

Principles for regular evaluation of SAS research institutes for period 2012 - 2015

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 Sec. 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 2012 - 2015 will begin with the approval of the principles for regular evaluation of SAS research 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 Sec. 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 will arrange the panels of evaluators. These panels will be composed of renowned experts for appropriate scientific fields. Each panel for a branch of science will have at least three members. The activities of the panel will be directed by statutes 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 Committee. 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;
 - Contribution to society;
 - Potential for development.

Expert opinion on information which is divided into eight categories and provided in a questionnaire will form part of the evaluation process. The eight categories are as follows:

1. scientific outputs of Institutes;
 2. feedback on scientific outputs of Institutes;
 3. scientific status of Institutes in the international and domestic context;
 4. project structure, grant and other financial sources;
 5. postgraduate studies and other educational activities;
 6. contribution to societal practice;
 7. popularization of results;
 8. environment and management: infrastructure, personal development.
2. The evaluation will be the result of the expert opinion carried out in three main spheres (Article II Para. 1) in accordance with the information provided
 - a) in a questionnaire drawn up only for evaluation purposes;
 - 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 Committee 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 for regular evaluation.
2. Further data for the evaluation of Institutes may come from evaluations sought by a panel from invited experts. The SAS Accreditation Committee will make public the list of Institutes for which a panel sought experts. If a panel does not consider it necessary to seek 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 Committee, the panel to seek expert evaluation, 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 determine a suitable expert. The invited expert may visit the Institute. A report will be written up within one month after the submission of a questionnaire from those Institutes which are to be evaluated.
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. The form and venue of the meeting with the academics will be determined by the vice-chairperson for the appropriate branch of science, after agreement with whoever is responsible for the statutes of particular Institutes and the panel.
4. The panel will draft an overall evaluation of the Institute in three spheres: quality and performance, contribution to society and potential for development. 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. This will be in accordance with the following categories:
 - A: excellent or exceptional
 - B: very good
 - C: good
 - D: weak
 - b) overall ranking of Institutes by panels in one of four categories, A, B, C or D:
 - A: excellent/exceptional
 - B: very good
 - C: good
 - D: weak
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 Committee in accordance with Para. 1.
4. The SAS Accreditation Committee 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 Committee. Discussions of such matters by the SAS Accreditation Committee will involve the participation of whoever is responsible for the statutes of the Institute being evaluated 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 Committee 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 will involve the participation of whoever is responsible

for the statutes of the Institute that is appealing 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 for the budgetary organisations, and will decide on the level of contributions to the contributory organizations of the SAS.

Article V

Transitional and closing provisions

1. Activities of the SAS Accreditation Committee 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 Committee and panels will be procured by the Office of the SAS and appropriate scientific branches 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 25 February 2016. The Assembly of the SAS approved the Principles of Evaluation, in accordance with the provisions of Sec. 8 Para. 7.g of the Act on the SAS, in the session of 22 March 2016. At the same time the Principles of Evaluation of 11 October 2011 were abolished.
6. These principles will take effect after their publication on the SAS website.

Prof. Pavol Šajgalík,
SAS President

Dr. Katarína Gmucová,
Chairperson, SAS Assembly