

www.ridrom.uclm.es
ISSN 1989-1970
ridrom@uclm.es

RIDROM

Derecho Romano,
Tradición Romanística y
Ciencias
Histórico-Jurídicas

REVISTA INTERNACIONAL DE DERECHO ROMANO

MERIT PAY, SCIENTIFIC PRODUCTION AND CNEAI*

Profa. Dra. Gema Polo
Profesora de Derecho Romano
Universidad de Castilla-La Mancha
Gema.polo@uclm.es

Prof. Dr. Gustavo de las Heras
Catedrático de Derecho Romano
Universidad de Castilla-La Mancha
Gustavo.heras@uclm.es

In the report done by the OECD *La Universidad bajo Escrutinio* the economic crisis (oil crisis, inflation, recession, unemployment, checking of public expenditure) was blamed for the reluctant position the Society took against the use of the resources assigned to the academic education "demanding balances, a

* The present paper has been published exclusively in English in the **Journal of MultiDisciplinary Evaluation**, v5, n10, p30-43, 2008, of the Evaluation Center, of the Western Michigan University. To facilitate the diffusion of the above mentioned article, we have wanted to publish it also in Spanish language.

increasing of registration fee rights, especially those related to the university education (Carnoy, 1995). In the research field the priority was the **increasing of the scientific production and its impact on the economic production, promoting** at the same time the applied research and enlarging the technological transfer.

In this way, the promotion of the University as a primary and strategic place in the development of researching taking into account this one as an outstanding indicator of its modernization level and the confidence in the competence for the distribution of short financial resources as a guarantee for the improvement of quality, gave rise to implantation systems based on the evaluation of the research activity, balances and the differential remuneration. All these factors tried to build new patterns of behaviour and legalize a new way of institutional culture (Araujo, 2003).

Obviously, **Spain was not beyond belief** to all these above mentioned facts. On the contrary, as a result of the structural reasons which characterized our economy in that period, the economic crisis had a notorious influence on the Spanish Economy. That's why the term **accountability**¹ was introduced in Spain within the frame of the research and the University institutions¹ together with the so-called "evaluation culture"². The approval of the Law 13/1986, April 14th related to the Promotion and

¹ Artículo 45, párrafo 3º de la Ley Orgánica 11/1983, de 25 de agosto, de Reforma Universitaria: "Los Estatutos de la **Universidad** dispondrán los procedimientos para la evaluación periódica del rendimiento docente y científico del profesorado, que será tenido en cuenta en los concursos a que aluden los artículos 35 a 39, a efectos de su continuidad y promoción".

² The first action decided by the Spanish "assessor State" which had important practise repercussions centred on the control of the funds owned by the state assigned to research projects and to redirect the Spanish System of Science and Technology, was the creation in 1986 of the **Agencia Nacional de Evaluación y Prospectiva -ANEP-**, (National Agency for Evaluation and

to evaluate the research activity of the university teaching staff – always under a previous voluntary request as the aim is to obtain a six-yearly stimulated productivity complement - and its purpose is based on the same as the one ascribed to the productivity complement, that is to say:” *To promote the research activity of the university teaching staff and to spread it national and internationally*”⁶, *being its essential aim to motivate among the researchers*⁷.

The evaluation of the scientific activity in the CNEAI is a regulated process ruled by general evaluation criteria as stated in section 7, Order of the Ministry of Education and Science, December 2nd 1994⁸ and complemented by specific criteria for each of the evaluation methods arisen from the Resolution October 25th 2005 of

⁶ Order December 2nd 1994. The proceedings for the evaluation of the research activity are established in the Order in Council 1086/1989, August 28th related to the retributions for the university teaching staff.

⁷ Preamble of the Resolution October 25th 2005 from the Chairmanship of the National Commission for the Evaluation of Research Activity related to the specific criteria in each evaluation field.

