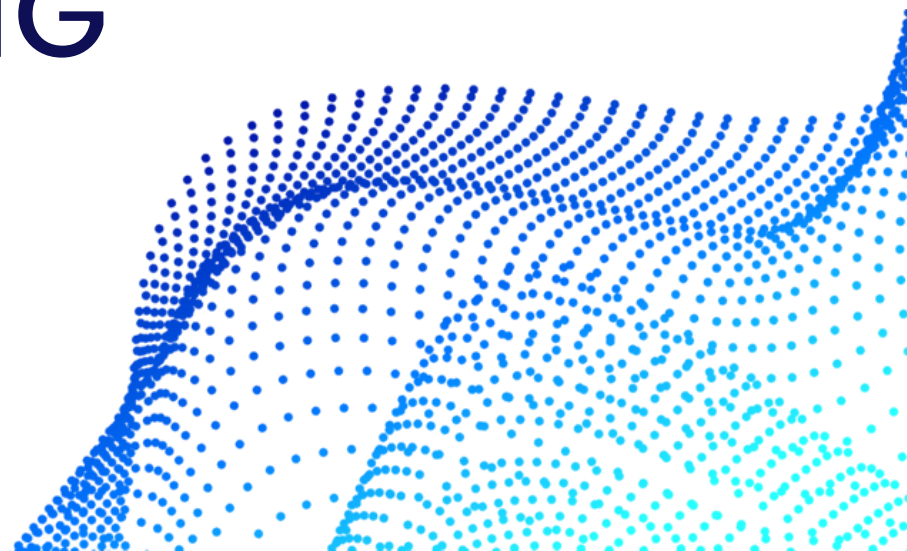




**13 OCTOBER 2022**

# **4<sup>TH</sup> ASSEMBLY MEETING**



# OUTLINE

- Welcome
- Agreement and signature; Governance of the CoARA, Rules of Procedure, Code of Conduct
- Q&A
- Call for CoARA Chair, Vice-Chair and members of Steering Board; Secretariat, work plan and budget; Next steps
- Q&A
- Short break
- Breakout groups
- Back in plenary – Summary of breakout discussions
- Open Floor – Final Remarks
- Closing remarks & meeting wrap-up

