

Appendix 5

**METHODOLOGY FOR EVALUATING RESEARCH
ORGANISATIONS IN THE UNIVERSITIES SECTOR**

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PART I

1.1 STRUCTURE OF MODULES M3-M5 IN EVALUATIONS OF THE UNIVERSITIES SECTOR

1.1.1 MODULE 3 SOCIAL RELEVANCE

Module M3 is split into six clusters with a total of 12 specific evaluation criteria.

SOCIAL RELEVANCE / SOCIAL BENEFIT OF THE EVALUATED UNIT¹

3.1 General self-assessment of the social benefit of research, development and innovation (“R&D&I”) in the fields of research at the evaluated unit, and of the evaluated unit as a whole

APPLIED RESEARCH PROJECTS

3.2 Applied research projects

3.3 Contract research

3.4 Revenues from non-public sources (besides grants or contract research) from research work

APPLIED RESEARCH RESULTS

3.5 Applied research results with an existing or prospective economic impact on society

3.6 Significant applied research results with an impact other than an economic one on society

COLLABORATIONS OUTSIDE ACADEMIA AND TECHNOLOGY TRANSFER

3.7 The evaluated unit’s most significant interactions with the non-academic application/corporate sphere

3.8 System and support for technology transfer and intellectual property protection (can be extended to the whole university, emphasising the specific features of the evaluated unit)

3.9 Strategy for setting up and supporting spin-off firms or other forms of commercialising R&D&I results (can be extended to the whole university, emphasising the specific features of the evaluated unit)

RECOGNITION IN THE RESEARCH COMMUNITY

3.10 Most significant individual awards for R&D&I

3.11 Recognition in the international R&D&I community (elected memberships of professional societies, participation on the editorial boards of international scientific journals, invited lectures at institutions abroad, etc.)

POPULARISATION OF R&D&I

3.12 Most significant activities in the popularisation of R&D&I and communication with the public

¹ In accordance with Section 22(1) of Act No 111/1998 on universities, amending certain acts (the Universities Act), as amended.

1.1.2 MODULE 4 VIABILITY

Module M4 is split into eight clusters with a total of 28 specific evaluation criteria.

ORGANISATION, MANAGEMENT AND SUPPORT FOR R&D&I

- 4.1 Organisation and management of R&D&I
- 4.2 Support system for R&D&I and measures to stimulate high-quality science
- 4.3 Institutional regulations for the use of institutional aid for the long-term conceptual development of a research organisation (“LCDRO”)
- 4.4 Strategy for the establishing, financing and long-term development and sustainability of research centres and large research infrastructures
- 4.5 Training system for intellectual property protection and technology transfer

DOCTORAL STUDIES

- 4.6 Organisation of doctoral studies
- 4.7 Internationalisation of doctoral studies
- 4.8 Subsequent careers for doctoral graduates (support)
- 4.9 Rules for funding doctoral students, including foreign students (stimulation and motivation tools)

NATIONAL AND INTERNATIONAL COOPERATION AND MOBILITY IN R&D&I

- 4.10 Significant cooperation in R&D&I at national level
- 4.11 Significant cooperation in R&D&I at international level
- 4.12 Mobility of academic and research workers (including sectoral and intersectoral mobility)
- 4.13 Internationalisation of the internal environment

HUMAN RESOURCES AND CAREERS IN R&D&I

- 4.14 System for career growth for academic and research workers
- 4.15 Appraisal system for academic and research workers and filling key positions in R&D&I
- 4.16 Recruitment system for academic and research workers from the external environment
- 4.17 Human resources structure
- 4.18 Gender equality measures

FUNDING FOR R&D&I

- 4.19 Structure of funding for R&D&I
- 4.20 Support for obtaining foreign research projects (including the strategy for obtaining prestigious foreign funding for R&D&I)

FORMATIVE EVALUATION OF R&D&I AND THE START-UP STRATEGY (WITH POTENTIAL FOR APPLICATION)

- 4.21 Internal and external system for evaluating research units (groups, teams, departments, institutes)
- 4.22 Conditions for setting up new teams and introducing new research topics (start-up strategy)
- 4.23 External advisory bodies for R&D&I, independent feedback for R&D&I

RESEARCH INFRASTRUCTURE

- 4.24 System for acquiring and renewing instruments and equipment for R&D&I
- 4.25 System for sharing instruments and equipment for R&D&I

GOOD PRACTICE IN R&D&I

4.26 Internal regulations and measures for maintaining good practice in R&D&I (e.g. Code of Conduct for Research Integrity, ethical issues)

4.27 Open Access strategy for information from R&D&I

4.28 Data Management strategy for research data

1.1.3 MODULE 5 STRATEGY AND POLICIES

Module M5 is split into four clusters with a total of five specific evaluation criteria:

R&D&I MISSION AND VISION

5.1 The evaluated institution's R&D&I mission and vision

R&D&I OBJECTIVES AND STRATEGIES

5.2 Research objectives and strategies before the next evaluation

R&D&I NATIONAL AND INTERNATIONAL CONTEXT

5.3 Relation to higher national and supranational strategic goals and measures for R&D&I

5.4 Strategy and strategic management tools to improve the international or sectoral competitiveness of the university's research work and its quality

TOOLS FOR IMPLEMENTING THE RESEARCH STRATEGY

5.5 Institutional tools for implementing the research strategy, emphasising support for quality R&D&I and the innovation environment

PART II

2.1 DESCRIPTION OF MODULES M3-M5 IN EVALUATIONS OF THE UNIVERSITIES SECTOR

2.1.1 MODULE 3 SOCIAL RELEVANCE

Module 3 is particularly relevant for universities that conduct applied research that directly serves users such as industrial sectors, the public sector and other research organisations. This module evaluates the positive impacts on society and individuals from R&D&I and its results. The social relevance criterion concerns applied research results that are of direct significance for the economy, state and public administration, and cultural and social policy. This module also includes the evaluation of basic research results that affect individuals and society indirectly (indirect impacts). This evaluation needs to take into account the relevance and current need for the research focus, the methods proposed and used, and the social significance of the R&D&I conducted as a whole. Other areas evaluated under module M3 include applied research projects, collaborations outside academia and technology transfer, recognition in the scientific community, and the popularisation of R&D&I. Module M3 is concerned with evaluating the impacts of the results of R&D&I, and it therefore complements module 1.

Under module M3 the evaluated unit is typically a faculty or other relevant constituent part of a university such as an institute (“evaluated unit”) under Section 22(1) of the Universities Act. For module M3 a university produces a self-evaluation report with a maximum of 20 standard pages of text, or for universities with more than five constituent parts a maximum of four standard pages of text, plus appendices, per evaluated unit, unless otherwise specified below. In the introduction the evaluated unit briefly describes (criterion 3.1) where it sees the social benefit of R&D&I in the evaluated unit’s fields of research, and the social benefit of the evaluated unit as a whole in the 2014–2018 period (e.g. the developing of a new medicine for production). A module M3 evaluation and its results depend on the nature of the field of research and development (FORD²), and it is therefore essential to evaluate a unit that is as compact as possible, and the evaluation must take into account the specific features of various types of units depending on their fields of research and development.

Module M3 has a system for calibrating the individual criteria to express their relevance for the type of evaluated unit. This calibration is aimed at reflecting differences between disciplines, as well as the different kinds of social benefits.

Module M3 is split into six clusters with a total of 12 specific evaluation criteria (some criteria are not used for military and police universities):

SOCIAL RELEVANCE / SOCIAL BENEFIT OF THE EVALUATED UNIT

3.1 General self-assessment of the social benefit of R&D&I in the fields of research at the evaluated unit, and of the evaluated unit as a whole

The evaluated unit gives a concise, general but informative account of the benefit of R&D&I in the fields in the 2014–2018 reporting period.

² OECD Fields of Research and Development (Frascati Manual 2015)

APPLIED RESEARCH PROJECTS

3.2 Applied research projects³

The evaluated unit presents a maximum of the five most significant (in the evaluated unit's view) applied research projects in the 2014–2018 reporting period from the complete list in the appendix (tables 3.2.1 and 3.2.2), particularly with regard to the results achieved or a project's potential for application.

3.3 Contract research⁴

The evaluated unit briefly comments on revenues from contract research for the 2014–2018 reporting period from the complete list in the appendix (tables 3.2.1 and 3.3.2).

3.4 Revenues from non-public sources (besides grants or contract research) from research work

The evaluated unit briefly comments on revenues for the 2014–2018 reporting period for R&D&I from non-public sources, besides grants or contract research (e.g. licences sold, spin-off revenues, gifts, etc.). It presents a complete list in the appendix (table 3.4.1).

APPLIED RESEARCH RESULTS

3.5 Applied research results with an existing or prospective economic impact on society

The evaluated unit briefly comments on a maximum of the five most significant (in the evaluated unit's view) applied research results that have already been applied in practice, or that will realistically be applied, in the 2014–2018 reporting period from the overview in the appendix (table 3.5.1).

3.6 Significant applied research results with an impact other than an economic one on society

The evaluated unit gives a concise account of a maximum of the five most significant (in the evaluated unit's view) applied research results with an impact other than an economic one on society in the 2014–2018 reporting period (typically results from disciplines in the humanities and social sciences) from the overview in the appendix (table 3.6.1).

COLLABORATIONS OUTSIDE ACADEMIA AND TECHNOLOGY TRANSFER

3.7 The evaluated unit's most significant interactions with the non-academic application/corporate sphere

³ Under Section 2(1)(b) of Act No 130/2002, applied research is theoretical and experimental work aimed at gaining new knowledge and skills for the developing of new or substantially improved products, processes or services; applied research includes industrial research or experimental development, or a combination of both. Under Article 2 of Commission Regulation (EU) No 651/2014 of 17 June 2014 declaring certain categories of aid compatible with the internal market in application of Articles 107 and 108 of the Treaty, industrial research means planned research or critical investigation aimed at the acquisition of new knowledge and skills for developing new products, processes or services, or for bringing about a significant improvement in existing products, processes or services. It comprises the creation of component parts of complex systems, and may include the construction of prototypes in a laboratory environment or in an environment with simulated interfaces to existing systems as well as of pilot lines, when necessary for the industrial research and notably for generic technology validation; experimental development means acquiring, combining, shaping and using existing scientific, technological, business and other relevant knowledge and skills with the aim of developing new or improved products, processes or services. This may also include, for example, activities aiming at the conceptual definition, planning and documentation of new products, processes or services.

⁴ For a definition of contract research for the purposes of evaluation in the universities sector, see Article 2.2.1 of the Community framework for State aid for research and development and innovation (2014/C 198/01).

The evaluated unit gives a concise account of the most typical users of its outputs. It explains whether and how it identifies them and how it works with them. It provides examples of a maximum of ten of the most significant interactions outside academia in the 2014–2018 reporting period.