⁸ Artículo 7. 1: *En la evaluación se observarán los siguientes principios generales:*

a) *Se valorará la contribución al progreso del conocimiento, la innovación y creatividad de las aportaciones incluidas en el currículum vitae abreviado, considerando la situación general de la ciencia en España y las circunstancias de la investigación española en la disciplina correspondiente a cada evaluado y en el período a que corresponda la evaluación.*

b) *Se primarán los trabajos formalmente científicos o innovadores frente a los meramente descriptivos, a los que sean simple aplicación de los conocimientos establecidos o a los de carácter divulgativo. Estos últimos sólo podrán llegar a tener valor complementario, salvo en circunstancias especiales apreciadas por el órgano evaluador.*

the CNEAI Chairmanship⁹. Such criteria have been subjected to changes in every annual summoning, not essential as a whole but they describe the experience of the previous meeting.

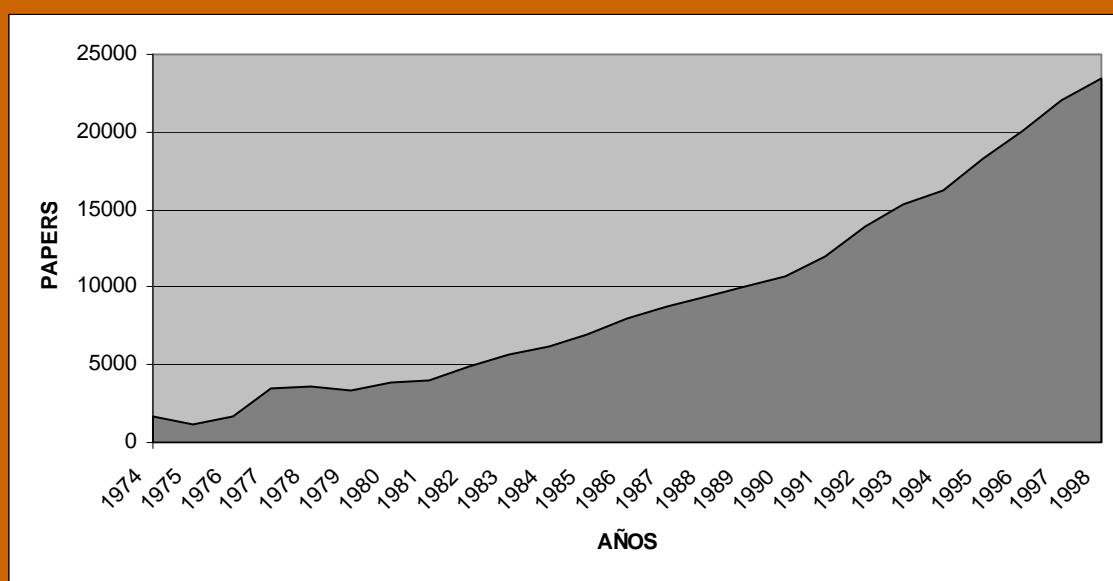
Several authors have given the CNEAI a **notorious role** in the promotion of the scientific research in Spain when considering the evaluation of the exercise of one's duties done by this institution as one of the essential elements in the increase of the Spanish scientific production in the last few years (Jiménez-Contreras *et al.*, 2003).). “The National Commission for the Evaluation of Research Activity came into being at a time when the effects of previous government policies began to fade and investment was levelling off. It marked the start of a system designed to evaluate individual research activity, and gave preference to the publication of work in international journals listed in the ISI's Journal Citation Reports. This stimulus has proved to be a highly efficient, as shown by the growth in production rates since 1990” (Jiménez-Contreras *et al.*, 2003:140). The CNEAI Managing Director herself attributes the institution the main role in the redemption of the Spanish research: “Since the creation of the CNEAI the productivity has significantly increased, fact detected on international critical bases. Obviously this is not a direct quality data but an indirect and a quite reliable one. The direct data are based on comments published in prestigious scientific journals where the CNEAI is pointed out as one of the mainstays in the development of the scientific activity in our country” (Ana Crespo, 2006: 7-8).

