

# **Principles for regular evaluation of SAS research institutes for 2016 - 2021**

The regular evaluation of SAS research institutes (hereinafter referred to as "Institutes") is announced and ensured by the Presidium of the Slovak Academy of Sciences (hereinafter referred to as "P SAS") in accordance with Sect. 10 Para. 5.d of Act No. 133/2002 Coll. on the Slovak Academy of Sciences (hereinafter referred to as the "Act on the SAS").

## **Article I Conditions for regular evaluation of SAS research institutes**

1. The evaluation process of Institutes for 2016 - 2021 will begin with the approval of the principles for regular evaluation of Institutes (hereinafter referred to as the "Principles for Evaluation") by the Assembly of the Slovak Academy of Sciences (SAS) and publication of schedules by the President of the SAS in accordance with a resolution from P SAS.
2. In accordance with Sect. 15 Para. 5 of the Act on the SAS, the result of the evaluation will be one of the bases for the decision-making process of the SAS regarding the level of institutional financial resources offered for the activities of Institutes.
3. The method for evaluating Institutes is founded on the peer review principle combined with scientometric and other data.
4. The evaluation will be performed by foreign evaluators. P SAS will appoint the head evaluator, who, after negotiations with P SAV, will appoint 3 evaluators – experts for individual scientific sections in the SAS. A further step will be the selection for each scientific section at the suggestion of the evaluators, of at least an additional two experts in the research field of the individual scientific sections. The head evaluator will not be a panel member. Each panel for a scientific section will have at least three members and there will be an odd number of members overall. The activities of the panel will be directed by statute and standing orders agreed by P SAS.
5. In the interests of the coordination process for the evaluation of Institutes, P SAS will establish an SAS Accreditation Commission. Its activities will be directed by statutes and standing orders agreed by P SAS.
6. Before the start of the evaluation process, all evaluators will sign a declaration stating that they have no conflicts of interest and binding them to confidentiality.

## **Article II Indicators in regular evaluation of SAS research institutes**

1. The evaluation will be carried out in three main spheres:
  - Quality and performance;
  - Significance for society;
  - Strategy and developmental potential.

Expert opinion on information which is divided into nine categories and provided in a questionnaire will form part of the evaluation process:

- outputs of Institutes with regard to research and application;
  - feedback on research outputs of Institutes;
  - research status of Institutes in the international and domestic context;
  - project structure, grant and other financial sources;
  - postgraduate studies and other educational activities;
  - environment and management: infrastructure, personal development, including support for postgraduates;
  - assessment of the development and implementation of recommendations from the previous evaluation;
  - contribution to societal practice;
  - popularization of results.
2. The evaluation will be the result of the expert opinion carried out in three main spheres (Article II.1) in accordance with the information provided:
    - a) in a questionnaire drawn up only for evaluation purposes and in supplements added by the SAS Central Library;
    - b) on the website of particular Institutes;
    - c) during a discussion with academics from particular Institutes.
  3. The questionnaire will be drawn up by the SAS Accreditation Commission and approved by P SAS for evaluation purposes.

### **Article III**

#### **Procedure for regular evaluation of SAS research institutes**

1. Institutes will submit a completed accreditation questionnaire in English and supplements added by the SAS Central Library for regular evaluation. In the event that an Institute is made up of institutional sections that have been part of it for at least half of the evaluation period, one accreditation questionnaire will be completed for the whole Institute.
2. Further data for the evaluation of Institutes may come from evaluations sought by a panel from designated remote experts. The SAS Accreditation Commission will make public the list of Institutes for which a panel designated remote experts. If a panel does not consider it necessary to designate an expert or experts for the evaluation of the activities of particular Institutes, whoever is responsible for the statutes of those Institutes will have the right to request, through the SAS Accreditation Commission, that the panel designate an remote expert or experts within 7 working days of the list being made public. In such cases the panel will be obliged to comply with such a request and designate a suitable remote expert or experts. A report will be written up within one month after the submission of a questionnaire from those Institutes which are to be evaluated. This material will service the panel's internal requirements, will have a recommendatory character and will be provided to whomever is responsible for the statutes of the Institutes at least 10 working days before discussions with academics.

3. After studying the evaluation material, the panel will meet academics from the Institute and familiarize themselves with the activities of the Institute, as well as the working conditions and scientific outcomes. At least 10 working days before the meeting, the panel will provide whomever is responsible for the statutes of the Institute with its basic comments. The form and venue of the meeting with the academics will be determined by the vice-chairperson for the appropriate scientific section, after agreement with whomever is responsible for the statutes of particular Institutes and the panel. During the visit the panel will be accompanied by the chairperson of the SAS Accreditation Commission and the vice-chairpersons for the appropriate scientific section or P SAS members delegated by them. Further P SAS and SAS Assembly Board members may also participate in the visits to Institutes.
4. The panel will draft an overall evaluation of the Institute in three spheres: quality and performance; significance for society; and strategy and developmental potential. The evaluation will contain a qualitative statement on the scientific level of the work outcomes of the Institute over an appropriate period with regard to international standards. The drafting method and evaluation contents will be within the competence of the panel, which will follow its statutes and standing orders.

#### **Article IV**

#### **Results of regular evaluation of SAS research institutes**

1. The results of regular evaluation will comprise:
  - a) evaluation of Institutes by panels in three main spheres: Quality and performance; Contribution to society; and Potential for development; in seven categories: A, A/B, B, B/C, C, C/D and D;
  - b) overall ranking of Institutes by panels in one of seven categories: A, A/B, B, B/C, C, C/D and D. Verbal expressions of individual categories will be suggested by a panel before the start of the evaluation process and approved by P SAS.
2. Part of the overall evaluation of Institutes issued by panels will be recommendations for the elimination of weaknesses and elevation of levels of scientific research until the next regular evaluation.
3. The head evaluator will submit material relating to the evaluation of each of the Institutes to the SAS Accreditation Commission in accordance with Para. 1.
4. The SAS Accreditation Commission will draft recommendations for P SAS on the implementation of the results of regular evaluation. In the event of any discrepancy, the panel will be consulted.
5. P SAS will inform the Institutes in writing of the results of evaluation. Part of this information process will be evaluation material drafted by panels, including any expert report(s).
6. Institutes may appeal against the decision of P SAS regarding the results of evaluation within 21 calendar days of the submission of the decision. Any such appeal will be referred by P SAS to the SAS Accreditation Commission. Discussions of such matters by the SAS Accreditation Commission will involve the participation of whomever is responsible for the statutes of the Institute being evaluated (or their representative) and the chairperson (or their representative) of the scientific council of the Institute. The panel will receive a position in the matters involved in the appeal. The SAS Accreditation Commission will consequently receive a position in the substance of the appeal

containing a proposal for a decision and refer it to P SAS for the final decision. Discussions by P SAS of the final decision regarding the appeal may involve the participation of whomever is responsible for the statutes of the Institute that is appealing (or their representative) and the chairperson (or their representative) of the scientific council of the Institute being evaluated.

7. After the completion of all appeal procedures P SAS will issue a decision regarding the accreditation of all Institutes being evaluated.
8. By means of rulings, P SAS will decide on the implementation of the results of regular evaluation, in accordance with the Principles of Evaluation and the basis of the creation of a budget from the budgetary organizations and determining of the level of contributions by the contributory organizations of the SAS.

## **Article V**

### **Transitional and closing provisions**

1. Activities of the SAS Accreditation Commission and panels will follow the statutes and standing orders approved by P SAS.
2. Expenses linked to the preparation and conduct of the evaluation of Institutes will be part of the budget of the SAS.
3. Activities of panel members and experts will be recompensed in accordance with valid European standards in the form of prescribed contracts. Panel members and experts will have the right to refunds for travel and accommodation while working on location.
4. Activities of the SAS Accreditation Commission and panels will be procured by the Office of the SAS and appropriate scientific section in the SAS on the basis of a previously-drafted schedule for the preparation and conduct of evaluations of Institutes.
5. The proposal for the Principles of Evaluation was approved by P SAS on 12 September 2019. The Assembly of the SAS approved the Principles of Evaluation, in accordance with the provisions of Sect. 8 Para. 7.g of the Act on the SAS, in the session of 8 October 2019.
6. These principles will take effect the day following their publication on the SAS website.

Bratislava, 22 October 2019

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