3.8 System and support for technology transfer and intellectual property protection (can be extended to the whole university, emphasising the specific features of the evaluated unit)

The evaluated unit gives a concise account of its system for technology transfer. It conducts an evaluation of the quality of its applied research and the effectiveness of technology transfer using the data presented in the appendix (table 3.5.1). This commentary will highlight the number of patents (Czech and international) filed and granted and licences sold.

3.9 Strategy for setting up and supporting spin-off firms or other forms of commercialising R&D&I results (can be extended to the whole university, emphasising the specific features of the evaluated unit)

The evaluated unit gives a concise account of the practical use of its intellectual property in the form of setting up spin-off firms or other forms of commercialising R&D&I results (with or without the university's stake) established by the evaluated unit (university), another entity controlled by the evaluated unit (university), or an employee of the evaluated unit, presenting the model for their functioning and coordination, and for monitoring the evaluated unit's (university's) intellectual property.

RECOGNITION IN THE RESEARCH COMMUNITY

3.10 Most significant individual awards for R&D&I

The evaluated unit presents a maximum of ten examples of the most significant R&D&I awards received (in the Czech Republic and in other countries) in the 2014–2018 reporting period.

3.11 Recognition in the international R&D&I community

The evaluated unit provides the following information / examples demonstrating recognition in the international scientific community in the 2014–2018 reporting period, with a commentary:

- *it presents in the appendix (table 3.11.1) a maximum of ten examples of its academic staff's participation on the editorial boards of international scientific journals (e.g. editor, member of the editorial board),*
- *it presents in the appendix (table 3.11.2) a maximum of ten examples of the most significant invited lectures by the evaluated unit's academic staff abroad,*
- *it presents in the appendix (table 3.11.3) a maximum of ten examples of the most significant lectures by foreign scientists and other guests relevant to the R&D&I field,*
- *it presents a maximum of ten examples of the most significant elected memberships of professional societies.*

POPULARISATION OF R&D&I

3.12 Most significant activities in the popularisation of R&D&I and communication with the public

The evaluated unit gives a concise account of its main activities in the popularisation of R&D&I and communication with the lay public in the 2014–2018 reporting period, and presents a maximum of ten examples that it considers the most significant.

APPENDICES (TABLES)

3.2 Applied research projects

3.2.1 Projects supported by a provider from the Czech Republic

As the beneficiary						
Provider	Project title	Support (CZK thousand)				
		2014	2015	2016	2017	2018
Total						
As another participant						
Provider	Project title	Support (CZK thousand)				
		2014	2015	2016	2017	2018
Total						

3.2.2 Projects supported by a provider from another country

As the beneficiary						
Provider	Project title	Support (CZK thousand)				
		2014	2015	2016	2017	2018
Total						
As another participant						
Provider	Project title	Support (CZK thousand)				
		2014	2015	2016	2017	2018
Total						

3.3 Contract research

3.3.1 Research work contracted by a client from the Czech Republic

Client	Research title	Revenues (CZK thousand)				
		2014	2015	2016	2017	2018
Total						

Note: List and describe contract research work with the revenue for the calendar year in question.

3.3.2 Research work contracted by a foreign client

Client	Research title	Revenues (CZK thousand)				
		2014	2015	2016	2017	2018
Total						

Note: List and describe contract research work with the revenue for the calendar year in question.

3.4 Revenues from non-public sources (besides grants or contract research)

3.4.1 Overview of revenues from non-public sources raised for the 2014–2018 reporting period

Revenue type	Revenues (CZK thousand)				
	2014	2015	2016	2017	2018
Total					

Note: List funds for R&D&I from non-public sources, besides grants or contract research (e.g. licences sold, spin-off revenues, gifts, etc.) in each calendar year.

3.5 Applied research results with an economic impact on society

3.5.1 Overview of applied research results in the 2014–2018 reporting period

Note: List and describe the results that have already been applied in practice, or that will realistically be applied, with an existing or prospective economic impact on society. Under “patents” and “licences sold”, list all the results; under other results list a *maximum* of five items. Unless otherwise specified below, the definition of a result must correspond to the definitions under the Methodology for Evaluating Research Organisations and Research, Development and Innovation Purpose-Tied Aid Programmes, Appendix No 4: Definitions of Types of Results.

Results	Year	Title
European patent		
American patent		
Czech licenced patent		
Other foreign patents		
Licences sold		
Significant analyses / surveys / studies		
Spin-off with a stake held by the evaluated unit		

Spin-off with no stake held by the evaluated unit		
Prototypes		
Varieties and breeds		
Other		

Note: "Licence" refers to a licence for a result of R&D&I in the broadest sense of the word (licences for patents, utility models, industrial designs; copyright licences for software and other works, and any other licences).

For the purposes of this methodology, a "spin-off" is a legal person established to commercialise knowledge, usually with the inclusion/transfer of the rights to this knowledge to such legal person. List all instances of legal persons.

3.6 Significant applied research results with an impact other than an economic one on society

3.6.1 Overview of applied research results for the 2014–2018 reporting period with an impact other than an economic one on society

Result type	Name	Anticipated impact

Note: List and describe a maximum of five results (in line with the Definitions of Types of Results) that have already been applied in practice, or that will realistically be applied. These are typically results from disciplines in the humanities and social sciences, for which you should briefly describe their anticipated impact.

3.11 Recognition in the international R&D&I community

3.11.1 Participation of the evaluated unit's academic staff on the editorial boards of international scientific journals in the 2014–2018 reporting period

Name, surname and title(s) of the evaluated unit's member of staff	Title, publisher, city(-ies) and country(-ies) of origin of the scientific journal

Note: List a maximum of ten examples of academic staff's participation on the editorial boards of international scientific journals (e.g. editor, member of the editorial board, etc.).

3.11.2 The most significant invited lectures by the evaluated unit’s academic staff at institutions in other countries during the 2014–2018 reporting period

Name, surname and title(s) of the evaluated unit’s member of staff	Invited lecture title	Name of the host institution, conference or other event

Note: List a maximum of ten examples.

3.11.3 The most significant lectures by foreign scientists and other guests relevant to the R&D&I field at the evaluated unit during the 2014–2018 reporting period

Name, surname and title(s) of the evaluated unit’s member of staff	Lecturer’s employer at the time of the lecture	Invited lecture title

Note: Relevant solely for the R&D&I field. List a maximum of ten examples.

2.1.2 MODULE 4 VIABILITY

Module 4 applies to the research environment, and it appraises the quality of a university's management and internal processes. It seeks to describe how the university functions as an institution in the following areas: organisation, management and support for R&D&I; doctoral studies; national and international cooperation (membership of the global and national research community) and mobility in R&D&I; human resources and careers in R&D&I; funding for R&D&I (the ability to raise funds to implement R&D&I); start-up strategy; research infrastructure; good practice in R&D&I.

Under module M4 the evaluated unit is the university as a whole. Usually it will be evaluated on the basis of data for the multiyear period preceding the evaluation year. The university produces a self-evaluation report with a maximum of 25 standard pages of text, supplemented with tables and other appendices (the tables and appendices do not count as part of the text).

Module M4 is split into eight clusters with a total of 28 specific evaluation criteria (some criteria are not used for military and police universities):

ORGANISATION, MANAGEMENT AND SUPPORT FOR R&D&I

4.1 Organisation and management of R&D&I

The university gives a concise account of its management system and organisational structure for R&D&I, highlighting the following aspects:

- *the role of the rector's office, dean's office and the management of the university's institutes in the organisation and management of R&D&I,*
- *the involvement of international scientific councils or other independent advisory bodies (if any),*
- *the university's organisational structure in relation to R&D&I (e.g. the internal structuring of institutes and departments into research or project teams, if there is any such structuring; interdisciplinary research centres, etc.),*
- *the relevant internal regulation is included as an appendix to the general information on remuneration at the university.*

It also briefly comments on data from the appendix (tables 4.1.1 and 4.1.2) on the number and structure of the university's employees contributing to R&D&I.

4.2 Support system for R&D&I and measures to stimulate high-quality science

The university gives a concise account of systemic stimulation measures / tools (if any) to promote quality R&D&I. This can be done in a bulleted list for the university as a whole.

4.3 Institutional regulations for the use of institutional support for the LCDRO

The university describes its strategy for using institutional support for the LCDRO in managing institutionally supported research work (e.g. prioritising the university's research topics in line with individual needs; internal grant agencies; motivational tools) and how institutional support was split between individual workplaces / research teams in the 2014–2018 reporting period.

4.4 Strategy for the establishing, financing and long-term development and sustainability of research centres and large research infrastructures⁵ (if any)

The university gives a concise account of its strategy for the sustainability and development of its large research infrastructure, if it is the host organisation for such a project. It also describes its strategy for the sustainability and development of its research centre(s) developed in 2007–2015 under the European Structural Funds (Operational Programmes: Research and Development for Innovations, Prague – Competitiveness) and supported during the sustainability period under the National Sustainability Programme, if such a research centre is part of the university.

4.5 Training system for intellectual property protection and technology transfer

The university gives a concise account of its internal system for training undergraduate and postgraduate students and employees in intellectual property protection and technology transfer (if there is such a training system).

DOCTORAL STUDIES

4.6 Organisation of doctoral studies

The university gives a concise account of the organisation of doctoral studies: structure, key statistics, information on promotion and recruitment schemes, external communications concerning doctoral studies (e.g. cooperation with the Czech Academy of Sciences, cooperation with the application sphere, recruitment abroad, etc.), and any other relevant information such as the existence of a doctorate school, basic courses in soft skills, etc.

4.7 Internationalisation of doctoral studies

The university gives an account, with specific examples, of international cooperation in doctoral studies, e.g. building open doctoral study programmes for foreign nationals and creating international networks for doctoral studies; catering for foreign students visiting as part of mobility; support and the existence of joint individual doctoral studies as part of international cooperation (e.g. joint degrees), individual contracts (e.g. cotutelle degrees), study placements and research fellowships abroad, etc.

4.8 Subsequent careers for doctoral graduates (support)

The university lists specific measures to support doctoral graduates (e.g. internal subsidy schemes for the further development of new scientists, postdoctoral fellows, actively looking for opportunities abroad, etc.) and provides data in the appendix (table 4.8.1) to illustrate subsequent careers for doctoral graduates, with a maximum of ten examples of how graduates fared in the 2014–2018 reporting period.

4.9 Rules for funding doctoral students, including foreign students (stimulation and motivation tools)

The university provides information on methods for funding doctoral students (Ph.D. students), including foreign students, covering personal expenses (grants) and other expenses. The university also lists specific stimulation and motivation tools as part financial support for doctoral students in addition to their regular grants.