⁹ Resolution October 19th to 25th 2005, from the CNEAI Chairmanship by means of which specific criteria of each evaluation field are defined.

wide amount of years to evaluate this tendency, we observe how a progressive increase in the production is held without neither **any outstanding remark** (except in the mid-70's) nor any significant change. In order to have a more accurate vision of this constant tendency in the evolution of the Spanish scientific production and according to the above mentioned indicators, the following bar chart is included:

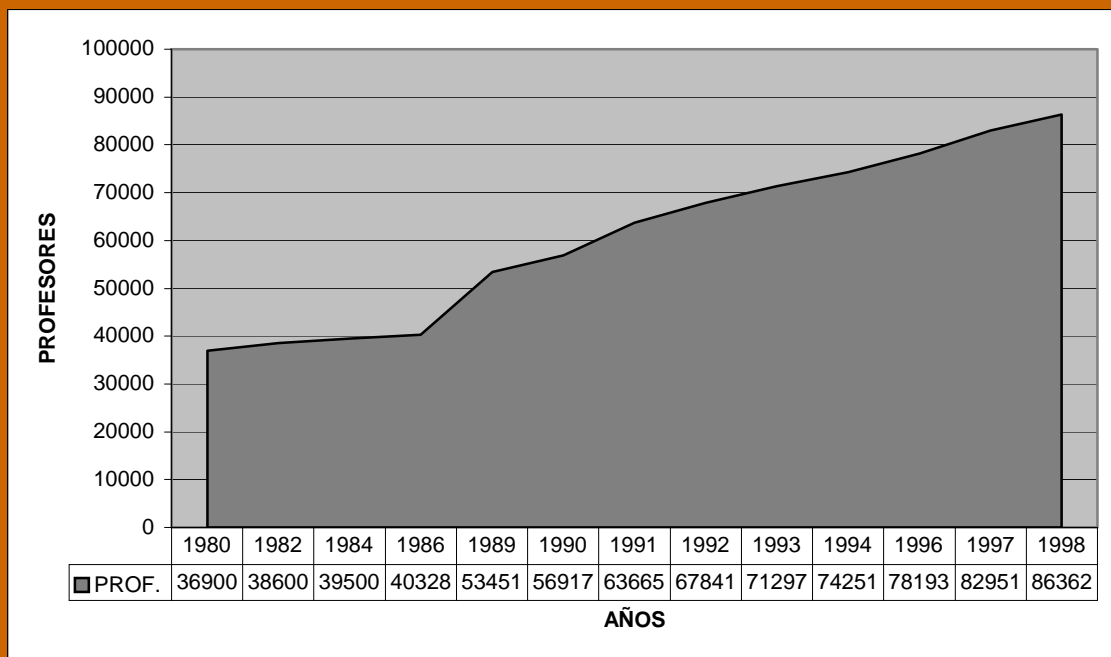
- Chart number One -

EVOLUTION OF THE SPANISH SCIENTIFIC PRODUCTION



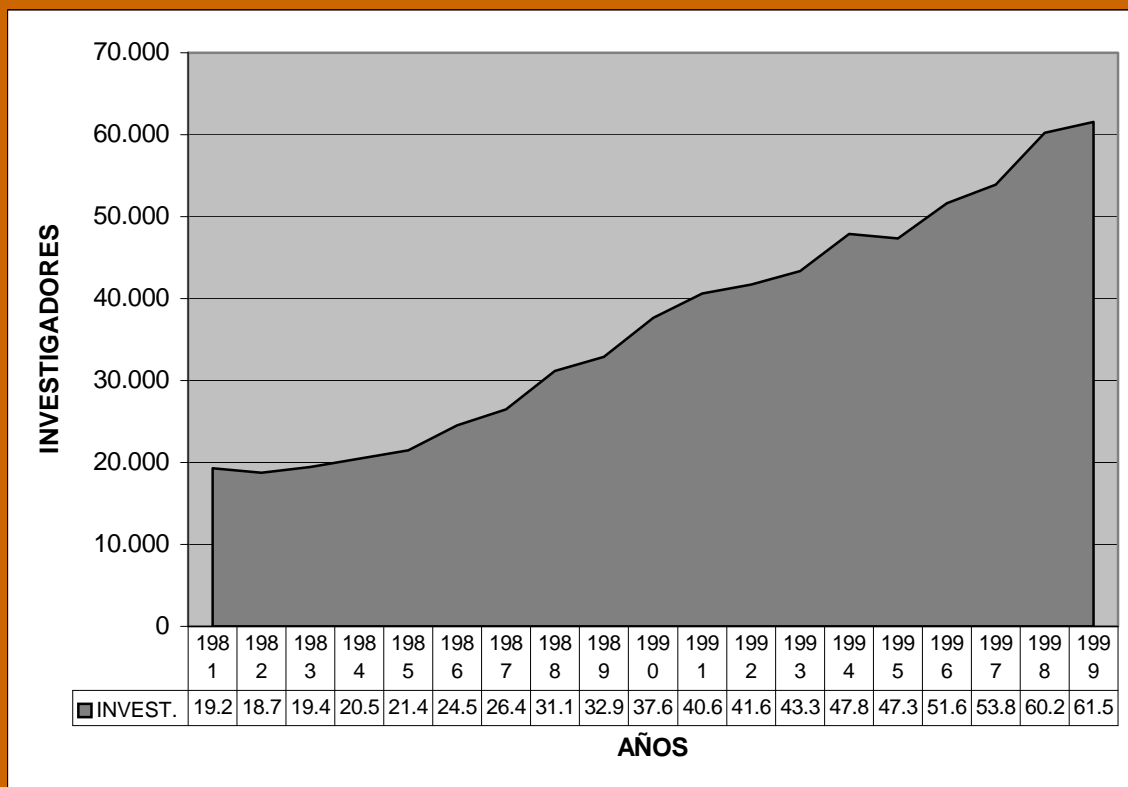
- Chart number two -

