

Masaryk University Directive No. 1/2022

INTERNAL EVALUATION OF RESEARCH

(in the version effective from 1 February 2022)

In accordance with Section 10(1) of Act No. 111/1998 Coll., on Higher Education Institutions and on Modification and Amendment of Other Acts (Higher Education Act), as later amended (hereinafter referred to as the "Act"), I issue this Directive:

Section 1

Subject of Regulation and Basic Provisions

- (1) This Directive lays down principles, rules and procedures for internal evaluation of research at Masaryk University (hereinafter referred to as "IER").
- (2) The IER is performed by all faculties and university institutes of Masaryk University (hereinafter referred to as a "constituent part") every five years for the purpose of periodical internal evaluation of research activities at Masaryk University (hereinafter referred to as "MU"). The evaluated period covers the full five years preceding the year in which the evaluation takes place. Supporting materials may also include information from the year of the evaluation (e.g. substantial organizational changes, important publications, grants, etc.).
- (3) The IER is one of evaluation activities at MU. Its aim is to provide feedback to constituent parts regarding the quality of research and doctoral studies, and support their research strategies and decision-making. Other components of MU evaluation activities include primarily the bibliometric support and the indicators of excellence as a part of performance based funding.
- (4) Internal evaluation of doctoral degree programmes is regulated by the document [Masaryk University Degree Programme Quality Approval, Management and Evaluation](#).

Section 2

Evaluated Unit

- (1) The object of the internal evaluation of research is the evaluated unit/cluster (hereinafter referred to as the "evaluated unit"). The constituent part determines the structure of its evaluated units. The evaluated unit is usually a department, institute or a workplace at the evaluated constituent part or a cluster of units that work in related fields. Clustering is desirable in the following cases:
 - a) the evaluated units working in related fields employ a small number of staff;
 - b) the evaluated units working in related fields have common staff.If the constituent part is homogeneous in terms of specialization and organization, the entire such part may form an evaluated unit.
- (2) Each evaluated unit is classified in the Fields or Research and Development (FORD) of the Organisation for Economic Cooperation and Development (OECD), and is assigned the relevant evaluation panel (hereinafter referred to as "EP").
- (3) The evaluated unit is evaluated together with the doctoral degree programme(s) that it guarantees.
- (4) The evaluated unit prepares a [self-evaluation report](#) in accordance with the sample available on the Document Server of the Information System of MU, to be submitted to the EP (Section 4(1)(a) and (b)). The preparation of the self-evaluation report is the responsibility of the head of the evaluated unit or a person authorized by

him/her. The self-evaluation report may be modified as needed by the evaluated constituent part, provided the main structure is maintained.

- (5) A simplified version of the self-evaluation report and a simplified version of the on-site visit may apply to evaluated units with a low number of research outputs or a minor research mission. The head of the constituent part decides on the application of the simplified version.

Section 3

Evaluation Components

The IER mainly uses two components of research evaluation:

- a) bibliometric analysis – a bibliometric profile of the evaluated unit prepared by the Research Office at the Rector’s Office (hereinafter referred to as “RMU RO”), containing data on publication activities in terms of productivity, visibility and impact. The EP under Section 4(1)(a) and (b) may use the data for supplementing the information obtained from the self-evaluation report (Section 2(4) and (5)) and during the on-site visit in order to assess the research activities of the evaluated unit.
- b) expert evaluation by the **EP** aiming at the assessment of the quality and status of research at the evaluated unit.

