

TU Delft

Research Assessments Protocol 2021-2027

Introduction

The Strategy Evaluation Protocol (SEP) 2021-2027 describes the methods used to assess the research conducted at Dutch universities every six years, as well as the aims of these assessments. In addition to the SEP, this 'TU Delft Research Assessments Protocol' describes how research assessments at TU Delft are performed. This document serves as a guideline for all actors involved. It includes the specifics of TU Delft research assessments, step-by-step tables for the assessments, and the assessment planning 2021-2027.

At TU Delft

FULLTERM as well as **MIDTERM** assessments are performed. All assessments are:

- Stand-alone assessments
- Performed on the department level
- Conducted on the basis of a Plan of Approach, approved by the Executive Board
- On-site visits, unless the Executive Board decides otherwise

In **FULLTERM** assessments:

- The department chairs meet with the Executive Board at the start of the process, in the presence of the dean, to discuss the departments' aims and strategy
- The SWOT analysis in the departmental self-assessment is based on a qualitative comparison with another institute, including an international work visit
- The Faculty receives a 50% reimbursement of the research assessment costs on condition of approval of the Plan of Approach by the Executive Board

The research assessments are an integral part of the Planning & Evaluation cycle. This means:

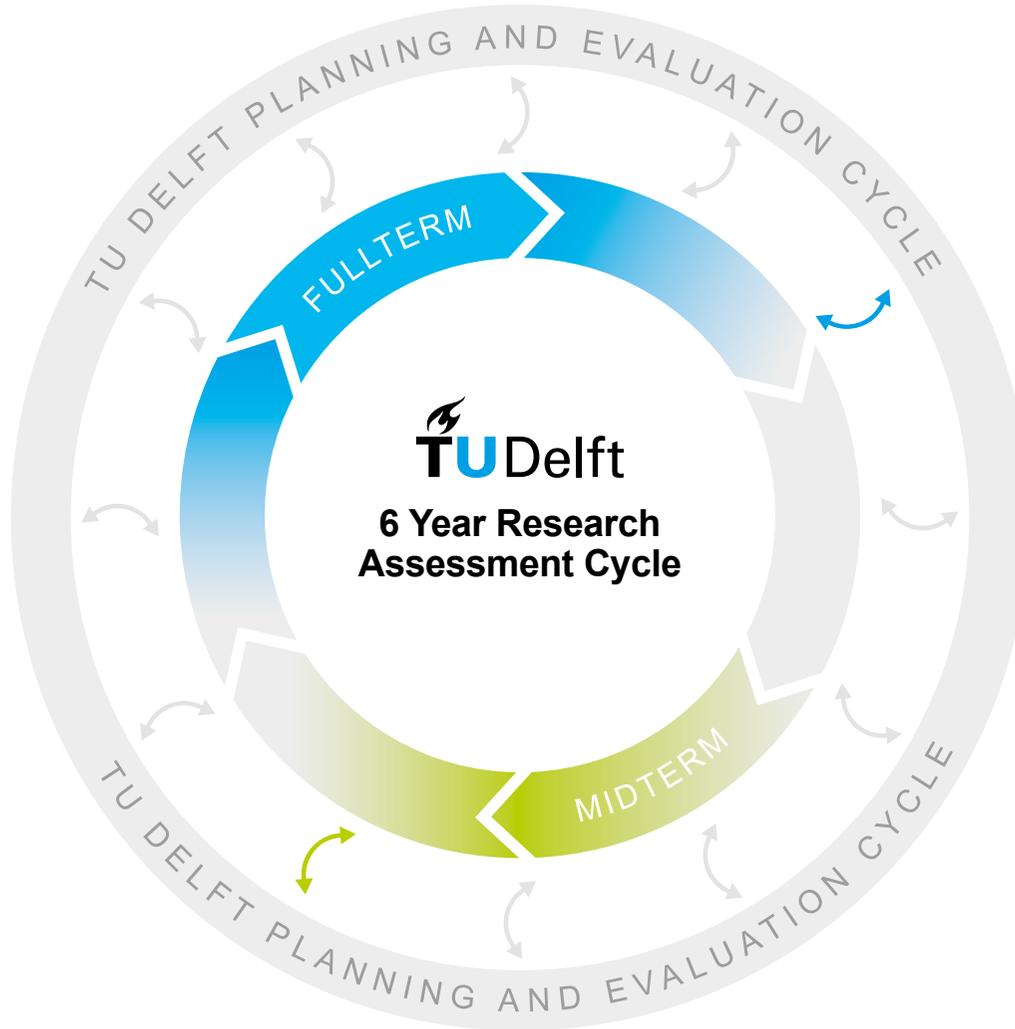
- The assessment preparations, outcomes, and follow-up are discussed biannually, during the spring and fall meetings
- Where relevant, the outcomes and follow-up of the assessments are embedded in the executive work agreements

The Executive Board:

- Reports on the research assessments in the TU Delft Annual Report
- Biannually discusses the research assessments with the deans and with the Supervisory Board
- Ensures that periodically, an overview of the research assessment outcomes per specific topic is shared with the relevant support services

FULLTERM steps
(clickable)

- ✓ STRATEGY DISCUSSED
- ✓ PLAN OF APPROACH APPROVED
- ✓ COMMITTEE APPOINTED
- ✓ SELF-ASSESSMENT SHARED
- ✓ SITE VISIT PERFORMED
- ✓ DOCUMENTS PUBLISHED
- ✓ FOLLOW-UP IN EXECUTIVE WORK AGREEMENTS



MIDTERM steps
(clickable)

- PLAN OF APPROACH APPROVED ✓
- FOLLOW-UP IN EXECUTIVE WORK AGREEMENTS ✓

Step-by-step tables for the **FULLTERM** and **MIDTERM** assessments

FULLTERM ASSESSMENT

STEP	WHAT	HOW	WHEN	SEP
1.	Hold kickoff meeting	<ul style="list-style-type: none"> • SD contacts the FS concerned to announce the research assessment and to schedule a meeting. • The FS, in consultation with the dean and the DCs, selects a coordinator for the research assessment, who acts as contact person for SD, e.g. via three weekly meetings. • SD meets with the coordinator, and if relevant other colleagues, to discuss the procedure and start the process. 	Months 1-2	Chapters 2 and 3
2.	Hold research strategy meeting	<ul style="list-style-type: none"> • SD and the coordinator schedule a research strategy meeting between the relevant DC's and the EB, in the presence of the dean. SD drafts an agenda and discusses it with the coordinator and the DCs. During the research strategy meeting: <ul style="list-style-type: none"> » Each DC presents and discusses their self-formulated aims and aspirations, and their strategy to attain them; » They thereby discuss how their strategy relates to the Faculty and university strategy; and how they differentiate themselves from other institutes in the field; » The coordinator proposes the planning for the assessment process. • The outcomes of this meeting form the starting point for the PoA as well as the self-assessment. 	Months 2-4	Chapters 2 & Appendix B
3.	Propose Plan of Approach	<ul style="list-style-type: none"> • The coordinator, in consultation with the DCs and the dean, formulates a draft PoA, based on the TU Delft template, and sends it to SD. • SD and the coordinator meet to discuss the draft PoA. • The coordinator ensures that feedback on the draft is incorporated and sends the PoA via the dean to the EB for approval. 	Months 4-5	Chapters 2 and 3
4.	Accept Plan of Approach	<ul style="list-style-type: none"> • The EB takes a decision on the PoA and informs the dean in writing. • Approval of the PoA is a prerequisite for the Faculty to receive a 50% reimbursement of the research assessment costs, to be reimbursed in the calendar year of the assessment. • SD formally informs the AC secretary that they are selected, and shares the PoA with them. • SD shares the PoA with the contact person at the Finance directorate. 	Months 5-6	Chapters 2 and 3
5.	Hold planning meeting	<ul style="list-style-type: none"> • SD schedules a planning meeting with the coordinator and the AC secretary. During that meeting, the PoA and the roles & responsibilities are discussed. 	Months 6-7	Chapter 2
6.	Do qualitative comparison	<ul style="list-style-type: none"> • The DCs and/or other relevant colleagues visit the institution(s) selected in the PoA for a qualitative comparison, and use this as input for the self-assessment, in particular the departmental SWOT analysis. 	Months 6-19	Chapter 4
7.	Draw up self-assessment	<ul style="list-style-type: none"> • The coordinator shares a proposal for the table of contents of the self-assessment for feedback with SD. The coordinator and SD meet to discuss the proposal. • The DCs and other relevant colleagues write a draft of the self-assessment. • The coordinator shares drafts of the self-assessment for feedback with SD and ensures that feedback on the drafts is incorporated. • The coordinator shares the final self-assessment, and if relevant any other documentation, with the EB and SD. 	Months 6-21	Chapters 2,4 & Appendix D,E

