### MODULE 3 SOCIAL RELEVANCE

#### SUMMARY

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| **MODULE 3 - OVERALL ASSESSMENT**  |
| *After evaluation of the individual evaluated units of the M3 module, please summarise your overall assessment in the context of the whole university (social benefits, applied research projects, results of applied research, cooperation with the non-academic environment and technology transfer, recognition by the research community and the popularisation of R&D&I) and evaluate the balance and describe and justify the strengths and weaknesses of the evaluated unit.*  |
| **General qualitative assessment (summary):** |

### MODULE 4 VIABILITY

**ORGANISATION, MANAGEMENT AND SUPPORT OF R&D&I**

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| **4.1 Organisation and management of R&D&I** |
| *Evaluate the management system and organisational structure for R&D&I and compare it with foreign universities at a similar level. Take into account also the data on the number and structure of the university’s employees contributing to R&D&I with consideration of the structure and robustness of the university. See comments on data from the appendix of the Self-evaluation report (tables 4.1.1 and 4.1.2).* |
| **Score [0−5 points]:** | **Choose an option** |
| **Qualitative assessment:** |

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| **4.2 Support system of R&D&I and measures to stimulate high-quality science**  |
| *Evaluate described systemic stimulation measures/tools to promote quality of R&D&I.*  |
| **Score [0−5 points]:** | **Choose an option** |
| **Qualitative assessment:**  |

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| **4.3 Institutional regulations for the use of institutional support for the LCDRO** |
| *Evaluate the strategy for using institutional support for the LCDRO in managing institutionally supported research work and how institutional support was split among individual workplaces/research teams with regard to the quality of the research activity/research teams.* |
| **Score [0−5 points]:** | **Choose an option** |
| **Qualitative assessment:**  |

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| **4.5 Training system in the area of intellectual property protection and technology transfer** |
| *Evaluate the internal system for training undergraduate and postgraduate students and employees in the area of intellectual property protection and technology transfer.* |
| **Score [0−5 points]:** | **Choose an option** |
| **Qualitative assessment:** |

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| ***Recommendation 4.1, 4.2, 4.3 and 4.5:*** |
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#### DOCTORAL STUDIES

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| **4.6 Organisation of doctoral studies** |
| *Evaluate the organisation and management 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.), eventually any other relevant information such as the existence of a doctoral school, basic courses in soft skills, etc.* |
| **Score [0−5 points]:** | **Choose an option** |
| **Qualitative assessment:**  |

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| **4.7 Internationalisation of doctoral studies** |
| *Evaluate the level of internationalisation of doctoral studies based on mentioned particular examples of the international cooperation in doctoral studies, e.g. building open doctoral study programmes for foreign nationals and creating international networks for doctoral studies; care for foreign students coming within the framework 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 visits and research internships abroad, etc.* |
| **Score [0−5 points]:** | **Choose an option** |
| **Qualitative assessment:**  |

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| **4.8 Subsequent careers for doctoral graduates** (support conditions) |
| *Evaluate the support conditions for doctoral graduates based on the listed specific measures (e.g. internal subsidy schemes for the further development of new scientists, postdoctoral fellows, active search for opportunities abroad, etc.) and provided representative data about subsequent careers for doctoral graduates. For evaluation, use the data from the appendix of Self-evaluation report (table 4.8.1).* |
| **Score [0−5 points]:** | **Choose an option** |
| **Qualitative assessment:** |

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| **4.9 Rules for funding doctoral students, including foreign students** (stimulation and motivation tools) |
| *Evaluate the described model of university funding for doctoral students (PhD students), including international students, and according to the information provided about personal expenses (grants) and other costs. See also listed specific stimulation and motivation tools of the financial support for doctoral students in addition to their regular grants.* |
| **Score [0−5 points]:** | **Choose an option** |
| **Qualitative assessment:** |

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| ***Recommendation 4.6, 4.7, 4.8 and 4.9:*** |
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#### NATIONAL AND INTERNATIONAL COOPERATION AND MOBILITY IN R&D&I

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| **4.10 Significant cooperation in R&D&I at the national level** |
| *Evaluate specific examples of cooperation in terms of progressive R&D&I trends at the national level.* |
| **Score [0−5 points]:** | **Choose an option** |
| **Qualitative assessment:** |

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| --- |
| **4.11 Significant cooperation in R&D&I at the international level** |
| *Evaluate specific examples of cooperation in terms of progressive R&D&I trends at the international level.* |
| **Score [0−5 points]:** | **Choose an option** |
| **Qualitative assessment:** |