EVOLUTION OF THE UNIVERSITY TEACHING STAFF



The very same growing evolution shows the data related to the number of researchers as a whole, decisive without question in our opinion, together with the ones related to the material media devoted to the research activity in accordance with the global scientific production in the analysed period of time and in order to check, as reiterated in previous paragraphs, the importance of the CNEAI role and its influence in production of the *merit pay* factor. In the chart number three we appreciate the stressed profile of the gradual increase in the **number of researchers**:

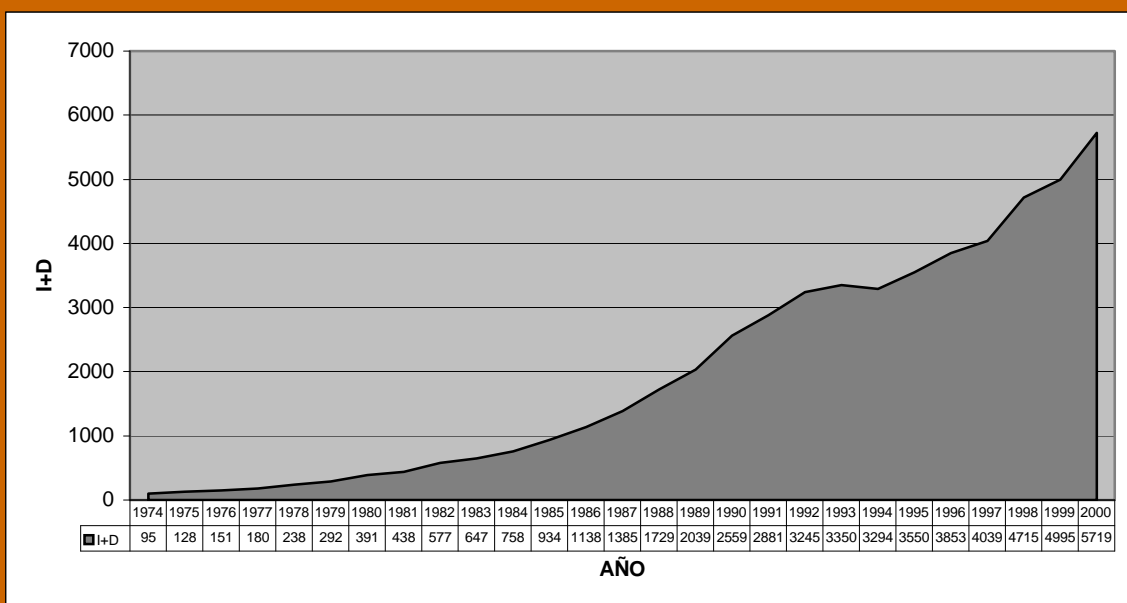
- Chart number three -
RESEARCHERS EVOLUTION



