

Guidelines for Comparative expert assessment (CEA) of research and development in Lithuania



About CEA

The **overall objective** of the research assessment exercise of Lithuanian higher education and research institutions was:

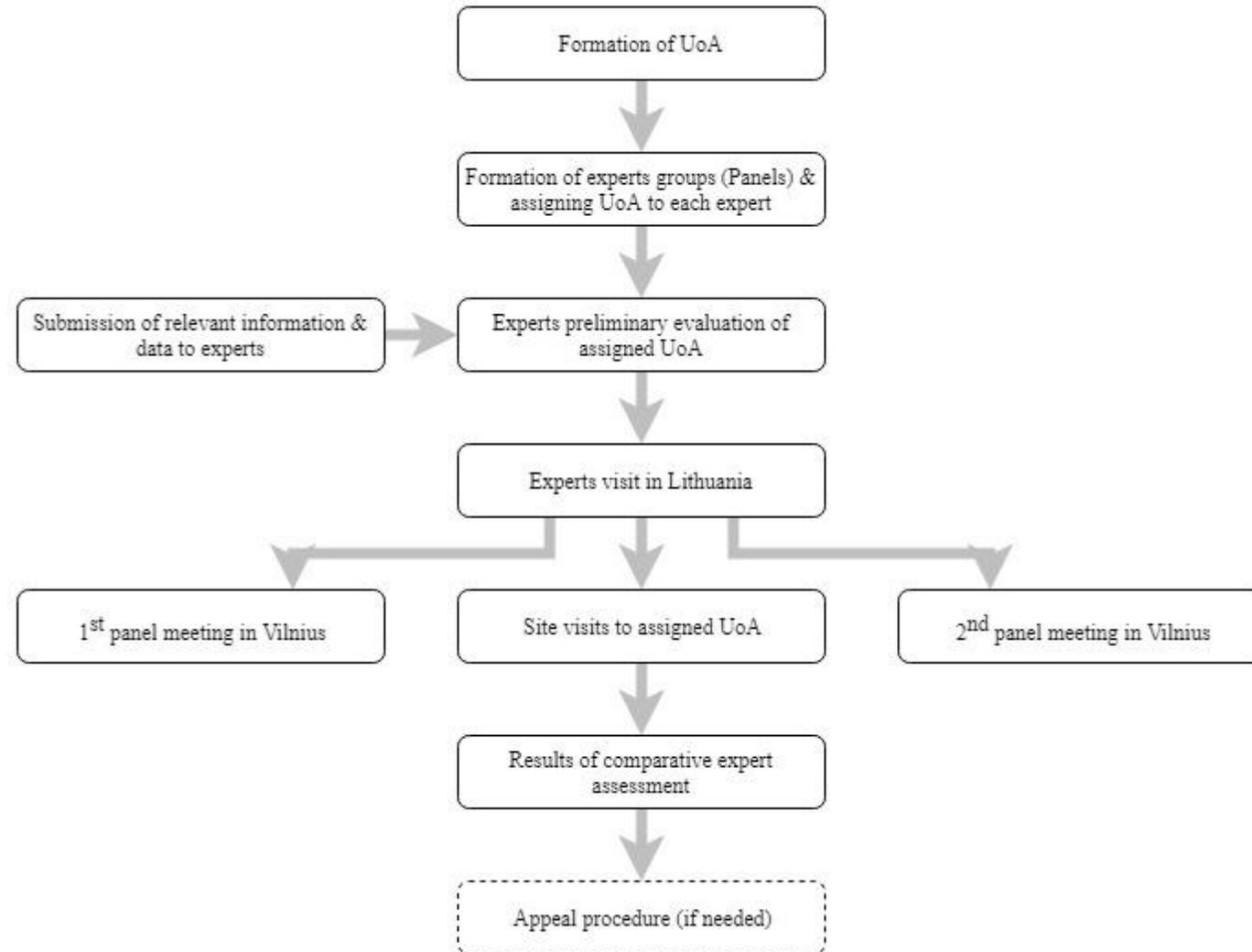
To provide the Lithuanian public, policy-makers and decision-makers and the academic community with the most objective picture possible of the excellence and competitiveness of Lithuanian science in comparison with the global practice in the respective area of science.

CEA will be organized every 5 years starting from 2018. In 2015 MOSTA performed a pilot Research assessment exercise.

CEA results will be used for:

- *Allocation of 60% of the basic R&D funding for universities and state research institutes.*

SCHEME OF EVALUATION



Formation of Units of Assessment (UoA)

- ✓ To participate in CEA, institutions were obliged to form UoA;
- ✓ UoA can be faculty, part of faculty, department, mixture of departments, institute, part of institute and etc.;
- ✓ UoA has to perform R&D within the single research area;
- ✓ UoA must consist at least of 5 FTE researchers, who hold PhD.

