



THE CHAIR OF THE RESEARCH COUNCIL OF LITHUANIA

ORDER

**ON THE ADOPTION OF THE REGULATION ON THE PROCEDURE FOR THE
COMPARATIVE EXPERT ASSESSMENT OF RESEARCH AND DEVELOPMENT
ACTIVITIES CARRIED OUT BY UNIVERSITIES AND RESEARCH INSTITUTES**

8 August 2022 No V-486

Vilnius

Pursuant to Article 75² (5) of the Republic of Lithuania Law on Higher Education and Research, and Paragraph 2 of the Description for the Comparative Expert Assessment of Research and Development Activities Carried out by Universities and Research Institutes approved by the Order of the Minister of Education, Science and Sport of the Republic of Lithuania No V-1593 of 2 September 2021 “On the Implementation of Paragraphs 2.2-2.6 of the Resolution of the Government of the Republic of Lithuania No 149 of 1 March 2017 ‘On the implementation of the Republic of Lithuania Law on Higher Education and Research’”, I hereby

a p p r o v e t h e Regulation on Procedures for the Comparative Expert Evaluation of Research and Development Activities Carried out by Universities and Research Institutes (appended).

The Chair

Romas Baronas

APPROVED

by Order of the Chair of the Research
Council of Lithuania

No V-486 of 8 August 2022

REGULATION ON PROCEDURES FOR THE COMPARATIVE EXPERT ASSESSMENT OF RESEARCH AND DEVELOPMENT ACTIVITIES CARRIED OUT BY UNIVERSITIES AND RESEARCH INSTITUTES

CHAPTER I GENERAL PROVISIONS

1. The Regulation on Procedures for Comparative Expert Assessment of Research and Development Activities Carried out by Universities and Research Institutes (hereinafter - the Regulation) establishes the stages and procedures of the comparative expert assessment of research and development activities carried out by Lithuanian universities and research institutes (hereinafter - the expert assessment) and the procedure for calculating the cumulative estimates of Lithuanian universities and research institutes (hereinafter - the Institution(s)) in the research areas.

2. The terms used in the Regulation shall be understood as they are defined in the Description of the Comparative Expert Assessment of Research and Development Activities Carried out by Universities and Research Institutes, approved by the Order of the Minister of Education, Science and Sport of the Republic of Lithuania No V-1593 of 2 September 2021 “On the Implementation of Paragraphs 2.2–2.6 of the Resolution of the Government of the Republic of Lithuania No 149 of 1 March 2017 ‘On the implementation of the Republic of Lithuania Law on Higher Education and Research’” (hereinafter – the Description).

3. The following stages of expert assessment can be distinguished:

3.1. setting the timetable for the stages of the expert assessment (hereinafter - the Stages Timetable);

3.2. formation of units of assessment (hereinafter – the UoA);

3.3. formation of the UoA groups;

3.4. setting up expert panels;

3.5. preparation of the Expert Assessment Guidelines

3.6. preparation of the review of the Lithuanian higher education and research system;

3.7. preparation and presentation of data on the research and development (R&D) activities of the UoA;

3.8. preparation and approval of visit schedules;

3.9. preparation of individual expert assessment reports;

3.10. visits of expert panels to Lithuania;

3.11. preparation of the assessment report;

3.12. approval of the Assessment report:

3.12.1. communicating the results of the UoA assessment to the Institutions;

3.12.2. submission and handling of appeals;

3.12.3. reassessment of the UoA;

3.12.4. final approval of the Assessment report;

3.13. submitting a summary of the expert assessment results.

4. In cases, where the expert assessment is carried out by an international panel of experts, all communication shall be made in English. The Institutions may use the services of a translator/interpreter, if necessary. The assessment reports shall be published both in Lithuanian and English.

CHAPTER II SETTING THE TIMETABLE FOR THE STAGES OF THE EXPERT ASSESSMENT

5. In accordance with the deadlines set by the Ministry of Education, Science and Sport of the Republic of Lithuania (hereinafter - the Ministry), the Research Council of Lithuania (hereinafter - the Council) shall establish the Stages Timetable with the accuracy of months.

6. The Stages Timetable may be adjusted without prejudice to the deadlines set by the Ministry.

7. The Stages Timetable shall be published on the website of the Council.

CHAPTER III FORMATION OF THE UNITS OF ASSESSMENT

8. The Institutions shall submit to the Council, within the time limits set by the Council, the UoA configuration in accordance with the model forms provided in Annexes 1 to 3 to the Regulation.

9. The UoA of Institutions shall be established in accordance with the provisions of Paragraph 4 of the Description:

9.1. The UoA shall not be applied in more than two research areas, except as provided for in Paragraph 11 of the Regulations;

9.2. The measure of UoA coverage shall be the full-time equivalent of researchers with a scientific degree (hereinafter - FTE(SD)). The minimum size of a UoA shall be 5 FTE(SD).

