



SLOVAK ACADEMY OF SCIENCES

Regular assessment of research institutes of the Slovak Academy of Sciences for period 2012 – 2015

TERMS OF REFERENCE FOR EVALUATION PANEL CHAIRS

The Presidium of the Slovak Academy of Sciences, in an effort to improve the accreditation process, has decided to undertake regular assessment of its research institutes by an independent panel of international evaluators.

The role of the Evaluation Panel will be to assess the scientific performance of the research institutes in order to compare their outcomes with similar institutes elsewhere in Europe, and to prepare a report containing recommendations for possible further development. In the evaluation process the peer review principle, combined with scientometric and other data, will be used, as this is the most widely-used evaluation method for similar research institutes in Europe.

Article I.

LEGAL BASIS FOR THE EVALUATION

Regular assessment of the research institutes of the Slovak Academy of Sciences (hereinafter referred to as the SAS) is announced and managed by the Presidium of the SAS (hereafter "Presidium") in accordance with the regulation of § 10, section 5(d) of Act No. 133/2002 Coll. on Slovak Academy of Sciences.

Article II.

Introductory regulations

1. In accordance with the agreed principles of the research institutes of the SAS, in February 2016 the Presidium designated Prof. Marja Makarow as Head of the Meta-Panel of Evaluators (hereafter Meta-Panel), for assessment of the period 2012-2015.
2. The Accreditation Committee (AC) is set up as a subsidiary body of, the Presidium of the SAS. The role of AC is coordination of the process of evaluation, preparation of all documents, including the questionnaire for the

institutes to be filled in. More details are described in the document “*Principles for regular evaluation of SAS research institutes for period 2012 – 2015*” (attached).

3. For the assessment itself three Evaluation Panels, one for each Section of the SAS, will be established. The scientific domains covered by the SAS Sections are as follows:

Section I:

Earth and space sciences
Mathematical and physical sciences
Engineering sciences

Section II:

Medical sciences
Biological and chemical sciences
Agricultural and veterinary sciences

Section III:

Historical sciences
Humanities and social sciences
Arts and Culture.

The list of the research institutes belonging to each Sections are listed in the attached document “*SAS Institutes capacity and Ex Remote Experts*”.

4. Every Evaluation Panel is composed of evaluators from different scientific fields, with a minimum of three and a maximum of 5 members in each panel, including the Chair.
5. The Head of the Meta-Panel will select the Chairs of the three Evaluation Panels.
6. The Head of the Meta-Panel invites two members to the Meta-Panel of who will not be members of the three Section-specific Evaluation Panels described above. The Chairs of the Evaluation Panels are members of the Meta-Panel.

Article III.

Responsibilities of the Evaluation Panel Chair

1. To participate in a preliminary meeting in Bratislava chaired by the Head of the Meta-Panel.
2. To assist the Head of the Meta-Panel by choosing the members of their Evaluation Panels.

3. To allocate each Evaluation Panel Member (Chair included) responsibilities for assessing specific institutes.
4. If needed, and after internal discussion with the Evaluation Panel, to select and invite for a specific institute one External Remote Expert, and inform the AC Chair in writing of those institutes to which an External Remote Expert has been appointed.
5. Should an individual institute request for an External Remote Expert, to choose and invite this Expert, and inform in writing the AC Chair about this.
6. To read all information provided by the SAS for the panellists for every institute between August 2016 and the site visit in October 2016. The principal document in the assessment – the questionnaire prepared by the AC and filled in by the respective institute – and other relevant documents will be made electronically available by SAS.
7. To organise the work of his/her Panel, and that of the eventual External Remote Experts once the documentation has been submitted to them by SAS.
8. To ensure that each Evaluation Panel member (including the chair) writes a draft report using the form entitled “*Panel Member Assessment Report of SAS Research Institute*” (attached) for each institute he/she has been reviewing, and submits it to the Evaluation Panel Chair and the fellow panellists, as well as the SAS office before the site visit.
9. To chair the site visit of the Evaluation Panel in Slovakia in October 2016/November 2016.
10. To be responsible for the finalization of all institute-specific draft reports by the end of the site visit before the panellists leave Slovakia.
11. To meet with the Head of the Meta-Panel and the Meta-Panel members after all site visits or interviews are done, and all draft reports are ready, in order to:
 - collate and harmonize the assessments of the 3 Sections over all institutes
 - finalize the ratings of each institute into one of four categories (categories A, B, C, and D, where A is excellent, B is very good, C is good and D is weak)
 - agree on and write eventual high-level recommendations to the SAS leadership, science ministry, etc.
12. In the case of an appeal by an institute, the AC may ask the Head of the Meta-Panel and the respective Evaluation Panel Chair for additional explanations regarding the assessment.

Article IV.

The procedure for evaluation of research institutes of the SAS

A questionnaire is filled out (in English) and submitted by each research institute to the AC, which will submit them to the Evaluation Panels and the Meta-Panel for the purpose of the regular evaluation. The questionnaire consists of four main parts:

1. Basic information on the institute
2. Partial indicators of main activities (8 indicators, see Principles for regular evaluation of SAS research institutes, Article II.)
3. Research strategy and future development plans of the institute for the next five years (2016-2020)
4. Other information relevant to the assessment.

The assessment of each institute by the Evaluation Panel Members / External Remote Experts is carried out against the following criteria:

1. Scientific quality and productivity
2. Social, cultural, and/or economic impact
3. Future prospects (development potential)

The benchmark will be other similar institutes in Europe.

SAS provides administrative support and a secretary for each Evaluation Panel and the Meta-Panel. The secretary is not a member of any panel. The secretary participates in the panel meetings and the site visits, and prepares the minutes of the meetings.

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Article V.

Transitional and Final Provisions

1. All Experts will sign a statement of absence of conflict of interest and a statement of keeping all information and deliberations confidential, and acknowledge that only the published report will be made available to the public.
2. The assessment activities of the Evaluation Panels' experts and the Meta-Panel members and the External Remote Experts will be remunerated. The SAS will reimburse the costs incurred by the site visits and meetings, and all

travel and accommodation. For the travel to the site visit, economy class flights will be provided. Flight tickets and hotel accommodation will be provided by the SAS.

3. Payment for the panel chairs is 450 € per work day. They have to keep track of the dates of the working days themselves; only half days and full days of work will be accepted. The work is estimated to take around 20 days.
4. The payment will be provided according to a mandatory agreement.

Attachments:

1. "Principles for regular evaluation of SAS research institutes for period 2012 – 2015"
2. Table SAS Institutes capacity and Ex Remote Experts
3. "Panel Member Assessment Report of SAS Research Institute"

Bratislava, May 2016

Prof. Pavol Šajgalík
President of Slovak Academy of Sciences