Section 4

Evaluation Panels

- (1) There are three types of EPs that may be established by the evaluated constituent part upon consultation with the RMU RO:
 - a) **Evaluation panel of the evaluated units (hereinafter referred to as “EP EU”)**, which consists of experts who evaluate units or their clusters. In the constituent parts that have only one EP (parts that are homogeneous in terms of specialization) it is expected that this EP EU provides the summary of all evaluated units to the management of the constituent part.
 - b) **International Scientific Advisory Board of constituent part (hereinafter referred to as “constituent part’s ISAB”)** is established in those parts that are interested in long-term cooperation with international experts for the purpose of their own development and achievement of strategic goals. The ISAB plays the same role as the EP EU for the whole constituent part.
 - c) **Faculty evaluation panel (hereinafter referred to as “FEP”)**, which is established by the evaluated constituent part only if there are more than one EP EU and at the same time, the constituent part’s ISAB has not been established, for the purpose of summarizing the results and giving recommendations to the constituent part’s management based on the EP EU outputs.
- (2) The EP EU and the constituent part’s ISAB conduct the evaluation through qualitative expert assessment of the evaluated units. The evaluation is based on:
 - a) self-evaluation reports of the evaluated units (Section 2(4) and (5));
 - b) bibliometric analyses;
 - c) outputs of on-site visit.
- (3) The EP EU or ISAB summarizes the evaluation results in an [evaluation report](#) the requisites of which are stated in Section 8(7). The FEP’s evaluation under clause c) is in the form of summary results of all EP EUs. The summary is based on:
 - a) evaluation reports of the evaluated units;
 - b) outputs of negotiations with the management of the evaluated constituent part.

The FEP summarizes the recommendations for the whole constituent part in a document the requisites of which are stated in Section 9(5).
- (4) The evaluated constituent part with the methodological support of the RMU RO provides for the EPs:

- a) organization of sessions;
- b) smooth evaluation procedure, clarity, accuracy and compliance with deadlines;
- c) collection and distribution of documents mentioned in subsections 2 and 3;
- d) is responsible for the completeness and veracity of information and documents submitted.

Section 5

Evaluation Panel Secretary

- (1) Each constituent part establishes the position of an EP secretary. The EP secretary does not vote or make evaluations.
- (2) The secretary's task is to provide support for the EP in organizational and technical matters in the entire course of the IER.
- (3) The EP secretary with the methodological support of the RMU RO prepares and distributes all supporting materials for the evaluation.
- (4) The EP secretary takes minutes of EP sessions, including the voting results and attendance list signed by the evaluators (another form of an attendance list, e.g. automatically created by video conferencing software, is also acceptable). The minutes are subsequently approved by the EP chair.

Section 6

Evaluation Panel Composition

- (1) The EP members (hereinafter referred to as "evaluators") are proposed by the head of the constituent part or a person authorized by him/her, and approved by the MU Rector. The evaluators are appointed and dismissed by the head of the constituent part.
- (2) The EP consists of at least three evaluators, except for the FEP, where the number of evaluators is determined under Section 9(2). Two thirds of the evaluators shall be experts with significant professional experience abroad, typically internationally recognized experts from prestigious foreign institutions.
- (3) The EP is led by a chair. The chair directs the EP's activities and is responsible for the preparation and handover of the evaluation report. The chair from among the evaluators is proposed by the head of the constituent part or a person authorized by him/her, and approved or dismissed by the head of the constituent part.
- (4) The RMU RO is entitled to express their opinion on the list of nominated evaluators in terms of criteria and conflict of interest (Section 7(2)) and may ask the Rector to make changes to the EP composition in justified cases.
- (5) Membership of the EP shall expire by an evaluator's withdrawal or by the termination of evaluation (except for ISAB of a constituent part, which is governed by its own statutes). The evaluator may be dismissed by the Rector of MU due to a serious reason, such as the conflict of interest.
- (6) In case membership expires during the evaluation under subsection 5 and the number of evaluators drops below the minimum stipulated in subsection 2, the EP shall be topped up in accordance with the proposal of the dean / constituent part director or a person authorized by him/her and new members shall be appointed in accordance with subsection 1.

Section 7

Evaluators' Rights and Obligations

- (1) The evaluators are obliged to express their expert opinion and carry out their activities in the EP in person, independently and in their own name.
- (2) The evaluator must not be in a conflict of interest in relation to MU and must not have personal interest in the evaluation result. Conflict of interest in the evaluation procedure is considered the situation where:

- a) The evaluator is or has been in an employment relationship with MU in the past five years.
 - b) The evaluator is a member of an MU body (Section 7 of the Act). An exception to this rule is membership of an existing independent advisory or evaluation committee of the evaluated constituent part.
 - c) The evaluator has participated in research cooperation or has been a co-author of outcomes or results of the evaluated unit in the past five years.
 - d) The evaluator has close family ties (spouse, cohabiting or non-cohabiting partner) or other close personal ties with a person holding a management position in the evaluated unit (head of a department, director of a university institute etc.) or with a member of the management of the evaluated constituent part.
- (3) The evaluators declare with their signature on the [form](#) that there are no conflicts of interest and that they have read the documents connected with the evaluation (self-evaluation report, bibliometric analysis).
 - (4) The evaluators are obliged to maintain confidentiality of all facts learnt during their EP membership.
 - (5) The evaluators are entitled to remuneration for the evaluation work.
 - (6) The evaluators agree to the publication of evaluation reports including their names for the purposes of public presentation of IER outcomes (e.g. on the MU website).

Section 8

Sessions of EP EU and ISAB of a Constituent Part

- (1) This section regulates the sessions of the EPs mentioned in Section 4(1) (a) and (b).
- (2) The head of the constituent part or a person authorized by him/her in cooperation with the EP chair convenes the introductory online meeting no later than 30 days before the on-site visit. The EP chair moderates and directs all EP sessions including the on-site visit.
- (3) The relevant documents (self-evaluation report and other supporting materials) are provided by the EP secretary to the evaluators no later than 60 days before the on-site visit. In case the EP evaluates units from more constituent parts, each part shall provide documents to the evaluators individually unless the head of one participating constituent part grants an express consent to the other participating constituent part to share the documents and to act on its behalf during the organization of the EP.
- (4) All evaluators shall become familiar with the documents submitted to the EP. The evaluators shall inform the EP secretary in case of doubt as to the accuracy and completeness of the documents or shall request supplementing and providing further information if necessary.
- (5) The EP may act in person or via suitable remote communication means (online) or per rollam. The preferred form of an on-site visit is an in-person meeting in Brno. The form the on-site visit and its organization shall be decided by the head of the constituent part.
- (6) The evaluation shall include at least one meeting regardless of its form.
- (7) The work of EP EU and ISAB result in evaluation reports on the assessed units and, if the FEP has not been established, also the recommendation for the whole constituent part (under Section 9(5)). The EP chair is responsible for the preparation and handover of the report. The report shall contain conclusions concerning the quality of research and doctoral studies at the evaluated units and propose:
 - a) concrete recommendations for further development of research at the evaluated unit;
 - b) concrete recommendations for each doctoral programme;
 - c) grading of the evaluated unit. The grade chosen from the standard scale reflects the formalized opinion of the panel on the quality of research and doctoral studies,

taking into account inputs, outcomes, environment and impact. The grade shall not serve the purpose of direct distribution of funds from the MU Rector's Office to the constituent parts. The following grades are used:

1. **Insufficient – 1:** A weak national level. The evaluated unit is a below-average workplace at the national level. The research environment and performance lag far behind in international and national comparisons.
 2. **Satisfactory – 2:** A satisfactory national level. The evaluated unit is an average workplace at the national level. The research environment and performance lag behind in international comparison.
 3. **Good – 3:** A strong national level. The evaluated unit is an above-average workplace at the national level. The research environment and performance are average in international comparison.
 4. **Very good – 4:** A strong international level. The evaluated unit ranks very high at the international level. The research environment and performance are competitive on the international scale and some aspects are comparable to the world's top institutions.
 5. **Excellent – 5:** A world's leader. The evaluated unit is considered a world leader in its field. The research environment and performance are fully comparable to the world leaders.
- (8) The EP sessions are not public. The evaluators, the EP secretary, representatives of the evaluated unit and constituent part, representatives of the RMU RO and guests invited by the EP are allowed to participate.
 - (9) The EP members constitutes a quorum if an absolute majority are present.
 - (10) The approval by an absolute majority of all EP members present is required for the adoption of a resolution.
 - (11) In case the EP's voting is conducted per rollam, the EP secretary shall send the relevant documentation and a draft opinion to all the evaluators electronically and shall state the deadline for comments or votes to the EP secretary and EP chair by e-mail. The above period shall be at least ten working days. The draft opinion is approved per rollam in case it gets votes of an absolute majority of the evaluators within the determined period. The result of voting per rollam is recorded and without undue delay submitted to the EP chair or an authorized evaluator for signing. The EP secretary shall send the approved minutes to all the evaluators by e-mail no later than three days of the signature, and shall archive the minutes.