9.3. The UoA shall not exceed 75 FTE(SD), except as provided for in Paragraph 11 of the Regulation;

9.4. Departments of an Institution larger than 75 FTE(SD) shall be divided into several UoA, except as provided for in Regulation 11.

10. It is recommended that the departments of an Institution, which are part of other departments of such Institution and are smaller than 75 FTE(SD) should not be split into different UoA.

11. If the Institution seeks to establish a UoA that is larger than 75 FTE(SD) but no larger than 160 FTE(SD) or that is active in three research areas, it must present arguments on the appropriateness of forming such a UoA and obtain the approval of the Council.

12. The Council shall analyse the UoA set-up submitted by the Institutions and assess it in accordance with the provisions of Paragraph 4 of the Description and, taking into account Paragraph 8 of the Description, shall:

12.1. approve the UoA configuration submitted by the Institution and inform the Institution thereof;

12.2. reject the UoA configuration submitted by the Institution and, stating its reasons, request the Institution to form the UoA in such a way that the UoA complies with the provisions of Paragraph 4 of the Description;

12.3. reject the UoA configuration submitted by the Institution, submitting a reasoned request to the Institution for its revision;

12.4. may request the Institutions to clarify or supplement the information provided on the configuration of the UoA.

13. The Council shall publish the list of the approved UoA of the Institutions on the website of the Council. The list of UoA shall be presented according to the type of Institution, the name of the Institution, the name of the UoA, the abbreviation of the UoA, the coverage of the UoA, the research area(s), the research field(s) in which the quality of the R&D activities is assessed, the coverage of the UoA in the research field(s).

14. No adjustments to the UoA configuration shall be made following the submission of data on UoA staff for the most recent year of the reporting period to the expert assessment.

CHAPTER IV FORMATION OF THE UNIT OF ASSESSMENT GROUPS

15. The Council shall form UoA groups, taking into account the scope of each UoA, the research areas to which the UoA apply, the research fields, in which the quality of the R&D activities needs to be assessed, and the geographical location of the UoA activities.

16. The UoA groups shall be set up so that one expert panel can visit a UoA group in Lithuania in one week; the same expert panel can also assess several UoA groups over several weeks. The names shall be assigned to the UoA groups.

17. The overlap of the research fields of , in which the quality of R&D activities needs to be assessed shall be taken into account when forming the UoA groups, aiming for it to be as little as possible.

18. The composition of the UoA groups shall be published on the website of the Council. The composition of a UoA group shall be given according to the name of the UoA group, the abbreviations of the UoA of which the UoA group consists, the name of the Institution, the scope of the UoA, the research area(s), the research field(s) of in which the quality of the R&D activity is assessed, the scope of the UoA in the research field(s) .

CHAPTER V SETTING UP EXPERT PANELS

19. The Council shall set up expert panels, taking into account the scope of the UoA groups, the research areas to which the UoA apply, and the research fields in which the quality of the R&D activities needs to be assessed. The expert panels shall be set up so that one expert panel can visit a UoA group in Lithuania in one week; the same expert panel can also assess several UoA groups over several weeks. Members of an expert panel may participate in several different expert panels.

20. The panel shall be composed of at least 6 experts. An exception shall be cases, where the UoA group consists of UoA, the quality of R&D activities of which needs to be assessed in no more than two of the same research fields, where the expert panel may be composed of at least 4 experts.

21. The expert panels shall be established in accordance with the General Rules of the Research Council of Lithuania for the Experts and their Activities, approved by the Order of the Chair of the Research Council of Lithuania No V-42 of 29 January 2018 ‘On the Approval of the General Rules of the Research Council of Lithuania for the Experts and their Activities’ (hereinafter – the General Rules). The Council shall set up expert panels in accordance with the deadlines set by the Minister of Education, Science and Sport of the Republic of Lithuania and appoint their chairs.

22. The Council shall appoint the members of the panel in accordance with Article 9 of the Description.

23. Having selected the members of the expert panels, the Council shall inform the Institutions by email of the composition of the expert panels. The Institution shall have the right to contact the Council in writing no later than 5 working days from the date of sending the information on the composition of the expert panel, if it has reasonable doubts about a possible conflict of interest or other valid reasons regarding the composition of the expert panel, and to provide substantiating arguments. If no appeals are received within this period, the Institutions shall be deemed not to have any comments regarding the expert panels. After examining the Institutions' arguments on the expert candidacies, the Council shall

take a decision on the composition of the expert panels. If the Institutions' arguments on the expert are considered valid, the Council shall appoint a new expert to the panel.

24. The Council shall conclude authorship agreements with the members of the expert panels. Each member of the panel shall sign a declaration of potential conflict of interest (Annex 4 to the Regulation). If the expert does not comply with the provisions of the declaration of potential conflict of interest, the authorship agreement shall not be signed with the expert. If the circumstances of an expert's potential conflict of interest come to light during the course of the expert assessment, the Council shall take measures to manage the potential negative consequences of such conflict of interest.