⁵ Under Section 2(2)(d) of Act No 130/2002, as amended, a large research infrastructure is a research infrastructure that is an essential research facility for comprehensive research and development work with high financial and technological demands, which is approved by the government and established to also be used by other research organisations.

NATIONAL AND INTERNATIONAL COOPERATION AND MOBILITY IN R&D&I

4.10 Significant cooperation in R&D&I at national level

The university gives a maximum of five specific examples of cooperation in R&D&I at national level.

4.11 Significant cooperation in R&D&I at international level

The university gives a maximum of ten specific examples of cooperation in R&D&I at international level.

The university briefly describes the forms international cooperation takes. It also presents in brief the specific results and impacts on R&D&I for the university resulting from the international cooperation described above, presenting a maximum of ten examples.

4.12 Mobility of academic and research workers (including sectoral and intersectoral mobility)

The university gives a concise and structured account of the mobility of its academic and research workers, covering the following areas:

- *the mobility of doctoral students and academic staff in connection with R&D&I (strategy, system, policies), with a maximum of ten specific examples that it considers especially fruitful,*
- *any barriers to the mobility of academic and research workers.*

4.13 Internationalisation of the internal environment

The university describes the basic framework for the internationalisation of its internal environment in relation to R&D&I and lists its tools to meet the objectives of internationalisation and how they are implemented. Any barriers to internationalisation can also be mentioned.

HUMAN RESOURCES AND CAREERS IN R&D&I

4.14 System for career growth for academic and research workers

The university describes the system for career growth for academic and research workers. It presents information on long-term placements for its academic staff abroad, and for foreign academics at the university (i.e. sabbaticals, whether there are particular regulations or a support system); international selection procedures; regulations for career growth; mentoring (if any); the transparent distribution of institutional appointments; its position on successive contracts and senior academic posts; arrangements for staff to return after placements at external workplaces, including abroad; any other information the university considers relevant. It provides a link to any career regulations or similar document (if any).

4.15 Appraisal system for academic and research workers and filling key positions in R&D&I

The university gives a concise account of its appraisal system for academic and research workers (the basic rules and principles for internal appraisal) and the rules for filling senior positions in relation to R&D&I.

4.16 Recruitment system for academic and research workers from the external environment

The university gives a concise account of its recruitment system for academic workers from the external environment, especially from other countries (if there is any such system at faculty or university level).

4.17 Human resources structure

In the appendix the university describes the current situation, age structure and development trend for staff contributing to R&D&I, and their structure by job classification and gender in the 2014–2018

reporting period (tables 4.17.1 and 4.17.2), including workers who are foreign nationals (apart from Slovak nationals) contributing to the university's R&D&I (table 4.17.3).

The university states whether it holds an HR Award, or whether it seeks to receive one and how it is doing this.

4.18 Gender equality measures

The university gives a concise account of measures concerning the implementation of gender equality in the areas required for evaluation criteria 4.14, 4.15 and 4.16, highlighting the career path, the recruitment process, the filling of senior positions (including gender equality in senior positions; see tables 4.18.1 and 4.18.2), nominations to professional bodies, the appraisal system and remuneration. It also gives a concise account of measures to harmonise family life and work for research workers (flexible working hours, flexible forms of work, managing maternity / parental leave, facilitating child care and care for family members, age management in relation to gender) and measures to eliminate negative behaviour in the workplace such as mobbing or sexual harassment.

FUNDING FOR R&D&I

4.19 Structure of funding for R&D&I

The university comments on the proportions of total costs/expenditure paid from public and non-public sources by the type of R&D&I in the 2014–2018 reporting period according to table 4.19.1 in the appendix.

As complementary data, in tables 4.19.2, 4.19.3 and 4.19.4 in the appendix the university presents an overview of research projects obtained in the 2014–2018 reporting period, with information on the level of funding raised and whether these were solo or collaborative projects. It briefly comments on the data in the tables.

The university also lists the five most significant projects from the aforementioned list of prestigious international individual projects (ERC,⁶ MSCA,⁷ HHMI,⁸ HFSP,⁹ NSF,¹⁰ etc.) with basic information (at the university's discretion and regardless of who the provider is: title, specialisation, agency, level of funding, other project participants and any other relevant information).

4.20 Support for obtaining foreign research projects (including the strategy for obtaining prestigious foreign funding for R&D&I)

The university gives a concise account of its strategy, tools and support system for obtaining foreign research projects, e.g. arrangements for administrative support, project counselling, managing information on R&D&I, organising project management, the existence of auxiliary funding (internal subsidies) to help produce quality applications, etc.

⁶The European Research Council (ERC) is part of the "Excellent Science" pillar of the Horizon 2020 programme. The ERC supports high-quality research by funding individual lead researchers and their research teams.

⁷ Marie Skłodowska-Curie actions (MSCA) are part of the "Excellent Science" pillar of the Horizon 2020 programme, and are also aimed at supporting young researchers, including doctoral candidates.

⁸ The Howard Hughes Medical Institute is a non-profit organisation in the United States that provides significant funding for international biomedical research.

⁹ The Human Frontier Science Program is an international programme for funding research, especially in the natural sciences and information science.

¹⁰ National Science Foundation (USA)

FORMATIVE EVALUATION OF R&D&I AND THE START-UP STRATEGY (WITH POTENTIAL FOR APPLICATION)

4.21 Internal and external system for evaluating research units (groups, teams, departments, institutes)

The university gives a concise account of the system for the internal and external evaluation of research units, and the internal and external system for monitoring / evaluating research teams / groups / departments / institutes (if there is such a system).

4.22 Conditions for setting up new teams and introducing new research topics (start-up strategy)

The university describes its strategy / options for setting up new research teams (including international teams), support for their work at the university (sharing instruments, laboratories and information technology for R&D&I) and the policy for ensuring the conditions are in place for the inception of new high-quality research focuses / topics, above all with potential for application.

4.23 External advisory bodies for R&D&I, independent feedback for R&D&I

The university gives a concise account of its external advisory body for R&D&I (if any), e.g. an international scientific council.

RESEARCH INFRASTRUCTURE

4.24 System for acquiring and renewing instruments and equipment for R&D&I

The university describes its system for acquiring / optimising the acquisition of expensive instruments and equipment and the renewal of older expensive instruments. It briefly comments on the data from the appendix (table 4.24.1).

4.25 System for sharing instruments and equipment for R&D&I

The university outlines the internal organisation of its research infrastructure (technologies, expensive instruments and instrument sets). It describes its system for sharing (including with external research organisations and researchers) expensive instruments and instrument sets, i.e. its core facilities (if there is such a system) and the sharing of instruments and instrument sets.

GOOD PRACTICE IN R&D&I

4.26 Internal regulations and measures for maintaining good practice in R&D&I (e.g. Code of Conduct for Research Integrity, ethical issues)

The university gives a concise account of how it oversees compliance with the ethical aspects of R&D&I. It presents a brief description of the system (which may include links to the statute and rules of procedure for the ethics committee(s), if there are any), e.g. in connection with the European Code of Conduct for Research Integrity.

4.27 Open Access strategy for information from R&D&I

The university gives a concise account of its institutional strategy for Open Science 2.0/Open Access (if any), including e.g. the operation of an institutional repository or other tools.

4.28 Data Management strategy for research data

The university describes its policy for managing research data, e.g. commenting on how data is collected, made accessible and shared; intellectual property protection; personal data ethics and protection; archiving; backup; risk management; responsibility for datasets; quality assurance, etc.

APPENDICES (TABLES)

4.1 Organisation and management of R&D&I

4.1.1 Structure of staff contributing to the university's R&D&I (numbers of physical employees and workers)

Academic/professional position/year	Total						Of whom women					
	2014	2015	2016	2017	2018	total	2014	2015	2016	2017	2018	total
Professors												
Associate professors												
Assistant professors												
Assistants												
Scientific, research and development staff contributing to teaching												
Postdoctoral fellows												
Ph.D. students												
Other scientific, research and development staff												
Scientific staff outside the above categories												
Total												

Note: This is the total number of employees/workers as at 31 December of the calendar year in question (in full-time or part-time employment, excluding persons with contracts for services or contracts for work). They do not include other contractual arrangements under the Civil Code concerning the purchasing of services.

Note: "Postdoctoral fellows" are staff at the research institution or university up to five years after defending their Ph.D. qualifications or equivalent. They work as part of the institution's research team, usually under the guidance of experienced scientific staff on specific tasks, and they publish their results both individually and as part of their teams. They have fixed-term employment contracts with the research institution (for 1–3 years) for between one and a maximum of three successive terms of employment. Their salaries are subject to the rules for the institution's salary system, and they may additionally receive remuneration as part of their research grant projects.

"Ph.D. students" is the number of doctoral students regardless of whether they are employed or not.

"Other scientific, research and development staff" covers technical and professional staff who are not directly involved in R&D&I, but are indispensable for research work (e.g. servicing the research facility).

"Scientific staff outside the above categories" covers all other staff who cannot be classified under any of the categories listed (e.g. independent scientific/research workers).

4.1.2 Structure of staff contributing to the university's R&D&I (average converted numbers)

Academic/professional position/year	Total						Of whom women					
	2014	2015	2016	2017	2018	total	2014	2015	2016	2017	2018	total
Professors												
Associate professors												
Assistant professors												
Assistants												
Scientific, research and development staff contributing to teaching												
Postdoctoral fellows												
Ph.D. students												
Other scientific, research and development staff												
Scientific staff outside the above categories												
Total												

Note: The average converted number is the proportion of the total number of hours worked over the monitoring period from 1 January to 31 December by all workers (excluding persons with contracts for services or contracts for work) and the total annual working hours of a full-time employee.

4.8 Subsequent careers for doctoral graduates

4.8.1 Information on subsequent careers for doctoral graduates

Graduate's name, surname (initials) and degrees	Discipline in which the graduate obtained a Ph.D. in the Czech Republic	Year in which Ph.D. was obtained	Subsequent career
			Employer, position, employment period

Note: List a maximum of ten examples of doctoral graduates who achieved significant professional success in the 2014–2018 reporting period. This may include graduates who graduated in the reporting period or within the five years prior to the reporting period (i.e. from 2009 onwards). If the graduates' names are not publicly accessible, please give their initials.

4.17 Human resources structure

4.17.1 Age structure of university staff contributing to R&D&I and their structure by job classification and gender in 2014 (numbers of physical employees and workers)

Academic/ professional position	29 or under		30 – 39 years		40 – 49 years		50 – 59 years		60 – 69 years		70 or over	
	Total	Women	Total	Women	Total	Women	Total	Women	Total	Women	Total	Women
Professors												
Associate professors												
Assistant professors												
Assistants												
Scientific, research and development staff contributing to teaching												
Postdoctoral fellows												
Ph.D. students												
Other scientific, research and development staff												
Scientific staff outside the above categories												

Note: This is the total number of employees/workers as at 31 December of the calendar year in question (in full-time or part-time employment, excluding persons with contracts for services or contracts for work). They do not include other contractual arrangements under the Civil Code concerning the purchasing of services.

