

GUIDELINES FOR THE EVALUATION OF RESEARCH

POLIS UNIVERSITY

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The evaluation of research contributes to university quality assurance. According to of the Statute (§ 54, 55, 66 and 67) and Regulation on Internal Quality Assurance Unit of Polis University (PU) it serves to analyse and evaluate the fulfilment of the provisions of § 95 of the Albanian Law on Higher Education (80/2015), in the areas of research, in the promotion of young academics and in gender equality for the purpose of ensuring and improving the quality in the academic units (evaluation units) at all levels and thus the entire Polis University as a higher education and research institution,.

The guidelines are intended to support and guide the implementation of the evaluation procedures. The aim of the guidelines is, on the one hand, to provide assistance to the internal evaluation commissions and to facilitate their work. On the other hand, the guidelines ensure a uniform procedure within the PU, so that a qualitative minimum standard of the evaluations is guaranteed and a cross-university subject comparison is made possible. The guidelines are based primarily on international experience of evaluation procedures already in progress. In addition to information on the organisation of the process, they primarily offer guidelines for the conception and design of the internal evaluation report. Beyond an outline of this report, there are explanations on the content-related aspects that should receive attention in the report.

The evaluation is carried out under the responsibility of the evaluation units, faculty level, and can thus contribute to strengthening subsidiarity at the university. The evaluation should show the strengths and weaknesses in national and international comparison from the perspective of the evaluation unit and external experts. The principle applies that in university quality evaluation, equals should judge equals (*peer review*). The evaluation of research should identify the strengths and weaknesses of the evaluation units. However, it is not intended as a ranking/rating, but as a strengths/weaknesses analysis that aims to specifically promote identified strengths and close weaknesses. The publication of the results report and the target agreements between the evaluation unit and the rectorate contribute to this. At the same time, competition within a subject is to be promoted.

Despite the units' own responsibility, it cannot be ruled out that the results of the evaluations will be taken into account when planning the future of the university. In this respect, the evaluation can also stimulate competition between faculties, departments as well as subjects.

The evaluation takes into account the unity of research and teaching. This is the basic principle and success of the university as an institution of higher education and research. The guidelines as well as the evaluation regulations therefore assume that the unity of research and teaching must remain an important guiding idea and a quality criterion. Therefore, the guidelines see the evaluation of research and teaching as necessarily linked parts of a unified performance control. This requires in particular a timely, if possible parallel evaluation of research and teaching.

Furthermore, within the framework of the evaluation of research and teaching of the evaluation unit, a summary assessment of the teaching performance of the unit is then carried out, detached from the specifics of individual study programmes, with a view to content-related focal points of the subject and to the connection between research and teaching profile.

II. Evaluation of research.

1. Principles.

The evaluation of research aims to identify and assess the strengths and weaknesses of the evaluation units and the academic staff working in them.

The evaluation unit writes a report on the evaluation unit's research priorities, on the contributions of individual researchers to the unit's research performance and, if applicable, on the reasons why certain members of the evaluation unit were unable to participate in research activities or were less able to do so (e.g. activities in self-administration).

Regardless of individual research interests, the report should present the research profile, performance and future prospects of the unit as a whole. However, the individual performance by the members of the unit should be clearly visible. The integrative report on the situation of the entire Evaluation unit is therefore accompanied by the accountability report of the individual researchers ("Individual Research Reports"), in which the individuality and performance of individual members of the unit comes to advantage.

2. Aims of the research evaluation.

The research evaluation pursues the following objectives pursued:

- To create incentives to improve performance in the in the field of research and development and to expand the research potential of the university.
- Sharpening the research profiles of the departments, of the university as a whole and of the individual of the university.
- Strengthening research on behalf of third parties and transfer, increasing the amount of third-party funding for the of the university, especially from the from industry.
- Deepening research cooperation across departments; Expansion of research cooperations with other universities and regional, supra-regional and and international research institutions; Promotion of collaborative projects,
- Strengthening the connection between research and teaching (e.g. in Master's programmes and doctorates).
- Promotion of young academics; Support of the doctoral process.
- Improvement of research conditions.
- Increasing the efficiency of administrative processes relating to research.