**13 OCTOBER 2022**

**4<sup>TH</sup> ASSEMBLY MEETING**

# **AGREEMENT ON REFORMING RESEARCH ASSESSMENT**

# PUBLICATION OF THE AGREEMENT ON 20 JULY



<https://coara.eu/agreement/the-agreement-full-text/>

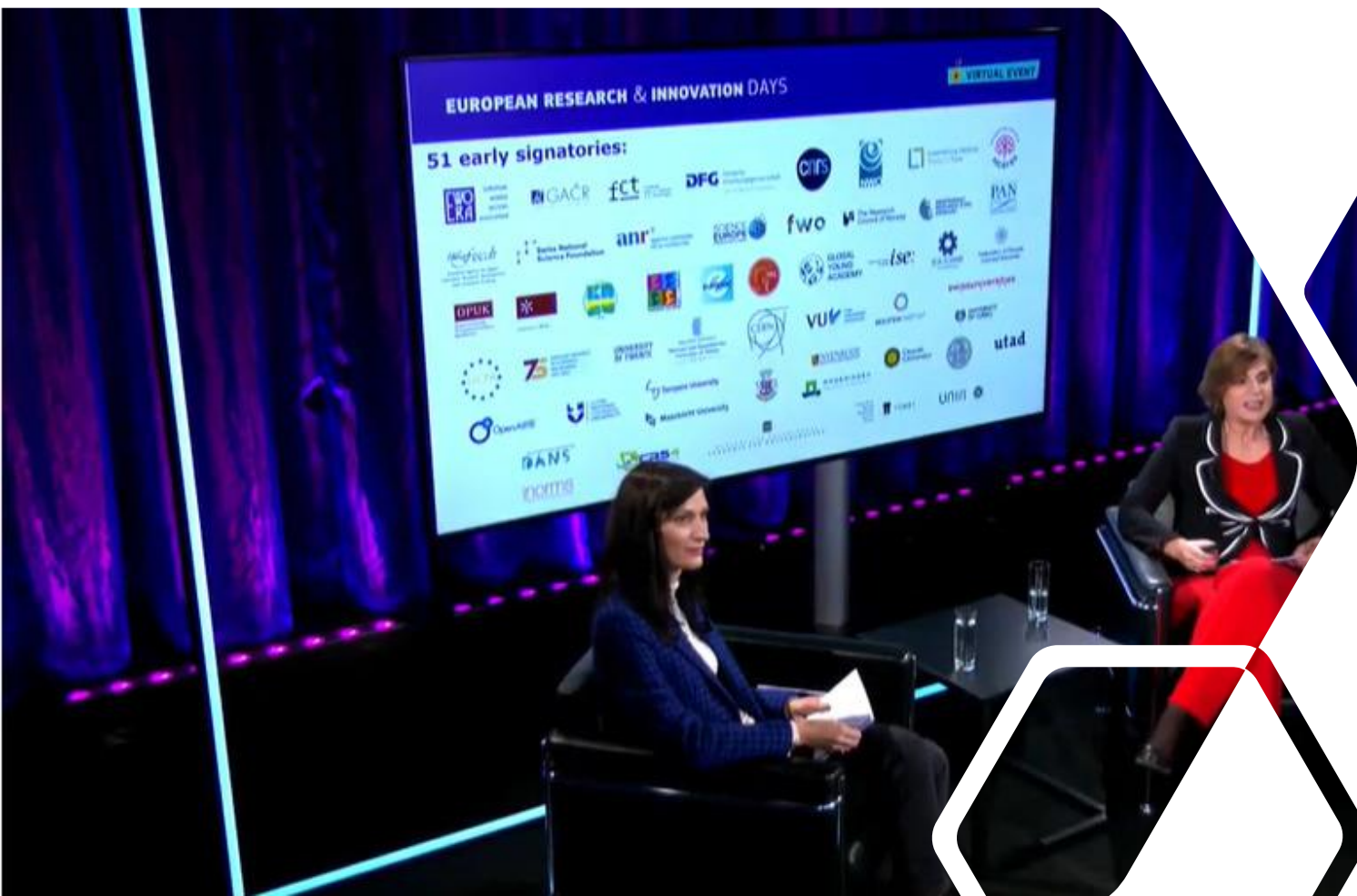
Since the release of the Agreement on 20 July, discussions have focussed on the governance and operation of the coalition of organisations willing to enact the reform.

The 'Drafting Team' has taken on the role of 'Interim Secretariat'

A new consultation group has been established: The 'Implementation Group'

The Stakeholder Assembly remains, and is meeting today for the 4th time.

# OPENING OF THE AGREEMENT FOR SIGNATURES





# COALITION WEBSITE

[www.coara.eu](http://www.coara.eu)

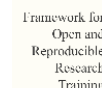
## Coalition for Advancing Research Assessment

Our vision is that the assessment of research, researchers and research organisations recognises the diverse outputs, practices and activities that maximise the quality and impact of research. This requires basing assessment primarily on qualitative judgement, for which peer review is central, supported by responsible use of quantitative indicators.

# EUROPEAN RESEARCH & INNOVATION DAYS



## 51 early signatories:



...and many more are in the process of signing, since 28 September



## Sign the Agreement

While acknowledging that this Agreement does not have any legally binding effect, it represents a public commitment to contribute actively and constructively to reforming research assessment. The Agreement is open for signature by organisations from across the world, including organisations without legal personality. However the Agreement is not open for signature by individual persons.

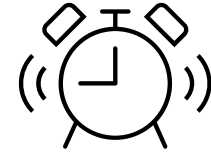
First Name \*

Last Name \*

Full name of organisation \*

Position with organisation \*

[www.coara.eu/sign](https://www.coara.eu/sign)



**Please note that only organisations having signed by 17 November 2022 will be invited to the Constitutive Assembly**



**13 OCTOBER 2022**

**4<sup>TH</sup> ASSEMBLY MEETING**

# **GOVERNANCE AND OPERATIONS OF THE COALITION**

# MISSION OF THE COALITION

- **Enable systemic reform of research assessment** on the basis of common principles and commitments within an agreed timeframe, as set in the Agreement on Reforming Research Assessment.
- Through **exchange of information and mutual learning** between all those willing to improve research assessment practices.