25. The Council shall publish the composition of the expert panels on the website of the Council after the authorship agreements with the experts are signed. The lists of experts shall be provided according to the UoA groups to be assessed.

26. If, due to unforeseen circumstances, one of the members of an expert panel is unable to visit Lithuania, the expert panel meetings may be organised in a mixed way (physical and remote).

27. If, due to a state of emergency imposed in the Republic of Lithuania or other circumstances beyond the control of the Council, visits by experts to Lithuania and/or visits to the UoA are prohibited or not recommended, meetings may be organised exclusively by electronic means of communication. The meeting and decision-making (voting) may only be conducted by electronic means that ensure the identification of the expert members.

CHAPTER VI PREPARATION OF THE EXPERT ASSESSMENT GUIDELINES

28. The Council shall prepare the Expert Assessment Guidelines for an expert and the Chair of the panel in accordance with the timelines of the Stage Schedule.

29. The Expert Assessment Guidelines shall include: the purpose of the expert assessment, the subject of the assessment, the principles of its design, a list of the Institutions participating in the expert assessment, the number and names of the UoA groups, a list of the materials to be submitted for the assessment, the stages and timing of the expert assessment, the functions of an expert, the functions of the Chair of the expert panel, the assessment criteria and their scales, a detailed explanation of the expert assessment criteria, the formats for submitting the results of the expert assessment, and other relevant information.

30. The Expert Assessment Guidelines shall be published on the website of the Council.

CHAPTER VII PREPARATION OF THE REVIEW OF THE LITHUANIAN HIGHER EDUCATION AND RESEARCH SYSTEM

31. In accordance with Paragraph 13.2 of the Description, the Council shall prepare a Review of the Lithuanian Higher Education and Research System (hereinafter referred to as the Review), in accordance with the Stages Timetable.

32. The review shall be published on the website of the Council and made available to the expert panels.

CHAPTER VIII

PREPARATION AND PRESENTATION OF DATA ON R&D ACTIVITIES OF THE UNITS OF ASSESSMENT

33. Data on R&D activities of the UoA are submitted for expert assessment in the project administration information subsystem 'Vieversys' of the Research Council of Lithuania at <https://vieversys.lmt.lt/>.

34. The list of data to be provided has been specified in the Description on the Procedure for the Provision of Data on the R&D Performance of Universities and Research Institutes for Comparative Expert Assessment, approved by the Order of the Minister of Education, Science and Sport of the Republic of Lithuania No V-1593 of 2 September 2021 "On the Implementation of Paragraphs 2.2-2.6 of the Resolution of the Government of the Republic of Lithuania No 149 of 1 March 2017 'On the implementation of the Republic of Lithuania Law on Higher Education and Research'".

35. Institutions shall submit data on the R&D activities of their UoA in accordance with the deadlines set out in the Stages Timetable published by the Council.

36. The Institutions shall review the data submitted for assessment and confirm that their submitted data is correct.

CHAPTER IX PREPARATION AND APPROVAL OF VISIT SCHEDULES

37. Once the UoA groups have been established, the Council shall draw up a weekly schedule of visits to the UoA in Lithuania, which shall be published on the website of the Council.

38. The schedule of visits to the UoA is normally set at least 1 month before the first visit of the experts to the Institution. The preparation of the schedules of visits to the UoA shall be carried out in coordination with the Institutions.

39. The schedules set for visits to the UoA shall be published on the website of the Council.

CHAPTER X PREPARATION OF INTERNAL EXPERT ASSESSMENT REPORTS

40. Each UoA shall be assessed individually by at least 3 experts. The individual assessments of the UoA shall normally be submitted to the Council no later than 5 working days before the visit of the expert group to Lithuania.

41. The coordinator of the expert panel (hereinafter – the Coordinator), appointed by the Council, shall provide the expert panel with all the necessary information to carry out the UoA assessment. The Coordinator shall assist the Chair of the Panel in organisational matters, as well as familiarise the Panel with the assessment procedures and provide all necessary administrative and technical support for the efficient functioning of the Panel.

42. The expert's assessment shall be guided by the information provided for the assessment, the Description, the Regulation, the Comparative Expert Assessment Guidelines and the principles for the activities of the members of the panel as laid down in the General Rules.

43. In the course of the individual assessment of the UoA assigned to them, the expert shall complete the Individual Expert Assessment Form(s) for the Unit of Assessment (Annex 5 to the Regulation), by entering an assessment score from 1 to 5, with a precision of 0.5 points, and by providing their justification for the following assessment criteria:

43.1. The quality of the R&D activities of the UoA in the research field(s) or in the group of research field(s) within the research area;

43.2. The economic and social impact of the R&D activities of the UoA;

43.3. The development potential of the R&D activities of the UoA.

44. The Coordinator shall prepare a summary of the results of the individual expert assessment on the basis of the completed Individual Expert Assessment Forms for the Unit of Assessment and present it to the Panel before the first joint meeting.