	Number of UoA	Number of Institutions	Total researchers with PhD (FTE) (December 31, 2017)
Agriculture	5	3	202,7
Biomedical Sciences	17	10	668
Humanities	22	16	515,9
Physical Sciences	17	9	726,6
Social Sciences	36	19	634,2
Technological Sciences	20	9	658,8
Total	117	30	3406,2

Institutions participating in CEA

No.	State Universities	No. of UoA	Nr. Private Universities	No. of UoA	Nr. State Research Institutes	No. of UoA
1	Aleksandras Stulginskis University	4	15 "ISM University of Management and Economics", JSC	1	18 Centre for Innovative Medicine	1
2	Kaunas University of Technology	11	16 European Humanities University	1	19 Centre for physical sciences and technology	6
3	Klaipeda University	8	17 Kazimieras Simonavicius University	1	20 Institute of the Lithuanian Language	1
4	Lithuanian Academy of Music and Theatre	1			21 Lithuanian culture research institute	1
5	Lithuanian Sports University	2			22 Lithuanian Energy Institute	2
6	Lithuanian University of Education	4			23 Lithuanian Research Centre for Agriculture and Forestry	3
7	Lithuanian University of Health Sciences	6			24 Lithuanian Social Research Centre	1
8	Mykolas Romeris University	7			25 National Cancer Institute	1
9	Siauliai University	5			26 Nature research centre	3
10	The General Jonas Žemaitis Military Academy of Lithuania	1			27 The Institute of Law	1
11	Vilnius Academy of Arts	1			28 The Institute of Lithuanian Literature and Folklore	1
12	Vilnius Gediminas Technical University	7			29 The Lithuanian Institute of Agrarian Economics	1
13	Vilnius University	18			30 The Lithuanian Institute of History	1
14	Vytautas Magnus University	13				

Formation of expert groups

Experts should have the following qualities:

As individuals

- Independent (no work relations with evaluated institutions for the least 5 years)
- Experience in international assessments

As a group – balanced composition in terms of

- Experience from a range of different national research systems
- Disciplinary coverage and in alignment with the Lithuanian institutions being assessed

Experts Panels

- Humanities – 9 experts;
- Social sciences – 15 experts;
- Physical sciences – 9 experts;
- Biomedicine – 12 experts;
- Agriculture – 6 experts;
- Technological sciences – 9 experts.

Data for CEA

Type of information/data	Description
Information about Lithuanian HE and research system	“Research and higher education system in Lithuania: over the last 10 years” overview
2013-2016 and part of 2017 R&D assessments results (carried out by Research Council of Lithuania);	Presenting scores and performance of institutions in previous R&D assessments.
UoA reports	Research Council of Lithuania is responsible for collecting the data from UoA.
Additional information	Information about the institution and UoA collected by MOSTA. Expert may ask MOSTA to collect additional data within 10 working days before the visit in Lithuania.

Responsibilities of experts and panel chair

Task	Term
1. Analyse information of assigned UoA	MOSTA sends information to experts about panel (sub-panel) and UoA within 20 working days before the visit in Lithuania.
2. Fill the form of preliminary evaluation of assigned UoA	Expert sends to MOSTA: 1) preliminary scores of UoA in a given evaluation form, 2) if more information for evaluation of UoA would be needed, the expert might request it, and 3) preliminary list of clarifying questions for UoA , that experts might wish to ask UoA during site visit in Lithuania (optional) - within 5 working days before the visit in Lithuania
3. Participate in one-week (5 working days) visit in Lithuania	
4. Prepare final reports of assigned UoA	Within 15 working days after the visit in Lithuania.
5. Investigate appeals of UoA (if any) and prepare conclusions	Within 5 working days from receiving an appeal.

Responsibilities of the panel chair

Task	Term
1. Chair panel meetings in MOSTA	
2. Analyse final UoA reports prepared by the experts and amends it (if needed) and prepares a final panel (sub-panel) report	15 working days after the visit to Lithuania
3. Participate in the final event presenting CEA results	The decision about the date of the event will be known after CEA

Visits to Lithuania

The objectives of visit in Lithuania:

- ✓ To discuss preliminary evaluations and adopt 'draft scores' during the 1st Panel meeting (starting **Monday morning 9 a.m.**);
- ✓ site-visits to UoA (Tuesday – Thursday);
- ✓ to discuss final evaluation and adopt final scores during 2nd Panel meeting (ending Friday afternoon ~5 p.m.).

Visits' schedule

Humanities	10-14 September, 2018
Social sciences	17-21 September, 2018
Technological sciences	24-28 September, 2018
Physical sciences	24-28 September, 2018
Biomedical sciences	1-5 October, 2018
Agriculture	1-5 October, 2018

Site-visits to UoA

At least 3 experts must visit UoA. 1 or 2 experts that did preliminary evaluation of the UoA and 2 or 1 experts that didn't do preliminary evaluation.