4.17.2 Age structure of university staff contributing to R&D&I and their structure by job classification and gender in 2018 (numbers of physical employees and workers)

Academic/ professional position	29 or under		30 – 39 years		40 – 49 years		50 – 59 years		60 – 69 years		70 or over	
	Total	Women	Total	Women	Total	Women	Total	Women	Total	Women	Total	Women
Professors												
Associate professors												
Assistant professors												
Assistants												
Scientific, research and development staff contributing to teaching												
Postdoctoral												

fellows												
Ph.D. students												
Other scientific, research and development staff												
Scientific staff outside the above categories												

Note: This is the total number of employees/workers as at 31 December of the calendar year in question (in full-time or part-time employment, excluding persons with contracts for services or contracts for work). They do not include other contractual arrangements under the Civil Code concerning the purchasing of services.

4.17.3 Staff contributing to the university's R&D&I who were foreign nationals in 2014 and 2018, other than Slovak nationals (average converted numbers)

Academic/professional position	Total 2014	Of whom women	Total 2018	Of whom women
Professors				
Associate professors				
Assistant professors				
Assistants				
Scientific, research and development staff contributing to teaching				
Postdoctoral fellows				
Ph.D. students				
Other scientific, research and development staff				
Scientific staff outside the above categories				
Total foreign nationals				

Note: The average converted number is the proportion of the total number of hours worked over the monitoring period from 1 January to 31 December by all workers (including contracts for work but excluding contracts for services) and the total annual working hours of a full-time employee

4.18 Gender equality measures

4.18.1 Gender equality in senior positions in 2014

Senior staff	Men	Women	Total
Rector			
Vice-Rector			
Academic senate			
Academic board			
Bursar			
Board of governors			

Note: If one person holds several positions at the university, each position is included.

4.18.2 Gender equality in senior positions in 2018

Senior staff	Men	Women	Total
Rector			
Vice-Rector			
Academic senate			
Academic board			
Bursar			
Board of governors			

Note: If one person holds several positions at the university, each position is included.

4.19 Structure of funding for R&D&I

4.19.1 Proportion (%) of total costs/expenditure by type of R&D&I funded from public and non-public sources

	2014	2015	2016	2017	2018	Total
Basic research						
Applied research						
Experimental development and innovation						
Total	100	100	100	100	100	100

Note: Under Section 2 of Act No 130/2002, basic research refers to theoretical or experimental work performed largely for the purpose of gaining new knowledge of the basic principles of phenomena or observable reality, and is not primarily aimed at any practical application or use.

Innovation refers to the introduction of new or substantially improved products, processes or services.

For other definitions see OECD Fields of Research and Development (Frascati Manual 2015).

4.19.2 Projects supported by a provider from another country

As the beneficiary								
Provider/ Investor	Programme/ Subsidy scheme	Project title	Support (CZK thousand)					
			2014	2015	2016	2017	2018	
Total								
As another participant								
Provider/ Investor	Programme/ Subsidy scheme	Project title	Support (CZK thousand)					
			2014	2015	2016	2017	2018	
Total								

Note: List individual consortium projects financed from EU framework programmes (FP 7,¹¹ Horizon 2020¹² – excluding the ERC and MSCA, FP 9,¹³ etc.) and the level of funding in Czech koruna (for collaborative projects,

¹¹ The Seventh Framework Programme for Research and Technological Development (FP 7) was the European Union's main instrument for financing European research in 2007–2013.

list the funding for the university), prestigious individual projects (ERC, MSCA, HHMI, HFSP, etc.) and the level of funding in euro (for this category of projects, additional information can be included at the university's discretion, e.g. specialisation, other project participants, any other relevant information), other foreign consortium projects and the level of funding in Czech koruna (HHMI, NIH,¹⁴ Wellcome Trust,¹⁵ etc.). For collaborative projects, only list the funding for the university.

4.19.3 Projects supported by a provider from the Czech Republic

As the beneficiary							
Provider/ Investor	Programme/ Subsidy scheme	Project title	Support (CZK thousand)				
			2014	2015	2016	2017	2018
Total							
As another participant							
Provider/ Investor	Programme/ Subsidy scheme	Project title	Support (CZK thousand)				
			2014	2015	2016	2017	2018
Total							

Note: List total Czech Science Foundation projects and the level of funding in Czech koruna, total Technology Agency of the Czech Republic projects and the level of funding in Czech koruna, and total other state-funded projects and the level of funding in Czech koruna. For collaborative projects, list the funding for the university. Please also list individual projects financed from EU structural funds and targeted exclusively at R&D&I (e.g. OP RDE,¹⁶ OP EIC¹⁷) and the level of funding in Czech koruna, and individual projects financed from regional funds targeted exclusively at R&D&I and the level of funding in Czech koruna. For collaborative projects, only list the funding for the university.

4.19.4 Projects supported from non-public sources

As the beneficiary						
Provider/Investor	Project title	Support (CZK thousand)				
		2014	2015	2016	2017	2018
Total						
As another participant						
Provider/Investor	Project title	Support (CZK thousand)				
		2014	2015	2016	2017	2018

¹² Horizon 2020, the eighth framework programme for research and innovation (H2020), is the largest programme under EU structures for financing science, research and innovation in 2014–2020.

¹³ The planned ninth EU framework programme for research and innovation (Horizon Europe) will replace Horizon 2020 and should operate in 2021–2027.

¹⁴ National Institutes of Health (NIH) – an agency that is part of the United States Department of Health and Human Services. NIH is also an important actor in project support for biomedical research.

¹⁵ A major British charity that chiefly supports biomedical research.

¹⁶ Operational Programme Research, Development and Education – a multiyear programme coordinated by the Ministry of Education, Youth and Sports. Under OP RDE, funding can be drawn in the 2014–2020 period from the European Structural and Investment Funds (ESIF).

¹⁷ Operational Programme Enterprise and Innovation for Competitiveness – a multiyear programme coordinated by the Ministry of Industry and Trade for drawing funding from the European Regional Development Fund (in the 2014–2020 period).

Total						
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4.24 System for acquiring and renewing instruments and equipment for R&D&I

4.24.1 Overview of expenditure/costs for the research infrastructure and equipment in the 2014–2018 reporting period (including related non-investment and personnel costs).

Costs/expenditure (CZK thousand p.a.)	2014	2015	2016	2017	2018	Total assets value
Total costs/expenditure related to purchasing low-value fixed assets for R&D&I						
Costs of equipment repair and maintenance						
Purchasing tangible and intangible fixed assets for R&D&I (investments)						
Of which: software						
Of which: other intangible fixed assets						
Of which: land, buildings and structures						
Other tangible fixed assets (machinery, instruments, equipment, etc.)						
Total expenditure on infrastructure for the year						

2.1.3 MODULE 5 STRATEGY AND POLICIES

Evaluation under module 5 is aimed at evaluating quality in various aspects of the strategies the university has formulated for its future development.

A proper formulation of a university's research strategy lays the foundations for future development, and the quality of this strategy is a critical factor for expert panels. Module M5 monitors five criteria in the following areas: R&D&I mission and vision (strategic direction for the future, links to the implementation of the provider/promoter's policy); R&D&I objectives and strategies; R&D&I national and international context (measures resulting from applicable strategic documents at national and supranational level – priorities, policies, action plans, etc.); tools for implementing the research strategy.

Under module M5 the evaluated unit is the university as a whole. The university produces a self-evaluation report with a maximum of five standard pages of text, supplemented with links and appendices (tables and appendices do not count as part of the text).

Module M5 is split into four clusters with a total of five specific evaluation criteria (some criteria are not used for military and police universities):

R&D&I MISSION AND VISION

5.1 The evaluated institution's R&D&I mission and vision

The university gives a concise account of its vision and general mission for R&D&I (in the context of its education function and the strategy for university education under state policy or the relevant ministry, and comparing the mission as defined with the true situation). It supplements this account with active links to its strategic objective for its teaching, scientific, research, development, innovation, artistic or other creative work, and any updating of this objective.

R&D&I OBJECTIVES AND STRATEGIES

5.2 Research objectives and strategies before the next evaluation

The university gives a concise account of its research strategy and objectives (e.g. specificity, feasibility, the international context of its strategic objective for its teaching, scientific, research, development, innovation, artistic or other creative work, and any updating of this objective). Also relevant is an account of how society and the market's needs have been identified.

R&D&I NATIONAL AND INTERNATIONAL CONTEXT

5.3 Relation to higher national and supranational strategic goals and measures for R&D&I

The university gives a concise account of how its R&D&I policies relate to meeting higher national and supranational strategic targets and measures for R&D&I in the context of the currently applicable documents, e.g. the European Commission's Europe 2020 strategy for smart, sustainable and inclusive growth, the National Research, Development and Innovations Policy for 2016–2020, the National Priorities for Research, Experimental Development and Innovations, the National Research and Innovation Strategy for Smart Specialisation (National RIS3 Strategy), etc.

5.4 Strategy and strategic management tools to improve the international or sectoral competitiveness of the university's research work and its quality

The university gives a concise account of its strategy and strategic management tools to increase the international or sectoral competitiveness of the university's research work and its quality. In an appendix it lists the most significant international evaluations for R&D&I it has taken part in. It also sets out its vision and strategy for the next five-year period.

TOOLS FOR IMPLEMENTING THE RESEARCH STRATEGY

5.5 Institutional tools for implementing the research strategy, emphasising support for quality R&D&I and the innovation environment

The university describes its institutional and strategic tools (e.g. strategic management tools, tools created to support the achieving of research objectives, legal and organisational regulations related to support for R&D&I, etc.) for implementing its research strategy, with the emphasis on supporting quality R&D&I and the innovation environment.

APPENDICES

1. SWOT analysis

Note: In this part the university includes the outcome of a SWOT analysis for the modules evaluated. A SWOT analysis is one of the basic methods of strategic analysis due to the way it integrates the information collected, aggregated and evaluated, generating alternative strategies for an organisation's development.

SWOT stands for Strengths, Weaknesses, Opportunities, Threats. It summarises an organisation's internal strengths and weaknesses and the opportunities and threats presented by the external environment. The description should be concise, with an adequate amount devoted to each part.