3. Procedure for research evaluation.

1) The data collection for research evaluation shall be carried out at regular three-yearly intervals and shall relate to quantity, quality and effectiveness of the research as well as the research conditions. The quantitative data collected data and their evaluation shall be included in the research report of the university. All members and affiliates of the university have the duty to participate in the to participate in the collection of data for the research report.

2) The benchmark for the assessment of quality is the contribution that the research makes to the profile of the university the university and/or the department, right down to the individual scientist. Indicators for measuring scientific productivity and impact, which are included in the research report, are elaborated by IQAT and

Department of Research and approved, for each evaluation phase, by the Senate. Generally, mainly indicators can include, among others: Page | 5

- Research projects realised and in progress / research cooperations (staff,
- volume of third-party funding, third-party funding provider, duration,
- research partners).
- Other research and development activities (industrial contracts, research stays, etc.).
- Publications, lectures, posters, industrial property rights, planning,
- works from the fields of design and architecture.
- Licensing and exploitation agreements concluded.
- Organisation / active participation in scientific training measures (conferences, trade fairs etc.).
- Foreign relations (university cooperation, lecturer mobility, student exchange, project support etc.).
- Memberships in committees outside the university, reviewer activities.
- Doctorates (PhD) thesis, cooperative doctoral procedures.

Subject-specific quality criteria form the basis for the evaluation of research performance. The formulation and disclosure of jointly recognised quality criteria is an important part of the evaluation process. The Internal Evaluation Report shall therefore set out these criteria for assessing research performance of the unit concerned and justify the weighting of the quality measures. Where possible and appropriate, quantifiable criteria shall be used.

3) The evaluation procedure should answer the question of the effectiveness, the relationship between effort and success. The central point of view here is whether the resources used (staffing, material resources, third-party third-party funding from various sources and the infrastructure of the university) achieve the intended the intended effect while maintaining the is achieved.

4) Responsibility for the quality and timely collection of data lies with the faculties/departments. Data collection lies with the departments. These use the data for their own evaluations and make them available to the IQAU and Department of Research of PU to the extent required.

4. Analysis of the research evaluation

1) The members of the university shall regularly report through academic events and publications about the research activities and research results at the institution of higher education.

2) The Senate of the PU shall regularly deal with the data collected within the framework of the research evaluation and, on the basis of the results, shall decide on measures to improve the conditions for research and to increase the quantity and quality of research work at the university.

3) The results of the evaluation of the research activities shall be submitted to the Ministry at least every three years in a research report, which shall form part of the reporting to the responsible Ministry.

4) The data collected in the research evaluation shall be evaluated by the dean of the respective faculty and the and the management of the university within the framework of the Statute and other regulations of U_POLIS particularly for the following purposes:

a) A ranking of research achievements within the university and also the country (the best researcher; the most cited researcher in the country; the most internationally cited researcher in Albania in the subject, and other similar designations, etc.);

b) The awarding of merit pay and allowances according to a procedure (e.g. point system) previously approved by the Rectorate and U_POLIS Board

5) The internal or external research evaluation lead to recommendations to the university, the faculties or their individual members.

5. Information on the research structure of the unit.

- Measures and structures for the promotion of young researchers, establishment of professorships;
- Number and duration of doctorates and habilitations to “Associate Professor” and “Professor” in the last five years;
- Special research areas, Graduate or PhD schools/colleges, etc.;
- Third-party funding per researcher in the last five years, in comparison with the rest of the country (statistical data);
- Information on visiting researchers, Ph D students and postdocs, etc.;
- Relationship between research and teaching (e.g. personnel capacity engaged up in teaching, importance of research priorities for the conception of teaching, etc.);
- General or site-specific advantages of the evaluation unit that are assessed as beneficial for the research;
- General or site-specific problems of the evaluation unit that are assessed as hindering research;
- Other information relevant to the structure of the unit.

