

Internal Evaluation Strategy of National Institute of Mental Health for the years 2021 – 2024

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1 Introductory provisions

- (1) This document regulates the strategic settings and rules for the development of the internal evaluation of the research organisation – the National Institute of Mental Health (hereinafter referred to as "NIMH").
- (2) This document is based on the following legal standards, methodologies and internal regulations:
 1. Methodology for evaluating research organisations and evaluating programmes of special-purpose support for research, development and innovation (Methodology 2017+);
 2. The Concept of science and research at NIMH for the period 2019-21 (hereinafter referred to as the "Concept");
 3. Act No. 130/2002 Sb., on the support of research, experimental development and innovation from public funds (hereinafter referred to as the "Act");
 4. Act No. 218/2000 Sb., on budgetary rules and on the amendment of related acts;
 5. Guideline No. 11/2020 "Internal Evaluation System of NIMH employees".

2 Mission and core activities of NIMH

- (1) The main mission of the organisation is to provide scientific and research activities focused on mental illness and mental health.
- (2) NIMH is a state-subsidised organisation in the direct supervision of the Ministry of Health and a provider of health services in the sense of section 2/1) of Act No. 372/2011 Sb. on health services and conditions of their provision, as amended. At the same time NIMH serves as a reference research centre for mental health in the Czech Republic with international impact. The institute focuses on the research of neurobiological mechanisms leading to the development of the most serious mental disorders (schizophrenia, mood disorders, anxiety, sleep and cognitive disorders). The activities also include the development and testing of new diagnostic and therapeutic methods, research in the field of social psychiatry and demography, and technology transfer. The approach to problem solving is based on the interdependence of molecular biology methodologies, animal modeling, clinical research and testing, epidemiology, sociology and psychology. NIMH also provides standard and highly specialised institutional and outpatient care, is the clinical base of the 3rd Faculty of Medicine of Charles University and as the Department of Psychiatry and Medical Psychology of the 3rd Faculty of Medicine of Charles University provides undergraduate, postgraduate and lifelong education in both clinical fields (psychiatry, psychology) and in the field of neuroscience.

3 Purpose of strategic setting and development of NIMH's internal evaluation

- (1) The purpose of the introduction of internal evaluation of the organisation is to obtain information for the strategic management of NIMH, including obtaining details on the level and position of scientific and other professional work of NIMH in the international context. At the same time, the aim of the internal evaluation is to provide independent feedback to individual workplaces on the quality of their work up to the level of individual working groups.
- (2) The aim of the evaluation is to obtain correct and verifiable information on the outputs and results of the NIMH through national and international comparisons and to establish recommendations for their further development.
- (3) The purpose of the evaluation is to contribute to ensuring the quality of the results produced at the NIMH and to ensure the comparability of the results with other European research organisations and to contribute to their further improvement.
- (4) Evaluation according to Methodology 17+ evaluates not only the outputs of research organisations, but also the impacts of their activities and the outlook for development in the future. It recognises the different missions of individual types of research organisations, takes into account industry specificities and more significantly includes an informed and independent peer-review and national and international context in the evaluation process. The results contained in the Register of Information on Results (RIV) are included in the evaluation according to Methodology 17+. Furthermore, the results are then carried out annually into the RIV database, and the need to enter them correctly.
- (5) The rules of internal evaluation of RO correspond to the principles of evaluation of work performance of NIMH employees according to Guideline no. 11/2020 "Internal evaluation system of NIMH employees".
- (6) The output of the strategic setting of the internal evaluation of NIMH will be the "Report on the results of NIMH". The draft "Report" will be submitted once a year for discussion and approval by the NIMH management.

4 Internal evaluation strategy objectives of RO

- (1) The objective of the evaluation of RO and their results are determined by Acts No. 130/2002 Sb. and 218/2000 Sb. It is mainly the provision of institutional support of LCGRO in accordance with applicable regulations, obtaining information for the management of the system of research, development and innovation in the Czech Republic as a whole, information for fulfilling the tasks of providers for long-term management of RO by their management.
- (2) In accordance with the general objectives of the Concept, the objective of this strategy is to ensure the development of key activities and other activities leading to the establishment of a transparent, internal evaluation of the organisation.