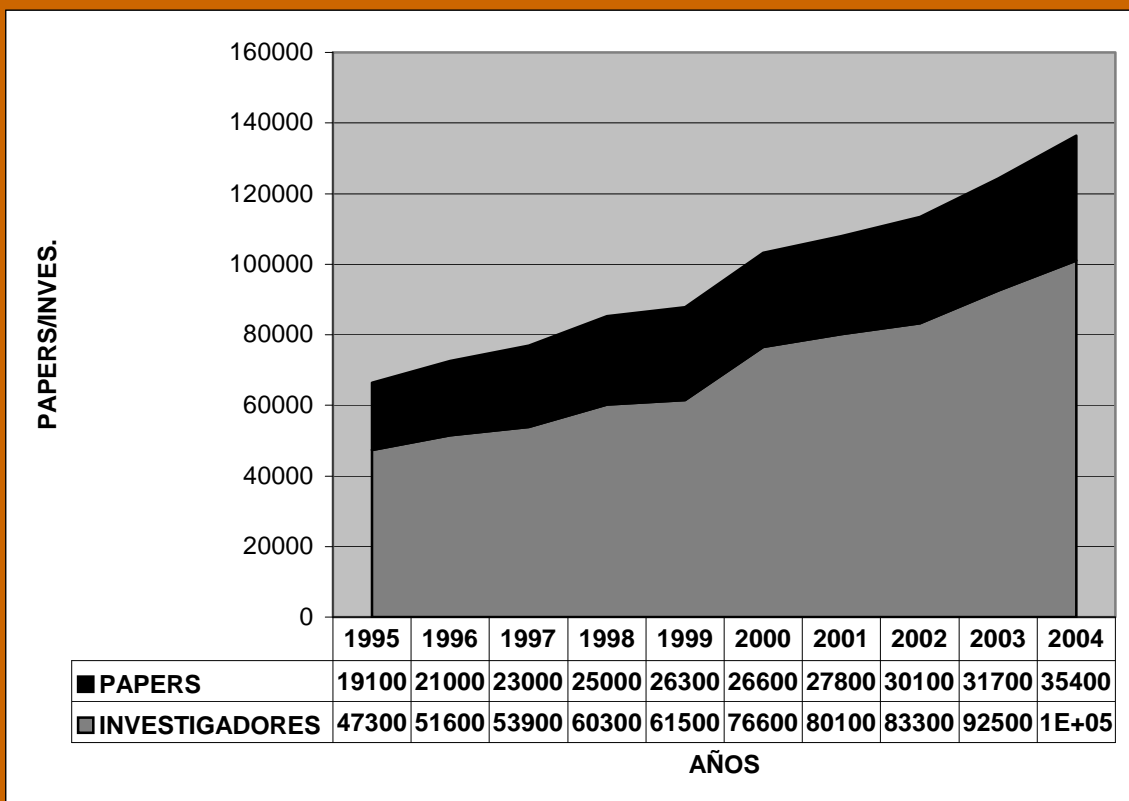
Even more significant is the chart number four where the evolution of the Spanish investment in I+D (Investigation + Development) during the already mentioned period of time is analysed. It can also be observed a notorious increase in the research expenses and as it also happened in previous examples the establishment dates of the new rewarding systems coincide with an outstanding growth in the **I+D investments**, fact which should reasonably involve better material resources for the researchers and consequently an increase of the production in the forthcoming years.