6. Information on the research profile of the unit.

- Description of the development of the evaluation unit in the last 5 years;
- Research profile and self-evaluation of the evaluation unit;
- Research Agreements and research priorities within the unit;
- Special research areas, priority research programs, etc.;
- Development plan for the coming years (at least 5 years);
- Outstanding research results, research awards etc. in the last 5 years;
- Other information relevant to the research profile.

7. Individual research achievements of members of the unit.

The individual research reports ("self-evaluation or declaration") of all university teachers/researchers should provide information on the following points, among others:

- Number of MSc theses, doctorates supervised (5 years) and academic titles;
- Research priorities, planned research activities;
- Integration of own research into teaching courses;
- Third-party funding or external research funds: project title, project management, funding source, funding type, funding period, approved funding amount in ALL/euros;
- Prizes, awards, research grants etc.;
- Listing of the most important (or all) publications of the last 5 years, if applicable with mention of impact factors or other criteria of value;
- Research collaborations (national, international);
- Scientific and RD exchange with business, administration and politics, expert reports, cooperation with external organisations, etc.;

- Protection of research achievements (patents, etc.), if applicable, scope of protection (national, European, international);
- Organisation of conferences, etc., membership/activity in scientific organisations, editorial activities, etc.

The individual reports should not exceed approx. 3 to 4 pages and should be attached to the internal evaluation report of the subject. For better comparability and formal standardisation, the individual reports should be pre-structured by uniform guidelines (template). This template/Outline will be developed by the IQAU and the PU Research Department and approved by the Senate for each research evaluation round.

8. Volume of the internal evaluation report on the research.

The internal evaluation report on research should not exceed approx. 15 pages. In addition, there are the individual research reports as appendices.

This evaluation of all items provided for in these chapters will be carried out by means of a questionnaire attached to these Guidelines.

V. Interfaces with central institutions (optional).

In several sections, the contribution of the central administration and other central facilities to faculty or department operations is assessed from the perspective of the evaluated unit. It may be helpful to additionally summarise these evaluations in a separate section. The intention is to highlight the important interfaces between the internal organisation of the units and the central administration, to raise awareness of the problems and to look for ways to improve the interaction.

Important cross-section areas include:

- University offices related to research (Vicerector, Department of Research, International Project Office, etc);
- Dean office;
- Accounting and procurement;
- Personnel management;
- Assistance in obtaining external funding;
- Procurement office;
- Provision of statistical data;
- Library management;
- Transfer of research outputs and innovation, patents, etc.;
- International exchange;
- Public relations.

III. Annexes to the Evaluation Report

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Annex 1:
Evaluation of Research Activities at the POLIS University

Introduction

Presented material is a Questionnaire prepared with some international indicators concern to evaluation of research in Department. The Questionnaire will be complete for all indicators. When request added material you could attached it.

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Questionnaire form for the University's Departments (Faculties / Institutes / Units)

1. General data

1.1 POLIS University – Faculty - Name of the Department

1.2 Foundation date

1.3 Research fields

1.4 Research concept

- Please describe the Department's main research objectives? What is the primary focus in research? How did the focus evolve during the last 5 years?

- Please describe type of research practiced at the Department

1.5 Address, Contact

2. Organization of the Department

2.1 Management structure

2.2 Research/development centers, laboratories, spin-off companies

2.3 Libraries

2.4 Services (internal and external)

2.5 Administration - (administration costs)

2.6 Other units

3. Resources

3.1. Human resources (No.)

No.	Occupation	2019 - 2020	2020 - 2021	2021 - 2022	2022 - 2023	Total
1	Full Professors - Research counselors					
2	Associate Professors - Senior research associates					
3	Assistant Professors (Docent) - Research assistants					
4	Assistants - Postmaster					
5	Assistants - young researchers (<35 years old)					
6	Average age of academic staff (points 1,2,3)					
7	Gender balance in research staff (points 1,2,3)					
8	Part-time research and academic staff					
9	Total number of students (first – second - third cycle)					
10	Ratio between female and male students (first – second - third cycle)					
11	Ratio between teachers and students					
12	Number of graduate students for the current year					
13	Number of PhD students who defended their PhD in the current year					
14	Number of foreign students					
15	Number of technical staff in research and level of qualification					
16	Number of administrative staff in research					
17	Ratio between research and non-research staff					