45. In order to ensure uniform and consistent application of the assessment criteria in the work of the Panels, the Council may initiate joint meetings of the Panels and/or their Chairs, either physically, remotely or in a mixed format.

CHAPTER XI EXPERT PANEL VISITS TO LITHUANIA

46. The following are the objectives of the visit of the Expert Panel to Lithuania:

46.1. to discuss the results of the individual expert assessment of the UoA in the Expert Panel;

46.2. ensure that the criteria for the expert assessment are understood in a uniform and consistent manner by all members of the panel;

46.3. get to know the staff, PhD students and the research infrastructure of the UoA;

46.4. to agree collectively on all scores of the assessment of the UoA in the UoA group.

47. The visit of the Expert Panel consists of joint meetings (first and second) and visits to the UoA. The joint meetings shall be chaired by the Chair of the Panel.

48. During the visit to Lithuania, the experts may provide written observations on the R&D activities of the UoA and/or recommendations for the continuation and/or improvement of the activities of the UoA in a free format. The information recorded may be used to prepare a justification for the assessment of the UoA with recommendations for continuity and/or improvement of the UoA.

49. At the first joint meeting, the panel shall be presented with the contextual information relevant to the expert assessment, the agenda for the visit, and the appointment of the Deputy Chair of the panel. At this meeting, the panel agrees on a preliminary score for each of the assessment criteria for each UoA, based on the results of the individual expert assessment. The Chair of the Expert Panel shall also assign a UoA for each expert, for which that expert after the visit to Lithuania will prepare a justification and make recommendations for the continuation and/or improvement of the performance of the said UoA by completing the Expert Assessment Form for the Unit of Assessment (Annex 7 to the Regulation).

50. Visits to the UoA shall be organised by the Council.

51. At least 3 experts shall be visiting the UoA.

52. During the visits, the experts shall be accompanied by the Coordinator or another person designated by the Council.

53. If, due to a state of emergency imposed in the Republic of Lithuania or other circumstances beyond the control of the Council, visits by experts to the location of the UoA are prohibited or not recommended, meetings may be organised by electronic means of communication, and the Institution shall present the research infrastructure by means of visual material.

54. During the visit to the UoA, the interviews shall be chaired by the head of the visiting expert group appointed by the Chair of the Expert Panel.

55. During the visit to the UoA, meetings with the administration of the UoA, research teams and PhD students shall be held separately. The same UoA employee or PhD student shall only attend one group meeting with experts. The duration of the meeting with the UoA administration, the groups of researchers and PhD students and the visit to the research infrastructure shall be decided by the head of

the visiting expert group. The duration of the visit is normally 3 hours, which may be adjusted according to the scope of the UoA and the number of research areas and fields.

56. Following the visits to the UoA, the Expert Panel shall meet for a second joint meeting to discuss the results of the UoA assessment.

57. The members of the Expert Panel shall be guided by the provisions of Paragraph 20 of the Description when making their decisions on the assessment.

58. The quality of the R&D activities of the UoA in the research field(s) and/or group of research fields within the research area, the economic and social impact and the development potential shall be scored on a scale of 0 to 5, with a precision of 0.5 points.

59. The recommendations to be made for the continuation and/or improvement of the UoA shall be discussed during the meeting.

60. The UoA assessment scores agreed by the Panel shall be entered in the summary of the UoA assessment scores for the UoA group (Annex 6 to the Regulation). If a member of the Panel has a dissenting opinion on the assessment of the UoA, their arguments shall be presented in the evaluation report alongside the conclusions of the UoA assessment.

CHAPTER XII PREPARATION OF THE ASSESSMENT REPORT

61. The Chair of the Panel shall be responsible for preparing the assessment report. He/she shall coordinate the work of the members of the panel and their workload in the preparation of the evaluation report. The evaluation report shall consist of: introductory information, the results of the evaluation of the UoA (justification and scores) and recommendations for the continuation and/or improvement of the Unit of Assessment

62. The expert shall prepare a justification of the evaluation of the UoA with recommendations for the continuation and/or improvement of the UoA's activities, based on the individual expert evaluation forms completed by him/her and by the other experts, the observations made by the other experts on the R&D activities of the UoA, the information gathered during the visits to the UoA, and the UoA assessment scores agreed by the expert panel at its second joint meeting in Lithuania, in the form provided in Annex 7 to the Regulation. The justification for the assessment of the UoA shall be reasoned and based on the information provided for the assessment, the information gathered during the visit and the information provided by the Council at the request of the Panel. The completed forms shall be submitted by the experts to the Chair of the Panel and the Coordinator.

63. The initial draft of the assessment report shall be submitted by the Chair of the panel to the members of the panel and the Coordinator. The Council may request the Chair of the panel to revise and/or supplement the initial draft assessment report. If necessary, the Chair of the Panel may organise a remote meeting of the Panel to discuss and/or revise the reasoning, scores and recommendations for the assessment of the UoA.