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| **4.12 Mobility of academic staff and researchers** (including segmental and intersegmental mobility) |
| *Evaluate the mobility of academic staff and researchers, including the mobilities of doctoral students and academic staff in connection with R&D&I (strategy, system, and policies), evaluate benefits of described specific examples. Evaluate also any barriers to the mobility of academic staff and researchers.* |
| **Score [0−5 points]:** | **Choose an option** |
| **Qualitative assessment:** |
| ***Recommendation 4.10, 4.11 and 4.12*** |
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#### HUMAN RESOURCES AND CAREERS IN R&D&I

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| **4.14 System for career growth for academic staff and researchers** |
| *Evaluate the system for career growth for academic staff and researchers. See presented information on long-term placements for the academic staff abroad, and for foreign academics at the evaluated university (i.e. sabbaticals, whether there are particular regulations or a support system); consider also the information on international academics selection procedures; regulations for career growth; mentoring (if any); the transparent distribution of institutional Full Time Equivalents (FTE´s); position on successive contracts and senior academic posts; arrangements for staff return after placements at external workplaces, including abroad; and any other presented information. Consider the information from provided link to any career regulations or similar document (if any).* |
| **Score [0−5 points]:** | **Choose an option** |
| **Qualitative assessment:** |

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| **4.15 Evaluation system of academic staff and researchers and filling key positions in R&D&I** |
| *Evaluate the evaluation system of academic staff and researchers (the basic rules and principles for internal evaluation) and the rules for filling senior positions in relation to R&D&I.* |
| **Score [0−5 points]:** | **Choose an option** |
| **Qualitative assessment:** |

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| **4.16 Recruitment system for academic staff and researchers from the external environment** |
| *Evaluate the described recruitment system for academic staff from the external environment, especially from other countries.* |
| **Score [0−5 points]:** | **Choose an option** |
| **Qualitative assessment:** |

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| **4.17 Human resources structure** |
| *Evaluate the current situation, age structure and development trend for the staff contributing to R&D&I, and their structure by job classification and gender in the 2014–2018 reporting period (see also tables 4.17.1 and 4.17.2 of Self-evaluation report), including workers who are foreign nationals (apart from Slovak nationals) contributing to the university’s R&D&I (see also table 4.17.3 of Self-evaluation report). Within the evaluation, consider holding an HR Award, or whether the university aims to receive such Award.* |
| **Score [0−5 points]:** | **Choose an option** |
| **Qualitative assessment:** |

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| **4.18 Gender equality measures** |
| *Evaluate any arrangements of the university concerning the implementation of gender equality. Within evaluation consider benefits of these arrangements in 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 of Self-evaluation report), in nominations to professional bodies, the evaluation system and remuneration. Consider also measures to harmonise family life and work for researchers (flexible working hours, flexible forms of work, management of 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.* |
| **Score [0−5 points]:** | **Choose an option** |
| **Qualitative assessment:** |

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| ***Recommendation 4.14, 4.15, 4.16, 4.17 and 4.18:*** |
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#### FUNDING FOR R&D&I

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| **4.19 Structure of funding for R&D&I** |
| *Evaluate the portfolio of financial sources of the university in comparison with any other research organisations. Comment whether you consider the funds from public and non-public sources in individual financial categories sufficient. Evaluate the listed projects considered the most important from the perspective of the evaluated unit, and decide whether they represent high-quality and top-notch research and development. Within the evaluation use also data in tables 4.19.2, 4.19.3 and 4.19.4 in the appendix of Self-evaluation report.* |
| **Score [0−5 points]:** | **Choose an option** |
| **Qualitative assessment:** |

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| **4.20 Support for obtaining foreign research projects** (including the strategy for obtaining prestigious foreign funding for R&D&I) |
| *Evaluate the strategy, tools and established support system of the evaluated university for obtaining foreign research projects, e.g. arrangements for administrative support, project counselling, management of information on R&D&I, organising project management, the existence of auxiliary funding (internal subsidies) to help produce quality applications, etc.* |
| **Score [0−5 points]:** | **Choose an option** |
| **Qualitative assessment:** |

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| ***Recommendation 4.19 and 4.20:*** |
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#### FORMATIVE EVALUATION OF R&D&I AND THE START-UP STRATEGY (WITH POTENTIAL FOR APPLICATION)

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| **4.21 Internal and external system for evaluating research units** (groups, teams, departments, institutes) |
| *Evaluate the described system for the internal and external evaluation of research units / research teams / groups / departments / university institutes.* |
| **Score [0−5 points]:** | **Choose an option** |
| **Qualitative assessment:** |