Section 9

Sessions of FEP

- (1) This section regulates the sessions of the EP specified in Section 4(1)(c).
- (2) The FEP consists of chairs of the EP EUs (Section 6(3)) at the constituent part concerned.
- (3) At least one session of the FEP and the management of the evaluated constituent part shall take place at constituent parts that have more than one EP EU. The FEP session is convened by the head of the constituent part or a person authorized by him/her in accordance with the IER schedule at the constituent part concerned after all evaluation reports of that part's evaluated units have been drawn up.
- (4) The EP secretary shall make available the documents of the evaluation reports of the evaluated units to the FEP evaluators immediately after their receipt from the EP EU.
- (5) The result of the FEP session is a document with recommendations for the overall improvement of research at the evaluated constituent part, specifically focused on key topics ascertained during on-site visits and from evaluation reports of the evaluated units.

- (6) The FEP sessions are not public and may be attended only by the FEP evaluators, representatives of constituent parts, representatives of the RMU RO, the EP secretary and guests invited by the FEP chair.

Section 10

Establishment of ISAB of a Constituent Part

- (1) The ISAB is a standing advisory body to the management of a constituent part. An essential feature of the ISAB is that it is a part of the organizational structure of the constituent part and meets periodically as agreed.
- (2) For the purposes of the IER, the constituent part's ISAB serves as the EP and fulfils the function of the EP EU and FEP concurrently. The constituent part shall provide all the outcomes that would be provided by the EP EU and FEP for the IER. The constituent part's ISAB must also meet the criteria under Sections 6 and 7.
- (3) The constituent part is responsible for the establishment and functioning of the constituent part's ISAB.
- (4) The relevant constituent part is obliged to issue a regulation for its ISAB that will cover:
 - a) establishment of the ISAB as part of the organizational structure;
 - b) definition of activities, method of appointment of members, rules of procedure and other responsibilities;
 - c) periodicity of sessions.
- (5) The ISAB of the constituent part shall use the name of the constituent part in its title (e.g. "ISAB of the Faculty of Medicine") to prevent confusion with the university-wide MU ISAB.

Section 11

Use of Internal Evaluation Outcomes

- (1) All evaluation reports and documents requested under subsection 3 shall be available to the MU senior management.
- (2) The constituent part shall determine how the recommendations are implemented at the level of the constituent part (FEP, ISAB) and each evaluated unit (EP EU, ISAB). The outcomes of evaluation (in particular evaluation reports for evaluated units and FEP's recommendations) serve for the research development at the constituent part.
- (3) Based on the evaluation of all its evaluated units and the FEP's opinion, each constituent part shall prepare a document to be discussed with the MU senior management in the year following the IER. The document shall contain the following requisites:
 - a) strategy of research management in the next five years at the level of the constituent part, which shall take into account the FEP's or ISAB's recommendations and shall set the methods of their implementation;
 - b) method in which the constituent part will implement the recommendations of the EP EUs in the internal procedure at the level of the individual evaluated units;
 - c) reflection of the evaluation, which shall serve the RMU RO for the assessment of the entire IER process to be improved in the next period.
- (4) The MU senior management shall use the IER outcomes for the analysis of the internal research environment, for the development of MU research aiming at a better success rate of MU in the national system of research evaluation in the Czech Republic and at the enhancement of international reputation of MU, as well as for the promotion of excellent research themes toward third parties.
- (5) The MU senior management shall use the IER outcomes for the purpose of assessment of processes, benefits and impacts of the IER.

Section 12

Final Provisions

- (1) I authorize the head of the RMU RO to interpret the individual provisions hereof.
- (2) This Directive is part of the methodological procedure "Coordination and Planning of Research/Creative Activities".
- (3) The compliance with this Directive shall be inspected by the head of the RMU RO and the heads of the constituent parts.
- (4) This Directive shall enter into force on the day of its execution.
- (5) This Directive shall enter into effect on 1 February 2022.

electronic signature

Martin Bareš
Rector