64. The Council shall provide the Institution with the reasoning for the UoA assessment. The Institution may comment on any factual errors noted within 3 working days of the publication of the reasoning for the UoA assessment.

65. The Panel shall, after assessing the Institution's comments on the factual errors observed, revise, if necessary, its earlier justification of the UoA assessment and prepare a response to the Institution on its decision, which will be submitted to the Institution together with the results of the UoA assessment.

66. The coordination of the draft assessment report should normally not exceed 30 working days after the visit of the expert panel to Lithuania. The members of the panel must send written approval of the assessment report to the Chair of the panel and the Coordinator.

CHAPTER XIII APPROVAL OF THE ASSESSMENT REPORT

SECTION I COMMUNICATION TO THE INSTITUTIONS OF THE RESULTS OF THE ASSESSMENT OF THE UNITS OF ASSESSMENT

67. At the end of the validation phase of the assessment report, the Council shall adopt the assessment reports submitted by the Panel.

68. The results of the UoA assessment shall be made available to the Institutions.

SECTION II SUBMISSION AND HANDLING OF APPEALS

69. The Institutions shall have the right to submit a reasoned appeal to the Council on possible factual errors in the justification of the UoA assessment and/or breach of the assessment procedures that may have affected the justification of the assessment of the UoA, at the latest within 5 working days from the date of sending the results of the UoA assessment to the Institution.

70. Disagreeing with the reasoning behind the assessment of the UoA shall not be a valid ground for appeal. New and/or additional information and/or data that was not provided by the UoA during the expert assessment shall not be considered in the appeal.

71. The Council shall set up a Board of Appeal for the Comparative Expert Assessment of Research and Development Activities Carried out by Universities and Research Institutes (hereinafter referred to as the Board of Appeal). The Board of Appeal shall be composed of 7 members. The candidates to the members of the Board of Appeal shall be nominated by the Lithuanian Research Academy, the Conference of Rectors of Lithuanian Universities and the Conference of Directors of the Lithuanian National Research Institutes, each submitting 6 candidates, representing different research areas, and one candidate shall be nominated by the Ministry. The composition of the Board of Appeals shall be approved by the Chair of the Council, who shall also appoint the Chair and Deputy Chair of the Board of Appeal. The work of the Board of Appeal shall be organised in accordance with the procedure laid down in the Rules of Procedure of the Board of Appeal, approved by the Council. A meeting of the Board of Appeal shall be valid if at least 2/3 of its members, including the Chair of the Board of Appeal or their Deputy, are present. Decisions shall be taken by a majority of the members of the Board of Appeal. In the event where the votes are tied, the Chair shall have the casting vote. The Chair of the Council shall appoint a civil servant or a member of the Council's permanent staff as a secretary of the Board of Appeal, who shall not be a member of the Board of Appeal and shall have no voting rights.

72. The Board of Appeal shall, on receipt of an appeal, verify that it complies with the provisions of Paragraphs 69 and 70 of the Regulation. In case of appeals accepted:

72.1. for possible factual errors in the justification of the UoA assessment:

72.1.1. the Board of Appeal shall determine whether there are any factual errors in the justification of the assessment;

72.1.2. if it is confirmed that there are factual errors in the justification of the UoA assessment, the Board of Appeal shall refer the appeal to the Expert Panel to assess whether these have affected the UoA assessment and, if necessary, to adjust the results of the UoA assessment. The Panel shall report its conclusions on its decisions in writing to the Board of Appeal.

72.2. for breaches of the assessment procedures during the expert assessment of the UoA that may have affected the justification of the UoA assessment:

72.2.1. the Board of Appeal shall examine whether there has been a breach of the assessment procedure by collecting and verifying data, if necessary, by interviewing and/or requesting explanations from the person(s) who may have committed the breach;

72.2.2. The Board of Appeal shall decide whether the breach of the assessment procedure has affected the justification of the assessment of the UoA;

72.2.3. if it is confirmed that there were breaches of the assessment procedure during the expert assessment of the UoA which affected the assessment of the said UoA, the Board of Appeal may decide to repeat the UoA assessment procedure in accordance with the procedure set out in Section III of Chapter XIII of the Regulation.

73. An appeal must normally be heard within 20 working days of the date of receipt of the appeal by the Council.

74. The Institution shall be informed of the decisions of the Board of Appeal no later than 3 working days after the decision on all appeals regarding the UoA group.

SECTION III REASSESSMENT OF THE UNIT OF ASSESSMENT

75. A reassessment of the UoA shall be carried out if the Board of Appeal finds that a breach of the assessment procedure during the expert assessment has affected the assessment of the UoA.

76. Depending on the nature of the breach of the assessment procedure, the Panel (or a reconstituted Panel) and the Coordinator must ensure that such breach is avoided during the reassessment of the UoA.