	Positive factors	Negative factors
Internal influences	Strengths	Weaknesses
	The university lists those aspects that it considers the best in the area under evaluation. These are activities that are wholly under its influence. E.g.: 1. Stable and highly qualified scientific teams 2. Unique laboratory facilities in its field	The university lists those aspects that it considers the least developed and lowest quality in the area under evaluation. These are activities that are wholly under its influence, and any improvement will require the university to make greater effort. E.g.: 1. Lack of laboratory facilities 2. Insufficient administrative support for scientific staff
External influences	Opportunities	Threats
	The university lists opportunities and resources it can use to its advantage, but cannot influence. E.g. using programmes announced by individual providers	The university lists external situations and states of affairs that it cannot influence and which may jeopardise its stability, development and planned objectives. Institutions usually approach this by identifying and managing risks. E.g. restrictions on spending on R&D&I under the state budget

2. Selected materials

Note: The university encloses any materials it considers relevant for the evaluation, or provides working links to them.

PART III

3.1 EVALUATING PUBLIC AND PRIVATE UNIVERSITIES UNDER MODULES M3-M5

3.1.1 MODULE M3 CALIBRATION AND SCORING

Module 3 is particularly relevant for universities that conduct applied research that directly serves users such as industrial sectors, the public sector and other research organisations.

For module M3 the evaluated unit is a faculty or another relevant constituent part of a university,¹⁸ such as an institute.

As the individual criteria have different degrees of relevance for the various FORD categories, module M3 expresses the indicative relevance of each criterion in the six FORD categories in the form of a number of stars.

Each evaluated unit registers under a single field of research and development (“FORD category”), which is only relevant for the purposes of calibration. The evaluation covers all projects and the results from all fields of research and development at the evaluated unit.

The indicative relevance of each criterion (the number of stars) in module M3 is defined as follows:

RELEVANCE OF CRITERIA IN FORD CATEGORIES	
5*	Highly relevant
4*	Significantly relevant
3*	Relevant
2*	Partially relevant
1*	Low relevance

For each criterion the indicative relevance for a specific FORD category is defined as follows:

		CRITERIA						FORD CATEGORIES						
				Natural Science	Engineering and Technology	Medical and Health Sciences	Agricultural and Veterinary	Social Sciences	Humanities and the Arts					
3.2	Applied research projects		4*	5*	3*	5*	4*	3*						
3.3	Contract research		4*	5*	4*	5*	3*	1*						
3.4	Revenues from non-public sources		5*	5*	4*	5*	2*	1*						
3.5	Applied research results with an economic impact on society		4*	5*	3*	5*	2*	1*						
3.6	Applied research results with an impact other than an economic one on society		3*	3*	5*	3*	5*	5*						
3.7	Evaluated unit’s interactions with the non-academic application/corporate sphere		4*	5*	5*	5*	4*	4*						
3.8	System and support for technology transfer and intellectual property protection		5*	5*	4*	5*	1*	1*						
3.9	Strategy for setting up and supporting spin-off firms or other forms of commercialising R&D&I results (can be extended to		4*	5*	4*	4*	1*	1*						

¹⁸ In accordance with Section 22(1) of Act No 111/1998 on universities, amending certain acts (the Universities Act), as amended.

	the whole university, emphasising the specific features of the evaluated unit)						
3.10	Significant individual awards for R&D&I	5*	5*	5*	5*	5*	5*
3.11	Recognition in the international R&D&I community (elected membership of professional societies, etc.)	5*	5*	5*	5*	5*	5*
3.12	Significant activities in the popularisation of R&D&I and communication with the public	5*	5*	4*	5*	5*	5*
TOTAL INDICATIVE RELEVANCE		48*	53*	46*	52*	37*	32*

Criterion 3.1 has no indicative relevance, being an introduction in which the evaluated unit assesses the social benefit of R&D&I in the fields of research at the evaluated unit, and of the evaluated unit as a whole.

The total number of stars represents the indicative relevance of module M3 (calibration) for the FORD category in question.

Each criterion is scored 0 – 5 points, establishing the individual ratings (see table 1).

Table 1

RATING	
5 points	Excellent
4 points	Very good
3 points	Good
2 points	Average
1 point	Below average
0 points	Inadequate

Under module M3 the evaluated unit's score is the sum of the results of multiplying the indicative relevance of each criterion (the number of stars) and the scoring of the individual criteria. The maximum scores for the individual categories are listed in table 2.

Table 2

CRITERIA	FORD CATEGORIES					
	Natural Science	Engineering and Technology	Medical and Health Sciences	Agricultural and Veterinary Sciences	Social Sciences	Humanities and the Arts
TOTAL INDICATIVE RELEVANCE MULTIPLIED BY MAXIMUM SCORES	240	265	230	260	185	160

The scoring for each criterion is then supplemented with a verbal evaluation, including an optional recommendation. The overall evaluation for the evaluated unit under module M3 is established using an evaluation scale (see table 3).

Table 3

EVALUATION SCALE	
Natural Sciences	
> 216 points	Excellent
169 – 216 points	Very good
121 – 168 points	Good
73 – 120 points	Average
25 – 72 points	Below average
0 – 24 points	Inadequate
Engineering and Technology	
> 238 points	Excellent
186 – 238 points	Very good
133 – 185 points	Good
80 – 132 points	Average
27 – 79 points	Below average
0 – 26 points	Inadequate
Medical and Health Sciences	
> 207 points	Excellent
162 – 207 points	Very good
116 – 161 points	Good
70 – 115 points	Average
24 – 69 points	Below average
0 – 23 points	Inadequate
Agricultural and Veterinary Sciences	
> 234 points	Excellent
183 – 234 points	Very good
131 – 182 points	Good
79 – 130 points	Average
27 – 78 points	Below average
0 – 26 points	Inadequate
Social Sciences	
> 166 points	Excellent
130 – 166 points	Very good
93 – 129 points	Good
56 – 92 points	Average
19 – 55 points	Below average
0 – 18 points	Inadequate
Humanities and the Arts	
> 144 points	Excellent
113 – 144 points	Very good
81 – 112 points	Good
49 – 80 points	Average
17 – 48 points	Below average
0 – 16 points	Inadequate

The overall evaluation scale reflects how calibration defines the indicative relevance of the individual criteria in the FORD categories and the range of points in the rating.

3.1.1 MODULE M4 SCORING

For module M4 the evaluated unit is the university as a whole. The university is evaluated according to data for the 2014–2018 reporting period.

Module M4 does not take into account the calibration for the individual FORD categories.

The quantitative evaluation for module M4 is based on the scores for 28 criteria. Each criterion is scored 0–5 points, establishing the individual ratings (see table 4). The maximum score is 140 points.

Table 4

RATING	
5 points	Excellent
4 points	Very good
3 points	Good
2 points	Average
1 point	Below average
0 points	Inadequate

Table 5 shows the individual evaluation criteria under module M4.

Table 5

CRITERIA	
4.1	Organisation and management of R&D&I
4.2	Support system for R&D&I and measures to stimulate high-quality science
4.3	Institutional regulations for the use of institutional support for the LCDRO
4.4	Strategy for the establishing, financing and long-term development and sustainability of research centres and large research infrastructures
4.5	Training system for intellectual property protection and technology transfer
4.6	Organisation of doctoral studies
4.7	Internationalisation of doctoral studies
4.8	Subsequent careers for doctoral graduates (support)
4.9	Rules for funding doctoral students, including foreign students (stimulation and motivation tools)
4.10	Significant cooperation in R&D&I at national level
4.11	Significant cooperation in R&D&I at international level
4.12	Mobility of academic and research workers (including sectoral and intersectoral mobility)
4.13	Internationalisation of the internal environment
4.14	System for career growth for academic and research workers
4.15	Appraisal system for academic and research workers and filling key positions in R&D&I
4.16	Recruitment system for academic and research workers from the external environment
4.17	Human resources structure
4.18	Gender equality measures
4.19	Structure of funding for R&D&I
4.20	Support for obtaining foreign research projects (including the strategy for obtaining prestigious foreign funding for R&D&I)

4.21	Internal and external system for evaluating research units (groups, teams, departments, institutes)
4.22	Conditions for setting up new teams and introducing new research topics (start-up strategy)
4.23	External advisory bodies for R&D&I, independent feedback for R&D&I
4.24	System for acquiring and renewing instruments and equipment for R&D&I
4.25	System for sharing instruments and equipment for R&D&I
4.26	Internal regulations and measures for maintaining good practice in R&D&I (e.g. Code of Conduct for Research Integrity, ethical issues)
4.27	Open Access strategy for information from R&D&I
4.28	Data Management strategy for research data

The scoring for each criterion is then supplemented with a verbal evaluation, including an optional recommendation. The overall evaluation under module M4 is established using an evaluation scale (see table 6).

Table 6

EVALUATION SCALE	
> 126 points	Excellent
99–126 points	Very good
71–98 points	Good
43–70 points	Average
15–42 points	Below average
0–14 points	Inadequate

3.1.2 MODULE M5 SCORING

For module M5 the evaluated unit is the university as a whole. The evaluation looks at whether the university has defined a strategy and policy and how it is contributing to implementing sectoral and national strategic documents (policies, action plans, priorities, etc.). The evaluation covers the elapsed period and above all the anticipated future developments.

Module M5 does not take into account the calibration for the individual FORD categories.

The quantitative evaluation for module M5 is based on the scores for 5 criteria. Each criterion is scored 0 – 5 points, establishing the individual ratings (see table 7). The maximum score is 25 points.

Table 7

RATING	
5 points	Excellent
4 points	Very good
3 points	Good
2 points	Average
1 point	Below average
0 points	Inadequate

Table 8 shows the individual evaluation criteria under module M5.

Table 8

CRITERIA	
5.1	The evaluated institution's R&D&I mission and vision
5.2	Research objectives and strategies before the next evaluation
5.3	Relation to higher national and supranational strategic goals and measures in R&D&I
5.4	Strategy and strategic management tools to improve the international or sectoral competitiveness of the university's research work and its quality
5.5	Institutional tools for implementing the research strategy, emphasising support for quality R&D&I and the innovation environment

The scoring for each criterion is then supplemented with a verbal evaluation, including an optional recommendation. The overall evaluation under module M5 is established using an evaluation scale (see table 9).

Table 9

EVALUATION SCALE	
> 22 points	Excellent
18–22 points	Very good
13–17 points	Good
8–12 points	Average
4–7 points	Below average
0–3 points	Inadequate

3.1.3 MODULES M4 AND M5 SYNTHESIS

Modules M4 and M5 represent a single organic whole, as they constitute a logical conceptual unit. Module M4 presents the research organisation on the basis of retrospective data, and module M5 builds on this with a SWOT analysis with a projection for setting the primary objective: the university's vision in accordance with its mission, and the devising of its strategy and policy. For this reason the structure of the self-evaluation report for modules M4 and M5 will also comprise a single whole.

The overall quantitative evaluation for modules M4 and M5 is the sum of the scores for 28 criteria for module M4 and 5 criteria for module M5, and is established using an overall evaluation scale (see table 10). The maximum possible score is 165 points.