3. 2 Infrastructure data

3.2.1 Total area (in m2) and distribution by units from points 2.2 to 2.6

3.2.2 Data about research equipment in the units and total value at the Department (taking into account equipment worth more than 20,000 €)

Laboratory	Supply year	Purchasing value	Source of financing	Unit

Please, fill the following table for each Unit for the 4 years:

Name of the Unit:			
Laboratory	No. of work hours / month (average)	no. of researchers working on it	no. of research projects use equipment

- Are the appropriate consumables available (e.g. raw materials, chemical substances, instruments, etc.)
- How is maintenance of the equipment financed? (total amount - covered by the University - covered by outside sources)
- Do other research institutions use your equipment? If YES, please list them.
- Do you charge use of your equipment? (if yes, please indicate the price)

3.2.3 Number of computers per unit (age, sources of software, types)

3.2.4 Basic data about certificated and reference laboratories or laboratories with excellent research output

3.2.5 Basic data about spin-offs

3.3. RTD Budget (in thousand lek)

	2019 - 2020	2020 - 2021	2021 - 2022	2022 - 2023	Total
Total amount (public funds + tuition fees + third-party funds + other sources)					
Total amount for research					
Ministry of Education and Sport					
University funds					
Other Ministries and public bodies or local governance					
International projects					
European Union FP programmes					
-Other international programmes or funds, quote the name					
- bilateral cooperation					
Contracted research with business sector and expertise in the country (worth more than 20,000.00 €)					

Contracted research with business sector and expertise abroad (worth more than 20,000.00€)					
Maintenance costs of research infrastructure					
Investment in libraries					
Other (please indicate)					

4. Scientific output

4.1. Short review of the most important scientific achievements in the past four years

.....

.....

4.2. The list* of ongoing projects and programmes

Project / program title (fundamental/applied)	Project leader	Research team: number of researchers and number of technicians

*Special "Anex" list

4.3 Future plans of the Department in research activity

Does your Department have any special future plan in respect of the role of fundamental (basic) and applied research? If yes, please describe (wish list; list of impediments; what does it cost to overcome the impediments)

4.4 Scientific articles published in publications of special interest for the Department's activities

List up to 10 most important scientific journals in your field and the number of published articles	2019 - 2020	2020 - 2021	2021 - 2022	2022 - 2023	Total

4.5 Number of scientific articles published in journals with impact factors from academic staff

	2019 - 2020	2020 - 2021	2021 - 2022	2022 - 2023	Total
Number of scientific articles published					
Number of scientific articles published in 10 highest ranked journals for your particular fields					
Average number of citations per article					
Average number of citations per researcher					

4.6 Scientific papers published in other publications which are not included in above data base (number)

	2019 - 2020	2020 - 2021	2021 - 2022	2022 - 2023	Total
Scientific monograph with international peer-review					
Scientific monograph with national peer-review					
Articles in international journal					
Authorship of text books published abroad					

Authorship of text books published in Albania					
Scientific articles in domestic journals with international peer-review					
Scientific articles in domestic journals with domestic peer-review					
Other articles in publications that are recognized for academic promotion (Proceedings)					

4.7 Participation in scientific conferences (number)

	2019 - 2020	2020 - 2021	2021 - 2022	2022 - 2023	Total
Chairman and president of conference					
Plenary speakers at international conferences					
Plenary speakers at domestic conferences					
Key note speakers at international conferences					
Key note speakers at domestic conferences					
Posters' Presentation at international conferences					
Posters' Presentations at domestic conferences					
Members of Scientific and Organizer Committee					

4.8 Awards and merits *

	2019 - 2020	2020 - 2021	2021 - 2022	2022 - 2023	Total
National awards for scientific work					
International awards for scientific work					
Memberships in Academies of Science (list the number and the Academy's name)					
Memberships in international scientific committees and associations					
Memberships in editorial staff of domestic journals					
Memberships in editorial staff of international journals					
Other awards or merits with similar ranking					

* Please, write the number, the name of award or merit, and the name of researcher.

4.9 Intellectual property rights and knowledge commercialization

	2019 - 2020	2020 - 2021	2021 - 2022	2022 - 2023	Total
Patents protected in the country (Albania)					
Patents protected abroad					
Patents already applied in the country					
Patents already applied abroad					
Expert and consulting services in state projects					
Contracted elaborates and studies					
Prototypes and other products					
Software earmarked to the market					

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5. International cooperation

	2019 - 2020	2020 - 2021	2021 - 2022	2022 - 2023	Total
Number of bilateral projects					
Number of projects EU Programmes; etc.					
International projects with other programs					
Number of researchers included in international projects					
Number of foreign researchers included in domestic projects					

Mobility	2019 - 2020	2020 - 2021	2021 - 2022	2022 - 2023	Totali
- The number of visits of the members of research active staff to another university or research institute during 2004-2008 with duration between 1 week and 3 months					
- The number of visits of members of Polis University's active research staff to another university or research institute, with an extension of more than 3 months.					
- Number of young researchers (MSc and PhD students) (only those staying abroad longer than 1 month)					
- Number of visits of foreign professors and researchers to your Department (longer than 15 days)					
-					

5.1 Students' Participation in Research

- How are students involved in research (especially in cooperative projects with industry)? Do they have the opportunity to participate in a "real case study" (research project)?

- How are students involved in using the technical equipment (e.g. practice course, practical training, etc.)?

- In which way are the students motivated in taking part? Are they rewarded for participation in the research (monetary incentive, extra credit, awards, etc.)?

- How is their participation organized?

Describe the interaction between Research at the Unit and Education/Teaching. Describe teaching aims, courses that stem or related from the research interests of teachers, MSs/PhDs theses relation with research, who is supervising it. Would you say that every researcher takes part in teaching and/or supervision and if most teachers have active interest in research?

5.2 Doctoral theses (2020-2023)

List* of Doctoral Theses awarded at the POLIS University in your field of science, during period 2020 - 2023 (year, author, title)

Title of the Dissertation	Author	Year/Length of time

*Special "Anex" list

6. Collaboration with Business Community

6.1 How would you describe the co-operation with the business sector? What are the main obstacles to work together? What are necessary prerequisites or incentives for successful co-operation?

6.2 Does the Department know about potential national/ international partners for possible future national / international alliances? If yes, how is the knowledge stored (databases, papers...)?

6.3 In order to exchange experiences, are there any consultative and expert advisory activities established between scientific staff and representatives of business sector? If yes, how do they look like?

6.4 Do any activities concerning the establishment of enterprises or participation (e. g. spin-off companies) exist?

6.5 Do you have a unit that writes and edits project proposals?

6.6 How do you see your Department in the next 3, 5 and 10 years?

- How do you prepare for that in terms of manpower, budget and otherwise?

- If POLIS University would like to specialize, what would it be in next 3, 5 and 10 years?

7. Self-Assessment exercise for the Department (SWOT)

Self-assessment of the activity of the Department during the period 2020-2023

Evaluation of Strengths, Weaknesses, Opportunities and Threats within the Department

Summary of

Strengths:

Weaknesses:

Opportunities:

Threats:

Elaborate more on “SWOT” Analysis for the Department

Tirana, on DD/MM/YYYY

Signature of the Head of the Department

Note: For any clarification and help in filling in the questionnaires, consult with IQAU, Mr. Edmond Agolli.

Contact:
e-mail: edmond_agolli@universitetipolis.edu.al;

TITLE _____ NAME_SURNAME _____

1. List of projects for academic year 01 October 2022 - 30 September 2023

Nr.	Title of project	Leader of Research Working Group	Member of Research Working Group	National / international project
1.				
2.				
3.				

2. List of scientific articles published for academic year 01 October 2022 - 30 September 2023

Nr.	Title of scientific article	First author	Coauthor	National/International scientific journal
1.				
2.				
3.				

3. Participation in scientific conference for academic year 01 October 2022 - 30 September 2023

Nr.	Title of conference / Title of speech	Speaker Planar Séance	Speaker in Session	National / international Conference
1.	Konf_1			

4. Scientific activities organize or academic year 01 October 2022 - 30 September 2023

Nr.	Title of activities	Leader of activity	Member of scientific/organize committee	National / international activity
1.				
2.				

5. Publish Monograph, Teaching Text, scientific study, preparation of programs for academic year 01 October 2022 - 30 September 2023

Nr.	Title of study	First author	Coauthor	Ended / continue
1.				
2.				

Annex 2

6. Supervisor Master These for academic year 01 October 2022 - 30 September 2023

Nr.	Title of Scientific Master / Name of student	Ended	Continue	Year to end
1.				
2.				
3.				

7. Supervisor PHD These for academic year 01 October 2022 - 30 September 2023

Nr.	Title of PHD These / Name of student	Ended	Continue	Year to end
1.				
2.				
3.				

8. Lecturer in PHD process for academic year 01 October 2022 - 30 September 2023

Nr.	Title of PHD / Name of supervisor	Ended	Continue	Year to end
1.				
2.				
3.				

9. Applied research in the respective field, plans/ pdv/ architected concurs/ urban design/vsm/vnm/ peer review, prices, etc. for academic year 01 October 2022 - 30 September 2023

Nr.	Title of Thesis	Leader	Coauthor	Ended / continue
1.				
2.				
3.				

**EXAMPLE OF THE APPLICATION OF THE BENCHMARK SYSTEM
FOR THE INDIVIDUAL RESEARCH ACTIVITY***

*retrieved from the general excel sheet of the department

No.	Topic / Type of activities	Point	Name Surname	Name Surname
			XX XX	YY YY
1	Patent work from research within countries	20		
2	Patent work from research in foreign countries	26		
3	Patent team work from research within countries	12		
4	Patent team work from research in foreign countries	15		
5	International leader at "research team"	10		
6	National leader at "research - development team"	8	16	
7	Scientific articles at journal with impact factor	10	10	
8	Publishing of individual monograph	8		
9	Publishing of team monograph	6		
10	Scientific articles published at 10 best journal in relevant fields	8		
11	Participation at international team research	6		
12	Participation at national team research	4	20	8
13	PhD Supervisor (graduates)	6		
14	MSc. Supervisor (graduates)	3	9	6
15	PhD	8		
16	Research activities (PhD in process)	4		4
17	International award for research work	12	12	
18	National award for research work	10		
19	Publications of activities (reports or)	1		
20	Publications of articles, Book chapter, etc	5		
21	Publication of scientific article at (not at the 10 best journals)	6		12
22	Manual or technical book	7		
23	Policy papers	2		
24	Chairman of the conference within country	2		

25	Chairman of the conference abroad country	4		2
26	Participation with presentation at conferences within country	1		4
27	Participation with presentation at conferences abroad country	2		2
28	Participation with poster at conferences within country	1		4
29	Participation with poster at conferences abroad country	2		2
30	Member of organizing committee	1		
31	Member of Boards (scientific journal, etc.)	1		1
32	Registered patent	10		
33	Consultancy in research and developmental projects	3		3
34	Studies on contracted works	4	12	
35	Publication of scientific book within country	8		8
36	Publication of scientific book abroad country	10		
Total		246	79	56