77. In the case of a reassessment of the UoA, the Panel shall carry out the assessment remotely by electronic means of communication.

78. Following the reassessment, the Institution shall be informed of the results of the reassessment of the UoA. The results of the reassessment of the UoA, together with the recommendations, shall be appended to the assessment report.

SECTION IV FINAL APPROVAL OF THE ASSESSMENT REPORT

79. Once the appeals received have been decided, the assessment report is considered final. If the assessment of the UoA is revised following the appeal procedures, the updated assessment shall be included in the final assessment report.

80. The assessment reports shall be approved by the Council.

81. Once approved, all expert assessment reports shall be published on the website of the Council.

CHAPTER XIV PRESENTATION OF A SUMMARY OF THE EXPERT ASSESSMENT RESULTS

82. Once the deadline for the submission and examination of appeals (if any) has expired, the Council shall prepare summary results: the Institutions' weighted aggregate scores in the research areas and the Institutions' weighted scores for the quality of R&D activities in the research fields.

83. Institution's weighted aggregate score in a research area (TE_{MS}^{IP}) shall be calculated as follows:

$$TE_{MS}^{IP} = \sum_{k_{VV}}^{Ns} AP_{MS}^{k_{VV}} (0,65 RQ_{MS}^{k_{VV}} + 0,20 EI^{k_{VV}} + 0,15 RP^{k_{VV}}),$$

where IP means the name of the institution, MS means research area, k_{VV} means aggregation index, Ns means the number of UoA that are active in the MS research area, $AP_{MS}^{k_{VV}}$ means the scope of the k_{VV}^{th} UoA in the MS research area (expressed in FTE(SD)), $RQ_{MS}^{k_{VV}}$ means the score of the quality of R&D activities in the research area of the k_{VV}^{th} UoA in the MS research area, $EI^{k_{VV}}$ means the score of economic and social impact of R&D activities of the k_{VV}^{th} UoA, $RP^{k_{VV}}$ means the score of the development potential of R&D activities of the k_{VV}^{th} UoA.

84. The score of the quality of R&D activities of the UoA in a research area ($RQ_{MS}^{k_{VV}}$) shall be calculated as follows:

$$RQ_{MS}^{k_{VV}} = (\sum_i^n AP_{MS, i}^{k_{VV}} RQ_{MS, i}^{k_{VV}} + AP_{MS, kr}^{k_{VV}} RQ_{MS, kr}^{k_{VV}}) / (\sum_i^n AP_{MS, i}^{k_{VV}} + AP_{MS, kr}^{k_{VV}}),$$

where MS means research area, i means aggregation index, $AP_{MS, i}^{k_{VV}}$ means the scope of the k_{VV}^{th} UoA in the MS research area (expressed in FTEs), n means the number of research fields in the MS research area, where the quality of R&D activities is assessed, $RQ_{MS, i}^{k_{VV}}$ means the score of the quality of R&D activities of the k_{VV}^{th} UoA in the i^{th} research field within the MS research area, $AP_{MS, kr}^{k_{VV}}$ means the scope of the group of research fields of the k_{VV}^{th} UoA, where the quality of R&D activities is not assessed in each research field (expressed in FTE(SD)), $RQ_{MS, kr}^{k_{VV}}$ means the score of the quality of R&D activities in the group of research fields within the MS research area of the k_{VV}^{th} UoA.

85. The score of the quality of R&D activities of the Institution in a research field (RQ_{mk}^{IP}) shall be calculated as follows:

$$RQ_{mk}^{IP} = \sum_{k_{VV}}^{Nk} AP_{mk}^{k_{VV}} RQ_{mk}^{k_{VV}} / (\sum_{k_{VV}}^{Nk} AP_{mk}^{k_{VV}}),$$

where IP means the name of the institution, k_{VV} means aggregation index, mk means research field, in which the score of the quality of R&D activities is calculated, Nk means the number of UoA, where the quality of R&D activities in the mk^{th} research field has been assessed, $AP_{mk}^{k_{VV}}$ means the scope of the k_{VV}^{th} UoA in the mk^{th} research field (expressed in FTEs), $RQ_{mk}^{k_{VV}}$ means the score of the quality of R&D activities of the k_{VV}^{th} UoA in the mk^{th} research field.

86. The summary results of the assessment shall be published on the website of the Council and submitted to the Ministry. The results of the expert assessment may be presented in other forms of publicity.