# DOCUMENTS ON GOVERNANCE AND OPERATION OF THE COALITION

- **Governance Document** – Describes the guiding principles of the Coalition, its structures, their powers, authority and responsibilities, and their relationship
- **Rules of Procedure for Working Groups** – Describes the conditions and procedures for the creation and management of Working Groups (WGs) within the Coalition
- **Rules of Procedure for the Chair, Vice-Chair(s) and Steering Board** – Describes the processes governing the establishment and renewal of the Chair, Vice-Chair(s) and Steering Board members of the Coalition
- **Code of Conduct**
- **Draft Budget and Work Plan**

# IMPLEMENTATION GROUP

- **Role:** Provide concrete suggestions, opinions and in-depth feedback to the draft documents on the governance and operations of the Coalition
- **Members:**
  - Marta Agostinho, Alliance of research institutes advocating for excellent research in Europe (EU-LIFE);
  - Stephen Curry, Declaration on Research Assessment (DORA);
  - Silvia Gómez Recio, Young European Research Universities (YERUN);
  - Hilary Hanahoe, Research Data Alliance (RDA);
  - Kim Huijpen, Universities of The Netherlands;
  - Lola Karner, Universities Austria (UNIKO);
  - Matthias Kiesselbach, German Research Foundation (DFG);
  - Benjamin Martinez Sanchis, Coimbra Group;
  - Karen Stroobants, Marie Curie Alumni Association (MCAA);
  - Saša Zelenika, University of Rijeka.
- **Work:** 3 meetings on 7 September, 30 September & 7 October

# PRINCIPLES GUIDING THE CONDUCT AND EVOLUTION OF THE COALITION

- **Openness** – to signatories of agreement; globally; accessible outputs
- **Responsibility** – general assembly responsible for rules and procedures of operation
- **Collaboration and mutual support** – supportive environment; mutual learning and collaboration; also with other initiatives
- **Inspiration** – inspire organisations inside and outside the Coalition
- **Commitment and autonomy** – supports implementation of commitments; respect autonomy
- **Voluntary and community-driven** – volunteer members; driving force
- **Dialogue** – in research and academic communities and beyond; representation
- **Inclusiveness** – global; different levels of progress
- **Trust** – self-assessment shared publicly
- **Funding** – voluntary in-kind; potential cash contributions from members
- **Non-profit** – no commercial activities; open and re-usable outputs



# MEMBERSHIP

- Organisations that have **signed the Agreement** on Reforming Research Assessment, and that are:
  - Universities, and their associations;
  - Research centres, research infrastructures, and their associations;
  - Academies, learned societies, and their associations, and associations of researchers;
  - Public or private research funding organisations and their associations;
  - National/regional authorities or agencies that implement some form of research assessment and their associations; and
  - Other relevant **not-for-profit** organisations involved with research assessment, and their associations.
- Membership **approved by the Steering Board** (Interim Chairs before the Constitutive Assembly)
- Members **may leave** the Coalition at any time

# COALITION BODIES

- **General Assembly of Members** – All Members. The organ representing all the members of the Coalition. The highest-level decision-making body, that meets at least once a year (at least three times during the first year)
- **Working Groups** – Voluntary participation. To exchange knowledge, learn mutually, discuss and investigate any topic to advance research assessment and help with the implementation of the Members commitments
- **Steering Board** – Elected. A collegial body, responsible for the overall oversight, strategy, business plan and sustainability of the Coalition. Taking decisions by mutual agreement
- **Coalition Secretariat** – Supports the administrative, managerial, logistical, communication, engagement, networking, outreach, leadership and other activities of the Coalition

# GENERAL ASSEMBLY

- As the highest-level decision-making body, the General Assembly will:
  - Approve the **Governance and Rules of Procedure** of the CoARA
  - **Elect** a Chair and Vice-Chair(s), and Steering Board members
  - Approve the **annual work-plan and budget** of the CoARA
  - Appoint the organisation(s) that host the **Coalition Secretariat** by simple majority vote
  - Approve the **strategy guiding the operations and activities** of the Coalition as a whole
  - Approve the **strategy for the outreach** (including at global level)
  - Approve the **procedures and criteria** for the establishment of the **Working Groups**, for their follow up and coordination, and for the endorsement and publication of their outputs

