

Principles of Regular Evaluation of SAS Research Institutes for the Period 2016 – 2021

The full wording as per the changes made by the Amendment no. 1.

The Regular Evaluation of SAS Research Institutes (hereinafter referred to as "Institutes") is announced and implemented by the Presidium of the Slovak Academy of Sciences (hereinafter referred to as "P SAS") pursuant to the provisions of § 10 par. 5 letter d) of Act no. 133/2002 Coll. on the Slovak Academy of Sciences (hereinafter referred to as the "Act on SAS").

Article I

Conditions for the Regular Evaluation of SAS Research Institutes

1. The evaluation process of Institutes for 2016 – 2021 will begin with the endorsement of the Principles of Regular Evaluation of SAS Research Institutes (hereinafter referred to as the "Principles of Evaluation") by the SAS Assembly and with publishing the time schedule by the President of the SAS on the basis of the resolution of P SAS.
2. In accordance with § 15 par. 5 of the Act on SAS, the result of the evaluation will be one of the supporting materials for the decision-making process of the SAS regarding the institutional funding provided to the Institutes.
3. The method of evaluating Institutes is based 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 consultation with P SAS, appoints the Chairs of the Evaluation Panels for the three scientific sections of the SAS. In the next step, at least two other experts in the research area of scientific sections will be selected per a proposal of the Chairs of the Evaluation Panels. The Head Evaluator is not a member of the Evaluation Panels. Each Evaluation Panel for the Scientific Section will have at least three members and the total number of members should be odd. The Head Evaluator is advised by the so-called Metapanel. The Metapanel consists of the Head Evaluator, the Chairs of the Evaluation Panels, or other experts, who are appointed by the Head Evaluator after consultation with P SAS. The activities of the Evaluation Panels and Metapanel are governed by a statute and rules of procedure approved by the P SAS.
5. In order to coordinate the evaluation process of Institutes, P SAS will establish an SAS Accreditation Committee. Its activities will be governed by a statute and rules of procedure approved by the 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 the Regular Evaluation of SAS Research Institutes

1. The evaluation will be carried out in three main areas:
 - Quality and performance;
 - Contribution to society;

- Strategy and development potential.

The evaluation process includes an expert assessment of the data provided in the evaluation questionnaire, which are divided into nine categories:

- 1) Scientific and application outputs of Institutes;
 - 2) Feedback on scientific outputs of Institutes;
 - 3) Scientific status of Institutes in the international and national context;
 - 4) Project structure, grants and other resources;
 - 5) Postgraduate studies and other educational activities;
 - 6) Work environment and management: infrastructure, personal development, including postdoctoral support
 - 7) Implementation of recommendations from the previous evaluation and of other development activities
 - 8) Contribution to societal practice;
 - 9) Popularization of results.
2. The evaluation will be the result of the expert opinion carried out in three main areas (Article II.1) in accordance with the information provided:
 - a) In the evaluation questionnaire and the annexes provided by the SAS Central Library;
 - b) On the Institutes' websites;
 - c) During a meeting with the Institutes' academic community.
 3. The evaluation questionnaire will be prepared by the SAS Accreditation Commission and approved by the P SAS

Article III

Procedure for the Regular Evaluation of the SAS Research Institutes

1. For regular evaluation, the Institute will submit the completed evaluation questionnaire in English and the annexes provided by the SAS Central Library. If the Institute consists of organizational units that are part of it for at least half of the evaluated period, one evaluation questionnaire for the entire Institute is completed.
2. Another supporting material for the evaluation of Institutes can be an evaluation by a designated expert, which will be requested by the Evaluation Panel. The SAS Accreditation Committee will publish a list of Institutes for which the Evaluation Panels have appointed experts. If the Evaluation Panel does not consider it necessary to appoint an expert / experts for the evaluation of the Institute's activities, the Institute's Statutory Body has the right to request the panel through the SAS Accreditation Committee to appoint an expert / experts within 7 working days of the publication of the list. In this case, the Evaluation Panel is obliged to comply with this requirement and to designate a suitable expert (s). The expert (s) shall provide the evaluations report within one month following the receipt of the Institute's evaluation questionnaire. This report will be used for internal purposes of the Evaluation Panel, will be of a recommendatory nature and will be provided to the Institute's Statutory Body no later than 10 working days before the meeting with the academic community of the Institute.