Visit agenda:

- Interview with senior institution/university staff, faculty or/and UoA staff and leaders (~ 30 min).
- Interview with researchers of the UoA (~30 min)
- Interview with PhD students (~30 mins)
- A tour of the facilities (~30 mins)

MOSTA will be responsible for the logistics of the visits to UoA.

Criteria

There are 3 criteria for evaluation of UoA:

- ✓ Quality of R&D activities*
- ✓ Economic and social impact of R&D activities**
- ✓ Development potential of R&D activities**



* Quality of R&D activities is evaluated in **research field** or group of **research fields**

** Economic and social impact as well as Development potential are evaluated only in **research area**

*Quality of R&D activities

Requirements for research field evaluation:

- ✓ Each research field must have at least 2 FTE researchers;
- ✓ Performs studies in related study field// or performs PhD studies in the same research field// planning to acquire the right to perform PhD studies.

Meets the requirements

Quality of R&D is
being evaluated in
research field

Doesn't meet the requirements

Quality of R&D is
being evaluated in a
group of research
fields

Criteria

Score	Value	CRITERIA		
		R&D quality	Economic and social impact	Development potential
		DEFINITION		
5	Excellent	Unit of Assessment is the leader at international scale. Research is of top international level.	Unit of Assessment carries out scientific research of exceptional importance and is an extremely important partner on R&D matters outside the academic community. Unit of Assessment makes favourable impact on social development and is a highly-evaluated partner on R&D matters not only in academic community but also outside it. Employees of the Institution are evaluated as experts in public and private sectors.	Unit of Assessment has huge potential to achieve and sustain very good and excellent assessments. Unit of Assessment is capable in the next 5-10 years to achieve that the aggregate amount of assessments of its quality of R&D activity and economic and social impact would be minimum 9, or to sustain such aggregate amount of assessments.

Criteria

Score	Value	CRITERIA		
		R&D quality	Economic and social impact	Development potential
		DEFINITION		
4	Very good	<p>Unit of Assessment is strong at international scale.</p> <p>Research carried out is of high level and internationally recognised.</p>	<p>Unit of Assessment carries out very important scientific research and is a very important partner on R&D matters outside the academic community.</p> <p>Scientific activities are important for society. Unit of Assessment is closely related not only with academic community but also with business, decision-makers, society.</p>	<p>Unit of Assessment has potential to improve its assessments significantly.</p> <p>Unit of Assessment is capable in the next 5-10 years to improve the aggregate amount of the assessments of its quality of R&D activity and economic and social impact by 4 scores.</p>
3	Good	<p>Unit of Assessment is strong with limited international recognition.</p> <p>Research carried out is of high level and recognised at national scale.</p>	<p>Unit of Assessment carries out important scientific research and is an important partner on R&D matters outside the academic community.</p> <p>Scientific research carried out is important for society. Relationship with business, decision-makers and society is appropriate to a recognised institution carrying out academic activities.</p>	<p>Unit of Assessment has potential to improve its assessments.</p> <p>Unit of Assessment is capable in the next 5-10 years to improve the aggregate amount of the assessments of its quality of R&D activity and economic and social impact by 2 scores.</p>

Criteria

Score	Value	CRITERIA		
		R&D quality	Economic and social impact	Development potential
		DEFINITION		
2	Satisfactory	Unit of Assessment is assessed satisfactorily at national scale. The level of research carried out is satisfactory.	Unit of Assessment carries out important scientific research but little interacts with private sector, decision-makers, society. Scientific research carried out is important for society. But interaction of Unit of Assessment with business, decision-makers, society is weak.	Unit of Assessment has potential to sustain its satisfactory or better assessments. Unit of Assessment is capable in the next 5-10 years to sustain the aggregate amount of the assessments of its quality of R&D activity and economic and social impact of minimum 4 scores.
1	Poor	Unit of Assessment is assessed poorly at national scale. Research of low level is carried out.	Scientific research carried out by Unit of Assessment is not important, there is no interaction with private sector, decision-makers, society. Scientific research carried out is not important for society. Unit of Assessment does not interact with business, decision-makers, society.	Unit of Assessment has no potential to sustain its assessments. In the next 5-10 years, the amount of assessments of quality of R&D activity and economic and social impact of Unit of Assessment will decrease or stay at the level below 4 scores.
0	No R&D	Unit of Assessment does not carry out R&D.	Unit of Assessment does not carry out R&D.	Unit of Assessment does not carry out R&D.

Evaluation template

Name of the reviewer

UoA ID

Name of the UoA

Name of Institution

Type of Institution

No. of FTE researchers and academics in R&D (excluding PhDs) in 2017

Assessment criteria

Score (1-5)

Please provide an explanation for the score (approximately 100-200 words)

Quality of R&D activities by fields of research

Research field: ____ Score: ____
Research field: ____ Score: ____
Research field: ____ Score: ____
Group of research fields: ____
Score: ____

Research field: _____

The economic and social impact of R&D activities

Score: ____

The development potential of UoA

Score: ____



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