NIMH achieves this mainly through the following activities:

- By developing a uniform evaluation methodology to serve as a tool for evaluating the employees of the Scientific and Research Division (both researchers and senior researchers);
- Implementation of an employee evaluation system based on a uniform evaluation methodology;
- Ensuring an annual evaluation and evaluation of employees, the evaluation will evaluate not only publishing activities, but also project preparation, popularization of science, publishing activities, pedagogical activities or other relevant activities;
- Promoting publishing in prestigious scientific peer-reviewed journals and promoting cooperation with foreign authors;
- Implementation of information and results-based R&D awareness campaigns;
- Supporting the outputs of applied research incl. their commercialisation;
- Supporting publishing activities by publishing both periodical and non-periodical publications;
- Promoting for the active participation of employees in domestic and international conferences of a scientific and popular scientific nature;
- Organisation of conferences and seminars for the presentation of the results of science and research;
- Supporting the presentation of the results of science and research in discipline and interdisciplinary exhibitions and expositions;
- Keeping the information on the NIMH website up-to-date and clear;
- Ensuring presentations of individual specialised workplaces;
- Support of pedagogical activities and other related activities;
- Supporting the involvement of NIMH in ongoing, or the creation of newly accredited, subjects or disciplines in the field of neuropsychology;
- Promoting cooperation with domestic and foreign institutions;
- Promoting membership in national and international associations;
- Promoting employee membership in councils, commissions, etc.

5 Methodology of internal evaluation of RO according to Methodology 2017+

- (1) According to this methodology, those ROs that are registered in the Register of Public Research Institutions led by the Ministry of Education, Youth and Sports (hereinafter referred to as the "MEYS") may be evaluated, and at the same time those results of the ROs, which will be included in the Register of Information on Results (hereinafter referred to as "RIV") can also be evaluated.
- (2) The provider evaluates all ROs that:
 - a) are listed in the public administration information system "List of research organisations", the administrator of which is the MEYS pursuant to section 33a of Act No. 130/2002 Sb., on the date of issuing the call of the RO for the submission of supporting documents for the provision of institutional support for LCGRO (hereinafter referred to as "supporting documents") with specified requirements;
 - b) fall within the competence of the institutional support provider concerned in accordance with section 4(2)(a) of Act No. 130/2002 Sb.
 - c) submit all supporting documents complete and within the deadline; in the case of identified deficiencies in the documents, those ROs are evaluated which, at the request of the provider, remedy the deficiencies within 14 calendar days.

- (3) According to the Methodology 2017+, the evaluation cycle is five years. After full implementation of the methodology, i.e. in 2022, the provider first evaluates the fulfillment of the previous long-term concept of the development of RO in 2018 - 2022 and, using the results of this evaluation, subsequently evaluates the LCGRO for the next five years. The results of the initial and final evaluation shall be published by the provider.
- (4) The evaluation procedure has been chosen in accordance with the documents referred to in Article 1 of the Introductory provisions. For the evaluation of NIMH as RO and their research programs (RP), a basic methodological concept based on the Common Framework for Quality Assessment of RO according to Methodology 2017+ will be applied in five basic evaluation modules
 - M1 – Quality of selected results,
 - M2 – Research performance,
 - M3 – Social relevance,
 - M4 – Viability
 - M5 – Strategy and concepts.
- (5) These modules are common to all types (segments) of research organisations, but the relative importance of each module will vary according to the status and mission of the research organisation.
- (6) Modules 1 and 2 are evaluated at central level (RVVI), while modules 3 to 5 are evaluated at the level of the providers, i.e. MH in the case of NIMH.
- (7) The evaluation according to Methodology 17+ combines three basic tools:
 - bibliometric analysis;
 - peer-review (assessment by evaluators in the form of remote reviews and expert panel);
 - on-site visit.
- (8) Periodicity of evaluation:
 - In complete form (i.e. evaluation in all modules), the evaluation according to Methodology 17+ will be repeated every 5 years. The first full evaluation will take place in 2020;
 - In the meantime, annual RVVI monitoring will take place (modules 1 and 2).
- (9) The output of the complete evaluation in all modules once every 5 years will be the scaling of research organisations on the A-D scale according to their quality.