# WORK OF THE COALITION

- **Working Groups** operating as '**communities of practice**' and offering space for mutual learning and collaboration. Examples:
  - "**Interest communities**", on ad-hoc horizontal topics
  - "**Discipline communities**", on approaches to tailor criteria and processes by discipline, inter-disciplinary field, thematic area
  - "**Institution communities**", on topics specific to a given type of organisation
  - "**National communities**", on issues specific to different types of organisations of a given country or group of countries
- **Other complementary means** like workshops, webinars, (annual) conferences, seminars, trainings, etc.

# RoP – WORKING GROUPS – MAIN PROVISIONS

- Candidate Working Groups (WGs) are **proposed bottom-up** by members. In some limited cases, WGs may be proposed by the Steering Board
- Secretariat will periodically **open calls for applications**
- Candidate WGs apply for creation and are **approved by the Steering Board** in accordance with defined **approval criteria**
- **Number** of WGs is limited in the initial phases of the coalition operation
- WGs are **open to participation** from all Coalition member organisations. WGs are led by at least **two Chairs**
- WGs are expected to develop **concrete work plan and outputs** within a specific timeframe (maximum duration of **two years**)
- Each WG **reports every year** to the Coalition Secretariat
- WGs should in principle **openly disseminate** the results from their work



# RoP – STEERING BOARD – MAIN PROVISIONS

- **Membership**
  - Maximum of 11 elected members, including the Chair and up to 2 Vice-Chair(s) (total number must be an odd number)
  - Balanced representation
- **Competence of members**
  - Expertise and broad overview of research assessment issues
  - Strong leadership and communication skills
  - Committed to participate in Coalition activities
- **Term**
  - 2 years, with at most two consecutive re-elections for terms of one year each
  - First election with staggered terms (half for 1 year, half for 2 years)

# RoP – STEERING BOARD – MAIN PROVISIONS

- **Election**
  - Dedicated election for the 10 members other than the Chair
  - Majority vote of General Assembly members
  - Election synchronised with General Assembly meetings
  - At least one representative of each of 6 types of organisations, but no more than 3 elected SB members from the same type of organisation
  - Gender balance applied: 25% men; 25% women; 50% open
- **Candidates** – Any CoARA member organisation can nominate one of its employees, or other persons affiliated or having a contractual relation with them

# RoP – CHAIR – MAIN PROVISIONS

- **Role** – Chairing the meetings of the General Assembly. Member and chair of the Steering Board. Representing the Coalition
- **Competences** – Expertise in research and research assessment, strong leadership, management, communication skills, infusing energy, passion and connection
- **Term** – Maximum one term of 2 years
- **Election** – By a simple majority vote of General Assembly members. Election synchronised with General Assembly meetings
- **Candidates** – Any CoARA member organisation can nominate one of its employees, or other persons affiliated or having a contractual relation with them

# RoP – VICE-CHAIR(S) – MAIN PROVISIONS

- **Role**
  - Helping the Chair to represent the Coalition in international fora and outreach activities.
  - Specific tasks identified by the Steering Board, such as the function of treasurer.
  - Replacing the Chair in case she/he is unavailable or the Chair's position gets vacated.
- **Term** – Maximum one term of 2 years
- **Election** – The candidate(s) who receive most votes in the election to the Steering Board and who had also declared candidacy for Vice-Chair, are nominated Vice-Chair(s)
- **Candidates** – Any candidate for election to the Steering Board can at the same time declare candidacy for a Vice-Chair position

# CODE OF CONDUCT – INTRODUCTION

- **Aim of the Code of Conduct**
  - Support a safe and inclusive environment;
  - Be explicit about inappropriate behaviours and associated consequences;
  - Adherence to the CoC and the Coalition Guiding Principles (from Governance document) are a precondition for participation in any Coalition setting.
- **To whom does it apply?**
  - Coalition member organisations and governing and supporting bodies, guests, vendors/suppliers, staff members, and participants in Coalition events, publishing and conference presentations, and activities.
- **To which activities?**
  - Interactions, both verbal and written, that take place in person (meetings, events, discussions), in publications and presentations, and online (virtual communities, social media, and platforms).
  - In both a Coalition context (internal) and/or when the Coalition is represented (external)



# CODE OF CONDUCT – MAIN PROVISIONS & ENFORCEMENT

Main provisions include respect for others' views; avoidance of discriminatory, harassing, bullying, defamatory, abusive, threatening, disrespectful, offensive, and illegal communications and actions; respect for intellectual property and authorship; refrain from posting or circulating commercial messages; refrain from unauthorised posting of personal information.