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| **4.23 External advisory bodies for R&D&I, independent feedback for R&D&I** |
| *Evaluate the external advisory body of the evaluated university for R&D&I, e.g. an international scientific council.* |
| **Score [0−5 points]:** | **Choose an option** |
| **Qualitative assessment:** |

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| **Recommendation 4.21 and 4.23:**  |
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#### RESEARCH INFRASTRUCTURE

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| **4.24 System for acquiring and renewing instruments and equipment for R&D&I** |
| *Evaluate the described system for acquiring / optimising the acquisition of expensive instruments and equipment and the renewal of older expensive instruments. See also the data from the appendix of Self-evaluation report (table 4.24.1).* |
| **Score [0−5 points]:** | **Choose an option** |
| **Qualitative assessment:**  |

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| **4.25 System for sharing instruments and equipment for R&D&I** |
| *Evaluate the internal organisation of research infrastructure (technologies, expensive instruments and instrument sets). Consider also the described system for sharing (including sharing with external research organisations) expensive instruments and instrument sets, i.e. core facilities and the sharing of instruments and instrument sets.* |
| **Score [0−5 points]:** | **Choose an option** |
| **Qualitative assessment:** |

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| **Recommendation 4.24 and 4.25:** |
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#### GOOD PRACTICE IN R&D&I

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| **4.26 Internal regulations and measures for maintaining good practice in R&D&I** (e.g. Code of Conduct for Research Integrity, ethical issues) |
| *Evaluate how the compliance with the ethical aspects of R&D&I is overseen by the evaluated unit and consider presented description of the system, eventually also authentic documentation if provided by the university. Evaluate in connection with the European Code of Conduct for Research Integrity.* |
| **Score [0−5 points]:** | **Choose an option** |
| **Qualitative assessment:** |

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| **4.27 Open Access strategy for information from R&D&I**  |
| *Evaluate the described institutional strategy of the university for Open Science 2.0/Open Access, including, e.g. the operation of an institutional repository or other mentioned tools.* |
| **Score [0−5 points]:** | **Choose an option** |
| **Qualitative assessment:** |

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| **4.28 Data Management strategy for research data**  |
| *Evaluate the policy for managing research data, consider 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.* |
| **Score [0−5 points]:** | **Choose an option** |
| **Qualitative assessment:** |

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| ***Recommendation 4.26, 4.27 and 4.28:*** |
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### MODULE 5 STRATEGY AND POLICIES

#### R&D&I MISSION AND VISION

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| **5.1 The evaluated institution’s R&D&I mission and vision** |
| *Evaluate the 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 actual situation). Consider also supplemented links to the strategic plan for teaching, scientific, research, development and innovation, artistic or other creative activity, and any update of this plan.* |
| **Score [0−5 points]:** | **Choose an option** |
| **Qualitative assessment:**  |

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| ***Recommendation 5.1:*** |
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#### R&D&I OBJECTIVES AND STRATEGIES

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| **5.2 Research objectives and strategies before the next evaluation** |
| *Evaluate the research strategy and objectives (e.g. specificity, feasibility, the international context of the strategic plan for teaching, scientific, research, development and innovation, artistic or other creative activity, and any update of this plan). See also, how the society and the market’s needs have been identified.* |
| **Score [0−5 points]:** | **Choose an option** |
| **Qualitative assessment:** |

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| ***Recommendation 5.2:*** |
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#### R&D&I NATIONAL AND INTERNATIONAL CONTEXT

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| **5.3 Relation to higher national and supranational strategic goals and measures for R&D&I** |
| *Evaluate how the R&D&I policies relate to the higher national and supranational strategic targets and measures for R&D&I, 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 of the Czech Republic (National RIS3 Strategy), etc.* |
| **Score [0−5 points]:** | **Choose an option** |
| **Qualitative assessment:** |

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| ***Recommendation 5.3*** |
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#### TOOLS FOR IMPLEMENTING THE RESEARCH STRATEGY

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| **5.5 Institutional tools for implementing the research strategy, emphasising support of quality R&D&I and the innovation environment** |
| *Evaluate the described institutional and strategic tools of the university (e.g. strategic management tools, tools created to support the achievement of research objectives, legal and organisational regulations related to support of R&D&I, etc.) aimed at implementing its research strategy, with the emphasis on supporting quality of R&D&I and the innovation environment.* |
| **Score [0−5 points]:** | **Choose an option** |
| **Qualitative assessment:** |

