

# **Guideline for Research Evaluation**

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# General principles

- Evaluation measures are a strategical tool for quality assurance and quality improvement (formative evaluation), and to monitor the performance of an institution (summative evaluation).
- The evaluation measures and tools therefore have to be designed such that they allow not only a differentiated response on the performance of the evaluated functional unit (institute, faculty or university) but also an advice on the future development/improvement/strategical planning.
- All staff members of the University ..... are obliged to participate in the evaluation process.

# General principles

- The requirements and expectations of the evaluation (terms of reference) have to be clearly presented and have to comprise at least the rationale for the evaluation, the principles guiding the evaluation, the intended user and use, the roles and responsibilities of all involved persons, the methodology, the reporting requirements, the estimated costs and the schedule.
- The evaluation outcome has to be considered in all decision-making and planning processes.

# Research evaluation

- The research achievements at ..... are evaluated in order to assure and improve the quality to international standards. Furthermore the outcome of the evaluation measures serves as a basis for strategical planning, i.e. the formulation of development plans, budget allocation, negotiations with the ministry/owner, etc.
- The subjects of research evaluation are functional units such as institutions, faculties and research facilities.
- The evaluation tools applied have to assure that the characteristics of the particular scientific disciplines are adequately addressed.
- In order to generate a proactive environment the researchers have to be involved early in the evaluation process, i.e. in drafting the evaluation procedure.

# Research evaluation

- Evaluation periods:
  1. A summative evaluation with respect to the research achievements has to be carried out every year and is the basis for budget allocation to the faculties. Within faculties it serves as the basis for budget allocation to the institutes, and within institutes for the budget allocation to the research groups.
  2. Formative evaluations by means of peer review have to be carried out periodically – at least every 10 years – in order to elaborate the strengths and weaknesses of the faculties and institutes relative to the international development in the particular research fields. These evaluations serve as a tool in working out and adapting development plans.
  3. The rector or the responsible vice-rector can additionally announce and conduct ad hoc peer review evaluations, i.e. when research measures are discussed such as inter-faculty research priorities, specific research facilities, large-scale projects and other.

# Research evaluation

4. In order to improve or react to developments in the international research area the faculties or institutes have the permission to apply to the rector or responsible vice-rector to conduct ad hoc peer reviews.
- Consequences of peer review evaluations:
    1. The rector or responsible vice-rector has to discuss the recommendations and measures for improvement with the evaluated units and has to set up the required measures and the time frame for their implementation.
    2. All evaluation measures have to be approved by the university board.