Annex 1 to the
Regulation on the Procedure for the Comparative
Expert Evaluation of Research and Development
Activities Carried out by Universities and Research
Institutes

(Form for the submission of information regarding the configuration of Units of Assessment)

(Name of the Institution submitting the letter)

To the Research Council of Lithuania

(date) No

REGARDING THE CONFIGURATION OF UNITS OF ASSESSMENT

In accordance with Paragraphs 4-8 of the Description for the Comparative Expert Assessment of Research and Development Activities Carried out by Universities and Research Institutes approved by the Order of the Minister of Education, Science and Sport of the Republic of Lithuania No V-1593 of 2 September 2021 “On the Implementation of Paragraphs 2.2-2.6 of the Resolution of the Government of the Republic of Lithuania No 149 of 1 March 2017 ‘On the implementation of the Republic of Lithuania Law on Higher Education and Research’”, we hereby submit a configuration of the unit(s) of assessment of the *(name of the institution)*. *(Name of the institution)* shall form *(number)* unit(s) of assessment:

1. *(Name of the Unit of Assessment)*, *(abbreviation of the Unit of Assessment)*.
2. *(Other names and abbreviations of Units of Assessment, if any)*.

APPENDED:

1. Configuration of the Institution's Units of Assessment *(Excel)*:
 - 1.1 Structure of the academic units of the Institution, 1 page.
 - 1.2. Data on the unit(s) of assessment, ... page(s).
2. Justification for the Unit of Assessment *(name)* (if provided), ... page(s).
3. *(Justifications for other units of assessment, if any)*.
4. Other information considered relevant by the Institution, ... page(s).

(Head of the Institution or their authorised representative) (Signature) (Full Name)

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Regulation on the Procedure for the Comparative Expert Evaluation of Research and
Development Activities Carried out by Universities and Research Institutes

(Form for the submission of the structure of academic divisions of the Institution)

STRUCTURE OF ACADEMIC DIVISIONS OF (*NAME OF THE INSTITUTION*) WITH EXPECTED UNITS OF ASSESSMENT

| Name of the principal academic division | Name of the subdivision of the principal academic division | Name of the part of an academic division (if any) | Abbreviation of the expected unit of assessment ¹ |
|---|--|---|--|
| 1. | | | |
| | | | |
| | | | |
| | | | |

¹ It is recommended that the abbreviation of the unit of assessment should be a two-part abbreviation, with the first part reflecting the name of the institution and the second part reflecting the research area or other characteristic of the unit of assessment.

Annex 3 to the
Regulation on the Procedure for the Comparative Expert Evaluation of Research and
Development Activities Carried out by Universities and Research Institutes

(Form for the particulars of the unit of assessment to be formed)

DETAILS OF THE UNIT OF ASSESSMENT (NAME OF THE UNIT OF ASSESSMENT) FORMED BY THE (NAME OF THE INSTITUTION)

| | | | | |
|---|---------|-----------|-----------|-------|
| 1. The particulars of the university or research institute (collectively the 'Institution') and its unit of assessment (hereinafter – the UoA): | | | | |
| 1.1. The full name of the Institution; | | | | |
| 1.2. The official abbreviation of the name of the Institution; | | | | |
| 1.3. The name of the UoA of the Institution; | | | | |
| 1.4. The abbreviation of the name of the UoA; | | | | |
| 1.5. The equivalent of the UoA in the comparative R&D assessment of 2018; | | | | |
| 1.6. Research area(s); | | | | |
| 1.7. The employee in charge of the provision of data: | | | | |
| First name | Surname | Job title | Telephone | Email |
| | | | | |

| | | | | |
|---|--|--|--|--|
| 2. Data on the UoA employees for the year 2021 that form the divisions of the Institution, by research areas and research fields (indicating whether the PhD studies are being implemented (expected to be implemented in the next 5 years) (number of persons (on 31 December) / full-time equivalent – FTE (from 1 January until 31 December)): | | | | |
| 2.1. research workers and other researchers with a scientific degree: | | | | |
| 2.1.1. lead researchers: 0,0/0,0; | | | | |
| 2.1.2. senior researchers: 0,0/0,0; | | | | |
| 2.1.3. research workers, other researchers: 0,0/0,0; | | | | |
| 2.1.4. researchers trainees: 0,0/0,0; | | | | |
| 2.1.5. junior researchers: 0,0/0,0; | | | | |
| 2.1.6. total: 0,0/0,0; | | | | |
| 2.2. Teaching staff members with scientific degree: | | | | |
| 2.2.1. professors: 0,0/0,0; | | | | |
| 2.2.2. assoc. professors: 0,0/0,0; | | | | |
| 2.2.3. lecturers: 0,0/0,0; | | | | |

| |
|--|
| 2.2.4. assistants: 0,0/0,0; |
| 2.2.5. total: 0,0/0,0; |
| 2.3. Persons referred to in 2.1 and 2.2 with scientific degrees, total: 0,0. |

Annex 4 to the
Regulation on the Procedure for the Comparative
Expert Evaluation of Research and Development
Activities Carried out by Universities and Research
Institutes

(Form of the Declaration of Interests of an Expert of the Research Council of Lithuania)

**DECLARATION OF INTERESTS OF AN EXPERT OF THE RESEARCH COUNCIL OF
LITHUANIA**

[dd] [month] 20

(place)