Table 10

M4 AND M5 OVERALL EVALUATION SCALE	
> 148 points	Excellent
106–148 points	Very good
83–105 points	Good
50–82 points	Average
18–49 points	Below average
0–17 points	Inadequate

3.2 EVALUATING NATIONAL MILITARY UNIVERSITIES UNDER MODULES M3-M5

3.2.1 MODULE M3 CALIBRATION AND SCORING

Module 3 is particularly relevant for universities that conduct applied research that directly serves users such as industrial sectors, the public sector and other research organisations.

Generally the evaluated unit under module M3 is a faculty or another relevant constituent part of a university. For national military universities the evaluated unit is the university as a whole.

Due to different degrees of social significance of the individual criteria, module M3 has certain specific features that do not apply to modules M4 and M4. These features are reflected in the number of stars indicating the relevance of the individual criteria.

The indicative relevance of each criterion (the number of stars) in module M3 is defined as follows:

RELEVANCE OF CRITERIA FOR NATIONAL MILITARY UNIVERSITIES	
5*	Highly relevant
4*	Significantly relevant
3*	Relevant
2*	Partially relevant
1*	Low relevance

For each criterion the indicative relevance in relation to the level of social significance is defined as follows:

CRITERIA		MILITARY UNIVERSITIES
3.2	Applied research projects	3*
3.3	Contract research	NOT APPLICABLE
3.4	Revenues from non-public sources	NOT APPLICABLE
3.5	Applied research results with an economic impact on society	1*
3.6	Applied research results with an impact other than an economic one on society	5*
3.7	Evaluated unit's interactions with the non-academic application/corporate sphere	4*
3.8	System and support for technology transfer and intellectual property protection	3*
3.9	Strategy for setting up and supporting spin-off firms or other forms of commercialising R&D&I results (can be extended to the whole university, emphasising the specific features of the evaluated unit)	NOT APPLICABLE
3.10	Significant individual awards for R&D&I	5*
3.11	Recognition in the international R&D&I community (elected membership of professional societies, etc.)	5*
3.12	Significant activities in the popularisation of R&D&I and communication with the public	5*
TOTAL INDICATIVE RELEVANCE		31*

Criterion 3.1 has no indicative relevance, being an introduction in which the national military university assesses the social benefit of R&D&I in the fields of research at the evaluated national military university as a whole.

The total number of 31 stars therefore represents the indicative relevance of module M3 (calibration) for national military universities.

Each criterion (other than irrelevant criteria) is scored 0 – 5 points, establishing the individual ratings (see table 1).

Table 1

RATING	
5 points	Excellent
4 points	Very good
3 points	Good
2 points	Average
1 point	Below average
0 points	Inadequate

Under module M3 the evaluated unit's score is the sum of the results of multiplying the indicative relevance of each criterion (the number of stars) and the scoring of the individual criteria. The maximum score is 155 points. The scoring for each criterion is then supplemented with a verbal evaluation, including an optional recommendation. The overall evaluation under module M3 is established using an evaluation scale (see table 2).

Table 2

EVALUATION SCALE	
>139 points	Excellent
109–139 points	Very good
78–108 points	Good
47–77 points	Average
16–46 points	Below average
0–15 points	Inadequate

The evaluation scale reflects how calibration defines the indicative relevance of the individual criteria and the range of points in the rating for national military universities.

3.2.2 MODULE M4 SCORING

For module M4 the evaluated unit is the national military university as a whole. The university is evaluated according to data for the 2014–2018 reporting period.

Module M4 does not take into account the calibration of the individual criteria for the level of social significance.

The quantitative evaluation for module M4 is based on the scores for 25 criteria that are relevant for national military universities. Each criterion (other than irrelevant criteria) is scored 0–5 points, establishing the individual ratings (see table 3). The maximum score is 125 points.

Table 3

RATING	
5 points	Excellent
4 points	Very good
3 points	Good
2 points	Average
1 point	Below average
0 points	Inadequate

Table 4 shows the individual evaluation criteria for national military universities under module M4.

Table 4

CRITERIA		MILITARY UNIVERSITIES
4.1	Organisation and management of R&D&I	
4.2	Support system for R&D&I and measures to stimulate high-quality science	
4.3	Institutional regulations for the use of institutional support for the LCDRO	
4.4	Strategy for the establishing, financing and long-term development and sustainability of research centres and large research infrastructures	NOT APPLICABLE
4.5	Training system for intellectual property protection and technology transfer	
4.6	Organisation of doctoral studies	
4.7	Internationalisation of doctoral studies	
4.8*	Subsequent careers for doctoral graduates (support)	
4.9	Rules for funding doctoral students, including foreign students (stimulation and motivation tools)	
4.10	Significant cooperation in R&D&I at national level	
4.11	Significant cooperation in R&D&I at international level	
4.12	Mobility of academic and research workers (including sectoral and intersectoral mobility)	
4.13	Internationalisation of the internal environment	NOT APPLICABLE
4.14	System for career growth for academic and research workers	
4.15	Appraisal system for academic and research workers and filling key positions in R&D&I	
4.16	Recruitment system for academic and research workers from the external environment	
4.17*	Human resources structure	
4.18*	Gender equality measures	
4.19*	Structure of funding for R&D&I	

4.20	Support for obtaining foreign research projects (including the strategy for obtaining prestigious foreign funding for R&D&I)	
4.21	Internal and external system for evaluating research units (groups, teams, departments, institutes)	
4.22	Conditions for setting up new teams and introducing new research topics (start-up strategy)	NOT APPLICABLE
4.23	External advisory bodies for R&D&I, independent feedback for R&D&I	
4.24*	System for acquiring and renewing instruments and equipment for R&D&I	
4.25	System for sharing instruments and equipment for R&D&I	
4.26	Internal regulations and measures for maintaining good practice in R&D&I (e.g. Code of Conduct for Research Integrity, ethical issues)	
4.27	Open Access strategy for information from R&D&I	
4.28	Data Management strategy for research data	

The scoring for each criterion is then supplemented with a verbal evaluation, including an optional recommendation.

The overall evaluation under module M4 is established using an evaluation scale (see table 5).

Table 5

EVALUATION SCALE	
> 112 points	Excellent
88–112 points	Very good
63–87 points	Good
38–62 points	Average
13–37 points	Below average
0–12 points	Inadequate

3.2.3 MODULE M5 SCORING

For module M5 the evaluated unit is the national military university as a whole. The evaluation looks at whether the university has defined a strategy and policy and how it is contributing to implementing sectoral and national strategic documents (policies, action plans, priorities, etc.). The evaluation covers the elapsed period and above all the anticipated future developments.

Module M5 does not take into account the calibration of the individual criteria for the level of social significance.

The quantitative evaluation for module M5 is based on the scores for 4 criteria. Each criterion (other than irrelevant criteria) is scored 0 – 5 points, establishing the individual ratings (see table 6).

The maximum score is 20 points.

Table 6

RATING	
5 points	Excellent
4 points	Very good
3 points	Good
2 points	Average
1 point	Below average
0 points	Inadequate

Table 7 shows the individual evaluation criteria for national military universities under module M5.

Table 7

CRITERIA		MILITARY UNIVERSITIES
5.1	The evaluated institution's R&D&I mission and vision	
5.2	Research objectives and strategies before the next evaluation	
5.3	Relation to higher national and supranational strategic goals and measures in R&D&I	
5.4	Strategy and strategic management tools to improve the international or sectoral competitiveness of the university's research work and its quality	NOT APPLICABLE
5.5	Institutional tools for implementing the research strategy, emphasising support for quality R&D&I and the innovation environment	

The scoring for each criterion is then supplemented with a verbal evaluation, including an optional recommendation.

The overall evaluation under module M5 is established using an evaluation scale (see table 8).

Table 8

EVALUATION SCALE	
> 18 points	Excellent
15–18 points	Very good
11–14 points	Good
7–10 points	Average
3–6 points	Below average
0–2 points	Inadequate

3.2.4 MODULES M4 AND M5 SYNTHESIS

Modules M4 and M5 represent a single organic whole, as they constitute a logical conceptual unit. Module M4 presents retrospective data, and module M5 builds on this with a SWOT analysis with a projection for setting the primary objective: the university's vision in accordance with its mission, and the devising of its strategy and policy. For this reason the structure of the self-evaluation report for modules M4 and M5 will also comprise a single whole.

The overall quantitative evaluation for modules M4 and M5 is the sum of the scores for 25 criteria for module M4 and 4 criteria for module M5, and is established using an overall evaluation scale (see table 9). The maximum possible score is 145 points.

Table 9

M4 AND M5 OVERALL EVALUATION SCALE	
> 130 points	Excellent
102–130 points	Very good
73–101 points	Good
44–72 points	Average
15–43 points	Below average
0–14 points	Inadequate

3.3 EVALUATING NATIONAL POLICE UNIVERSITIES UNDER MODULES M3-M5

3.3.1 MODULE M3 CALIBRATION AND SCORING

Module 3 is particularly relevant for universities that conduct applied research that directly serves users such as industrial sectors, the public sector and other research organisations.

Generally the evaluated unit under module M3 is a faculty or another relevant constituent part of a university. For national police universities the evaluated unit is the university as a whole.

Due to different degrees of social significance of the individual criteria, module M3 has certain specific features that do not apply to modules M4 and M4. These features are reflected in the number of stars indicating the relevance of the individual criteria.

The indicative relevance of each criterion (the number of stars) in module M3 is defined as follows:

RELEVANCE OF CRITERIA FOR NATIONAL POLICE UNIVERSITIES	
5*	Highly relevant
4*	Significantly relevant
3*	Relevant
2*	Partially relevant
1*	Low relevance

For each criterion the indicative relevance in relation to the level of social significance is defined as follows:

CRITERIA		POLICE UNIVERSITIES
3.2	Applied research projects	3*
3.3	Contract research	NOT APPLICABLE
3.4	Revenues from non-public sources	NOT APPLICABLE
3.5	Applied research results with an economic impact on society	2*
3.6	Applied research results with an impact other than an economic one on society	5*
3.7	Evaluated unit's interactions with the non-academic application/corporate sphere	5*
3.8	System and support for technology transfer and intellectual property protection	2*
3.9	Strategy for setting up and supporting spin-off firms or other forms of commercialising R&D&I results (can be extended to the whole university, emphasising the specific features of the evaluated unit)	NOT APPLICABLE
3.10	Significant individual awards for R&D&I	3*
3.11	Recognition in the international R&D&I community (elected membership of professional societies, etc.)	3*
3.12	Significant activities in the popularisation of R&D&I and communication with the public	5*
TOTAL INDICATIVE RELEVANCE		28*

Criterion 3.1 has no indicative relevance, being an introduction in which the national police university assesses the social benefit of R&D&I in the fields of research at the evaluated national police university as a whole.