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| ***Recommendation 5.5:*** |
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### SUMMARY ASSESSMENT OF MODULE M4 AND M5

#### OVERALL ASSESSMENT OF MODULE M4

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| **MODULE 4 - OVERALL ASSESSMENT** |
| *After evaluation of the individual criteria of the M4 module, please fill in overall score and overall grade in M4 module.* |
| **CRITERIA** | **SCORE [0-5 points]** |
| 4.1 | Organisation and management of R&D&I | **Choose an option** |
| 4.2 | Support system for R&D&I and measures to stimulate high-quality science | **Choose an option**  |
| 4.3 | Institutional regulations for the use of institutional support for the LCDRO | **Choose an option**  |
| 4.5 | Training system for intellectual property protection and technology transfer | **Choose an option** |
| 4.6 | Organisation of doctoral studies | **Choose an option** |
| 4.7 | Internationalisation of doctoral studies | **Choose an option** |
| 4.8 | Subsequent careers for doctoral graduates (support conditions) | **Choose an option** |
| 4.9 | Rules for funding doctoral students, including foreign students (stimulation and motivation tools) | **Choose an option** |
| 4.10 | Significant cooperation in R&D&I at national level | **Choose an option** |
| 4.11 | Significant cooperation in R&D&I at international level | **Choose an option** |
| 4.12 | Mobility of academic staff and researchers (including segmental and intersegmental mobility)  | **Choose an option** |
| 4.14 | System for career growth for academic staff and researchers | **Choose an option** |
| 4.15 | Evaluation system for academic staff and researchers and filling key positions in R&D&I | **Choose an option** |
| 4.16 | Recruitment system for academic staff and researchers from the external environment | **Choose an option** |
| 4.17 | Human resources structure | **Choose an option** |
| 4.18 | Gender equality measures | **Choose an option** |
| 4.19 | Structure of funding for R&D&I | **Choose an option** |
| 4.20 | Support for obtaining foreign research projects (including the strategy for obtaining prestigious foreign funding for R&D&I) | **Choose an option** |
| 4.21 | Internal and external system for evaluating research units (groups, teams, departments, institutes) | **Choose an option** |
| 4.23 | External advisory bodies for R&D&I, independent feedback for R&D&I | **Choose an option** |
| 4.24 | System for acquiring and renewing instruments and equipment for R&D&I | **Choose an option** |
| 4.25 | System for sharing instruments and equipment for R&D&I | **Choose an option** |
| 4.26 | Internal regulations and measures for maintaining good practice in R&D&I (e.g. Code of Conduct for Research Integrity, ethical issues) | **Choose an option** |
| 4.27 | Open Access strategy for information from R&D&I | **Choose an option** |
| 4.28 | Data Management strategy for research data | **Choose an option** |
| **Overall score:** | **Choose an option** |
| **Overall grade [Excellent− Inadequate]:** | **Choose an option** |

#### OVERALL ASSESSMENT OF MODULE M5

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| **MODULE 5 - OVERALL ASSESSMENT**  |
| *After evaluation of the individual criteria of the M5 module, please fill in overall score and overall grade in M5 module.* |
| **CRITERIA** | **SCORE [0-5 points]** |
| 5.1 | The evaluated institution’s R&D&I mission and vision | **Choose an option** |
| 5.2 | Research objectives and strategies before the next evaluation | **Choose an option** |
| 5.3 | Relation to higher national and supranational strategic goals and measures in R&D&I | **Choose an option** |
| 5.5 | Institutional tools for implementing the research strategy, emphasising support for quality R&D&I and the innovation environment | **Choose an option** |
| **Overall score:** | **Choose an option** |
| **Overall grade [Excellent− Inadequate]:** | **Choose an option** |

#### SUMMARY ASSESSMENT OF MODULE M4 AND M5

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| **MODULE 4 AND MODULE 5 - OVERALL ASSESSMENT**  |
| *After evaluation of the individual criteria of the M4 and M5 modules, please summarise your assessment in the context of both modules. Consider the conditions of the evaluated unit for R&D&I on the one hand (organisation, management and support of R&D&I; doctoral studies, national and international cooperation and mobility in R&D&I; HR and career in R&D&I; financial resources for R&D&I; formative evaluation of R&D&I and start-up strategy, research infrastructure and good practice in R&D&I), and on the other hand mission and vision in R&D&I, objectives and strategies in R&D&I, the national and international context of R&D&I and the chosen tools for the implementation of the research strategy. Justify your assessment by highlighting major strengths and/or weaknesses.* |
| **General qualitative assessment (summary):** |