## Enforcement

- Violations to be reported to the Coalition Secretariat [or Interim Secretariat];
- Depending on the incident, the Secretariat will liaise with the Steering Board to consider the appropriate course of action
- Disciplinary actions can range from a verbal warning, suspension or permanent exclusion from one or more CoARA activities;
- If a violation is observed or reported during a meeting: i) A verbal or written warning will be issued; ii) If violation continues, the individual is removed from the meeting (no future participation is possible) and their institution is notified and invited to nominate a new participant;
- If suspected criminal activity has occurred, the complainant or complaint will be directed to law enforcement officials.

**13 OCTOBER 2022**

**4<sup>TH</sup> ASSEMBLY MEETING**

**OPEN FLOOR Q&A**

**13 OCTOBER 2022**

**4<sup>TH</sup> ASSEMBLY MEETING**

**CHAIR, VICE-CHAIR, STEERING BOARD  
SECRETARIAT  
ELEMENTS OF BUDGET AND NEXT STEPS**

# CALL FOR CANDIDACIES FOR CHAIR, VICE-CHAIRS AND STEERING BOARD MEMBERS

- Any Coalition member organisation can nominate one of its employees, or other persons affiliated or having a contractual relation with them, as candidate
- Call publication on the [CoARA website](#)
- Call to be [launched on 20 October](#) and closed on [17 November](#)
- Applications will be collected via e-mail, using functional mailboxes of Science Europe and the European University Association:  
[researchassessment@scienceeurope.org](mailto:researchassessment@scienceeurope.org) and [researchassessment@eua.eu](mailto:researchassessment@eua.eu)
- Candidates will have to submit a [narrative CV](#) describing their background and expertise, including how they match the profile sought for the Steering Board member / Vice-Chair position / Chair position

# CALL FOR SECRETARIAT AT 8 JULY ASSEMBLY

## Next steps (3/3)

### 4. Secretariat of the Coalition

- Assembly members may volunteer to act as Secretariat of the Coalition (from the Constitutive Assembly onwards)
- **Deadline** to present candidacies: **1st September, 18:00 Brussels time**
- Assessment of candidates to be made by the drafting team
- Drafting team's proposal for the most suitable candidate(s) and runners-up to be presented at the Assembly
- The Constitutive Assembly will approve the Secretariat, considering the proposal and analysis made by the drafting team



### How to present candidacies?

- E-mail to [stephane.berghmans@eua.eu](mailto:stephane.berghmans@eua.eu) & [lidia.borrell-damian@scienceeurope.org](mailto:lidia.borrell-damian@scienceeurope.org)
- Include a Word document explaining how the organisation meets the following criteria (max 1 page per criterion):
  1. Capacity and expertise in secretarial support of associations or similar types of bodies; planning and organising a programme of activities; and planning, raising, and managing budget;
  2. Capacity and expertise in stakeholder engagement and in communication and dissemination activities;
  3. Capacity and commitment to undertake tasks for an initial period of up to 9 months, noting that no dedicated budget is currently available.

# SECRETARIAT RESPONSIBILITIES

- Preparation and implementation of the **annual work-plan and budget**
- Management and support to **daily operations** of the Coalition for the implementation of the Work Plan. Support to the General Assembly, Steering Board, Working Groups (including for meetings)
- **Management of funds**, monitoring the budget and seeking funding opportunities for the operation of the Coalition
- **Engagement with stakeholders and communication activities**, including the establishment and maintenance of a website, and the preparation and implementation of the strategy for the outreach.
- Support to **synergies and dialogue** between the Coalition and other relevant initiatives
- Organisation and preparation of **reporting** on the work of the Coalition. **Promotion** of the work and outputs of the Coalition, and **dissemination** of outputs and documents
- Support for the **periodic evaluation** of the progress made by the Coalition as a whole and its effectiveness, efficiency and success



# ASSESSMENT BY INTERIM SECRETARIAT

- **One application** received by the deadline, from the **European Science Foundation, ESF**
- **Application assessed by the Interim Secretariat** as being of **high quality** based on the announced criteria:
  - Proven track record of hosting other secretariats; some of them of similar magnitude (budget and number of participants) as that expected for CoARA
  - Proven track record and expertise with stakeholders' engagement, communication and dissemination activities
  - Experience with research assessment
  - All tasks/responsibilities deemed necessary in the initial period properly identified
  - Foreseen possibility to mobilise expertise and funding for preliminary tasks in initial period

# CONSIDERATIONS FROM IMPLEMENTATION GROUP MEMBERS

- Was the call at the July Assembly sufficiently disseminated and the deadline too short?
- Would the appointed secretariat have a competitive advantage in applying for financial support for the coalition work, such as for the planned Horizon Europe ERA call?
- Should the call that received only one application be re-opened before the Constitutive Assembly?
- However:
  - Would re-opening not undermine a process which was conducted in a transparent manner?
  - Would re-opening not introduce unfair treatment for the one applicant?
  - Could re-opening lead to a situation where the identified candidate withdraws while no other organisations volunteer as candidates?

# PROPOSAL AND DECISION AT CONSTITUTIVE ASSEMBLY

- Objective: optimise the support to the coalition work to be as deep and broad as possible, in particular more support to Working Groups, webinars, and outreach activities
- **The Constitutive Assembly (CA) will decide on the proposed candidate with a simple majority vote**
  - In case **the proposed candidate is appointed** by the CA
    - The CA will be asked to decide on the opening of a call for volunteers to support the Secretariat, with criteria for the call to be decided by the elected Steering Board
  - In case the **proposed candidate is rejected** by the CA
    - The CA will be asked to decide on the opening and closure dates for a new call for candidates to host the Secretariat, including the additional support to broaden and deepen the coalition work

# ELEMENTS FOR A BUDGET AND WORK PLAN

- List of **tasks for the Coalition** based in particular on the responsibilities identified for the Coalition Secretariat (Governance document)
- **Budget** built according to two scenarios:

Scenarios	Estimated effort (person-months)	Estimated budget (€)
Minimum requirement	~ 33	~ 285,000
Nice to have	~ 42	~ 340,000

- **Work Plan** to be developed on this basis

# EXPECTED CONTRIBUTIONS

- **In-kind contributions from members**
  - Participation in the Working Groups, meetings, etc.
- **In-kind contribution proposed by candidate**
  - To address the start-up phase (9 first months)
- **Horizon Europe Work Programme 2023–2024**
  - Call for proposals for a CSA project, maximum 3 years, maximum €5 million, of which one part aims at supporting the Coalition operations
- **Potential contributions from other research organisations**

# NEXT STEPS IN SUMMARY

- **20 October** – Publication on the CoARA website of finalised Governance Document, Rules of Procedure, Code of Conduct, and of proposed work plan and budget
- **20 October** – Publication on the CoARA website of call for candidacies for Chair, Vice-Chairs and Steering Board members
- **17 November** – Deadline for signature of the Agreement in order to be invited to participate in the Constitutive Assembly
- **17 November** – Deadline for candidacies for Chair, Vice-Chairs and Steering Board members
- **24 November** – Sharing of information on candidates, by the Interim Secretariat
- **1 December** – Constitutive Assembly meeting (online), chaired by the Interim Chairs until the Chair is elected



**13 OCTOBER 2022**

**4<sup>TH</sup> ASSEMBLY MEETING**

**OPEN FLOOR Q&A**

**13 OCTOBER 2022**

**4<sup>TH</sup> ASSEMBLY MEETING**

**BREAK**

# BREAKOUT GROUPS

- 1. What are your views on the proposed CoARA Governance, Rules of procedure for CoARA Steering Board and Working Groups and Code of Conduct?**
  - a. What are your comments on the establishment and responsibilities of the Steering Board?**
  - b. What are your comments on the modalities for the functioning of the Working Groups?**
- 2. What are your views on the Secretariat, and building blocks for establishing the work plan and budget?**