3. After studying the evaluation material, the Evaluation Panels will meet the academic community of the Institutes and get acquainted with the activities, working conditions and scientific results of the Institutes. At least 10 working days before the meeting, the Evaluation Panel shall provide the Statutory Body of the Institute with its principal comments. The form and venue of the meeting with the academic community will be decided by the Vice-Chairperson of the appropriate scientific section, in agreement with the Statutory Bodies of the individual Institutes and the Evaluation Panel. At the meeting, the Evaluation Panel is accompanied by the Chair of the SAS Accreditation Committee and the Vice-Chair of the appropriate scientific section or by the nominated members of P SAS. Members of the Metapanel, other members of the P SAS and the SAS Assembly can take part at the meeting with the Institute.
4. The Evaluation Panel will draft an overall evaluation of the Institutes in three areas: quality and performance, contribution to society, strategy and development potential. The evaluation shall contain a qualitative statement about the Institute's scientific results for the relevant period in relation to international standards. The methodology and the content of evaluation is in the competence of the Evaluation Panel, while the Evaluation Panel is governed by its statute and rules of procedure.

Article IV

Results of the Regular Evaluation of the SAS Research Institutes

1. The results of regular evaluation will comprise:
 - a) Evaluation of Institutes by the Evaluation Panels in three main areas – Quality and performance; Contribution to society; and Strategy and development potential – within seven categories: A, A/B, B, B/C, C, C/D, D,
 - b) Overall ranking of Institutes by the Evaluation Panels within seven categories: A, A/B, B, B/C, C, C/D, D. The verbal expression of the individual categories will be proposed by the Evaluation Panel before the start of the evaluation process and approved by the P SAS.
2. The overall evaluation of Institutes issued by the Evaluation Panels shall include recommendations to address weaknesses and to increase the level of scientific research until the next regular evaluation.
3. The Head Evaluator shall submit the evaluation materials of each Institute to the SAS Accreditation Committee pursuant to paragraph 1.
4. The SAS Accreditation Committee will draft recommendation on the implementation of the results of regular evaluation for P SAS. In case of any discrepancy, the Evaluation Panel will be consulted.
5. P SAS will inform the Institutes about the results of evaluation in writing. This communication shall include an evaluation material prepared by the Evaluation Panel, including any received expert opinions.
6. Institutes may appeal against the decision of P SAS regarding the results of evaluation within 21 calendar days from the date of notification of the written decision. P SAS will forward this appeal to the SAS Accreditation Committee. The appeal hearing by the SAS Accreditation Committee will involve the Institute's Statutory Body (or their representative) and Chair of the Institute's Scientific Council (or their representative). The Evaluation Panel shall adopt an opinion on the content of the appeal. The SAS

Accreditation Committee will subsequently adopt a draft decision on the appeal and forward it to the P SAS for a final decision. The final hearing by P SAS will involve the Institute's Statutory Body (or their representative) and Chair of the Institute's Scientific Council (or their representative).

7. After the end of all appeal proceedings, the P SAS will issue a final decision regarding the accreditation of all evaluated Institutes.
8. By resolution, P SAS will decide on the implementation of the results of the regular evaluation in accordance with the Principles of Evaluation and Principles of Budgeting of Budgetary and Contributory Organizations of the Slovak Academy of Sciences.

Article V

Transitional and Closing Provisions

1. Activities of the SAS Accreditation Committee and Evaluation Panels are governed by the statutes and rules of procedure, which are approved by the P SAS.
2. Costs linked to the preparation and conduct of the evaluation of Institutes are part of the budget of the SAS.
3. Activities of Evaluation Panels' members and experts are remunerated according to the applicable European standards in the form of a mandatory contract. Panel members and experts are entitled to a refund of travel allowances and accommodation during the on-site visits.
4. Activities of the SAS Accreditation Committee and Evaluation Panels are administered by the SAS Office and the relevant SAS scientific sections according to the approved schedule of regular evaluation of the SAS Institutes.
5. The draft Principles of Regular Evaluation of SAS Research Institutes were approved by the P SAS on 12th September 2019. The SAS Assembly approved the Principles of Regular Evaluation of SAS Research in accordance with the provisions of § 8 par. 7, letter g) of the SAS Act at the meeting on 8th October 2019.
6. These principles take effect on the day following the day of their publication on the SAS website.
7. The draft Amendment no. 1 to the Principles of Regular Evaluation of SAS Research Institutes for the period 2016 – 2021 was approved by P SAS on 14 October 2021. The Amendment no. 1 to the Principles of Regular Evaluation of the SAS Research Institutes for the period 2016 – 2021 was approved by the Assembly of the SAS on 9 November 2021. The Amendment no. 1 to the Principles of Regular Evaluation of the SAS Research Institutes for the period 2016 – 2021 enters into force on the day following the day of its publication on the SAS website.

In Bratislava, on 22nd November 2021.

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SAS President

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