-Chart number four-

EVOLUTION OF THE SPANISH INVESTMENT IN I+D
(INVESTIGATION + DEVELOPMENT)



- Chart number five -
 EVOLUTION
 SCIENTIFIC PRODUCTION / NUMBER OF RESEARCHERS

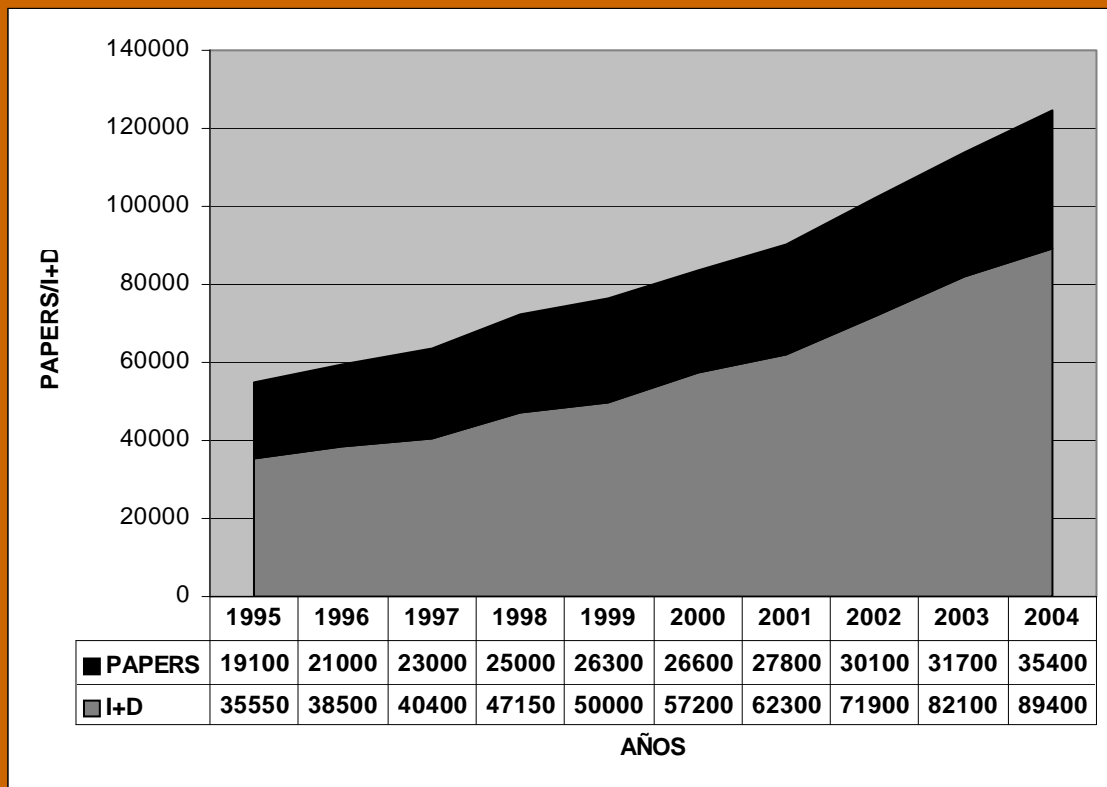


We secondly show the comparative chart between **scientific production and I+ D investments** as an equally illustrative example of the similar evolution we want to state

- Chart number six -

EVOLUTION

SCIENTIFIC PRODUCTION / I+D INVESTMENT

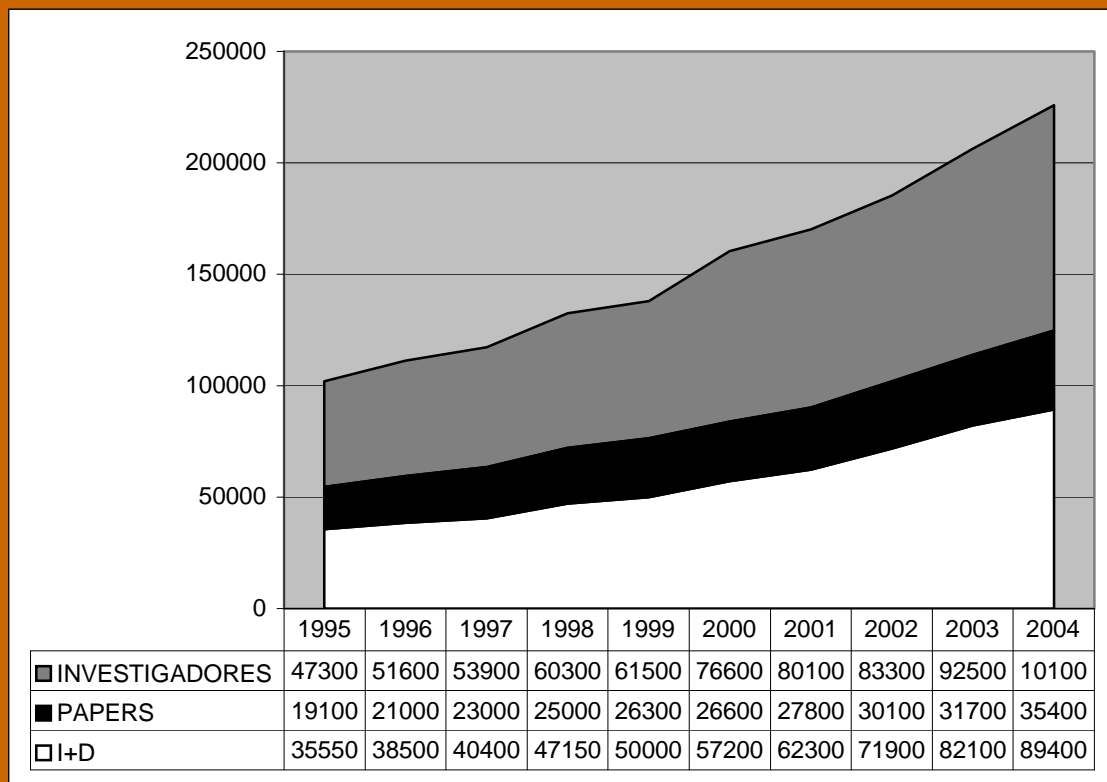


In order to ease even more the comparison of the tendencies, we show the last chart which includes the three items inside: **Scientific production, number of researchers and I+D investments:**

- Chart number seven -

EVOLUTION

SCIENTIFIC PRODUCTION / I+D INVESTEMENT/ RESEARCHERS



by **consensus evaluations** which inform the researchers of their does and don'ts, encourage them to constantly improve showing them the right way as well and providing them with suitable methods. In this way the research potential of **most employees** would increase without stopping their stimulation and the excellence of some of them would be highlighted. The initiatives where the learning approach of a wide evaluation context prevails and where members of a professional association, researchers and departments take part in, will increase. As a result of this, the punishing evaluations will be dismissed. Moreover, such evaluations in case they pretend to be fair, can't come true **out of a context** regarding the conditions in which the research activity takes place: Characteristics of the University or Institution, geographic and socioeconomic environment, experience, value of the group, available means, etc.