The total number of 28 stars therefore represents the indicative relevance of module M3 (calibration) for national police universities.

Each criterion (other than irrelevant criteria) is scored 0 – 5 points, establishing the individual ratings (see table 1).

Table 1

RATING	
5 points	Excellent
4 points	Very good
3 points	Good
2 points	Average
1 point	Below average
0 points	Inadequate

Under module M3 the evaluated unit’s score is the sum of the results of multiplying the indicative relevance of each criterion (the number of stars) and the scoring of the individual criteria. The maximum score is 140 points The scoring for each criterion is then supplemented with a verbal evaluation, including an optional recommendation. The overall evaluation under module M3 is established using an evaluation scale (see table 2).

Table 2

EVALUATION SCALE	
>126 points	Excellent
99–126 points	Very good
71–98 points	Good
43–70 points	Average
15–42 points	Below average
0–14 points	Inadequate

The evaluation scale reflects how calibration defines the indicative relevance of the individual criteria and the range of points in the rating for national police universities.

3.3.2 MODULE M4 SCORING

For module M4 the evaluated unit is the national police university as a whole. The university is evaluated according to data for the 2014–2018 reporting period.

Module M4 does not take into account the calibration of the individual criteria for the level of social significance.

The quantitative evaluation for module M4 is based on the scores for 22 criteria that are relevant for national police universities. Each criterion (other than irrelevant criteria) is scored 0–5 points, establishing the individual ratings (see table 3). The maximum score is 110 points.

Table 3

RATING	
5 points	Excellent
4 points	Very good
3 points	Good
2 points	Average
1 point	Below average
0 points	Inadequate

Table 4 shows the individual evaluation criteria for national police universities under module M4.

Table 4

CRITERIA		POLICE UNIVERSITIES
4.1	Organisation and management of R&D&I	
4.2	Support system for R&D&I and measures to stimulate high-quality science	
4.3	Institutional regulations for the use of institutional support for the LCDRO	
4.4	Strategy for the establishing, financing and long-term development and sustainability of research centres and large research infrastructures	NOT APPLICABLE
4.5	Training system for intellectual property protection and technology transfer	
4.6	Organisation of doctoral studies	
4.7	Internationalisation of doctoral studies	NOT APPLICABLE
4.8	Subsequent careers for doctoral graduates (support)	
4.9	Rules for funding doctoral students, including foreign students (stimulation and motivation tools)	NOT APPLICABLE
4.10	Significant cooperation in R&D&I at national level	
4.11	Significant cooperation in R&D&I at international level	
4.12	Mobility of academic and research workers (including sectoral and intersectoral mobility)	
4.13	Internationalisation of the internal environment	NOT APPLICABLE
4.14	System for career growth for academic and research workers	
4.15	Appraisal system for academic and research workers and filling key positions in R&D&I	
4.16	Recruitment system for academic and research workers from the external environment	
4.17	Human resources structure	
4.18	Gender equality measures	
4.19	Structure of funding for R&D&I	

4.20	Support for obtaining foreign research projects (including the strategy for obtaining prestigious foreign funding for R&D&I)	NOT APPLICABLE
4.21	Internal and external system for evaluating research units (groups, teams, departments, institutes)	
4.22	Conditions for setting up new teams and introducing new research topics (start-up strategy)	NOT APPLICABLE
4.23	External advisory bodies for R&D&I, independent feedback for R&D&I	
4.24	System for acquiring and renewing instruments and equipment for R&D&I	
4.25	System for sharing instruments and equipment for R&D&I	
4.26	Internal regulations and measures for maintaining good practice in R&D&I (e.g. Code of Conduct for Research Integrity, ethical issues)	
4.27	Open Access strategy for information from R&D&I	
4.28	Data Management strategy for research data	

The scoring for each criterion is then supplemented with a verbal evaluation, including an optional recommendation.

The overall evaluation under module M4 is established using an evaluation scale (see table 5).

Table 5

EVALUATION SCALE	
> 99 points	Excellent
78–99 points	Very good
56–77 points	Good
34–55 points	Average
12–33 points	Below average
0–11 points	Inadequate

3.3.3 MODULE M5 SCORING

For module M5 the evaluated unit is the national police university as a whole. The evaluation looks at whether the university has defined a strategy and policy and how it is contributing to implementing sectoral and national strategic documents (policies, action plans, priorities, etc.). The evaluation covers the elapsed period and above all the anticipated future developments.

Module M5 does not take into account the calibration of the individual criteria for the level of social significance.

The quantitative evaluation for module M5 is based on the scores for 4 criteria. Each criterion (other than irrelevant criteria) is scored 0 – 5 points, establishing the individual ratings (see table 6). The maximum score is 20 points.

Table 6

RATING	
5 points	Excellent
4 points	Very good
3 points	Good
2 points	Average
1 point	Below average
0 points	Inadequate

Table 7 shows the individual evaluation criteria for national police universities under module M5.

Table 7

CRITERIA		POLICE UNIVERSITIES
5.1	The evaluated institution's R&D&I mission and vision	
5.2	Research objectives and strategies before the next evaluation	
5.3	Relation to higher national and supranational strategic goals and measures in R&D&I	
5.4	Strategy and strategic management tools to improve the international or sectoral competitiveness of the university's research work and its quality	NOT APPLICABLE
5.5	Institutional tools for implementing the research strategy, emphasising support for quality R&D&I and the innovation environment	

The scoring for each criterion is then supplemented with a verbal evaluation, including an optional recommendation.

The overall evaluation under module M5 is established using an evaluation scale (see table 8).

Table 8

EVALUATION SCALE	
> 18 points	Excellent
15–18 points	Very good
11–14 points	Good
7–10 points	Average
3–6 points	Below average
0–2 points	Inadequate

3.3.4 MODULES M4 AND M5 SYNTHESIS

Modules M4 and M5 represent a single organic whole, as they constitute a logical conceptual unit. Module M4 presents retrospective data, and module M5 builds on this with a SWOT analysis with a projection for setting the primary objective: the university's vision in accordance with its mission, and the devising of its strategy and policy. For this reason the structure of the self-evaluation report for modules M4 and M5 will also comprise a single whole.

The overall quantitative evaluation for modules M4 and M5 is the sum of the scores for 22 criteria for module M4 and 4 criteria for module M5, and is established using an overall evaluation scale (see table 9). The maximum possible score is 130 points.

Table 9

M4 AND M5 OVERALL EVALUATION SCALE	
> 117 points	Excellent
92–117 points	Very good
66–91 points	Good
40–65 points	Average
14–39 points	Below average
0–13 points	Inadequate

PART IV

4.1 EVALUATION PROCESS

All universities subject to evaluation will be evaluated according to the uniform procedures that apply to the universities sector. A provider will conduct an evaluation on the basis of a report by an international evaluation panel (“IEP”) and outputs from evaluations under modules M1 and M2 at national level provided/published by the Research, Development and Innovation Council. The evaluation process consists of a preparatory phase, during which universities prepare materials for the evaluation in accordance with the description of modules M3-M5 set out in Part II of the Methodology for Evaluating Research Organisations in the Universities Sector (“Universities Methodology”). The next stage is the implementation phase, in which universities are evaluated by the IEP and receive the results of the evaluation and feedback. Universities that so request and satisfy the conditions will be authorised to organise the implementation of their evaluations.

GENERAL RULES FOR THE EVALUATION PROCESS

The evaluation of a university is conducted by the institutional aid provider for the LCDRO (“provider”) in accordance with Section 4(2)(a) of Act No 130/2002 on public funding of research, experimental development and innovations, amending certain acts (the Research, Experimental Development and Innovation Aid Act), as amended:

- Ministry of Education, Youth and Sports – public and private universities
- Ministry of Defence – national military universities
- Ministry of the Interior – national police universities

The provider produces detailed documentation on implementing evaluations in the universities sector under modules M3-M5 (“documentation”), with information, instructions, forms and specimen documents for the preparatory and implementation phases. The documentation is published on the provider’s website within the time limit set in the framework schedule for the first evaluation.

A university submits the materials for the evaluation, including a self-evaluation report, in English and in the way specified in the documentation, i.e. via a data mailbox, or in printed form or in digital form on a flash disk if a data mailbox cannot be used.

A university commences an evaluation by the provider if:

- at the time of submitting the materials for the evaluation (“materials”) it is registered in the List of Research Organisations in accordance with Section 33a of the Research, Experimental Development and Innovation Aid Act,
- it comes under the scope of the given institutional aid provider for the LCDRO in accordance with Section 4(2) of the Research, Experimental Development and Innovation Aid Act,
- it has been evaluated by the RDI Council under modules M1 and M2
- it submits all of the materials required in full and within the set time limits.

An IEP has at least seven members, more than half of whom must be experts from other countries. For a national military university, the requirement for the participation of experts from other countries may be waived if the provider so decides in view of the regulations and requirements relating to the protection of classified information. The IEP’s work is governed by its statute and rules of procedure, which are approved by the provider. Its members must satisfy the standards of

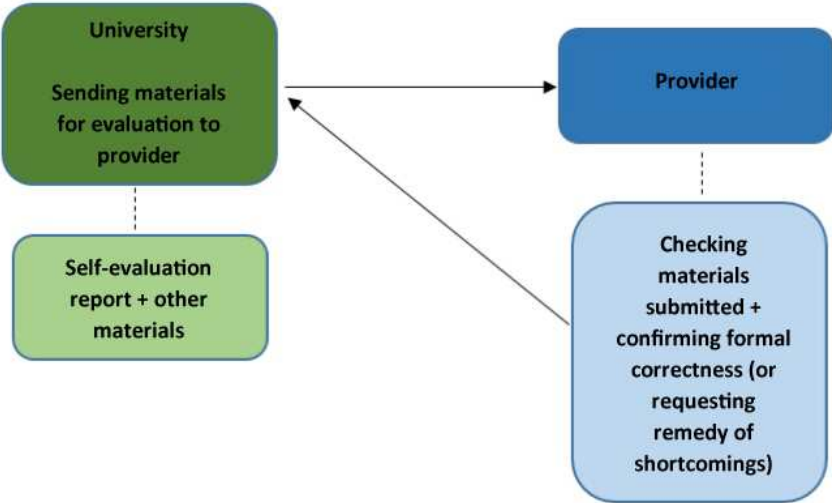
impartiality with regard to the evaluated university that are set out in the text of an affidavit and in the IEP’s statute and rules of procedure, to which the principles set out in Appendix 2 to Methodology 2017+ will apply mutatis mutandis. One member of the IEP is always a representative of the provider. The provider asks the Committee for Evaluating the Results of Research Organisations and Completed Programmes (“CER”) to comment on the proposed composition of the IEP. If warranted the provider need not respect the CER’s comments. For their work on the IEP, members (other than the member representing the provider) are entitled to an appropriate remuneration and the reimbursement of their travel expenses.

