI)

- This is a fair system, although it is widely abused, for example in cases where the number of authors is very high (a limit should be set on number of authors).
- Currently, there are a lot of unwritten rules and differing conventions.

School of Engineering and Natural Sciences (UI)

- There appears to be widespread dissatisfaction with the current rule.
- Conventions differ between academic fields – perhaps there should be different rules for the division of points in the different schools.
- A simple division by the number of authors is unfair to those who lead and contribute the most work to the research, cf. 'corresponding authors'.
- The rule for division of points is not well suited to large research teams and works against collaboration between universities.
- It seems unreasonable that those who lead research teams are penalised for publishing with their students.

School of Health Sciences (UA)

- The provision stating that all authors receive the same number of points for a scientific article encourages group and interdisciplinary collaboration.
- Opinions differed on whether the primary author of a scientific article should receive more points than co-authors.

School of Humanities and Social Sciences (UA)

- The group refers to the Vancouver convention on copyright from 2000.

- Furthermore, the group considered it reasonable that everyone should be evaluated equally (but the system should provide for the possibility that authors be evaluated differently upon receiving a confirmed statement from co-authors).

School of Business and Science (UA)

- We did not consider that there was cause to change this rule, although it is certainly debatable whether it takes into sufficient account differing contributions from different authors.
- In some fields the number of authors can exceed all reasonable limits and it could certainly be unfair to reward authors who could hardly have contributed much work.

Department of Tourism Studies (HUC)

- This will always be difficult to measure and the current rule is no worse than any other.
- The possibility was suggested of using brackets within the system, i.e. the first author receiving more points than others.

Department of Aquaculture and Fish Biology (HUC)

- The system ought to take into account who is the primary author, which is almost all cases is the author who contributed most to the work.

AUI

- Different perspectives.
- Generally believed that the rule for division of points punishes those who publish with many other authors and that authors' contributions are not taken into account.

SUPU

- The current Evaluation System does not take into sufficient account differing contributions to articles/publications from different authors.
- The author considered the primary author should have the chance to receive more points than the co-authors, and the rules regarding such should be transparent.
- The current rule for the division of points is unfair for authors of scientific articles based on extensive research where each author (or team of authors) has contributed a great deal of work to the project.
- The Union suggests that the rule for division of points for jointly authored material should not apply for primary authors of such works.

UUT

- Researchers in the natural sciences complain about this feature because in these fields working in large research teams is both conventional and encouraged, which results in articles with many authors.
- On the other hand, the proportion of publications is often much higher in these fields than others.
- It is important that the weighting between authors is as equal as possible.

Answers from individual respondents to question 4:
Does the system discriminate against or favour any group of academic staff in particular?

School of Humanities (UI)

- The current system favours staff who publish in English.

School of Social Sciences (UI)

- Discrimination against individuals, groups and administrative units that, due to conventions in the relevant field, do not produce many jointly authored articles, cf. the social sciences (see also answer to question 1).
- The benefit of the system is that it is mechanical – the rules are predictable and transparent. The downside, however, is that it does not address certain things and evaluation of books is not performed on the basis of peer review, i.e. by specialists in each case – this can lead to distorted evaluations.

School of Health Sciences (UI)

- The system is ill-suited to those working in experimental research, forward-thinking or long-term research, as well as interdisciplinary research. Little scope for publishing many articles per year – many authors.
- The system does not take into consideration the work involved in leading research teams and managing the writing of articles – the same dilution for everyone.
- The system is ill-suited to young researchers getting established.
- The system is unfair to those who publish only in ISI journals rather than ERIH, where a proportionally higher number of journals are in the highest category.

School of Education (UI)

- The system is based on the conventions of the natural sciences and encourages staff to publish in foreign journals. It is ill-suited to those academic staff who direct their efforts towards public projects or work in the field.
- Impacts the chances for acquiring funding, e.g. for a doctoral project (the supervisor's CV is a deciding factor).

School of Engineering and Natural Sciences (UI)

- Discrimination based on the nature of the work – research rated far more highly than other work (teaching, administration, building links with industry and society).
- Teaching is underrated with regards to the use of the system in determining salary bracket.
- Discrimination based on academic field
    - Some fields emphasise frequent publications with many co-authors.
    - In some fields, there are no journals worth 20 points and the best conferences do not give advanced points.
    - Frequency of publication of data acquired through monitoring and measuring vs. experimental science.

School of Health Sciences (UA)

- Favours those staff who publish in ISI journals and earn many advanced points.
- Young researchers struggle.

- Contributions to society, the development of professional knowledge and user services are undervalued.

School of Humanities and Social Sciences (UA)

- Fields differ, but the system is highly focused on the natural sciences.
- The system is hostile to the Icelandic learning environment (education for students, interested parties, the public and policy makers in Icelandic).

School of Business and Science (UA)

- Yes – academic fields differ and it is therefore difficult to compare them by tallying works produced.
- Discriminates against those who devote themselves to teaching, public projects (practical projects in collaboration with companies and industry, providing consultation to innovators) and projects for the University.
- Experimental research is time-consuming, expensive and demands effective collaboration – returns far fewer research points in comparison with other research.
- Young researchers are at a disadvantage.

Department of Tourism Studies (HUC)

- Favours those who have the resources to write a lot of peer-reviewed articles (not many students, plenty of time).
- Young researchers struggle, as well as people with family responsibilities, e.g. those on parental leave.

Department of Aquaculture and Fish Biology (HUC)

- Does not take account of teaching and its quality, including supervision of postgraduate students.

AUI

- Discriminates against those with large teaching workloads. Should also take into account the quality of teaching and teaching methods.
- Support young researchers better.
- Take account of public projects.

UUT

- Particularly favours those working in fields that are based on large databases and research teams and which have a high proportion of ISI journals.
- Services to a profession in the form of publications in Icelandic are undervalued.
- Work in innovation and teaching (development of teaching material and teaching methods) and participation in public debate are underrated.

SUPU

- Participants in extensive and time-consuming research projects who publish their results with many co-authors.
- Those who devote themselves to teaching (reviewing teaching material, developing teaching methods), supervision of final projects (in undergraduate studies (0) and postgraduate studies).

- Leadership and roles of responsibility within academic and professional societies in Iceland and abroad. Recognition from the academic community.
- Active participation in public discourse (D6.8).
- Legally required clinical skills.
- Administration and management within university schools and faculties (those not in specific administrative positions).

Answers from individual respondents to question 5:

Should the Evaluation System evaluate the quality of teaching or the integration of teaching and research to a greater degree than it currently does? What would be the best way to go about this?

School of Humanities (UI)

- Evaluating the quality of teaching is obviously extremely complicated and does not necessarily belong in the same evaluation system as is used for research activity.
- It is worth considering the evaluation of integration of teaching and research.
- In cases which do not involve joint publications by students and teaching staff in connection with Master's and doctoral theses in the humanities, there is every reason to award supervisors research points for the supervision.

School of Social Sciences (UI)

- The system involves little incentive to perform well in teaching or to integrate teaching and research.
- The solution to this is a complex matter.

School of Health Sciences (UI)

- The quality of teaching is not much evaluated and ideally solutions will be found for evaluating success in this area.
- For example, there could be greater rewards for the integration of teaching and research.
- Supervision of final projects in undergraduate and postgraduate studies could be given more weight.
- It can be dangerous to focus too much on the integration of teaching and research, since there is a risk of deprioritising other components of teaching.

School of Education (UI)

- The quality of teaching has too little impact. Those who have focused on teaching at the expense of research receive little for their efforts.
- Teaching should be evaluated for promotion, e.g. with regards to increased numbers of students, innovation or success.
- The teaching evaluation surveys are businesslike and evaluate service. They do not ask about student contributions.
- Teaching can be evaluated subjectively; superiors could do this, as is done in the private sector.
- It should be better explained to new staff what it means to be a member of academic staff.

School of Engineering and Natural Sciences (UI)

- It is very important to include evaluation of quality of teaching in the evaluation system.
- Quality of teaching should be evaluated in the context of learning outcomes of study programs.
- The Evaluation System should encourage teaching staff to think not only about their own courses but also how their courses relate to other courses in the study programme.
- For the evaluation of teaching, the SENS teaching committee recommends investigating the Australian University Teaching Criteria & Standards Framework (see http://uniteachingcriteria.edu.au/).

School of Health Sciences (UA)

- Ideally, the quality of teaching would be evaluated to a greater extent than the current Evaluation System does.
- Peer review amongst academic staff (teaching staff) should be considered, such that each course would be evaluated e.g. every three or five years with regards to the integration of teaching and research.
- A fund should be established comparable to the Productivity Evaluation Fund, but for teaching.

School of Humanities and Social Sciences (UA)

- Teaching is undervalued; ways must be found to evaluate teaching and related development work for points comparable to research points.
- The quality of teaching should be evaluated, e.g. collaboration with students, teaching methods and course assessment, as well as updating of teaching methods based on new ideas and knowledge.
- Financial incentives must be in place to encourage staff to improve their teaching.

School of Business and Science (UA)

- The quality of teaching must be evaluated to a greater degree than the current Evaluation System allows.
- Some kind of motivational system should be established in this area, especially with regards to the integration of teaching and research.
- However, it can be very difficult to evaluate the quality of teaching and problematic to develop a system to do this.

Department of Tourism Studies (HUC)

- Quality in teaching should be rewarded, as well as the design of courses and course assignments in which teaching staff share their research directly with students.
- Teaching evaluation surveys and teaching portfolios could be good ways to evaluate the quality of teaching.

Department of Aquaculture and Fish Biology (HUC)

- One of the biggest flaws of the system is that it takes little account of teaching and its quality, both in terms of teaching courses and supervising postgraduate students.

- No simple matter to design a system that evaluates teaching contributions and quality, but it is important that it be done.

AUI

- Yes, the quality of teaching should be evaluated more. More detailed teaching evaluation surveys could help with this.
- It would be possible to use regular academic reviews of individual courses and other teaching-related work to support such evaluation.
- To a certain extent, evaluation of teaching should offset research points.
- Evaluation of teaching is, however, very difficult to implement.
- Innovation in teaching should be evaluated, without a doubt.
- The teaching evaluation surveys currently used are flawed in that students' personal opinions on teaching staff, their interests and demands have a significant impact on their answers.

UUT

- It is important that contributions to teaching are valued highly.
- Various attempts have been made to evaluate the quality of teaching, with varying levels of success.
- Foreign research has shown that teaching evaluation surveys are extremely flawed metrics, because:
    - Women more often teach introductory courses and generally more in undergraduate studies. Large courses often receive a poorer evaluation. The age of students affects the evaluation of teaching staff.
    - Several research projects have demonstrated that female students tend to evaluate female and male teaching staff as equally competent, whereas male students rate male teaching staff as more competent.
    - Students seem to assume that female teaching staff will have strong communication skills, but rate male teaching staff higher when they display these qualities.
    - Elective courses are evaluated more positively than mandatory courses.
- Supervision of theses should be rated more highly, in both undergraduate and postgraduate studies. Such supervision is perhaps the work which most involves integrating the research and teaching of the individual academic.
- There must be specific rewards for those who are ambitious in their teaching and develop complex and time-consuming course assessment methods.
- Development of new courses or drastic changes to old courses must be rewarded.
- Staff should be rewarded for receiving grants from the Student Innovation Fund or the Academic Affairs Fund.
- It would be worth examining how the Professional Development Fund could be systematically used for academic staff to personally develop in their teaching work, e.g. by providing grants for action research.

SUPU

- It is very difficult to successfully evaluate the quality of teaching.
- The most important thing is to evaluate the efforts/contribution of teaching staff with regards to reviewing teaching methods and course assessment, use of different

teaching methods and course assessment methods, participation in teaching courses and so forth.
- It is not advisable to use teaching evaluation surveys to award teaching points in the Evaluation System.
- There should be increased emphasis on supervision of students in their final projects, not only postgraduate students but undergraduate students as well.

Answers from individual respondents to question 6:
Is the Evaluation System a burden – does it involve an excessive workload for academic staff?

School of Social Sciences (UI)
- Although some committee members and interviewees said that it was, the general view was that the Evaluation System was not directly a burden.
- However, people were unanimous that indirectly it was, due to workloads and salaries.
- Incentive to conduct research financial (which can be bad). It was also pointed out that there is a very high student-teacher ratio in the School, which demands a great deal of work.

The School of Humanities (UI)
- The system is certainly a burden.
- The first comment the School of Humanities wishes to make concerns how widely the system is used in the University administration and in the awarding of grants and all kinds of rewards.

School of Health Sciences (UI)
- Most of the group believed that the Evaluation System was a significant burden for those in fields that emphasise fewer but more extensive publications and where the number of authors was generally high. In these fields, staff are forced to choose between working towards the focuses of the Evaluation System (more articles) or of their academic community (fewer, higher-impact articles).
- The Evaluation System would then be a burden for those in fields where it is not possible to publish many articles a year due to the nature of the research work. These people would be behind in terms of salary, research grants and even tenure due to the injustice of the system.
- It could also be considered a burden for staff that when their students take part in research and become co-authors, the staff (responsible for the research) then receive fewer points.

School of Education (UI)
- Points out that various work is not included, such as peer review. Also points out discrimination in matters of promotion.