I, _____,
(First Name, Surname)

being a candidate of the Research Council of Lithuania (hereinafter - the Council) for the membership in the Expert Panel for Comparative Expert Assessment of Research and Development Activities Carried out by Universities and Research Institutes (hereinafter - the Expert Assessment), which shall assess the group(s) of the units of assessment (*name(s) of the group(s) of the units of assessment assigned*) hereby note that:

(tick the correct answers)

I have not had any employment relationship with Lithuanian higher education and research institutions during the reporting period of the expert assessment (years 20[xx]-20[xx]) and up to the date of signing the agreement with the Council;

I have not had any joint scientific publications with researchers from Lithuanian higher education and research institutions during the reporting period of the expert assessment (years 20[xx]-20[xx]);

I disclose and confirm that on the date of signing this declaration, there are no circumstances or situations which, to my knowledge, create or could potentially create a conflict of interest between me and Lithuanian higher education and research institutions and their researchers, except for the following circumstances:

(describe the situation(s) which gives rise to a conflict of interest or could potentially give rise to a conflict of interest, or state that there are no circumstances giving rise to a conflict of interest)

I undertake to inform the Council in writing without delay should new circumstances relating to a potential conflict of interest arise or become apparent.

I am informed that if the Council receives reasonable information that I may be involved in a conflict of interest situation and have not informed and/or recused myself from decision-making in relation to the assessment of the subject concerned, the Council may suspend my participation in the assessment process and carry out an investigation into a possible breach of the declaration of interests.

I certify that the information I have provided is correct.

(Signature)

(Full name of the candidate expert)

(Individual Expert Assessment Form for the Unit of Assessment)

INDIVIDUAL EXPERT ASSESSMENT OF THE UNIT OF ASSESSMENT

Type of the institution _____

Name of the institution _____

Official abbreviation of the name of the institution _____

Name of the Institution's unit of assessment (hereinafter – UoA) _____

Abbreviation of the UoA name _____

The scope of the UoA (FTE(SD)) _____

Research area(s) _____

Research field(s) _____

Group(s) of the research fields within the research area(s) _____

Quality of the R&D activities of the UoA within the research field(s) (group(s) of research fields within the research area(s)):

Research field (group of research fields within the research area)

_____ Scope (FTE(SD)) _____

Score (points) _____

Reasoned justification of the score:

Economic and social impact of R&D activities of the UoA:

Score (points) _____

Reasoned justification of the score:

The development potential of R&D activities of the UoA:

Score (points) _____

Reasoned justification of the score:

Annex 6 to the
Regulation on the Procedure for the Comparative
Expert Evaluation of Research and Development
Activities Carried out by Universities and Research
Institutes

**(Form for the Summary of the Assessment Scores for the Unit of Assessment within the Unit of
Assessment Group)**

**SUMMARY OF THE ASSESSMENT SCORES FOR THE UNIT OF ASSESSMENT WITHIN
THE UNIT OF ASSESSMENT GROUP**

| |
|---|
| 1. Details of the Unit of Assessment (hereinafter – the UoA) within the UoA group: |
| 1.1. Name of the institution; |
| 1.2. Name of the UoA of the Institution; |
| 1.3. Abbreviation of the name of the UoA; |
| 1.4. Scope of the UoA (SFTEs); |
| 1.5. Research area(s); |
| 1.6. Research field(s) and/or group(s) of the research fields within the research area(s); |
| 1.7. Scope of the research field(s) and/or group(s) of the research fields within the research area(s) (SFTEs). |

| |
|---|
| 2. Data on the score (points) of the UoA within the UoA group: |
| 2.1. Quality of the R&D activities of the UoA within the research field(s) and/or group(s) of research fields within the research area(s): 0–5 (with the precision of 0.5 point); |
| 2.2. Economic and social impact of R&D activities of the UoA: 0–5 (with the precision of 0.5 point); |
| 2.3. The development potential of R&D activities of the UoA: 0–5 (with the precision of 0.5 point). |

(Expert Assessment form for the Unit of Assessment)

EXPERT ASSESSMENT OF THE UNIT OF ASSESSMENT

Type of the institution _____

Name of the institution _____

Official abbreviation of the name of the institution _____

Name of the Institution's unit of assessment (hereinafter – UoA) _____

Abbreviation of the UoA name _____

The scope of the UoA (FTE(SD)) _____

Research area(s) _____

Research field(s) _____

Group(s) of the research fields within the research area(s) _____

Quality of the R&D activities of the UoA within the research field(s) (group(s) of research fields within the research area(s)):

Research field (group of research fields within the research area) _____

Scope (FTE(SD)) _____

Score (points) _____

Reasoned justification of the score:

Economic and social impact of R&D activities of the UoA:

Score (points) _____

Reasoned justification of the score:

The development potential of R&D activities of the UoA:

Score (points) _____

Reasoned justification of the score:

Recommendations for continuity and/or improvement of the activities of the UoA:

