



EVALUATION MANUAL

CREATION / AFFILIATION OF UNIVERSITY INSTITUTES OF ARAGON

Approved by CECA on 25 January, 2010

[Updated on 7 January, 2015]

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1 INTRODUCTION

Law 5/2005, of 14 June, on the Regulation of the University System of Aragon, establishes in its article 15 that the creation, suppression and ascription of the University Research Institutes corresponds to the Government of Aragon, and which, in any case, must have the previous report of the Aragon Agency for Quality Assurance and Strategic Foresight in Higher Education Likewise, the aforementioned article, in section 3, provides that URIs will be submitted to a report by ACPUA every 5 years. In the case of negative report, the Government may agree the suppression of the Institute or grant a period to amend the errors or insufficiencies detected.”

On 20 October, 2006, the "Process for the issuance of the report prior to the creation or affiliation of the University Research Institutes" was approved by the Governing Board of the ACPUA (subject to the non-existence at that time of the Evaluation, Certification and Accreditation Commission (CECA) that, when it is created, will have to elaborate a new proposal), establishing that in the case of applications currently in process of approval that have already been evaluated by organisms equivalent to the ACPUA, the Agency will constitute a Technical Commission that will review, that both the content of the report presented, and the evaluation criteria applied by said organisation, are adapted to the standards defined by the Agency.

Once it is constituted, the CECA begins to work on the proposal of a new "Procedure for the issuance of the report prior to the creation or affiliation of the University Research Institutes", approving it at its meeting on 25 January, 2010. This procedure was published in BOA by Resolution of 5 July, 2010 of the Directorate of the Aragon Agency for Quality Assurance and Strategic Foresight in Higher Education.

Subsequently, and with the important objective of adapting the operation of the bodies of the Agency to the provisions of European standards and guidelines on external quality assurance (ESG), the Agency's Evaluation, Certification and Accreditation Commission approved, at its meeting of 20 February, 2014, the creation of the Subcommittee on Evaluation of Research, which by virtue of what is established in article 17.1.c) of the Statutes of the entity has exercised for all purposes the technical functions of evaluation, accreditation and certification related to research activities. This Subcommittee was established on 12 May, 2014.

Likewise, identical reasons for adapting the operation of the Agency to the European criteria and guidelines on external quality assurance (ESG) suggest introducing a deadline for the eventual challenge of the members of the panel of experts that evaluate the request.

Therefore, it is necessary to update the "Procedure for the issuance of a report prior to the creation or affiliation of the University Research Institutes" in relation to these points, the procedure was published again in BOA by RESOLUTION on 7 January, 2015, of the Management of the Aragon Agency for Quality Assurance and Strategic Foresight in Higher Education.

This manual unfolds and develops the current "Procedure for the issuance of a report prior to the creation or affiliation of the University Research Institutes".

2 EVALUATION PROCESSES

2.1 LAUNCH

The Aragon Agency for Quality Assurance and Strategic Foresight in Higher Education will initiate the procedure to issue the evaluation report at the request of the General Directorate of the Department responsible for university education of the Government of Aragon.

The request for a report prior to the creation or affiliation of a University Research Institute must be accompanied by the following documentation in electronic format:

2.2 APPLICATION FROM THE UNIVERSITY

The application for evaluation will be accompanied by the following documentation:

- Creation or affiliation report.
- Agreement of the Social Council of each proposing University regarding the creation or affiliation of the institute.
- Report of the Governing Council of each proposing University regarding the creation or affiliation of the institute.
- If it concerns the affiliation of a centre to a University as a University Research Institute, the corresponding affiliation agreement must be provided.
- Any other documentation that the applicant University considers of interest.

The ACPUA will review the content of the submitted documentation. In case of detecting any deficiency in the same, this will be communicated to the University that will have ten working days for the correction.

2.3 ASSESSMENT BODIES

The ACPUA will evaluate the application through the Submission of Evaluation of the Investigation (SEI) and of a experts evaluation panel in the subject named by the CECA specifically for each request.

The panel will consist of three experts of recognised prestige in the field whose main activity is carried out outside the Autonomous Community of Aragon and who meet the requirements defined in the "Procedure for selecting ACPUA Assessors" published on the Agency's website.

The operating regulations and the composition of the SEI are published on the ACPUA website.

Both the members of the SEI and the panel of evaluators will sign the Agency's code of ethics.

2.4 APPOINTMENT AND CHALLENGE OF THE PANEL OF EVALUATORS

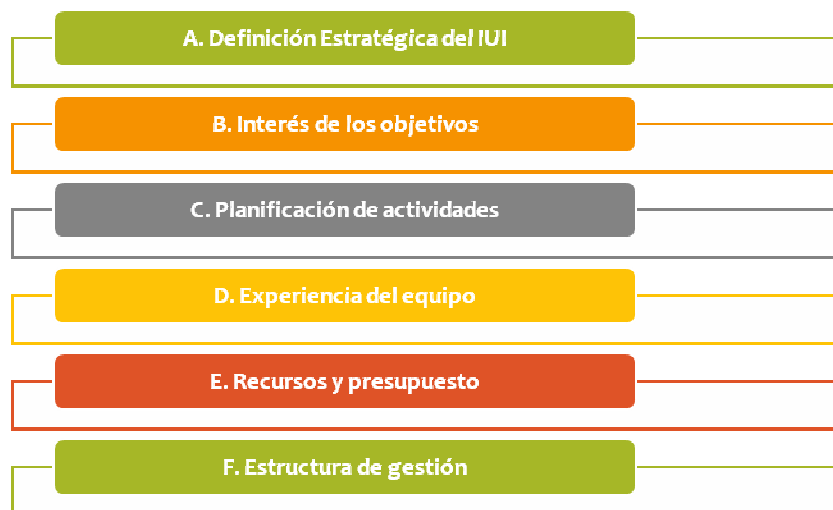
The ACPUA Evaluation, Certification and Accreditation Commission will appoint the members of the evaluation panel. Said appointment will be communicated to the centre, which will have ten working days to challenge the panel.

After the challenging period, the composition of the panel will be made public through the Agency's website.

In case the evaluators do not have experience in the evaluation of research institutes, neither with ACPUA nor with other assessment agencies, they will be provided with the necessary training in the evaluation protocol to apply.

2.5 EVALUATION

The panel of evaluators will study the documentation presented by the URI proceeding to its evaluation following the criteria established by the Evaluation, Certification and Accreditation Commission (see Annex I).



2.6 ISSUANCE OF THE REPORT PROPOSAL

The Research Evaluation Sub-Commission, based on the evaluation carried out by the panel of experts, will issue the corresponding **Evaluation Report Proposal for the creation of URI**.

This proposal will be sent to the university that will have fifteen calendar days for the presentation of allegations.

2.7 ISSUANCE OF THE EVALUATION REPORT

Once the allegations have been analysed, if there are any, the Research Evaluation Sub-commission will issue the **Evaluation Report for the creation of URI** that will be sent to the

department of the Government of Aragon that is responsible for university education and to the university.

The final report issued by the Research Evaluation Sub-committee must be motivated and conclusive, and must always include a list of strengths, weaknesses and the recommendations/opportunities for improvement.

Finally, the Agency will proceed to publish the results of the evaluation on its website.

The result of the report will be expressed in terms of:

- **FAVOURABLE:** the creation or affiliation of the University Research Institute is recommended.
- **FAVOURABLE WITH RESERVES:** some deficiencies are observed, rectifiable, with respect to the creation or affiliation of the University Research Institute.
- **NEGATIVE:** the creation or affiliation of the University Research Institute is not recommended.

2.8 META-EVALUATION OF THE PROCESS

ACPUA will close the evaluation process by gathering information about the satisfaction of those involved in the process.

Furthermore, the performance of the experts will be evaluated.

The information collected and the results of the evaluation by the experts will be sent to the CECA to close the meta-evaluation process, proposing, if necessary, improvements on the evaluation procedure.

DOCUMENT REVISION HISTORY

Rev. no.	Date	Modifications introduced
0	25/01/2010	Original edition.
1	07/01/2015	Update (The performance of the SEI is introduced).

ANNEX I: EVALUATION PROTOCOL

The guidelines for the creation or affiliation of University Research Institutes are as follows:



Each of the above guidelines will be evaluated according to the following scale:

A: Satisfactory

B: Sufficient

C: Insufficient

D: Absence of information (therefore, it cannot be assessed)

A. STRATEGIC DEFINITION OF THE URI

The report must present the justification for the creation or affiliation of the University Institute supported by the following items:

- **Strategic definition of the profile of the University Institute:** the report must capture the strategic approach that is intended for the URI, the scientific organisation and the research areas and defined lines of work.
- **Advantages that it would produce and analysis of the possible synergic effect of the creation of the URI:**
 - For the scientific, technical or artistic field at national, European and international level.
 - For the applicant Entity/s and for the Region.
 - For the research team.
- **Analysis of its non-overlapping with similar activities developed by other URI or Departments.**
- **Interest and importance that the URI results may have for possible beneficiaries:**
 - Scientific, technological, artistic applications, etc. of this project.
 - Impact on the scientific and technological development of Aragon

In general, institutes that focus on lines of development of novel and quality topics that can open new important research channels should be favourably assessed. Ambitious and risky attempts, which represent a major challenge for the research team should be prioritised, with logical prudence.

The inclusion in the report of elements that allow contrasting the proposal within the international scope should be valued (list of citations of other Spanish or foreign teams that contribute to manifest the interest and actuality of the approach) as well as the foreseeable national and international projection of the institute.

B. INTEREST OF THE OBJECTIVES

The objectives must be clearly stated and well-founded in all its terms. They should serve to display the strategic definition of the institute defined in the previous point.

The coherence in the objectives must also be subject to valuation: it is not possible to consider as a solid project the mere juxtaposition of objectives, attributed to diverse members of the team, and weakly linked to each other.

The assessment of the difficulty of the proposed objectives must be realistic. A certain degree of risk is acceptable in a well-founded project, especially if the research team has demonstrated its solvency in previous activities.

C. PLANNING OF ACTIVITIES

The activities proposed in the report must be aligned with the objectives described, in such a way that they contribute to achieving them. The necessary resources must be specified to undertake them, the time horizon, the feasibility of the same, etc. The concretion and viability of the proposed scientific, technical or artistic programming will be assessed, and if this represents the dominant activity of the URI.

In the case of having planned teaching activities, the link between these activities and the research activities will be valued.

The proposed activities must have sufficient authority to justify the need to create the institute.

The planning of activities aimed at achieving technology transfer to the productive sector and to society in general and to foster relations with the business world will be considered positive.

D. TEAM EXPERIENCE

A fundamental guarantee for the project to develop properly is the previous experience of the team that submits the proposal. But it should also be considered that the quality of a team is not determinant by itself (for example, in the case of consolidated teams that present simply "continuist" report, or sloppily written). There must be a reasonable margin for newly formed teams, and those that address a new line of research, which should not be negatively assessed as long as it is in line with the objectives of the URI.

Therefore, the following should be evaluated:

- Scientific, technical or artistic quality of the research team.
- Adaptation of their scientific experience to the objectives of the University Research Institute (URI).
- Adaptation of the size of the team to the objectives of the URI.
- Multidisciplinary nature of the team (if it meets the objectives of the URI).
- Participation in research projects obtained in competitive calls. R & D contracts developed by the team components.
- Previous scientific collaborations between the components of the scientific team.
- Capacity of the team to establish links with potential users.

E. MANAGEMENT STRUCTURE

The institute must have a decentralised management structure that is independent of the functional organisation of the University. This structure may be unique for each institute or may contain elements common to several of the recognised Institutes, and it must in any case allow sufficient autonomy of operation, decentralising their decision-making and administrative management.

F. RESOURCES AND BUDGET

The feasibility of the proposal is based on the scientific solvency of the team, on the nature of the approach (the objectives defined could be excessively ambitious or excessively poor for the team), in the planning of activities and in the adaptation of the resources planned to undertake the project.

The first factors have been evaluated in the previous points, so this criterion focuses on the analysis of the expected resources. The following should be valued:

- The resources (material, personal and infrastructures), both own and institutional shared by the institute, as well as the external resources made available to the institute by collaborating entities, valuing the suitability of the same for the purpose of the institute and the planned activities.
- Economic and financial feasibility: the University Research Institute must demonstrate its capacity to obtain external resources that allow the correct development of its program of activities and objectives. The estimated budget of income and expenses of the URI for the next five years will be evaluated.

ANNEX II: CREATION OR AFFILIATION REPORT

Below, the **template report model** is presented, with the minimum information that each section must contain. However, the application may be accompanied by the documentation deemed appropriate to specify or complete the data completed in each section of this model.

The status of the University of Zaragoza establishes, with respect to the University Research Institutes in its Article 19 "Creation, modification or suppression" section 3, the content of the justifying report necessary to submit the creation proposal to the Governing Council. The content of this report collects much of the information described below as necessary to submit the project to the evaluation by the ACPUA. Therefore, the promoters of the project may choose to present said report, including an annex in which they extend those sections requested below that have not been included in the original report.

Once the documentation has been received at the ACPUA, as the procedure indicates, it will be reviewed, and the project promoters may be asked to correct any aspect that may have been insufficiently documented.

REPORT MODEL ACCOMPANYING THE APPLICATION OF UNIVERSITY RESEARCH INSTITUTES

1.- IDENTIFICATION DATA OF THE INSTITUTE

- **Name of the Institute**
- **Director (or promoter researcher)**
- **Contact information**

2.- JUSTIFICATION OF ITS CREATION

The report must present the justification for the creation or affiliation of the University Institute supported by the following items:

- **Strategic definition of the profile of the University Research Institute:** the report must capture the strategic approach that is intended for the URI, the scientific organisation and the research areas and defined lines of work.
- **Advantages that it would produce and analysis of the possible synergic effect of the creation of the URI:**
 - ✓ For the scientific, technical or artistic field at national, European and international level.
 - ✓ For the applicant Entity/s and for the Region.
 - ✓ For the research team.
- **Analysis of its non-overlapping with similar activities developed by other URI or Departments.**
- **Interest and importance that the URI results may have for possible beneficiaries:**
 - ✓ Scientific, technological, artistic applications, etc. of this project.
 - ✓ Impact on the scientific and technological development of Aragon

3.- OBJECTIVES:

The report will include the definition of the institute's objectives exposed in a clear and well-founded way. The objectives must display the strategic definition of the Institute defined in the previous point. The objectives must display the strategic definition of the institute defined in the previous point.

4.- PLANNING OF THE ACTIVITIES PLANNED FOR THE NEXT FIVE YEARS

The report will include the proposal of activities to be carried out by the institute in a time horizon of 5 years. The activities proposed in the report must be in line with the objectives described, in such a way that they contribute to achieving them. The institute can specify the necessary resources to undertake them, the time horizon, the feasibility of the same, etc. The institute can define teaching activities related to research activities.

Detail, if any, the activities aimed at achieving technology transfer to the productive sector and to society in general and to foster relations with the business world.

The activities can be presented in a calendar that facilitates the visualisation of their temporality.