4.1.1 EVALUATION PREPARATORY PHASE

4.1.1.1 SENDING MATERIALS FOR THE EVALUATION TO THE PROVIDER

In compliance with the published documentation, the university sends the provider a self-evaluation report and other materials for the evaluation.

The content of the materials submitted will be checked for formal requirements and completeness. If any deficiencies are identified, the application will be returned to the university for amending. The time limit for submitting the amended materials is 14 calendar days. Once the provider has confirmed that the evaluation materials satisfy the formal requirements, the materials are sent to the IEP members, ending the preparatory phase.



4.1.1.2 SUBMITTING A PROPOSAL AUTHORISING A UNIVERSITY TO ORGANISE THE IMPLEMENTATION OF ITS EVALUATION

A university can submit a proposal to the provider for it to be authorised to organise the implementation of its evaluation in accordance with the Universities Methodology (“proposal for authorisation”) and the conducting of the evaluation by the IEP.

This proposal must include:

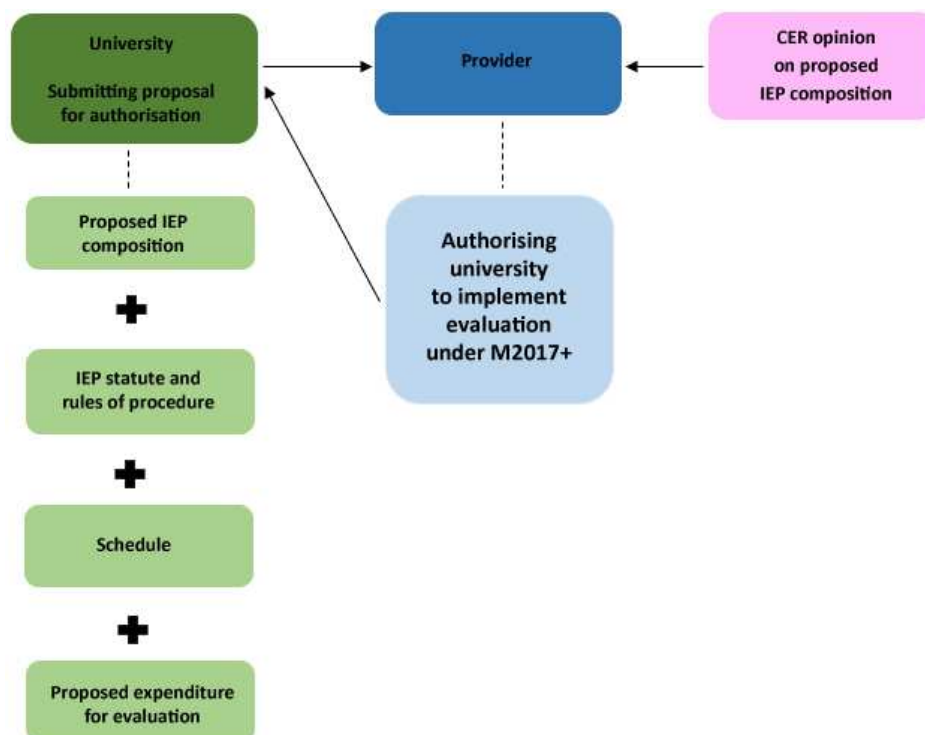
- The proposed composition of the IEP

- The IEP's statute and rules of procedure, in conformity with the specimen statute and rules of procedure
- A schedule for the university's evaluation that corresponds to the framework schedule
- Proposed expenditure for organising the implementation of the university's evaluation

The provider will consider the proposal for authorisation, and request if necessary any supplementing or amending of the materials, and then authorise the university to make the organisational arrangements for implementing its evaluation in accordance with the Universities Methodology ("authorisation"). This authorisation includes the IEP's composition, statute and rules of procedure, and the schedule for the university's evaluation.

The IEP's composition, statute and rules of procedure are published on the provider's website before the evaluation commences.

If the university does not request authorisation, or does not satisfy the conditions for authorisation, the provider will organise the evaluation.



4.1.2 EVALUATION IMPLEMENTATION PHASE

4.1.2.1 IEP EVALUATION

The IEP's work begins when it appoints and names its chairperson. IEP proceedings are conducted by correspondence, but there is at least one on-site visit.

An on-site visit at an evaluated university is attended by the IEP's members, the university's rector and vice-rectors, representatives of its governing bodies, and representatives of the university's constituent parts.

The rector appoints representatives of the university to provide the IEP's members with information supplementing the written materials for the university's evaluation under modules M3-M5.

The individual research workplaces should be presented to the IEP's members. Members can also talk to the university's other employees.

4.1.2.2 IEP EVALUATION REPORT ON THE UNIVERSITY

The output from the IEP's evaluation is an evaluation report with the structure specified in the documentation. The IEP's draft evaluation report goes first to the evaluated university's rector for his or her opinion. This opinion can include documents on facts that are germane to the university's evaluation, but have been overlooked or inadequately addressed by the IEP. The IEP may decide to take into account the information presented in the rector's opinion on the evaluation report. The evaluation report is then forwarded to the provider.

The provider checks the report for completeness and formal correctness and requests any revisions necessary.

4.1.2.3 CONSOLIDATING IEP REPORTS BY THE PROVIDER'S COMMITTEE

To unify the individual IEPs' approach to evaluations, the provider can set up a committee tasked with checking an IEP's evaluation report for conformity between the score and the verbal evaluation, also taking into account any comments by the provider's representative on the IEP during the evaluation. The committee comprises representatives of the CER, the Czech Rectors Conference and the provider. The output from the committee is a consolidated IEP report.

4.1.2.4 REPORT ON THE EVALUATION OF THE UNIVERSITY BY THE PROVIDER

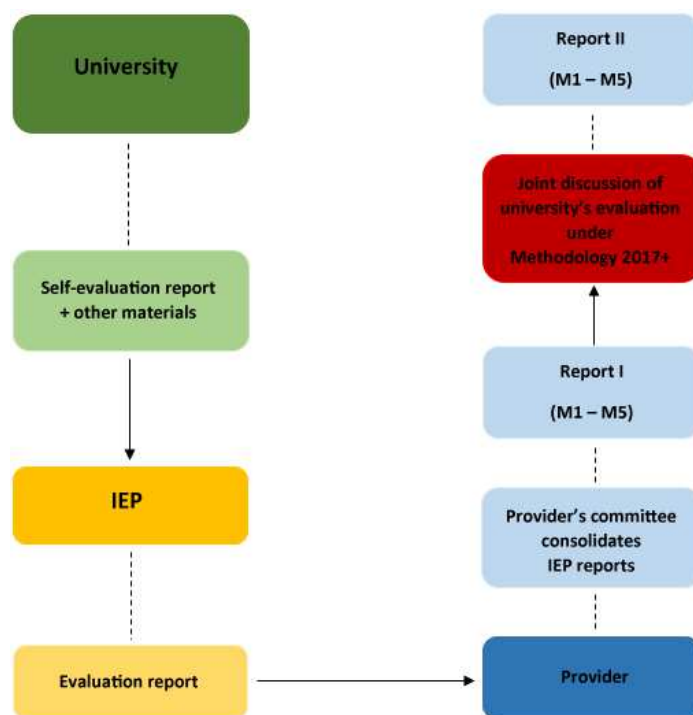
The provider produces a report on the evaluation of the university by the provider (Report I), which includes the IEP's report and the consolidated IEP report, if any. Report I, with an evaluation of modules M3-M5, is the basis for a joint discussion on the evaluation of the university set out in Part 4 of Methodology 2017+.

4.1.2.5 DISCUSSING THE RESULT OF AN EVALUATION

The complete results of an evaluation are discussed in a joint discussion between the provider, the Research, Development and Innovation Council and the Czech Rectors Conference.

The provider produces a report (Report II) on the result of the evaluation of each evaluated university, with a complete evaluation of all modules. Report II includes information on how the university was evaluated and what the result was, including the reasoning. The result of the evaluation and the recommendations that come out of it will be discussed with the management of the evaluated university.

An appeal can be lodged with the provider against the result of the evaluation, requesting that the discussion of the evaluation be repeated. If the provider grants the appeal, the joint discussion of the result of the evaluation of the university in question is repeated.



4.1.3 FRAMEWORK EVALUATION SCHEDULE

The framework evaluation schedule covers the time limits for the evaluation that help ensure the evaluation proceeds correctly. The framework schedule is used to draw up a detailed schedule for the evaluation of a particular university. If warranted the provider can permit an exception to the schedule.

Evaluation 2020 will be conducted with the following proposed time limits:

The provider publishes documentation	by 30. 10. 2019
The university submits proposals for authorisation and the composition of the IEP	by 31. 12. 2019
CER statement on the composition of the IEP	by 14. 2. 2020
The provider gives the university authorisation	by 28. 2. 2020
The university submits a self-evaluation report and evaluation materials to the provider	by 31. 3. 2020
The provider checks the materials for completeness	by 13. 4. 2020
Evaluation by the IEP	by 17. 7. 2020
Submitting the IEP's evaluation report to the provider	by 30. 9. 2020
The provider's committee consolidates IEP reports	by 16. 10. 2020
Report I on the evaluation of the university	by 30. 10. 2020
Joint discussion between the provider, the RDI Council and the Czech Rectors Conference	by 30. 12. 2020
Report II on the evaluation of the university	by 31. 3. 2021

A follow-up complete evaluation of the university five years later will proceed with the time limits set by the provider.

PART V

5.1 USING THE RESULTS OF EVALUATIONS

The result of an evaluation is a snapshot of the university as a research organisation, with important information for state administration bodies, but above all it provides feedback for the university itself. The university can use the result of its evaluation to formulate, adopt and implement measures to refine the management of the R&D&I system and its processes. These measures will become part of the university's strategic documents. The measures implemented and their impact will be the subject of a follow-up complete evaluation of the university five years later.

Information on the results of evaluations of research organisations in the universities sector will be published on the provider's website.

The conclusions from evaluations are also forwarded to the National Accreditation Bureau.

5.1.1 USING THE RESULTS OF EVALUATIONS IN THE UNIVERSITIES SECTOR FOR FUNDING R&D&I

Evaluations in the universities sector are one of the elements the Research, Development and Innovation Council uses when producing spending proposals for R&D&I for individual providers.

5.1.1.1 USING THE RESULT OF AN EVALUATION IN THE UNIVERSITIES SECTOR FOR FINANCING A UNIVERSITY

The result of the complete evaluation of a university is the basis for setting the level of institutional aid for the LCDRO for the university for the next five years. The rules for providing institutional aid for the LCDRO to universities, in compliance with the principles of transparency, predictability and institutional stability, are drawn up and published by the provider.