6 Detailed description of evaluation according to modules 1 - 5

MODULE 1 – Quality of selected results

The aim of this module is to motivate the RO to quality research in international comparison. Another goal is motivation for research with high potential for applying results in practice. The principle of evaluation is the assessment of selected results by an expert panel in terms of their quality, originality and significance compared to the international level. A limited number of selected results are evaluated and assessed in two distinct categories:

- contribution to knowledge in the fields concerned – in particular for the results of basic research;

- social relevance or importance for society and, where appropriate, its impacts (economic or otherwise describable contribution of society) – especially for applied research.

Only the results of the RO referred to in RIV may be included in the evaluation. The selection of results for evaluation shall be performed by individual RO. The selected results are applied to either of the two categories mentioned above at their discretion, and the result can only be entered once for the institution in the evaluation and only in one category (one result cannot be entered in both categories). At the same time, they indicate the field and subfield of the result according to the OECD classification (Frascati Manual) and keywords; for the purpose of assessing the results of applied research or other specific symptoms (e.g. CZ-NACE, priority areas/sub-areas of National priorities for oriented research, experimental development and innovation, etc.). The evaluation in a given year shall include the results and outputs applied for the five years preceding the year.

The number of submitted results is based on the size of the organisation. The 'size' criterion is used for the amount of institutional support provided for the LCGRO in the previous period. ". At the same time, the so-called 'minimum number of results submitted' is given in order to ensure at least a number of results for the evaluation of the institution that provide a framework insight into the quality of its production over the last five years (interval is determined, inter alia, by the applicable law). The number of submitted results is based on the following principles:

- The minimum number of 10 submitted results for one RO is selected from the results applied in the past 5 years. It is recommended to transmit the results in proportions corresponding to the internal structure of the RO with respect to the research functional units. Those ROs that have achieved fewer results than the set minimum number are not excluded from the evaluation if they explain this fact.
- If the RO, in the year for which the results are submitted to the evaluation, is the recipient of institutional support for LCGRO higher than CZK 10 million, it supplies an additional 1 result for each additional (started) CZK 10 million of support with the obligation to submit results in proportions corresponding to internal structure of the RO (with regard to research functional units).
- For remote review evaluations, the results are selected by the RO, which is responsible for what results will make available for evaluation. The concept of research functional units typically refers to the segments of universities and CAS. Research functional units can be research institutes, organisational units of the faculty type, or groups of faculties or institutes. At NIMH, individual research programmes are considered as research functional units (hereinafter referred to as "RP"). The RO states the relative representation of individual research functional units in the volume of selected results and provides a justification of this ratio with regard to the organisational division of the RO, e.g. in relation to the internal redistribution of LCGRO.

MODULE 2 – Research performance

Overall research performance is a multidimensional category and includes productivity, quality and competitiveness in the field of research and development. All these factors are necessary for the proper functioning of RO, be they scientific research organizations or research organisations that deal mainly with applied research and development.

The monitored indicators will be:

- Bibliometric data that will cover the complete production of RO results in individual fields for the evaluated period. The source will be international databases in those fields where the majority of results are published in international journals.
- In fields where the outputs are mainly books and journal outputs not obtained in international databases, as well as for the results of applied research and development, the main source will be the Information System of Research, experimental Development and Innovation (hereinafter "IS RDI").
- In many fields it is necessary to consider work with many co-authors. This problem will not be solved mechanically by determining the mathematical contribution of individual authors (RO) to the result.
- Volumes and structure of funds raised for RDI.
- Number and composition of employees.
- Processing of further quantitative analyses using prevailing statistical procedures of descriptive statistics.
- Quantitative indicators and analyses for applied research.

MODULE 3 – Social relevance

Module 3 is particularly important for the ROs that perform applied RDI and are directly used by the public sector, industrial sectors or other ROs within this module, the degree of positive impacts of RDI and their results on society and citizens will be evaluated. Social relevance will be related to the results of applied research, which are of immediate importance for the field of economics, state and public administration, as well as for the field of cultural policy. This module will also assess the results of basic research that affects individuals and society indirectly (indirect impact). In particular, the relevance and current need for research focus, the methods proposed and used, and the societal importance of the research as a whole must be taken into account.

This module is based on the assessment of parameters that monitor in particular:

- transfer of results into practice;
- cooperation with the application sphere;
- activities for the transfer of knowledge and technology to non-academic entities;
- impact on the quality of life of society and citizens
- economic benefits;
- social benefits,
- contribution to the formation of national and cultural identity.

Other parameters include the involvement of students in research activities:

- selective lectures and seminars related to research of particular RO;
- work experience of students
- quality of education and employment of doctoral students;
- international and domestic prestigious awards for scientific contribution;
- mobility of researchers between ROs and the industrial and services sector, resp. users of research results;
- the importance of RO in terms of regional development; popularisation and feedback.

The elaboration of the method of evaluation of applied research will continue at the level of a complete evaluation for the level of the provider/founder, who will complete their own evaluation methodologies in accordance with M17+ and the appendix as stated. There is the scope for including a number of other criteria within modules (especially Module 3) used in complete evaluations in five-year cycles, whose impact on the RO scaling is key.

MODULE 4 – Viability

Module 4 will assess the quality of management and internal processes of RO in the following areas:

- Research environment – organisational scheme, quality of research management, personnel policy, structure and development of human resources, equipment and organisation of research infrastructure.
- International and national cooperation – membership in the global and national research community, community activities.
- External funding – international and national cooperation and presentation of research and cooperation, internships of students and young researchers abroad, prestige of research, participation in the activities of the professional community, success in obtaining projects or co-financing (third-party funding). Successfully completed grant projects including final evaluation with the possibility of requesting assessments. Position of RO according to international indicators and statistics.

Basic structure of costs and revenues in each year of the evaluated period – all grant and programme projects supported by public funds from national sources, EU sources and other foreign sources in the evaluated period, of which the workplace is the beneficiary or other beneficiary resp. co-beneficiary, contractual research, collaborative research and technology transfer, external financing (special-purpose and contractual), licence revenue, spin-offs, proceeds from the sale of patents and licensing agreements.

Evaluation tools:

- statistics and indicators at national and international level;
- an inventory of all grant and programme projects supported by public funds from national, EU and foreign sources in the evaluated period of which the workplace is the beneficiary or co-beneficiary;
- self-evaluation reports, annual reports and other similar documents specified for the given segment,
- international awards given to evaluated RO,
- on-site visits of panels (tool 3), especially in the segment of universities and CAS.

MODULE 5 – Strategy and concept

The high-quality formulation of the research strategy of RO lays the basis for future developments and its quality is a critical factor for expert panels. The materiality of this criterion applies to all ROs. The strategy and concept include monitoring the parameters in the following areas: adequacy and quality of the research strategy, the organisation's mission (purpose, strategic direction), concepts (steps on how the mission was implemented), implementation of the concept, vision for the next period, link to the fulfilment of the provider/founder concept, possible link to the achievement of higher strategic objectives and measures resulting from the existing documents at national and transnational level.

Evaluation tools:

- fulfilment of concepts,
- adequacy and feasibility of the research strategy;
- self-assessment report (for the universities and CAS segment) resp. report on the fulfilment of the long-term concept of the development of RO (for the departmental segment of ROs),
- ongoing monitoring, e.g. mid-term evaluation

7 List of abbreviations

CAS	Czech Academy of Sciences
LCGRO	Long term Conceptual Growth of Research Organisations
EU	European Union
MEYS	Ministry of Education, Youth and Sports
MH	Ministry of Health of the Czech Republic
NIMH	National Institute of Mental Health
RDI	Research, Development and Innovation system
RO	Research Organisation
RP	Research Programme

In Klecany, date: 15 -03- 2021

Approved:



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