AÑO 2007											
Enero	Febrero	Marzo	Abril	Mayo	Junio	Julio	Agosto	Septiembre	Octubre	Noviembre	Diciembre
Actividad 2: Beca Investigación (Año 1/3)											
Actividad 1: Estancia 2 investigadores				Actividad 4: Zaragoza Numérica (Bianual)	Actividad 3: Jornadas Zaragoza-PAU de Matemáticas (Bianual)				Actividad 6: Congreso Hispano-Francés de Matemáticas	Actividad 5: Workshop "Phenomena in high dimensions"	

AÑO 2008											
Enero	Febrero	Marzo	Abril	Mayo	Junio	Julio	Agosto	Septiembre	Octubre	Noviembre	Diciembre
Actividad 2: Beca Investigación (Año 2/3)											
Actividad 1: Estancia 2 investigadores			Actividad 7: Coloquio interdisciplinar (bianual)							Actividad 8: Workshop Matemáticas -agua	

AÑO 2009											
Enero	Febrero	Marzo	Abril	Mayo	Junio	Julio	Agosto	Septiembre	Octubre	Noviembre	Diciembre
Actividad 2: Beca Investigación (Año 3/3)											
Actividad 1: Estancia 2 investigadores				Actividad 4: Zaragoza Numérica (Bianual)	Actividad 3: Jornadas Zaragoza-PAU de Matemáticas (Bianual)						

AÑO 2010											
Enero	Febrero	Marzo	Abril	Mayo	Junio	Julio	Agosto	Septiembre	Octubre	Noviembre	Diciembre
Actividad 2: Beca Investigación (Año 1/3)											
Actividad 1: Estancia 2 investigadores			Actividad 7: Coloquio interdisciplinar (bianual)								

AÑO 2011											
Enero	Febrero	Marzo	Abril	Mayo	Junio	Julio	Agosto	Septiembre	Octubre	Noviembre	Diciembre
Actividad 2: Beca Investigación (Año 1/3)											
Actividad 1: Estancia 2 investigadores				Actividad 4: Zaragoza Numérica (Bianual)	Actividad 3: Jornadas Zaragoza-PAU de Matemáticas (Bianual)						

This calendar will be accompanied by a detailed description of each of the activities.

Activity	Activity 5: Workshop on "Phenomena in high dimensions"		
Objectives	-Objective 1:-- -Objective 2:-- -Objective 3:--		
Estimated date	October 2007	Duration:	1 day
Place	Jaca	Person responsible:	Institute Director
Num. of people involved	The assistance of 3 researchers assigned to the institute and 6 international researcher guests is expected.		

5.- HUMAN RESOURCES

5.1. ORGANISATIONAL STRUCTURE

A detailed description of the proposed structure and the personnel that will be part of the new institute and that will support the activities to be developed by it, must be provided. This point is considered of great importance since it constitutes one of the requisites

demanded by the DGA to grant the category of University Research Institute eligible for funding.

"DECREE 183/2006, of 5 September, of the Government of Aragon:

.... Organisational structure: For the recognition as a University Research Institute eligible for funding it will be essential that, without prejudice to the legal nature that they possess and their organic dependence on the University of Zaragoza, the Institutes are provided with a decentralised management structure independent of the functional organisation of said University. *This structure may be unique to each Institute or may contain elements common to several of the recognised Institutes, and it must in any case allow sufficient autonomy of operation, decentralizing the decision-making and administrative management of the same.* " "

The following detail should be included:

- a. Staff research (number and curriculum vitae)
- b. Staff assigned: official and contracted professors (number and curriculum vitae)
- c. Research interns: predoctoral and postdoctoral (number and curriculum vitae)
- d. Technicians and laboratory staff or similar (n° and curriculum vitae)
- e. Administration and Services Staff (number)

Type* a, b, c, d, e, according to the previous list.

Type*	Surnames, Name	Doctor (y/n)	Department	Area	Institution	Weekly dedication**	Six-year periods*

**Weekly dedication: weekly time dedication commitment in the institute.

*** Number of recognized six-year research periods of the personnel included in sections a, b and c.

5.1. TEAM EXPERIENCE

The list of the research groups integrated in the institute will be provided (if applicable), as well as the CVs of the researchers. The description of their main projects / research lines will be included.

6.- MATERIAL RESOURCES

Include the description of the material resources that the institute has, both its own and institutional shared by the institute and external, made available to it by collaborating entities (both duly justified). The material resources must be sufficient to ensure the performance of the planned activities. Otherwise, the report will include the description of the necessary material resources, the economic valuation of the same as well as the temporal and economic forecast for its acquisition (that is, if the institute needs to acquire, for example, a new laboratory, the description of the same must be presented, the dates on which it is expected to have the new facilities and the necessary financing to build/rent it including the entity/organization/program origin of the necessary financing).

7.- ECONOMIC FEASIBILITY

Include an estimated budget of income and expenses for the next five years. All the expenses and expected income items will be identified, projecting them within a time horizon of five years.

The external resources will be specified in the income in a generic way (for example, subsidy of the DGA associated with DECREE 183/2006, of 5 September, 2006) and the own resources will be specified in more detail. In this case, the amount that each project commits (of the corresponding overhead) will be quantified.

ITEMS		YEARS				
		2007	2008	2009	2010	2011
EXPENSES						
Start-up investment	Adaptation of premises	0,00 €	0,00 €	0,00 €	0,00 €	0,00 €
	Computing – hardware	0,00 €	0,00 €	0,00 €	0,00 €	0,00 €
	Computing – software	0,00 €	0,00 €	0,00 €	0,00 €	0,00 €
	Books	0,00 €	0,00 €	0,00 €	0,00 €	0,00 €
	Other teaching material	0,00 €	0,00 €	0,00 €	0,00 €	0,00 €
	Other	0,00 €	0,00 €	0,00 €	0,00 €	0,00 €
Own resources	Administration Staff	24.000,00 €	24.000,00 €	24.000,00 €	24.000,00 €	24.000,00 €
Maintenance	Cleaning	0,00 €	0,00 €	0,00 €	0,00 €	0,00 €
	Safety	0,00 €	0,00 €	0,00 €	0,00 €	0,00 €
Other expenses	Plan of Activities	6.000,00 €	6.000,00 €	6.000,00 €	6.000,00 €	6.000,00 €
	Consumables	2.000,00 €	2.000,00 €	2.000,00 €	2.000,00 €	2.000,00 €
	Inventory material (computing, library...)	4.000,00 €	4.000,00 €	4.000,00 €	4.000,00 €	4.000,00 €
	Research grants (3 simultaneously)	40.000,00 €	40.000,00 €	40.000,00 €	40.000,00 €	40.000,00 €
	Visitor researchers	12.000,00 €	12.000,00 €	12.000,00 €	12.000,00 €	12.000,00 €
	Dissemination	2.000,00 €	2.000,00 €	2.000,00 €	2.000,00 €	2.000,00 €
TOTAL EXPENSES		90.000,00 €	90.000,00 €	90.000,00 €	90.000,00 €	90.000,00 €
INCOMES						
Own	University contribution	24.000,00 €	24.000,00 €	24.000,00 €	24.000,00 €	24.000,00 €
	Contribution And project overhead	31.500,00 €	31.500,00 €	31.500,00 €	31.500,00 €	31.500,00 €
	Concurrency to research tenders	18.000,00 €	18.000,00 €	18.000,00 €	18.000,00 €	18.000,00 €
Other	Contracts programme with institutions and companies	9.000,00 €	9.000,00 €	9.000,00 €	9.000,00 €	9.000,00 €
	Subsidy from the DGA to research groups	9.000,00 €	9.000,00 €	9.000,00 €	9.000,00 €	9.000,00 €
TOTAL INCOME		91.500,00 €	91.500,00 €	91.500,00 €	91.500,00 €	91.500,00 €
RESULTS						
TOTAL EXPENSES		90.000,00 €	90.000,00 €	90.000,00 €	90.000,00 €	90.000,00 €
TOTAL INCOME		91.500,00 €	91.500,00 €	91.500,00 €	91.500,00 €	91.500,00 €
		1.500,00 €	1.500,00 €	1.500,00 €	1.500,00 €	1.500,00 €

8.- OTHER ASPECTS

In this section the promoters of the institute may include the information they consider of interest to complete the application.