School of Engineering and Natural Sciences (UI)

- The system is not effective at measuring the productivity of those who devote most of their efforts to other work, such as teaching or knowledge transfer. For these people, the Evaluation System is not motivating.
- Teaching and contributions toward the quality of teaching could form a larger part of the Evaluation System.
- An advantage of the Evaluation System is that it is central and systematic and not dependent on the opinion of superiors. It is therefore objective.

School of Health Sciences (UA)

- The Evaluation System directs professional activity. It often leads to excessive workloads for academic staff who want to perform well in their jobs and are therefore high achievers in research.
- If teaching and research duties are to be honoured as the system prescribes, academic staff must spend more time working than allowances are made for.

School of Humanities and Social Sciences (UA)

- Difficult to find the time for research alongside teaching.
- Lone researchers struggle in this system.
- The system significantly favours those who conduct international research.

School of Business and Science (UA)

- Can be a burden to the extent that the focus is solely on a certain category of research work and communication with a narrow group of researchers.
- Means that staff are unable to spend time on other things, such as communication with students, collaboration with industry (other than purely through research) or communication with the general public and other levels of the education system.

Department of Tourism Studies (HUC)

- Generally staff considered the system to be or to have the potential to be a burden. They felt that it tended to cause excessive workloads for academic staff.

Department of Aquaculture and Fish Biology (HUC)

- No, not in its current form.
- The system does guide what staff do, i.e. how they organise their research and what kind of work they produce from that research.

AUI

- Generally not considered to direct the work of staff, although different opinions were expressed.

SUPU

- Academic staff have large workloads, especially professors.
- However, it could hardly be said that the Evaluation System as such dictates workloads for professors.

UUT

- Heavy workloads, especially in teaching, not least in subjects where teaching is in a low payment grade.

Appendix IX: Opinion poll conducted by the Union of University Teachers at UI

Opinion poll conducted by the Union of University Teachers, January 2016

A total of 380 union members took part in the poll, out of a potential 1,210 – or 31.4%.

Here follows a summary of those parts of the survey open to academic staff and members of the Union of University Teachers. 224 academic staff took part in the survey – 58.9% of participants and 18.5% of the total No. of union members.

Questions 4.1 and 4.2 – Academic staff

Does the Evaluation System for Public Higher Education Institutions present an accurate image of the work of individual academics?

All:

All	No.	%
Neutral	34	15.2
Yes	21	9.4
No	161	71.9
Did not answer	8	3.6
Total	**224**	**100**

Gender:

Men	No.	%	Women	No.	%
Neutral	17	16.2	**Neutral**	17	14.3
Yes	13	12.4	**Yes**	8	6.7
No	72	68.6	**No**	89	74.8
Did not answer	3	2.9	**Did not answer**	5	4.2
Total	**105**	**100**	**Total**	**119**	**100**

Professional title:

	Adjunct lecturers No.	%	Lecturers No.	%	Senior lecturers No.	%	Research staff* No.	%	Other No.	%
Neutral	6	18.2	7	11.5	9	11.5	4	21.1	8	24.2
Yes	2	6.1	6	9.8	6	7.7	3	15.8	4	12.1
No	23	69.7	46	75.4	60	76.9	11	57.9	21	63.6
Did not answer	2	6.1	2	3.3	3	3.8	1	5.3	0	0
Total	**33**	**100**	**61**	**100**	**78**	**100**	**19**	**100**	**33**	**100%**

- **research specialists, research scholars, research scientists**

Schools/institutes:

	SSS No.	%	SHS No.	%	SH No.	%	SE No.	%	SENS No.	%	Institutes No.	%
Neutral	10	22.2	8	15.4	4	17.4	4	8.3	3	9.7	5	20.0
Yes	5	11.1	6	11.5	0	0	4	8.3	3	9.7	3	12.0
No	28	62.2	36	69.2	19	82.6	39	81.3	24	77.4	15	60.0
Did not answer	2	4.4	2	3.8	0	0	1	2.1	1	3.2	2	8.0
Total	**45**	**100**	**52**	**100**	**23**	**100**	**48**	**100**	**31**	**100**	**25**	**100**

Age:

	< 30 No.	%	30-39 No.	%	40-49 No.	%	50-59 No.	%	> 60 No.	%

Neutral	0	0	7	20.6	11	14.5	8	12.7	8	16.0
Yes	0	0	5	14.7	10	13.2	4	6.3	2	4.0
No	1	100	22	64.7	53	69.7	48	76.2	37	74.0
Did not answer	0	0	0	0	2	2.6	3	4.8	3	6.0
Total	**1**	**100**	**34**	**100**	**76**	**100**	**63**	**100**	**50**	**100**

Questions 4.3 and 4.4 – Academic staff

Does the Evaluation System for Public Higher Education Institutions provide an accurate comparison between schools?

All:

All	No.	%
Neutral	60	26.8
Yes	7	3.1
No	151	67.4
Did not answer	6	2.7
Total	**224**	**100**

Gender:

Men	No.	%	Women	No.	%
Neutral	33	31.4	**Neutral**	27	22.7
Yes	5	4.8	**Yes**	2	1.7
No	65	61.9	**No**	86	72.8
Did not answer	2	1.9	**Did not answer**	4	3.4
Total	**105**	**100**	**Total**	**119**	**100**

Professional title:

	Adjunct lecturers No.	%	Lecturers No.	%	Senior lecturers No.	%	Research staff* No.	%	Other No.	%
Neutral	9	27.3	15	24.6	17	21.8	6	31.6	13	39.4
Yes	0	0.0	1	1.6	1	1.3	3	15.8	2	6.1
No	22	66.7	43	70.5	59	75.6	9	47.4	18	54.5
Did not answer	2	6.1	2	3.3	31	1.3	1	5.3	0	0.0
Total	**33**	**100**	**61**	**100**	**78**	**100**	**19**	**100**	**33**	**100**

- **research specialists, research scholars, research scientists**

Schools/institutes:

	SSS No.	%	SHS No.	%	SH No.	%	SE No.	%	SENS No.	%	Institutes No.	%
Neutral	8	17.8	17	32.7	5	21.7	9	18.8	13	41.9	8	32.0
Yes	1	2.2	2	3.8	0	0	1	2.1	1	3.2	2	8.0
No	34	75.6	32	61.5	18	78.3	37	77.1	17	54.8	13	52.0
Did not answer	2	4.4	1	1.9	0	0	1	2.1	0	0.0	2	8.0
Total	**45**	**100**	**52**	**100**	**23**	**100**	**48**	**100**	**31**	**100**	**25**	**100**

Age:

	< 30 No.	%	30-39 No.	%	40-49 No.	%	50-59 No.	%	> 60 No.	%
Neutral	0	0	11	32.4	18	23.7	15	19.7	16	32.0
Yes	0	0	3	8.8	2	2.6	2	2.6	0	0.0

No	1	100	20	58.8	54	71.1	43	56.6	33	66.0
Did not answer	0	0	0	0.0	2	2.6	3	3.9	1	2.0
Total	**1**	**100**	**34**	**100**	**76**	**100**	**63**	**100**	**50**	**100**

Questions 4.5 – 4.6

In your opinion, is the Evaluation System fair?

All:

All	No.	%
Neutral	42	18.8
Yes	21	9.4
No	154	68.8
Did not answer	7	3.1
Total	**224**	**100**

Gender:

Men	No.	%	Women	No.	%
Neutral	22	21.0	**Neutral**	20	16.8
Yes	12	11.4	**Yes**	9	7.6
No	68	64.8	**No**	86	72.3
Did not answer	3	2.9	**Did not answer**	4	3.4
Total	**105**	**100**	**Total**	**119**	**100**

Professional title:

	Adjunct lecturers No.	%	Lecturers No.	%	Senior lecturers No.	%	Research staff* No.	%	Other No.	%
Neutral	11	33.3	7	11.5	12	15.4	4	21.1	8	24.2
Yes	2	6.1	8	13.1	4	5.1	3	15.8	4	12.1
No	18	54.5	44	72.1	60	76.9	11	57.9	21	63.6
Did not answer	2	6.1	2	3.3	2	2.6	1	5.3	0	0.0
Total	**33**	**100**	**61**	**100**	**78**	**100**	**19**	**100**	**33**	**100**

- **research specialists, research scholars, research scientists**

Schools/institutes:

	SSS No.	%	SHS No.	%	SH No.	%	SE No.	%	SENS No.	%	Institutes No.	%
Neutral	9	20.0	8	15.4	5	21.7	9	18.8	7	22.6	4	16.0
Yes	2	4.4	6	11.5	5	21.7	2	4.2	3	9.7	3	12.0
No	32	71.1	35	67.3	13	56.5	37	77.1	21	67.7	16	64.0
Did not answer	2	4.4	3	5.8	0	0.0	0	0.0	0	0.0	2	8.0
Total	**45**	**100%**	**52**	**100**	**23**	**100**	**48**	**100**	**31**	**100**	**25**	**100**

Age:

	< 30 No.	%	30-39 No.	%	40-49 No.	%	50-59 No.	%	> 60 No.	%
Neutral	0	0	9	26.5	15	19.7	11	17.5	7	14.0
Yes	0	0	6	17.6	10	13.2	4	6.3	1	2.0
No	1	100	19	55.9	49	64.5	46	73.0	39	78.0
Did not	0	0	0	0.0	2	2.6	2	3.2	3	6.0

answer										
Total	**1**	**100**	**34**	**100**	**76**	**100**	**63**	**100**	**50**	**100**

Questions 4.7 – 4.8

Should the Evaluation System in its current form be discontinued?

All:

All	No.	%
Neutral	69	30.8
Yes	88	39.3
No	56	25.0
Did not answer	11	4.9
Total	**224**	**100**

Gender:

Men	No.	%	Women	No.	%
Neutral	33	31.4	**Neutral**	36	30.3
Yes	39	37.1	**Yes**	49	41.2
No	31	29.5	**No**	25	21.0
Did not answer	2	1.9	**Did not answer**	9	7.6
Total	**105**	**100**	**Total**	**119**	**100**

Professional title:

	Adjunct lecturers No.	%	Lecturers No.	%	Senior lecturers No.	%	Research staff* No.	%	Other No.	%
Neutral	17	51.5	15	24.6	17	21.8	6	31.6	14	42.4
Yes	11	33.3	26	42.6	34	43.6	4	21.1	13	39.4
No	3	9.1	16	26.2	23	29.5	8	42.1	6	18.2
Did not answer	2	6.1	4	6.6	4	5.1	1	5.3	0	0.0
Total	**33**	**100**	**61**	**100**	**78**	**100**	**19**	**100**	**33**	**100**

- **research specialists, research scholars, research scientists**

Schools/institutes:

	SSS No.	%	SHS No.	%	SH No.	%	SE No.	%	SENS No.	%	Institutes No.	%
Neutral	16	35.6	16	30.8	9	39.1	13	27.1	7	22.6	8	32.0
Yes	15	33.3	20	38.5	7	30.4	24	50.0	15	48.4	7	28.0
No	12	26.7	14	26.9	6	26.1	9	18.8	8	25.8	7	28.0
Did not answer	2	4.4	2	3.8	1	4.3	2	4.2	1	3.2	3	12.0
Total	**45**	**100%**	**52**	**100**	**23**	**100**	**48**	**100%**	**31**	**100**	**25**	**100**

Age:

	< 30 No.	%	30-39 No.	%	40-49 No.	%	50-59 No.	%	> 60 No.	%
Neutral	0	0	17	50.0	20	26.3	18	28.6	14	28.0
Yes	1	100	10	29.4	27	35.5	26	41.3	24	48.0
No	0	0	7	20.6	24	31.6	14	22.2	11	22.0
Did not answer	0	0	0	0.0	5	6.6	5	7.9	1	2.0
Total	**1**	**100**	**34**	**100**	**76**	**100**	**63**	**100**	**50**	**100**

Question 4.9

What needs to be done to improve the Evaluation System?

Questions 4.10 – 4.11

The Evaluation System is essentially reasonable, but has started to interfere too much?

All:

All	No.	%
Neutral	66	29.5
Disagree	51	22.8
Agree	97	43.3
Did not answer	10	4.5
Total	**224**	**100**

Gender:

Men	No.	%	Women	No.	%
Neutral	28	26.7	**Neutral**	38	31.9
Disagree	26	24.8	**Disagree**	25	21.0
Agree	48	45.7	**Agree**	49	41.2
Did not answer	3	2.9	**Did not answer**	7	5.9
Total	**105**	**100**	**Total**	**119**	**100**

Professional title:

	Adjunct lecturers No.	%	Lecturers No.	%	Senior lecturers No.	%	Research staff* No.	%	Other No.	%
Neutral	13	39.4	21	34.4	14	17.9	4	21.1	14	42.4
Disagree	5	15.2	16	26.2	18	23.1	4	21.1	8	24.2
Agree	13	39.4	21	34.4	43	55.1	10	52.6	10	30.3
Did not answer	2	6.1	3	4.9	3	3.8	1	5.3	1	3.0
Total	**33**	**100**	**61**	**100**	**78**	**100**	**19**	**100**	**33**	**100**

- **research specialists, research scholars, research scientists**

Schools/institutes:

	SSS No.	%	SHS No.	%	SH No.	%	SE No.	%	SENS No.	%	Institutes No.	%
Neutral	11	24.4	16	30.8	9	39.1	15	31.3	8	25.8	7	28.0
Disagree	7	15.6	14	26.9	4	17.4	12	25.0	10	32.3	4	16.0
Agree	24	53.3	21	40.4	10	43.5	19	39.6	12	38.7	11	44.0
Did not answer	3	6.7	1	1.9	0	0.0	2	4.2	1	3.2	3	12.0
Total	**45**	**100**	**52**	**100**	**23**	**100**	**48**	**100**	**31**	**100**	**25**	**100**

Age:

	< 30 No.	%	30-39 No.	%	40-49 No.	%	50-59 No.	%	> 60 No.	%
Neutral	0	0	11	32.4	25	32.9	16	25.4	14	28.0
Disagree	0	0	9	26.5	18	23.7	13	20.6	11	22.0
Agree	1	100	14	41.2	29	38.2	29	46.0	24	48.0
Did not answer	0	0	0	0.0	4	5.3	5	7.9	1	2.0

Total	**1**	**100**	**34**	**100**	**76**	**100**	**63**	**100**	**50**	**100**

Question 4.12.

The Evaluation System encourages unnecessary output.

All:

All	No.	%
Neutral	50	22.3
Disagree	34	15.2
Agree	128	57.1
Did not answer	12	5.4
Total	**224**	**100**

Gender:

Men	No.	%	Women	No.	%
Neutral	28	26.7	**Neutral**	22	18.5
Disagree	14	13.3	**Disagree**	20	16.8
Agree	60	57.1	**Agree**	68	57.1
Did not answer	3	20.9	**Did not answer**	9	7.6
Total	**105**	**100**	**Total**	**119**	**100**

Professional title:

	Adjunct lecturers No.	%	Lecturers No.	%	Senior lecturers No.	%	Research staff* No.	%	Other No.	%
Neutral	10	30.3	11	18.0	16	20.5	2	10.5	11	33.3
Disagree	2	6.1	12	19.7	9	11.5	8	42.1	3	9.1
Agree	18	54.5	33	54.1	51	65.4	8	42.1	18	54.5
Did not answer	3	9.1	5	8.2	2	2.6	1	5.3	1	3.0
Total	**33**	**100**	**61**	**100**	**78**	**100**	**19**	**100**	**33**	**100**

- **research specialists, research scholars, research scientists**

Schools/institutes:

	SSS No.	%	SHS No.	%	SH No.	%	SE No.	%	SENS No.	%	Institutes No.	%
Neutral	9	20.0	9	17.3	5	21.7	13	27.1	9	29.0	5	20.0
Disagree	8	17.8	8	15.4	3	13.0	7	14.6	3	9.7	5	20.0
Agree	25	55.6	32	61.5	15	65.2	25	52.1	18	58.1	13	52.0
Did not answer	3	6.7	3	5.8	0	0.0	3	6.3	1	3.2	2	8.0
Total	**45**	**100**	**52**	**100**	**23**	**100**	**48**	**100**	**31**	**100**	**25**	**100**

Age:

	< 30 No.	%	30-39 No.	%	40-49 No.	%	50-59 No.	%	> 60 No.	%
Neutral	1	100	8	23.5	15	19.7	12	19.0	14	28.0
Disagree	0	0	6	17.6	14	18.4	7	11.1	7	14.0
Agree	0	0	20	58.8	42	55.3	40	63.5	26	52.0
Did not answer	0	0	0	0.0	5	6.6	4	6.3	13	6.0
Total	**1**	**100**	**34**	**100**	**76**	**100**	**63**	**100**	**50**	**100**

Questions 4.13 – 4.14

What is your opinion on the use of the Evaluation System for Public Higher Education Institutions in the following decisions at UI? ***(possible to select more than one option)***

Gender:

	In determining wages	In promotion	In hiring to permanent positions	Increasing teaching duties *	Decreasing teaching duties **	Granting sabbaticals	Permitting extra work within UI	No.
Men	33	47	24	18	29	37	11	105
Women	40	58	41	25	36	48	15	119
% of men	45.2	44.8	36.9	41.9	44.6	43.5	42.3	
% of women	54.8	55.2	63.1	58.1	55.4	56.5	57.7	
All	**73**	**105**	**65**	**43**	**65**	**85**	**26**	**224**
% of total	**32.6**	**46.9**	**29.0**	**19.2**	**29.0**	**37.9**	**11.6**	

***rules on employment duties, ** rules on transfer of employment duties**

Professional title:

	In determining wages	In promotion	In hiring to permanent positions	Increasing teaching duties *	Decreasing teaching duties **	Granting sabbaticals	Permitting extra work within UI	No.
Adjunct lecturers	10	15	11	5	7	9	3	**33**
Lecturers	15	29	18	13	17	25	9	**61**
Senior lecturers	23	35	19	15	24	29	9	**78**
Research staff	7	10	6	3	6	8	2	**19**
Other	18	16	11	7	11	14	3	**33**
All	**73**	**105**	**65**	**43**	**65**	**85**	**26**	**224**

***rules on employment duties, ** rules on transfer of employment duties**

Schools/institutes:

	In determining wages	In promotion	In hiring to permanent positions	Increasing teaching duties *	Decreasing teaching duties **	Granting sabbaticals	Permitting extra work within UI	No.
SSS	14	17	10	6	13	14	2	**45**
SH	10	13	8	5	8	8	4	**23**
SHS	19	28	21	12	19	22	9	**52**
SE	8	23	9	10	11	19	4	**48**
SENS	9	12	8	8	8	12	3	**31**
Institutes	13	12	9	2	6	10	4	**25**
All	**73**	**105**	**65**	**43**	**65**	**85**	**26**	**224**

***rules on employment duties, ** rules on transfer of employment duties**

Age:

	In determining wages	In promotion	In hiring to permanent positions	Increasing teaching duties *	Decreasing teaching duties **	Granting sabbaticals	Permitting extra work within UI	No.
< 30	1	1	1			1		**1**
30-39	11	13	11	8	11	10	4	**34**
40-49	23	37	24	16	17	26	9	**76**
50-59	18	26	14	10	22	21	7	**63**
> 60	20	28	15	9	15	27	6	**50**
All	**73**	**105**	**65**	**43**	**65**	**85**	**26**	**224**

***rules on employment duties, ** rules on transfer of employment duties**

Questions 4.15 – 4.16

Does the Evaluation System for Public Higher Education Institutions include the right incentives?

All:

All	No.	%
Neutral	57	25.4
Yes	27	12.1
No	127	56.7
Did not answer	13	5.8
Total	**224**	**100**

Gender:

Men	No.	%	Women	No.	%
Neutral	27	25.7	**Neutral**	30	25.2
Yes	13	12.4	**Yes**	14	11.8
No	60	57.1	**No**	67	56.3
Did not answer	5	4.8	**Did not answer**	8	6.7
Total	**105**	**100**	**Total**	**119**	**100**

Professional title:

	Adjunct lecturers No.	%	Lecturers No.	%	Senior lecturers No.	%	Research staff* No.	%	Other No.	%
Neutral	11	33.3	13	21.3	16	26.2	5	26.3	12	36.4
Yes	1	3.0	8	13.1	6	9.8	6	31.6	6	18.2
No	17	51.5	37	60.7	53	86.9	7	36.8	13	39.4
Did not answer	4	12.1	3	4.9	3	4.9	1	5.3	2	6.1
Total	**33**	**100%**	**61**	**100%**	**78**	**100**	**19**	**100**	**33**	**100**

- **research specialists, research scholars, research scientists**

Schools/institutes:

	SSS No.	%	SHS No.	%	SH No.	%	SE No.	%	SENS No.	%	Institutes No.	%
Neutral	13	28.9	15	28.8	6	26.1	11	22.9	5	16.1	7	28.0
Yes	5	11.1	6	11.5	3	13.0	6	12.5	2	6.5	5	20.0
No	22	48.9	30	57.7	14	60.9	29	60.4	22	71.0	10	40.0
Did not answer	5	11.1	1	1.9	0	0.0	2	4.2	2	6.5	3	12.0
Total	**45**	**100**	**52**	**100**	**23**	**100**	**48**	**100**	**31**	**100**	**25**	**100**

Age:

	< 30 No.	%	30-39 No.	%	40-49 No.	%	50-59 No.	%	> 60 No.	%
Neutral	0	0.0	8	23.5	16	21.1	22	34.9	11	22.0
Yes	1	100	8	23.5	7	9.2	5	7.9	6	12.0
No	0	0	18	52.9	46	60.5	32	50.8	31	62.0
Did not answer	0	0	0	0.0	7	9.2	4	6.3	2	4.0
Total	**1**	**100**	**34**	**100**	**76**	**100**	**63**	**100**	**50**	**100**

Question 4.17 – 4.18

Has the Evaluation System been useful for you?

All:

All	No.	%
Neutral	71	31.7

Yes	88	39.3
No	54	24.1
Did not answer	11	4.9
Total	**224**	**100**

Gender:

Men	No.	%	Women	No.	%
Neutral	32	30.5	**Neutral**	39	32.38
Yes	41	39.0	**Yes**	47	39.5
No	29	27.6	**No**	25	21.0
Did not answer	3	2.9	**Did not answer**	8	6.7
Total	**105**	**100**	**Total**	**119**	**100**

Professional title:

	Adjunct lecturers No.	%	Lecturers No.	%	Senior lecturers No.	%	Research staff* No.	%	Other No.	%
Neutral	14	42.4	22	36.1	23	29.5	2	10.5	10	30.3
Yes	6	18.2	20	32.8	38	48.7	12	63.2	12	36.4
No	11	33.3	16	26.2	13	16.7	4	21.1	10	30.3
Did not answer	2	6.1	3	4.9	4	5.1	1	5.3	1	3.0
Total	**33**	**100**	**61**	**100**	**78**	**100**	**19**	**100**	**33**	**100**

- **research specialists, research scholars, research scientists**

Schools/institutes:

	SSS No.	%	SHS No.	%	SH No.	%	SE No.	%	SENS No.	%	Institutes No.	%
Neutral	15	33.3	18	34.6	7	30.4	18	37.5	9	29.0	4	16.0
Yes	17	37.8	17	32.7	10	43.5	18	37.5	11	35.5	15	60.0
No	10	22.2	15	28.8	5	21.7	11	22.9	10	32.3	3	12.0
Did not answer	3	6.7	2	3.8	1	4.3	1	2.1	1	3.2	3	12.0
Total	**45**	**100**	**52**	**100**	**23**	**100**	**48**	**100**	**31**	**100**	**25**	**100**

Age:

	< 30 No.	%	30-39 No.	%	40-49 No.	%	50-59 No.	%	> 60 No.	%
Neutral	0	0.0	14	41.2	28	36.8	16	25.4	13	26.0
Yes	0	0.0	14	41.2	23	30.3	28	44.4	23	46.0
No	1	100	6	17.6	21	27.6	14	22.2	12	24.0
Did not answer	0	0	0	0.0	4	5.3	5	7.9	2	4.0
Total	**1**	**100**	**34**	**100**	**76**	**100**	**63**	**100**	**50**	**100**

Question 4.19 - Text

What evaluated output other than research should be paid for from the Productivity Evaluation Fund?

Questions 4.20 – 4.21

Should the Union of University Teachers discontinue the system for academic researchers such that these individuals would instead be lecturers, senior lecturers and professors?

All:

All	No.	%
Neutral	131	58.5
Yes	42	18.8
No	39	17.4
Did not answer	12	5.4
Total	**224**	**100**

Gender:

Men	No.	%	Women	No.	%
Neutral	56	53.3	**Neutral**	75	63.0
Yes	21	20.0	**Yes**	21	17.6
No	25	23.8	**No**	14	11.8
Did not answer	3	2.9	**Did not answer**	9	7.6
Total	**105**	**100**	**Total**	**119**	**100**

Professional title:

	Adjunct lecturers No.	%	Lecturers No.	%	Senior lecturers No.	%	Research staff* No.	%	Other No.	%
Neutral	22	66.7	36	59.0	54	69.2	1	5.3	18	54.5
Yes	6	18.2	11	18.0	9	11.5	4	21.1	12	36.4
No	2	6.1	10	16.4	11	14.1	13	68.4	3	9.1
Did not answer	3	9.1	4	6.6	4	5.1	1	5.3		0
Total	**33**	**100**	**61**	**100**	**78**	**100**	**19**	**100**	**33**	**100**

- **research specialists, research scholars, research scientists**

Schools/institutes:

	SSS No.	%	SHS No.	%	SH No.	%	SE No.	%	SENS No.	%	Institutes No.	%
Neutral	30	66.7	33	63.5	14	60.9	33	68.8	15	48.4	6	24.0
Yes	7	15.6	13	25.0	5	21.7	6	12.5	7	22.6	4	16.0
No	5	11.1	4	7.7	4	17.4	6	12.5	8	25.8	12	48.0
Did not answer	3	6.7	2	3.8	0	0	3	6.3	1	3.2	3	12.0
Total	**45**	**100**	**52**	**100**	**23**	**100**	**48**	**100**	**31**	**100**	**25**	**100**

Age:

	< 30 No.	%	30-39 No.	%	40-49 No.	%	50-59 No.	%	> 60 No.	%
Neutral	1	100	19	55.9	51	67.1	36	57.1	24	48.0
Yes	0	0.0	8	23.5	13	17.1	11	17.5	10	20.0
No	0	0.0	6	17.6	9	11.8	10	15.9	14	28.0
Did not answer	0	0.0	1	2.9	3	3.9	6	9.5	2	4.0
Total	**1**	**100**	**34**	**100**	**76**	**100**	**63**	**100**	**50**	**100**

Appendix X: Comments from academic staff on the draft report

REPORT ON THE EVALUATION SYSTEM FOR PUBLIC HIGHER EDUCATION INSTITUTIONS

COMMENTS FROM ACADEMIC STAFF ON THE DRAFT REPORT

November 2016

Description of the project

Completed for	The Evaluation System Committee
Objective	To gather comments from academic staff at the public universities on the draft report on the Evaluation System for Public Higher Education Institutions
Submission date	16 November 2016

Responsible parties

Implementation	University of Iceland Social Science Research Institute
Preparation, data acquisition, processing and compiling the report	Guðbjörg Andrea Jónsdóttir Andrea G. Dofradóttir

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INTRODUCTION

The Evaluation System Committee is conducting a review of the Evaluation System for Public Higher Education Institutions. The objective of the review is to map and analyse the status, strengths, weaknesses and functions of the Evaluation System. At the requst of the Evaluation System Committee, the Social Science Research Institute published a draft of the Committee's report online and asked academic staff at the public universities to comment on the report as a whole and its individual chapters. The report is divided into two main sections. The first section describes the system while the second presents opinions from interested parties, the so-called self-review.

METHOD

An email was sent to all academic staff at the University of Iceland, the University of Akureyri, Hólar University College and the Agricultural University of Iceland linking to a website containing the draft report and questions on its contents and approach.

Participants were asked to read individual chapters and comment on whether they believed that the chapter presented an accurate depiction of its subject. If they did not believe that it did, they were asked to comment on whether they believed that the chapter contained outright errors or whether it lacked important information, and if so what. Finally, participants were asked to answer a few questions on their demographics.

The website was accessible from 27 October to 6 November 2016. A reminder was sent to academic staff on 3 November.

DEMOGRAPHICS

The following tables show the composition of the 33 respondents with regards to their backgrounds.

Table 1. Distribution of respondents by gender

	Number	Proportion	Proportion
Male	21	72%	72%
Female	8	28%	28%
Number of	29	100%	
Did not answer	4		
Total	33		

Table 2. Distribution of respondents by age

	Number	Proportion	Proportion
39 or younger	2	6%	6%
40-49	17	55%	55%
50-59	5	16%	16%
60-69	6	19%	19%
70 or older	1	3%	3%
Number of	31	100%	
Did not answer	2		
Total	33		

Table 3. Distribution of respondents by university

	Number	Proportion	Proportion
University of Iceland	26	84%	84%
University of Akureyri	2	6%	6%
Hólar University College	2	6%	6%
Agricultural University of Iceland	1	3%	3%
Number of answers	31	100%	
Did not answer	2		
Total	33		

Table 4. Distribution of respondents by professional title

	Number	Proportion	Proportion
Professor	18	58%	58%
Senior lecturer	5	16%	16%
Lecturer	7	23%	23%
Research scientist	1	3%	3%
Number of	31	100%	
Did not answer	2		
Total	33		

Table 5. Distribution of respondents by academic field

	Number	Proportion	Proportion
Social sciences	2	7%	7%
Humanities	4	13%	13%
Agricultural sciences	1	3%	3%
Medical and health sciences	5	17%	17%
Education	2	7%	7%
Natural sciences	7	23%	23%
Engineering and technology	9	30%	30%
Number of answers	30	100%	
Did not answer	3		
Total	33		

RESULTS

Comments on Chapter 1, "*Description of the system*"

Table 6. On Chapter 1.1. "History and development of the Evaluation System for Public Higher Education Institutions": Do you believe that the chapter provides an accurate description of its subject?

	Number	Proportion	Proportion
Yes	28	90%	90%
No	3	10%	10%
Number of	31	100%	
Did not answer	2		
Total	33		

Table 7. Is there anything lacking from the chapter "History and development of the Evaluation System for Public Higher Education Institutions", or anything which is simply incorrect?

Two people answered this question

Table 1 is inaccurate. According to HUC's information, 94 people graduated from the University that year, not 18.

I don't see any errors and am hardly in a position to notice many. But this is not accessible for someone who wants to get a quick overview of the subject. I read about the first ten pages on the history of the system but simply don't have the time to study it properly. It would be two days' work I think. It would help if the figures could be understood independently – but often you have to go back over the text above to remind yourself what AC1 means. I didn't find much that told me about the controversies of the system and its likely development. There is no comparison with other countries with a discussion of pros and cons. Of course this system has its benefits – but I often feel that the response to criticism is to make it more complicated. More than once I've had something recorded incorrectly and found it very difficult myself to work out what the problem was. The recording system and the information you get from the University is rather unaccommodating (despite the wonderful people working there) and opaque unless you become an expert on the subject who thinks about the system four times a week. None of this is discussed in this description – but maybe I'm too quick to criticise. Maybe it will come in the later chapters. But anyway: Too detailed and inaccessible for me. It also irritates me that everything is always written in English but you never see any feedback from these foreign specialists.

Table 8. On Chapter 1.2. "Evaluation process": Do you believe that the chapter provides an accurate description of its subject?

	Number	Proportion	Proportion
Yes	29	94%	94%
No	2	6%	6%
Number of	31	100%	
Did not answer	2		
Total	33		

Table 9. Is there anything lacking from the chapter "Evaluation process", or anything which is simply incorrect?

Two people answered this question
See my answer to 1.1.
This comment is not about correctness, but I don't understand the presentation of average number of authors on p. 18. This cannot be the average number generally of authors of papers in Nature or Science (far too high) and not likely either to be the average number (average of what - per year in the years mentioned??) of Icelandic authors on papers in these journals.

Table 10. On Chapter 1.3. "What is evaluated?": Do you believe that the chapter provides an accurate description of its subject?

	Number	Proportion	Proportion
Yes	29	91%	91%
No	3	9%	9%
Number of	32	100%	
Did not answer	1		
Total	33		

Table 11. Is there anything lacking from the chapter "What is evaluated", or anything which is simply incorrect?

Three people answered this question
See my answer to 1.1.
Figure IV show more subdivisions than are explained in the text above.
Important activities related to research, teaching and administration are not included, as there is a strong bias to weigh in only readily "measurable" activities. Thus the quality, and often the extent/broadness of activities is not evaluated.

Table 12. On Chapter 1.4. "Types of points and their distribution": Do you believe that the chapter provides an accurate description of its subject?

	Number	Proportion	Proportion
Yes	24	80%	80%
No	6	20%	20%
Number of	30	100%	
Did not answer	3		
Total	33		

Table 13. Is there anything lacking from the chapter "Types of points and their distribution", or anything which is simply incorrect?

Five people answered this question
I think Table 7 is wrong, since it says that HUC had 0 articles in category A4 that year, but I published 3 journal articles that were evaluated in that category.
It is probably not the problem of the text in the report, but the evaluation of teaching and developed teaching material in general is not clear.
Figure VIII: Are the numbers standardised with regards to the number of women in the relevant positions?
See my answer to 1.1. Hey! And the only page numbering in my version is in the table of contents.
The report is completely missing the fact that full-time employees always get 10 teaching points regardless of whether they teach 4 whole courses (with overtime) or just a few lectures and fulfil their teaching duties by supervising doctoral students and Master's students (which you get extra teaching points for) and getting a reduction in teaching duties.

Table 14. On Chapter 1.5. "Application of points": Do you believe that the chapter provides an accurate description of its subject?

	Number	Proportion	Proportion
Yes	27	90%	90%
No	3	10%	10%
Number of	30	100%	
Did not answer	3		
Total	33		

Table 15. Is there anything lacking from the chapter "Application of points", or anything which is simply incorrect?

Three people answered this question
The graphs should be more independent – so you don't have to go over the text above to understand them.
funds. I.e., the fact that two applicants with applications judged to be equally good do not receive the same size grant because research points then determine the sum allocated, even though the applications and their scientific value were judged to be equal. This leads to a catch-22 – if you don't publish many articles you don't get a lot of funding, which means that you can't conduct research of the same calibre as someone who gets a much higher grant from the same fund for an equally good application. Chapter 1.5 only talks about the impact of the system on sabbaticals, promotion, salary brackets and payments from the Productivity Evaluation Fund.
The application of points - section does not fully describe the consequences of this system in terms of impact on the work of researchers. How the research fund is distributed, for instance is almost exclusively done by the point system. There is a Hollywood style "review" process of applications, while the regulations of the University state clearly that the research fund should be distributed primarily on the merit of projects. Also the description of the impact of the Phd fund is inaccurate. The critria mean that large number of University faculty do not get support for Phd student. This is quite incredible, faculty are hired to a University with a system that essentially prohibits people from getting PhD students (if they fall below a cutoff in the system). Funding for PhD students is fortunately also possible from the Icelandic Research fund, which thankfully many of the subpar (as deemed by the UofIceland system) faculty can apply to and get.

Comments on Chapter 2, ***"Self-review"***

Table 16. On Chapter 2.1. "The impact of the Evaluation System on evaluation of staff and administrators": Do you believe that the chapter provides an accurate description of its subject?

	Number	Proportion	Proportion
Yes	19	66%	66%
No	10	35%	35%
Number of	29	100%	
Did not answer	4		
Total	33		

Table 17. Is there anything lacking from the chapter "The impact of the Evaluation System on evaluation of staff and administrators", or anything which is simply incorrect?

Nine people answered this question

1. Although it is true that the number of publications in the top 20% of journals has increased since the changes were made in 2010, so that they got the maximum number of points, this does not mean that the researchers are profiting accordingly. In experimental research, getting an article published in a top 20% journal nearly always means that the research took a long time and many people contributed. The profits are usually meagre for those who contributed to the article because of how little consideration the rule for the division points gives to the scope of the work. Since the system has a direct impact on income, sabbaticals, promotion, research grants and doctoral grants, it is not correct that the system encourages publication in this category of journals – it pays to publish a lot and with few collaborators. The fact that researchers prefer to publish experimental research in these journals is simply down to their own professional motivation.
2. The answers from the school working groups are edited and cut, they should be more detailed here. The answers from the rectors, however, appear full length and are rather misleading – they focus on international honour rather than the system itself and its impact on staff. The system is indeed meant to be motivational, but there are a lot of indications that it is not. Staff satisfaction must be an important metric for determining the pros and cons of the system and requires more detailed analysis.

Chapter 2.1 says that younger staff and those with families find it difficult to earn points through the system, "Young researchers still getting established struggle, as do those with significant family responsibilities", but Figures IX and X show that younger people, particularly men but also women, particularly at the age when people are likely to have children and family responsibilities, receive the most points, despite that fact that there are probably more older staff. Theses Figures show that the system is actually most challenging for older people, who receive the least points. Reality also shows that many younger people's performance is actually 'off the charts', with them becoming professors a few years into their careers, whilst many older people are still lecturers and/or senior lecturers even at the point when they reach retirement age. It is therefore older people who are in the worst position, or even discriminated against, rather than younger people as the report claims. I believe that the perspective of older people should be better represented, since this is what the data shows but the discussion seems to completely overlook it.

The system values research over teaching. One UI teacher each year receives a prize for outstanding performance in teaching, but tens if not hundreds of staff receive higher sums for contributions to research. The system was originally conceived as a counterbalance to the fact that people could work overtime in teaching and greatly increase their incomes, whilst researchers were left with lower wages. Now in some cases there are no payments for teaching overtime, but there are bonuses for research points.
In many fields, the nature of research and conventions are such that it is difficult to even reach the average number of points. The system affects all aspects of salaries, so that staff conducting research in such a field may find that over the course of their careers their salary is 10-20% lower than for staff who find it easier to produce points.
How is it justifiable to award points for number of citations irrespective of discipline? Academics research publication and citation frequency and even for specialist fields within the same discipline there can be considerable differences.
To what extent has the system changed the behaviour and conventions of staff? To what extent have people tried to develop a niche for producing points? Are the publication conventions and behaviour of staff at Icelandic universities different from those in neighbouring countries?
It is interesting that when the Rector of UI cites the reports from NordForsk and the Research Council of Norway, it is mentioned that the results are weighted according to academic field. Is there another example anywhere in the world of a system like this which tries to use one yardstick to measure all fields and sciences?
It does not surprise me that the vast majority of staff consider the system to be unfair.
This is just a small selection of the considerations that make it necessary to review the system. The system carries too much weight and in many cases the same things are rewarded many times. In my discipline, it is easy to find examples of outstanding academics, even those who have received esteemed international awards, who would do very poorly in this system. It is also easy to find examples of academics who would do very well in the system due to publishing a lot, but their actual contribution to the discipline is negligible.

Table 17. Cont. Is there anything lacking from the chapter "The impact of the Evaluation System on evaluation of staff and administrators", or anything which is simply incorrect?

Nine people answered this question

The system does not encourage quality (contrary to what is stated in the report) since there are same points awarded for Q2-Q4 ISI papers. You only get some extra points for the top 10-20 % (not even all journals in ISI Q1). This means that you will receive the same amount of research points for paper in low impact journal (less than 0,5) as for paper in journal with impact factor 10x higher, in a journal that maybe only accepts about 10-20% of submitted manuscripts. Data shows that publication quality is high the ES does not encourage that. The reason for more research activity and quality in Iceland for the last 10-15 years is because The Icelandic Centre for Research has multiplied their funds and activities. https://www.rannis.is/media/arsskyrslur/Rnnis_arsskyrsla_2015.pdf EU funding has also increased enormously in Iceland. This has nothing to do with the University evaluation system.

A clear distinction must be drawn between comparisons of universities, e.g. with regards to the number of ISI articles, and comparisons of individual members of staff in order to determine salaries and bonuses. There could also be more emphasis on the fact that the reports from NordForsk and the Research Council of Norway standardise results according to academic discipline, whilst the Evaluation System does not do this.

I certainly agree with a lot of it, but disagree with a few points or feel that certain things could be presented more clearly.
1. The Rector of UI says that there is inequality between research and teaching, which is certainly true. On the annual performance report there is a teaching section where you have to describe your teaching vision and other things, but nothing is done with this section (I doubt anyone even reads it, at least there is no feedback on it and in fact it would be possible to leave it blank). It would be best to directly post teaching visions to Ugla so that students could get to know teachers and their visions. Other evaluations of teaching are completely based on quantity rather than quality.
2. It doesn't have to be difficult to evaluate teaching. Peer review, self-review and the Centre for Teaching and Learning can all contribute towards effective, diverse evaluation of teaching. It also isn't the case that the teaching evaluation surveys are useless for evaluating teaching (only those who can't be bothered to think about what they're saying would suggest this), they are certainly one of several metrics. There are certainly gaps in terms of field and gender (women are often treated unfairly) in the teaching evaluation surveys and it is not possible to say that a teacher who receives 8 is worse than one who receives 9. But it is possible to say that there are serious problems with those who frequently receive 5 and those who frequently receive 9 are doing something right.
3. It is claimed that in some disciplines it is harder to earn research points than in others. But this is also true within the same discipline. E.g. in mathematics, someone specialising in statistics will manage to publish many articles per year whilst someone specialising in traditional mathematics will probably only manage to write one article every few years. Both parties are working hard on their research, but the nature of the subjects differs, even though both come under the same discipline. This is true of more disciplines than just mathematics.
4. It is claimed that the system is transparent, but I don't agree with this. In some categories (e.g. A7.2 Editor of a book, A8.1 Reports, A8.2 Reviews, A8.3, A8.4, A9.1 Teaching material, A10.2, A10.3, A10.5, A10.6, A10.7.1-12, A12, B1.3, B2.1-2, B3.1, innovation in teaching and many service categories) it is said that the number of points available is from zero to 'certain number' and there are no specific rules determining how work will be ranked on this scale. The same is true of books. When requests have been made for precise rules on how work is ranked within these categories (or examples of books sorted into different categories), the Division of Science and Innovation has not been able to provide the information (which book got 100 points and which book 80 points, which book didn't get any points? It is only said that books will receive up to 25 points, up to 50 points, up to 75 points or up to 100 points, republications up to 10 points, but how do they decide whether a book is towards the top or the bottom of these categories? And what sort of book gets no points?). The system is certainly transparent for some categories (such as journal articles and citations) but definitely not in all categories (which in fact outnumber the transparent ones, although they possibly give fewer points overall as the report shows – perhaps this is because people don't make an effort for a category that could be worth zero points).
5. It is claimed that some people find the annual performance report to be a lot of work and I agree with this. But it is not clearly stated (and this has always happened to me) that it also takes a lot of effort to get everything evaluated correctly according to the established rules. When the annual performance report is returned, there is no explanation of why certain points were awarded, and then you have to spend time working out what's going on (missing data or things evaluated differently to how you expected and what the rules say), and then it's an effort to get it corrected (even just calculation errors). Very wearing and it reduces my output at least.
6. The research system has certainly encouraged staff to publish their research where they can get the most points for it (and thereby climb up international rankings) but has the cost to the University been investigated, in terms of teaching, public outreach, staff satisfaction (which has a direct impact on output) and other kinds of research?

Table 17. Cont. Is there anything lacking from the chapter "The impact of the Evaluation System on evaluation of staff and administrators", or anything which is simply incorrect?

Nine people answered this question

I think the chapter lacks analysis from the Evaluation System Committee. It currently contains almost unedited answers from interested parties, and it's fine to include these, but no attempt was made to analyse them or conduct any independent work. There are various factors that the groups could have examined in more detail. The methodology used in the Evaluation System is known abroad and has been extensively researched. It would therefore be quite easy to gather sources and summarise the results of this work. Research has shown, for example, that impact factor is a deeply flawed metric with which to evaluate the quality of journals. The metric is based on flawed statistics, the mean but not the median, and was never meant as a measure of quality. It is therefore very strange that journals are categorised according to impact factor. Recently, for example, Nature has supported the idea that the use of impact factor as a metric of quality should be discontinued. It is important that the committee is aware of the pH value of a system like this, since efforts should be made to evaluate it (which to a certain extent has been done, but the statistical comparisons in the report are rather sloppy in my opinion and go into varying levels of detail. For a self reflection I think that the appointed committee must evaluate whether the system is moving us in the direction we want to go. Thirdly, I believe there needs to be a deeper analysis of the fact that the system is a system to measure research output (important to realise that this is a not a system that measures quality) and teaching was then added on top. No effort is made, for example, to evaluate teaching output, not even as much as the number of taught courses or credits. These are a few points that I believe the group responsible for this self-review report should have taken into consideration. Of course there are more.

Responses here are not adequate and misleading. E.g. to the Question "Is the Evaluation System too much focused on incentives for individuals rather than research groups or organizational units such as departments and faculties?" The answer is clearly YS, and this is one of the main faults of the current ES. Also, there is a strong tendency to go into minute details and nuances rather than using a broader, more even and stable ES. Although it may appear on first sight that ISI and "hard" science publications are overly emphasised, distribution of ES points among university sectors does not support this, especially when the resources involved are considered, i.e. points ES points per resource (funds, manpower...) For teaching, unequal distribution of lods and responsibilities need to be taken into account, e.g. the fact how available teachers are to students, and how much they are on the teaching premises.

The summary of the self review is too self congratulatory and does not accurately describe the flaws of the system. In my school - of Engineering and Sciences - there was no call for comments period or open meetings on this self-evaluation of the system. At this juncture, we the ordinary faculty could send in comments. Here are some.

The University of Iceland Individual evaluation system.

In this summary I would like to raise a few objections about the evaluation system that has been in use at the University of Iceland for a few decades now. The objections fall into four main categories. First are concerns about the role and output of Universities. Second is the problem of trying to measure the unmeasurable. Third is the increased corporatization of western universities and the fourth concerns the specifics of the Icelandic evaluation system.

In brief my conclusion is that the evaluation system used at the University of Iceland is fundamentally broken, should be disbanded and a new structure put in place to evaluate the performance of the teachers/researchers at the University.

I. Roles of Universities.
First I would like to highlight the roles of Universities in the modern age. Scholars, like our former rector Pall Skulason have categorized three major roles for University. Skulason identifies the French (Napoleonic) University, a utilitarian institution aimed at serving the nation, solving problems at hand (concerning health, agriculture, industry, army) – often with top down administration, the German (Humboltian) University which is concerned with gathering knowledge for its own sake – letting basic research run free so to speak – obviously with the scholars themselves in charge of administration, and the English (Newtonian) University, aimed at providing the government with skilled personnel to run an empire (administrators, officers, priests, lawyers, bankers etc) – the board of these universities obviously respond to the needs of governments.

Table 17. Cont. Is there anything lacking from the chapter "The impact of the Evaluation System on evaluation of staff and administrators", or anything which is simply incorrect?

Nine people answered this question

Continuation of the answer in the table above

The University of Iceland, like most other universities tries to serve all of these functions. Most of teachers – that I have spoken with at least – work, knowingly or not, conduct their research programs under the premise of the German model and explore questions out of pure academic interest. But research (discoveries and data summarized in articles) is just one output of Universities. Most of the researchers I have talked with agree that educating people is also important, and in this regard adhere to the French or the English models. Educated students are actually the main output of Universities. Thus our service to society, industry, mankind is both through the pursuit of knowledge and educating people. A system that counts only articles (assumes impact factors (IF) can capture quality of research) and at the same time ignores the educational and mentoring aspect of our work – is fundamentally flawed. Also, in small country like Iceland many University professors (or other teachers) are called upon to serve the country or help the press. Many of our geologists help with emergency planning and reactions in responses to eruptions, earthquakes and floods, talk to the press (national and international) and affected communities. Other colleagues are called upon to address and review various other issues in our society. Many of the members of the Dept. of Life and Env. science have been called for senate committees, work with governance, talk to the press or just curious citizens on various issues from environmental to new discoveries in genetics. Again those functions are not evaluated by the system, but they are important nevertheless. To conclude, I am not arguing that the system should be expanded to count all them pebbles, but a system that focuses only on quantity and bibliometrics is bad.

II. We can not measure the unmeasurable.

This brings us to the second point, the outputs of universities are hard to measure. How do we evaluate the impact of a researcher or a teacher? Should we be counting articles, using bibliometrics, counting students, the students average grades or salaries after graduation, number of academic offspring etc. And even if we agree on what to measure or count, how do we calculate an aggregate score – does one Nature publication equal to one academic offspring landing a faculty position. Then are the indirect effects, the impact teachers have on graduate student whose committees they serve on, the services done as reviewers, editors, vocal critics of practices in their own universities (hehe – a joke). This can be summarized in the statement, how do you measure the unmeasurable? You must acknowledge that some things cannot be measured directly, and accept that we have to trust people working in Universities. Treating and evaluating them like a worker in a production line, where every action is stereotypic and measurable is a major fallacy. And it undermines the concept of free research and academic education. How are the teachers supposed to educate and expand the minds of young people if they are scrutinized at every step by a big-brother like master evaluation system.

III. Evaluation systems represent the corporate corruption of academia.

The concepts of the modern university are under threat, by capitalistic mindset and economic models. The model for distributing funds to Icelandic Universities relies on enrollment numbers (with few exceptions). There have been increased calls for developing University – Industry ties, to foster innovation. This is despite quite a number of warning signs, from abroad. The corruption of higher education by the capitalistic mindset is greatly summarized by Jennifer Washburn outlines in the book University Inc. She outlines multiple cases and forms of this corruption, where departments and researchers have let money trump academic values, where Conflict of interest leads to bad consequences. The cost is poorer student education, academic programs are closed, student careers and academic freedom compromised. A system that gives direct financial gain to researchers for publishing articles, more money for more articles, is in my mind another example of economic models being used for governing universities. I remember reading about a Chinese University where researchers got $10.000 for a published ISI article, but $100.000 for high impact article (Science or Nature). Having direct financial incentives puts undue constraints on the academic, particularly if they are not paid well to begin with (which is certainly the case in Iceland and possibly China). Im not going to go as far as saying that such incentives will generate scientific fraud, but the fact is that we are all humans and our values are shaped by intrinsic properties, our upbringing and the environment we work in. Barbara Redman – has pointed out that the rise in academic misconduct, particularly in the biomedical sciences, may be a consequence of the highly competitive atmosphere in those fields. Thus factors that change the academic environment from a collegial, community oriented place, to a cut-throat, dog-eat-dog competition between Universities, groups, PI's and even students within groups, is bound to lead to more people cutting corners and do sloppy if not outright fraudulent science. / In the context of education, the corporate mindset in Universities leads to the relevant players being viewed as employers (administrators), employees (teachers) and customers (students). This is in stark contrast to the peer-run German style University, where the academics decide together. And more importantly it views education differently from the more classical mentor – disciple arrangement, or where the bachelor student explores a field through interactions with many teachers. This is accompanied by shift from BS education being something where students search for meaning for themselves, learn about the world, explore the dimensions of the human spirit and knowledge, to an education being something you buy, in order to get a better life or salary. The reasons for this are multiple, from general mood of western society (from community spirit to individualism), to policies enacted in the western Universities. In my mind this path is a dangerous one, and will erode the education the present and future generations will get. The greatest achievements of the human species are have been the result of cooperation, exchanges of ideas and goods, and communal spirit.

Table 17 Cont. Is there anything lacking from the chapter "The impact of the Evaluation System on evaluation of staff and administrators", or anything which is simply incorrect?

Níu svöruðu spurningunni

Framhald á svari í töflunni á undan

I understand that administrators like numbers to estimate the output of the University in order to be able to compare it with other institutions. The endless competition among Universities, to satisfy the criteria of the various companies compiling lists, Times higher education, US news and report, QS, Shanghai Ranking, etc is also detrimental. It also generates the wrong incentives for institutions of higher learning. They start competing like sports clubs for talent (researchers), donors (grants or philanthropists) or bright/rich (students) etc. At the University of Iceland, researchers at the Heart association and Decode genetics where handed symbolic professorships, mainly to bolster the estimated research output of the University of Iceland. This seems to have paid off because couple of years ago, the University landed on the Times higher education list, in part due to the decode articles and high number of citations they draw. The Division of science at the University will deny this, but Kari Stefansson the CEO bragged in an interview about Decode pulling the University into top 300. In my opinion Universities should not be run in response to external and quite artificial metrics designed by these companies.
In sum, the evaluation system at the University of Iceland is another manifestation of the corporate corruption of the modern university, which seriously undermines the practice of science and may eventually harm the reputation of science among the public. If that becomes the case, then western societies may be heading back to the dark ages.

IV. The ultra individualized evaluation system at the University of Iceland.
Our fourth concern is with the specifics of the evaluation system at the University of Iceland. This section will be brief as my colleagues in experimental biology and I have written about the weaknesses and impact of the Icelandic evaluation system, see letter from Petur Petersen and colleagues accompanying the report. Here I iterate or elaborate on a few points.
The Icelandic evaluation systems started out as a bonus system to settle a salary dispute. The government could not raise salaries for the University teachers (because then other unions would call for similar raises), and the solution was to put money into this bonus system. The proponents of the system, and some of my colleagues in the social sciences have said the system was god-sent, because it encouraged researchers to publish internationally and stirred some sleeping dinosaurs into action. In my mind, this system was not necessary for that. Yearly individual interviews with researchers, outlining progress in teaching, research, societal impact, would achieve the same result.
The general objections to the system are the following. 1) A system that measures everybody with the same metric, is not just. Fields vary in tradition of publication and the amount of work needed for a good study (publication). 2) We humans respond to incentives, the metrics used by a system will influence behavior of the academics, for instance lead them to neglect their teaching at the expense of research. 3) The system can not measure excellence, only general output. Thus it should not be used to rank researchers – if anything a bean-counting-device like this system can only be used to see if people are not active in research at all (however usually – those individuals are known to their peers and department head). 4) The system started out as bonus system, but has now been expanded as a general tool for distributing goods to individuals within the University. It has become all over-reaching and infiltrates all major decisions. 5) System of this kind generates friction between researchers and departments/disciplines. There are noticeable frictions within the University because the system is currently used to distribute research funds, and more importantly funds for PhD students. The system favors certain researchers who follow a high output model, some sort of factory belt science, where multiple similar or nearly identical papers are produced, where only one small thing is changed. I will state this here openly though I know those individuals will not be pleased (which is an example of the friction the system generates) – where the same survey is done in different years, but each published as a separate unit, or where the same analyzes are done on 10 related compounds and each published as a separated paper. The University administrators, the division of science and innovation in particular, have implemented and polished the system. They are reluctant to drop their baby, which in an understandable sentiment. But it must be stressed that all University systems should serve the greater society and meet the functions and roles of the University. Every call to reform the system has been met with resistance by the administration, at several different levels. The current review is the first positive step in this direction, though the wording of the document suggest strong influence of the values and stance of the current University administration.

Table 17. Cont. Is there anything lacking from the chapter "The impact of the Evaluation System on evaluation of staff and administrators", or anything which is simply incorrect?

Nine people answered this question

Continuation of the answer in the table above

V. Possible solutions to the problem.
Certainly it is harder to solve a problem than describing it. My view on this system and its implications have evolved in the 9 years I have worked at the University. Now I am firmly against this system, and bibliometric systems in general, on the grounds outlined above. I think the system has to be abandoned. I know this involves renegotiating the salary agreements of the government and the professors and teachers unions. An interim step might be however to disentangle the system from distribution of goods within the university to minimize it detrimental effects. A future solution could be a two tiered evaluation of the overall performance of each teacher. First, there should be early interviews with the department head where the teacher outlines her/his focus in teaching, research and mentoring of graduate students, and in the relevant cases community/societal outreach and/or innovation. This interview needs to hit all of those posts, as our jobs are multifaceted. The second tier would be external evaluation, done at the department level every 4-6 years where each faculty has to put together packages of their work (the same categories as above). For the research this would not list all papers, but highlight 1-5 major outputs or discoveries. This allows the faculty to focus their work on major topics, and not have to worry about publishing "bread-and-butter" publications and allow them to focus on projects of substance. This would also allow faculty to review their future education and research aims and discus and debate them with capable minds. Such an arrangement is inspired in part by the changes implemented by the University of Utrecht, see for instance piece by Benedictus, Miedema and Ferguson in Nature 2016.
To summarize, Iceland has developed a hugely biased and wide reaching individual based evaluation system that threatens the core values of academic education in the country. The debate about the system, its functions and flaws has been largely unstructured and in some cases discouraged by the higher levels, with all changes in the system being in the direction of extending its reach. Thus, the input of the external professionals is extremely important, and we sincerely hope they can offer concrete suggestions on how to unravel the mess.

Most sincerely,
Arnar Pálsson

Table 18. On Chapter 2.2. "Summary": Do you believe that the chapter provides an accurate description of its subject?

	Number	Proportion	Proportion
Yes	19	63%	63%
No	11	37%	37%
Number of	30	100%	
Did not answer	3		
Total	33		

Table 19. Is there anything lacking from the chapter "Summary", or anything which is simply incorrect?

11 people answered this question
The same answer applies here as before.
Are the first "summaries of answers from all respondents" on pages ... er something .. only from the school/faculty working groups – or are they also from the rectors.
The summary for Chapter 2.2 provides insufficient weight to the issue of division of points for jointly-authored publications. It should be noted that the great majority of academic and scientific institutions around the world acknowledge and credit the additional workload of the senior (primary) author in preparing a publication. In many cases, the senior author does 80% of the work in preparing the publication, and the majority of the work in pushing the project through to completion. It is incredible that Iceland does not accept this fact, and that it uses a multi-author point system that penalizes the senior author, and goes against international wisdom. A second issue which is given only passing comment in the summary is that the current multi-author point system discourages national and international collaboration. There are few instances where a multi-authored project would not be superior to that conducted by a single individual. Most international academic and scientific organizations acknowledge this fact, and actively encourage collaboration. It is counter-productive for the current system to discourage collaboration through the point system.
- It is correct that quantity is evaluated more than quality, but still it is not stated clearly enough that publishing in ISI is in fact a mark of quality and the top 20% of ISI gives 33% more points (20 instead of 15). - There needs to be a more detailed discussion of Iceland vs. foreign publications, both in the summary and the main body of the report, this is a weakness in the system which is little discussed but which has a huge impact, e.g. on the enthusiasm of the public/politicians for funding UI. - It is clear from the report that quality of teaching is not evaluated nearly enough, this should be stated more clearly in the conclusion and discussed in more detail in the report. - There is little to no discussion of how well the current system fits in with UI's new strategy, this should be more clear in the report.
The summary provides by and large a reasonable picture. I just wish to emphasise the following: There has been a stubborn reluctance to recognize that first authors and senior authors deserve a greater share of points. In highly multi-authored papers in Nature it may well be doubted that authors whose contribution is providing samples can take full author responsibility for complex content, yet they all get the same number of points. How can it be acceptable that two authors receive the same number of points for a short general paper (editorial style) in the Icelandic Medical Journal and a paper in Nature Genetics with 9 authors, which was a breakthrough and is much cited? This is a genuine example.
There needs to be greater emphasis on the general dissatisfaction with the system and the view amongst staff (2.1.3) that it is not possible use it to compare different disciplines. The final point about too much emphasis on the natural sciences and ISI articles is not enough and does accurately represent this view amongst staff. It also needs to be mentioned that 39% of staff believe that the system should be discontinued, which must be considered a damning indictment.
Answers are very much influenced by the interests of the respondents. / The system must be reviewed by external parties not affected by the system.
See previous comment.
The conclusion that most people consider the ES objective needs to be qualified, especially with respect to other aspects than research. Also, it should be noted that the ES offers some opportunities for manipulation, e.g. academics can take advantage of opportunities offered to gain points fairly easily, e.g. by superficial upgrades of internal or domestic meetings and workshops. Such opportunities are probably not evenly available across the public university system. Another issue difficult to deal with, but worth consideration, is hoe the ES works in the different universities. A touchy but important issue.

Table 19. Cont. Is there anything lacking from the chapter "Summary", or anything which is simply incorrect?

11 people answered this question

I agree for the most part, but those points that I thought should be included in 2.1 should also be in the summary so I will repeat them here (needs to be summarised more briefly but I'll just hastily leave it as is).

1. The Rector of UI says that there is inequality between research and teaching, which is certainly true. On the annual performance report there is a teaching section where you have to describe your teaching vision and other things, but nothing is done with this section (I doubt anyone even reads it, at least there is no feedback on it and in fact it would be possible to leave it blank). It would be best to directly post teaching visions to Ugla so that students could get to know teachers and their visions. Other evaluations of teaching are completely based on quantity rather than quality.

2. It doesn't have to be difficult to evaluate teaching. Peer review, self-review and the Centre for Teaching and Learning can all contribute towards effective, diverse evaluation of teaching. It also isn't the case that the teaching evaluation surveys are useless for evaluating teaching (only those who can't be bothered to think about what they're saying would suggest this), they are certainly one of several metrics. There are certainly gaps in terms of field and gender (women are often treated unfairly) in the teaching evaluation surveys and it is not possible to say that a teacher who receives 8 is worse than one who receives 9. But it is possible to say that there are serious problems with those who frequently receive 5 and those who frequently receive 9 are doing something right.

3. It is claimed that in some disciplines it is harder to earn research points than in others. But this is also true within the same discipline. E.g. in mathematics, someone specialising in statistics will manage to publish many articles per year whilst someone specialising in traditional mathematics will probably only manage to write one article every few years. Both parties are working hard on their research, but the nature of the subjects differs, even though both come under the same discipline. This is true of more disciplines than just mathematics.

4. It is claimed that the system is transparent, but I don't agree with this. In some categories (e.g. A7.2 Editor of a book, A8.1 Reports, A8.2 Reviews, A8.3, A8.4, A9.1 Teaching material, A10.2, A10.3, A10.5, A10.6, A10.7.1-12, A12, B1.3, B2.1-2, B3.1, innovation in teaching and many service categories) it is said that the number of points available is from zero to 'certain number' and there are no specific rules determining how work will be ranked on this scale. The same is true of books. When requests have been made for precise rules on how work is ranked within these categories (or examples of books sorted into different categories), the Division of Science and Innovation has not been able to provide the information (which book got 100 points and which book 80 points, which book didn't get any points? It is only said that books will receive up to 25 points, up to 50 points, up to 75 points or up to 100 points, republications up to 10 points, but how do they decide whether a book is towards the top or the bottom of these categories? And what sort of book gets no points?). The system is certainly transparent for some categories (such as journal articles and citations) but definitely not in all categories (which in fact outnumber the transparent ones, although they possibly give fewer points overall as the report shows – perhaps this is because people don't make an effort for a category that could be worth zero points).

5. It is claimed that some people find the annual performance report to be a lot of work and I agree with this. But it is not clearly stated (and this has always happened to me) that it also takes a lot of effort to get everything evaluated correctly according to the established rules. When the annual performance report is returned, there is no explanation of why certain points were awarded, and then you have to spend time working out what's going on (missing data or things evaluated differently to how you expected and what the rules say), and then it's an effort to get it corrected (even just calculation errors). Very wearing and it reduces my output at least.

6. The research system has certainly encouraged staff to publish their research where they can get the most points for it (and thereby climb up international rankings) but has the cost to the University been investigated, in terms of teaching, public outreach, staff satisfaction (which has a direct impact on output) and other kinds of research?

Table 19. Cont. Is there anything lacking from the chapter "Summary", or anything which is simply incorrect?

11 people answered this question

Comments on "The evaluation system for public higher education institutions in Iceland"

Academia, the heart of the modern university, is a society of scholars and researchers. The role of academia is scholarship/teaching and research. The notion of academic output that can be counted or directly measured as if it were a product in a factory, is erroneous, and indeed can be very dangerous to the mission of universities. This is especially true, if it is the output of an individual is rewarded financially, as most individuals respond to financially incentives, if they can.

Bibliometric evaluation systems were designed to compare journals and fields, and can be used to gauge the over-all performance of larger units, or the effect of changes. Impact factors and bibliometric tools were, for a reason, not designed to determine the fate of individual scholars and to reward their output financially. The emergence of an individual evaluation system at the University of Iceland, which was initially put together to settle a salary dispute (to distribute a slight bonus to researchers with more productivity), has now metamorphosed into a major determinant of academic behavior. The system is now affecting hiring of faculty, choice of research projects, distribution of funds, teaching discounts, salary, promotions, retirement salary, access to graduate student funding, sabbaticals etc.

The Icelandic evaluation system, has been increasingly criticized by researchers at the University. We have called for responsible and objective external review of this system. The influence of this system has become too far reaching, and its incentives can potentially affect academic research in a very negative manner. The system clearly discriminates against certain fields of science. Whether any individual evaluation system which affects the salaries and careers of individuals should be in place per se, is a valid question in itself (as the great majority of prestigious universities do not have the need for one). If so – it should be constructed differently. Indeed, explaining the system to foreign researchers, it nothing but embarrassing.

The report does not focus on the main issue. The current report describes the system and attempts to clarify both how the system works and its effects (as judged by panels and rectors of the universities). The opening statement of the analysis part, states that it is difficult to measure everybody with the same metric (part 2.1), while we argue that it is in fact impossible. This is the major premise of the system, and it is false. Small amendments, recently added or suggested, do not change this fact.

It can be argued, that the decision whether to implement an individual evaluation system should be based mainly on whether the system is fair and does not discriminate. Very little in the report (apart from responses to questions), relates to this important issue. Therefore we have made the following comments, drawing attention to these issues concerning the system and its effect on academia. We believe this to be a valuable addition to the report, introducing the conundrums and academic divisions generated by the evaluation system for example between administration and academia, and between different fields of study.

Does the system work? If so, how? The UI is a national university. It has a strong connection with all national research institutes. Most of the faculty have studied abroad at the most prestigious universities in the world, and are hired after a lengthy evaluation process. Iceland has been at the international forefront of human genetics and geology, especially. High quality academic work is to be expected and indeed, the work performed at UI is of very high overall quality. This has little to do with the evaluation system per se.

Conversely, the average salary of university faculty is close to the average salary in Iceland (i.e. it is very low compared to educational level and extremely low compared to other countries). Academics, usually owe high student loans and are often starting families and buying property in their thirties or later. The individual evaluation system is based on productivity measured by individual publication units and this does clearly generate incentives to produce a higher number of publications, if possible. The actual ability to respond by increased output as measured by the system differs greatly between different research fields. The evaluation system automatically discriminates against those with lower output in terms of units of publication, even if the lower output it is the result of pure scientific reasons (such as working in mathematics), choice of research problems or due to different publication traditions.

This has been called academic bullying. This is also possibly an example of how a faulty system is maintained by those which benefits directly from it, at best by not providing incentives for change. Most of the faculty who determine science policy at UI benefit directly from the system and should make a full disclosure (in millions of kronas over the last five years) to any outside evaluators of the system.

Is productivity in itself valuable? The evaluation system used at Icelandic Universities benefits those who, for various reasons have large output. One reason for a high output is obviously scientific merit, but it does not lead directly from there that all those generating new knowledge of high value are rewarded by the system.

Productivity in itself has no intrinsic value. Often only time can tell whether a study or a publication is important. In modern times, it is even becoming clear that over publishing is a toxin to academia, clogging the system. Thousands of publication that are not widely read or contain half-truths or tidbits of data are a waste of tax payers money. Why does a researcher at UI who could work carefully and publish five high-quality papers a year, publish twenty? Why do researchers proudly state that they have published hundreds of articles? This is driven in part, by the evaluation system and its financial incentives. Additionally, incentives to produce benefits the university, as a productive unit being compared to other universities, which makes the administration believe that they are doing a good job, while, in fact, they are doing the opposite.

Table 19. Cont. Is there anything lacking from the chapter "Summary", or anything which is simply incorrect?

11 people answered this question

Continuation of the answer in the table above

The rector of UI, states that the evaluation system is good for productivity, but we would argue that the publications that are most affected by the incentives of the evaluation system, have less impact. High-quality work is not affected much by the system, but incentives for other publications, while perhaps counting towards higher rating of UI, should not exist. Removing the system all-together would not affect quality (it might even increase it!), but it would affect the quantity.

The system discriminates and can generate risky behavior. The system discriminates between different fields or scientific approaches. This is treated somewhat trivially in the report („are getting the raw deal "). However, the system discriminates against fields where publications are based on years of data collection or complex costly experimental setups. In these fields, multi-author papers are the norm. Hence, by nature and tradition, these fields do not produce many papers. If any kind of evaluation system should be in place, it should not discriminate against a large proportion of those being evaluated or mold the academic work, it is supposed to be evaluating. This is even against the values listed in the current strategy of the University:
"Equality is a guiding principle of the University and the basis of diversity and respect in the academic community"
The system does not value risk takers or researchers that with great carefulness study a problem for a long time, and do not rush neither their work nor publication. Or, researchers which attempt to have a balanced work/family ratio, again going against the current strategy set by the university. The system likely discriminates against women. It works against researchers who work in competitive fields, where they can be scooped – and encourages work on less risky issues, and therefore perhaps less important ones. The system works against innovation, because innovation is risky and less likely to yield publishable data than safer avenues of research. In many ways the evaluation system simply works against good science, as high productivity and good science are not same thing. They can be, but usually they are not.
The system generates the wrong incentives and benefits non-risk takers, in certain fields where publications are rapid. If UI scientists were ranked by productivity, we can easily claim that the top one is in no way a better scientist than those ranked number five, ten or twenty . (We can't actually do this, because the lists are confidential). Some argue that the top 25% researchers are better, or at least more productive than the bottom 25%. Perhaps this might be true, but is also likely to reflect differences between research fields. This is in fact true in individual departments, as for example in the Department of medicine, the evaluation system first and foremost distinguishes between different research fields (e.g. epidemiology, clinical research vs. experimental basic research), rather than identifying the best scientists within each sub-field.
The university system in Iceland is massively underfunded. Putting pressure on researchers to publish, without providing the resources to do so, risks lowering quality and at worst leads to misconduct or science of reduced quality. Research has shown that scientific misconduct is more often the consequence of toxic scientific environment, not just done by few "bad apple" researchers. It is the responsibility of the current evaluation of the system, and those who participate in it, to realize this and act accordingly.
The inevitable conclusion? Embracing or rejecting the individual evaluation system is an ethical question. If, one believes scientists and scholars to be identical productive units that need extra financial incentives for their labor and that 30 publications are 30 times better than 1, then the evaluation system is something to consider. If one does believe that good science and good scholarship are driven by internal factors, the longing to understand and to discover, one must refuse the lure of the productivity incentive of the Icelandic individual evaluation system.
If, one admits that it can generate the wrong and strong incentives and unfairly discriminates against those in certain fields or tho+A26:A29se who take longer to generate data and knowledge – one must see that the system works against academic values – quality, academic freedom and united academia. For us the choice seems obvious.

Pétur Henry Petersen associate professor University of Iceland
Erna Magnúsdóttir associate professor University of Iceland
Arnar Pálsson associate professor University of Iceland

General position on the draft report

Table 20. On the whole, how satisfied or dissatisfied are you with the current draft of the internal review of the Evaluation System for Public Higher Education Institutions?

	Number	Proportion	Proportion
Very satisfied	5	17%	17%
Somwhat satisfied	10	33%	33%
Neither satisfied nor dissatisfied	5	17%	17%
Rather dissatisfied	6	20%	20%
Very dissatisfied	4	13%	13%
Number of answers	30	100%	
Do not know	1		
Did not answer	2		
Total	33		

Table 21. Is there anything else you wish to say in connection with the Evaluation System for Public Higher Education Institutions?

21 people answered this question

Comments on the Evaluation System at UI In recent years I, along with others, have questioned the UI Evaluation System, since a system based on quantity rather than quality has no place in an academic university. I don't know of anywhere outside Iceland where the number of scientific articles is considered without reference to their content and the amount of work they required. It is not enough to evaluate the publication outlet. Consideration must be given to the amount of work that lies behind the research in question. This report is only a description of the current system and describes it as such, but does not address criticism other than simply reporting it. The report states, for example in the comments from UI (page numbers missing): "We must be sure that the system is really measuring quality and success in all academic field." But this is exactly the problem, that the Evaluation System does not do this. The current system discriminates between researchers based on the nature of their research. This is most obvious from the different outputs of respected researchers at UI. This difference then affects promotion speed and therefore the base salary and lifelong salary of the employee in question. I also believe that women of child-bearing age face discrimination in this system, since it takes them longer to get a promotion if they take maternity leave. Ideally, the self-review report would discuss in detail the criticism of the Evaluation System from UI staff and propose some sort of reform. Since this is not the case, I feel compelled to stress once more the unfairness of this bonus system which undersells us all and which is called professional. It is not.
The evaluation of research is increasingly changing into a measurement of 'impact'. This is somewhat lacking in the current system, in particular 'impact' on the immediate environment, i.e. Icelandic society. This must be examined, e.g. with regards to the fact that it is difficult to explain research to the general public.
Undeniably based on the 'Matthew effect' - the rich get richer. It is very difficult to get started, having enough in the pipeline to meet requirements whilst at the same time having no opportunities for sabbaticals or research funding to help realise projects and publications.
Chapter 1.5.3 Permanent appointment: In order to get permanent appointment, "teaching" staff members should accumulate 40 advanced points (research points) to be permanent, whereas researcher specialists need to accumulate 50 points in the same period of time. If I consider that Teaching staff members are appointed for 40% teaching 40 research and 20% administration (or 50-50 between teaching and research), whereas research specialists are appointed for 80% research and 20% admin, I find that the difference in requirements is disproportionate. Not that it is awfully difficult to collect 40 research points in 5 years, but why aren't the research specialists required to collect approximately the double, when they have double time for it? I think teaching somehow seem to be a second rated activity at Universities here. It should not be!
I want it plainly stated that the system will be discontinued or that its impact will not be as all-encompassing as it currently is. Firstly, it is impossible to use the same rule for different academic fields – they differ in nature and the system does not at all account for this. Secondly, the income of university teaching staff should be solely a monthly salary in accordance with a collective wage agreement – and research activity or anything else which is an inherent part their employment duties should have no impact on their direct income, especially not when people's contributions are clearly not being evaluated properly. Thirdly, there is a snowball effect in the way the system works. Those who manage to do well once find it easier to get more funding from the Research Fund and increase their chances of getting a grant from the Doctoral Funds – this makes it easier for them to accumulate more points. Others who have not come as far or have got into a slump in their research for whatever reason (or cannot get their work evaluated due to the shortcomings of the system) receive almost no funding from University funds, no doctoral students, risk losing their sabbaticals, receive increased teaching duties etc. and are therefore unable to get out of the research slump. This creates inequality, stress and job dissatisfaction. Fourthly, the system is opaque and unclear, points for some categories are even dependent on the whim of the evaluators. I could go on listing the flaws of the system, but first and foremost I believe that the system must be examined with a fresh perspective. The purpose of the system must be clearly stated and it must not be allowed to have a negative impact on people's ability to conduct good research and perform well in their teaching – because it certainly does this as things stand.
I hope that everyone affected by the system gets the chance to discuss it with the external reviewers. I think the start of this project has been carried out in a very strange manner, since all UI schools have been asked to appoint people to the working group involved in the review, but at the same time other public universities have been offered one joint representative, appointed with little input from the universities.
It's great that this project is being done, since it has a huge impact on our jobs, and it is important that the work is carried out to a high standard.
It is important to develop a simpler ES encouraging excellence in all facets of the international research university, encouraging collaboration and just use of resources. There should not be enormous differences in ES based bonuses as we see today. There is not such a difference in the capabilities and work output of university academics.
To some extent, the system has been successful in encouraging research and publication. Now the system has begun to have too wide an impact on wages and work environments and even the finances of organisational units. Icelandic universities also need to raise their standards and not simply aim for more publications, but better publications. My suggestion would be to reduce the impact of the system, instead evaluating research in each field based on the nature of that field and even conducting regular comparisons with universities and faculties abroad.
I believe the report lacks discussion of the surveys that have shown the extent of workloads and how much stress academic staff experience after the introduction of the Evaluation System. The system encourages people to work a lot without sufficient consideration of other needs, for example exercise, family, friends and leisure.
See my answer to 1.1.

Table 21. Cont. Is there anything else you wish to say in connection with the Evaluation System for Public Higher Education Institutions?

21 people answered this question
The report is an extensive, quality and necessary piece of work. With regards to the Evaluation System, I would have liked to see more discussion from the self-review teams of the public criticism directed at tally systems of this sort. Encouraging success is a positive thing but motivation of this kind must not lead to unreasonable competition between academics and lower quality of work done at the University, e.g. the tendency for academics to emphasise the number of published articles over their quality. We need an Evaluation System that does not do this.
Such systems are very influential, which contradicts the principle of academic freedom. For this reason I am extremely critical of it. Too reminiscent of a livestock inspection!! The system promotes the shaping of thought rather than free thought. The system also promotes a certain arrogance and distance between academics and the public, which is dangerous to society as a whole.
I believe that a cap of 60 points for professors is unreasonable, not least since other university teachers are not treated the same way. Articles can be published before or after the author had intended and some years you can get a very high number of points and the next year very few. This must be changed.
This process should have been more open, with open meetings and symposia.
Regarding the report: Appendices are missing – it would have been particularly interesting to see Appendices VII and X. It would be better to number the pages. Regarding the Evaluation System: The system is a burden and has started to control all University operations. It dampens the enthusiasm of people who communicate scientific knowledge to the public and do other work that does not give points but is still considered to fall under the basic purposes of universities. For example, when staff contributions for events are requested, it is specifically stated that the work will be worth points. This either means that staff are reluctant to do anything unless they get points for it, or that the organisers believe that academic staff will not do anything unless they get points for it. In either case, the conclusion is equally depressing. It is possible that such a system, which is mainly focused on measuring ISI articles, could be used to compare universities or similar faculties in different universities. But it is almost useless to compare individuals within the same university, even within the same faculty. Things that the system does not take into consideration, and will probably never be able to, include: * Different practices regarding number of authors. Articles in experimental chemistry, for example, often have a very high number of authors (http://www.nature.com/news/physics-paper-sets-record-with-more-than-5-000-authors-1.17567) but for mathematics the number of authors rarely exceeds 5, usually being 1-2. * Different practices regarding number of citations. * Different publication frequencies, even within the same discipline. The publication frequency for statistics is much higher than for probability studies, even though these fields are closely linked. This causes problems for probability theorists, e.g. when their journals are categorised alongside statistics and the impact factor is calculated accordingly. * Other different conventions. In engineering, it would be unusual if the supervisor was not a co-author alongside the doctoral student, but in mathematics it would be a warning sign if the student was not the sole author of at least one article. The Evaluation System affects University operations and staff behaviour. Some of this is potentially positive – if the number of ISI articles is a metric of a university's quality (as THE believes) then the system does indeed encourage an increase in these. But it discourages staff from other innovation, riskier and more time-consuming research and knowledge transfer. It is bad that the typical member of staff within a certain discipline receives a significantly lower salary over the course an academic career than a typical member of staff in another discipline, simply because the disciplines are not equally compatible with the Evaluation System. The system is bad for morale at the universities and I believe most people see it as a stick rather than a carrot. The system only creates incentives and punishments; there is no system that helps staff to improve and expand their research. There is significant dissatisfaction with the system and negative comments (even from engineering and the natural sciences, for which the system was designed according to comments in the report) should not be ignored.
This is a very odd survey – the contents of the report are not wrong in and of themselves and it's bizarre to ask people to spend their time signing off on it. However, the report does not identify the problem, which has to do with the fact that there is no hint of any idea of how this might be approached in a different way. This is just building a foundation for more patching up of the current system.
The whole discussion of the Evaluation System would be much better there was a requirement that criticism of the system had to be accompanied by ideas for solutions. Teaching is not given enough weight in the Evaluation System. I suggest that the teaching component of employment duties for staff who do not conduct research should be increased at the cost of the research component. We should proceed carefully with any changes to the rule for division of points for jointly authored material and as long as those who criticise it don't suggest any good ideas, it should be kept unchanged.

Table 21. Cont. Is there anything else you wish to say in connection with the Evaluation System for Public Higher Education Institutions?

21 people answered this question

Sent by email to the Social Science Research Institute (Guðbjörg Andrea Jónsdóttir, Director), 7 November 2016:

Review of the Evaluation System for Public Higher Education Institutions

Reference is made to an email, dated 3 November 2016, in which University of Iceland staff were invited to comment on a draft report on the Evaluation System for Public Higher Education Institutions in Iceland, (*Description of Self-Review, draft October 2016*).

Here follows a statement from the Faculty of Law.

Basic research involves experiments or work conducted primarily with a view to gathering new knowledge on phenomena and events without consideration of technical transfer or practical use. Applied research, however, is about a deliberate creation of value, although such research is otherwise conducted on similar principles as basic research. Research in the law complies with the same rules as research in other disciplines, with the main considerations being progress and the acquisition of new knowledge. Research in the law is then well suited for deepening our understanding of society and therefore promotes increased quality of life.

The main principle of an academic community must be that all academic research is equally valuable. Conflicting principles lead to discrimination. It does not matter whether the research focuses on a large or small issue, natural phenomena, man made systems, or the behaviour or composition of certain social groups. It does not matter whether the research is based on a description of facts, their codification or conclusions drawn from them. It certainly does not matter whether the research pertains to location-specific matters or those with farther-reaching implications. For instance, research into Iceland's energy sources has an impact in other countries. It may well be that Icelandic research into 'economic collapse rights' will have an impact far beyond the borders of this country. When evaluating the impact of research, the best metric is clearly whether the research is of such a nature that it will have an impact on other areas. It doesn't matter what language the research is conducted in, since international communication of research results is easy, e.g. through translations, presentations at foreign conferences, public lectures, etc. The main issue in evaluating research is its quality. At a minimum, it must reflect a search for truth, objectivity and honesty and be based on recognised methodology. As well as everything above, research must undergo peer review.

The comments on the draft report on the Evaluation System for Public Higher Education Institutions (Summary of answers from all respondents) reflect the view that although the Evaluation System has many benefits, it also has certain downsides, most of which are directly linked to the system itself and would be easily remedied.

The most important metrics used in the Evaluation System are poorly or not at all suited to research in the field of Icelandic law. They encourage homogeneous research, discrimination based on language, and a disconnect with Icelandic society. The major incentives of the system, i.e. publications in ISI and ERIH journals, along with the narrow interpretation of the definitions of categories A2.3 and A3.3, lead to discrimination and researchers are not treated equally when it comes to evaluating research activity and impact. It must also be kept in mind that payments for research output are included in the terms of employment for academic staff at the University of Iceland and the number of research points affects salary bracket.

It is necessary to continue developing the Evaluation System and motivate staff to research Icelandic law and publish research in Icelandic, whether in Icelandic journals or through other Icelandic academic publications. The above points underline the importance of better tailoring the Evaluation System to those fields in which research focuses on Icelandic society and circumstances, is conducted in Icelandic and published in Iceland.

Otherwise, we agree with those comments already made on the draft report on the Evaluation System for Public Higher Education Institutions.

Yours truly,
Dr Aðalheiður Jóhansdóttir, Professor
Head of the Faculty of Law

Table 21. Cont. Is there anything else you wish to say in connection with the Evaluation System for Public Higher Education Institutions?

21 people answered this question

Sent by email to the Social Science Research Institute:

November 10, 2016
To the committee evaluating the Evaluation System for public Universities in Iceland

The Evaluation System (ES) has been used for two decades to evaluate the performance of University teachers. For the last 19 years, I have criticized this system as unfair and counterproductive to the scientific process. When I started criticizing the system 19 years ago, it was only used to determine an annual bonus for University teachers. However, today it is used to make hiring decisions, promotions, sabbaticals, teaching discounts, salary levels, grants and grant amounts and the annual bonus. In essence, the University uses the system as a measure of the quality of University staff. The single measure, points gained per time unit, is used for all the above decisions and deans use this to decide on the fate of university professors. I think this is wrong and will eventually lead the University on a disastrous path. This system gives more rewards to fields that publish many papers per year and leaves other fields behind (in fact professors with many points brag about this and young faculty discuss their points like they are worth something). If the University really believes that this system advances the quality of its scientific output, the best solution would be to eliminate all fields that publish few and multi-author papers and emphasize only those with many points.

The major problems with the ES are the following:
1. It is impossible to devise a system that uses the same measures for all fields of science. The different fields behave differently and have very different publication traditions. In some fields, it is possible to publish many papers per year, whereas in other fields publications are fewer as they call for the generation and analysis of novel data. In some fields, multi-author papers are the rule whereas in others they are the exception and if they take place involve only a few authors. In some fields authors on multi-author papers are listed in alphabetical order whereas in other fields the order of authors is more complicated (see example below). In a way this is like trying to evaluate the performance of soccer players to that of handball or basketball players by counting the number of goals and dividing by the number of players. It is obvious that basketball would always get the most points. However, soccer and handball are also important sports.
2. The ES rewards productivity first and foremost. This encourages simple studies of low significance that are easy to get published. The more papers, the more points, the higher the annual bonus, the faster promotion and so on. The number of papers you publish per year is not a good measure for scientific quality or impact. It can even be argued that the more papers per year, the less actual knowledge is being produced.
3. The ES does not sufficiently reward high impact research. It gives 15 points for publications in ISI journals and 20 for the highest 20% in each category. The 25% difference in points is ridiculous since it is much more difficult to publish in the highest impact journals (especially the top 5%) than in most ISI journals.
4. The ES punishes for long-term projects. They are too expensive for the scientist involved as they may lead to only one publication in a long period. This is harmful to the scientists involved as they will not get the annual bonus and promotions will be slow. Why should anyone start a long term project under this system?
5. The ES leads to the avoidance of risky projects of possible high gain. Why take on risky projects that are likely to fail since the ES will punish harshly? It should be noted that risky projects are the projects that often lead to high impact results and open new doors and possibilities.
6. The ES punishes for collaborations and for co-authoring papers with students. This is due to the rule of dividing the points with the number of authors. Collaborations and co-authoring papers with students/postdocs are common practice in my field, life sciences, and lead to a significant number of authors on most papers. This means that a high impact publication with many authors leads to few points for the group leader. To gain points in the system it would be better for the people involved to take the work and divide it into many papers with fewer authors, rather than assembling it into on major coherent story. Is this really what the University wants?
7. The ES has a rule that those who publish jointly between one and four papers per year, get additional points for one publications; two if you publish more than for per year. This assumes that scientific output is linear and that you publish a certain number of papers per time unit. However, that is not reality. When long-term projects are undergoing, there may be no publications for a couple of years, followed by a single or few publications. Say a laboratory is involved in a large project and publishes nothing for 3 years while the project is undergoing and then 4 papers in one year after it has finished. Why should the authors then get fewer points than an author who co-authors one paper per year during the same period? Is the latter scientist producing better information? Is he producing more important work for the advancement of the University?
8. The ES disregards the different roles of authors on scientific publications. In life sciences, the first author is usually a student or postdoc who has performed most of the work whereas the last author is the principal investigator who runs the lab and directs the work. The system simply takes the points and divides by the number of authors and assumes that all contributed equally. This is an incorrect assumption.

Table 21. Cont. Is there anything else you wish to say in connection with the Evaluation System for Public Higher Education Institutions?

21 people answered this question

Continuation of the answer in the table above

The University claims that the ES has boosted productivity, including that of high-impact research. I disagree with this conclusion for the following reasons.
1. The increase in ISI publications over the last decades happened at the same time as the University was growing in size. This statistic therefore needs to be corrected for the increased number of University teachers.
2. During the last two decades, there has been a change of guard, where retiring older professors are being replaced by younger scientists who often come from abroad where they have been trained in modern science and are more used to publish in ISI journals than the teachers they are replacing. The statistic reflects this fact.
3. In the earlier version of the ES, the system did not emphasize ISI publications and there was no reward for high impact publications. Despite this, an increase in such publications was observed. Thus, the claim that the increase is due to the ES is not substantiated.
4. For a long time, the University of Iceland did not emphasize publications in ISI journals. However, ISI journals were emphasized in all of Scandinavia and the rest of the world, with heavy empasis on impact. This partly explains the increase in proportion of ISI journals in Iceland – there is simply less of an increase elsewhere because it was at a high level before.
5. The increase in high-impact publications from the University is mostly due to the activities of Decode Genetics and The Heart Association, both of which publish regularly in high impact journals. Their publications always have University of Iceland affiliations due to the collaborative nature of their work. If these publications were removed from the analysis, I am sure that there will be a lot fewer publications in the highest impact journals from the University of Iceland. The ES has no effect on the behavior of scientists at Decode and limited effects on the Heart Association and therefore have not affected the behavior of the lead authors on those papers.

I hope this review process will lead to major changes in how the University of Iceland reviews the performance of their staff. I think that using a point system for evaluating scientific performance is simplistic and will not increase high impact research at the University and may actually be harmful.

In my view, this system should be replaced immediately with a 5 year peer-review process where each department and each University teacher is evaluated with respect to scientific projects, performance and output (papers, students, community effects). The peer- review would result in recommendations to the University rector, Schools and Departments and be used to encourage the staff to improve their performance. This would be seen in a positive light by staff as they would be reviewed by world leaders in the different topics under review at each time. I represent Iceland on the EMBL council. The council has a Scientific Advisory Committee that performs a review of EMBL activities every 5 years. Each division has a separate review cycle and each principal investigator is reviewed on a regular basis. The reviews end up in detailed reports with a summary of each investigator, describing what has been done well and what can be improved. These reports are very useful for the Director of EMBL, for EMBL Council and for each member of staff. And of course they are used for making decisions for tenure, salaries and for deciding if investigators want to stay or leave. The University of Iceland needs a similar system.

Best regards

Eirikur Steingrimsson, professor
Deparment of Biochemistry and Molecular Biology
Faculty of Medicine

Table 21. Cont. Is there anything else you wish to say in connection with the Evaluation System for Public Higher Education Institutions?

21 people answered this question

No consensus has been reached on this system and every time attempts are made to remedy the flaws, the list of work evaluated just grows, but the dissatisfaction remains. The only people who are happy with the system are those who get more than 12.5% on top of their salary out of it. Discontinuing the system and raising everybody's salaries by 12.5% would therefore lower some people's wages and raise other people's and clearly nobody wants to take a pay cut. Therefore it is useless to ask people who do well from the system whether the system serves its purpose. Within the University there are people who think of nothing but the system, who do not take part in various (unpaid) faculty work and make teaching their lowest priority, since there are no consequences for poor teaching performance. This means quite simply that the others have to take on more work and projects that are not evaluated in the points system.

The Leiden Manifesto for research metrics (2015 - http://www.nature.com/news/bibliometrics-the-leiden-manifesto-for-research-metrics-1.17351) criticises systems such as the one used by UI (1,6,8)

Linda Butler (what happens when funding is linked to publication counts) concludes on the basis of Australian data in ISI databases that linking funding with an academic evaluation system (particularly bibliometrics) results in a clear increase in the publication of academic articles, especially once the system is established and especially in lower-ranked journals, but does not result in a measurable increase in the quality of scientific research. There is therefore no reason to claim that it is possible to inspire quality through the direct linking of funding and measurements of output.
Geuna and Martin (University Research Evaluation and Funding: An International Comparison) analysed the pros and cons of such systems and concluded that even though the pros could outweigh the cons when such systems are first established, their success appears to dwindle as time passes.

Tables

Figures