The **problems and risks** arisen from the merit pay system have been exposed from scientific and rigorous approaches for long time ago. Some drawbacks have been highlighted in order to measure the single exercise of one's duties in a system which depends so much on team working and the relationship between teacher and pupil as well as the fact that the short term accuracy evaluation may stand out the long term ones. It has been showed up that the difference usually promote rivalry and competitive behaviour instead of those of collaboration and cooperation between researchers and researching teams¹²; Therefore what is really encouraged are

¹² E.g.: Taking into account the individual evaluation for the exercise of one's duties, at least in the legal field the CNEAI penalized the team working instead of practising a general scientific policy, both national and internationally, which were on the side of team **working** specially in scientific fields such as the legal one and those of Human and Social Sciences characterized by a quite individual researching job, fact that clearly impoverishes the results. So was told in the resolution October 25th, 2005 related to the field of Justice 2.: *For a contribution to be taken into account, the petitioner must have taken part on high active service as an executor or manager of such job. The number of authors won't be evaluated as such but the topic, complexity and length of itself.* It has

individualistic attitudes which become absolute unwanted effects together with the tendency to disguise the *curriculum vitae*, to join more appreciated investigation lines, favouritism oligarchies which control the publication channels and even the evaluations, to fragment the research and to carry out both legal and illegal practises in order to increase the scientific results.

As already mentioned, these systems usually have some other **collateral effects** not contemplated in the programme whose consequences are as follows: Decrease of the attention to the student's demands and fewer time devoted to teaching tasks; Fewer independency to define research topics ; The selection and guidance of the activities with the aim to improve the category as a researcher; The use of tools and situations where the *curriculum vitae* is inflated in order to obtain a better acknowledgement as a researcher; Favouritism situations which, according to some researchers, are on the side of certain colleagues in the evaluation process. (Araujo, 2003).

Taking into account what above mentioned and as Hanushek et al. (1994) state, it's natural for the merit pay to stimulate the individuals **to do what is more convenient for them** but not for the institution they belong to.

not only been modified, a **great mistake** in our opinion, but intensified with the Resolution November 6th 2006: *Topic 9. Justice and Jurisprudence. 2. The number of authors of a work must be justified by the topic chosen, complexity and length of it. For an application to be taken into account, the petitioner must have taken part in it on high active service, the references in pages, chapters and fragments of the published research will be the proof of its legality .Only a personal research activity of the petitioner will be valuated.*

Some other researches as the ones of Low (1993) point out that the remuneration for the exercise of one's duties **could discourage** the employees instead of motivating them.

According to Enders (2000) these initiatives assume the decrease of the general confidence in the academics' self-government, the characterization of the *homo academicus* as a lazy teacher who must be motivated by means of short term incentive pays and obvious penalties. A second description is the **homo economicus** who can be controlled by agents concentrated on costs which locally establish rules, regulations and tools in order to obtain effective work and results.

Although there are still too much work to be done and above all quality must always be demanded, it's necessary to emphasize that Spain holds the tenth place in the worldwide ranking for scientific production and the eleventh in the impact of such production; In I+D investments, that is to say the material tools at the disposal of the researchers, it holds **half of the media average** in the OECD countries¹³.

Moreover the so-called *homo economicus* has generated Science as already confirmed not by means of an incentive pay¹⁴ (though there are always exceptions to the rule) but according to the human and material means available even though when international indicators suggest that in the 90's Spain presented a clear shortage in the remuneration of the university teaching staff: According to the OECD figures, the Spanish professors have a salary of around 19.000 \$ per year, lower than the media

¹³ Nowadays the Spanish investment in I+D represents around 1, 1 of the GNP whereas the media average of the OECD countries are roughly 2, 2, a fact which clearly speaks for itself.

¹⁴ **Rather significant**, by the way as the productivity complements hardly represent 10-15% of the salary itself (San Segundo, 2005).