STEP	WHAT	HOW	WHEN	SEP
8.	Compose assessment committee	<ul style="list-style-type: none"> The DCs suggest, via the dean, (a) candidate(s) with a strong academic track record for the position of AC chair to the EB, substantiated with a motivation. The EB informs the dean about the preferred candidate(s) and asks the dean to informally enquire after their availability on behalf of the EB, and keep SD informed. Once the AC chair has been selected, the DCs suggest, via the dean and in consultation with the AC chair, at least two candidates per AC position (as described in the PoA), accompanied by a motivation. At least 30% of the candidates should be female. The EB informs the dean about the preferred candidate(s) and asks the dean to informally inquire after their availability on behalf of the EB, and keep SD informed. Once the AC composition is finalized, all direct contact between the AC members and the departments, coordinator and dean should be avoided, other than contact between the coordinator and AC secretary regarding the practicalities of the site visit. SD informs the AC secretary about the final AC composition. The EB requests all AC members and the secretary to return a signed version of the SIC. SD collects all SIC, shares them with the AC secretary and discusses any AC members' potential (semblance of) conflicts of interest with the secretary, DC's, dean and/or EB, and takes action where relevant. 	Months 6-12	Chapters 2,3 & Appendix G,H
9.	Formulate Terms of Reference	<ul style="list-style-type: none"> SD sends the draft ToR to the coordinator. The dean, DC's and/or the EB formulate, if desired, one or more additional questions for the AC. SD and the coordinator discuss the draft ToR. The ToR is finalized by SD and signed by the EB. 	Months 6-12	Chapters 2,3 & Appendix C
10.	Appoint assessment committee	<ul style="list-style-type: none"> The EB sends the AC members and secretary an appointment letter, as well as the ToR for the assessment, and the SEP 2021-2027. SD shares the appointment letters and ToR with the coordinator. The EB schedules a meeting with the AC chair and secretary, together with SD. During that meeting, the ToR and any other relevant matters are discussed, including the site visit. 	Months 13-14	Chapters 2,3 & Appendix G
11.	Organize site visit	<ul style="list-style-type: none"> The EB asks the AC secretary and coordinator to draft a program for the site visit, in consultation with the AC and SD: <ul style="list-style-type: none"> » The programme should include an interview with the Rector Magnificus, as well as with a broad range of employees. » A formal welcome by the RM, the evening before the site visit, is optional; otherwise, the committee can meet amongst themselves. » The AC holds private meetings whenever relevant, including a kick-off in which at least are discussed: the ToR; the SIC of all AC members and the secretary; the assessment procedure; the writing procedure of the assessment report; the AC's preliminary findings based on the written material. » At the end of the site visit, the AC presents a brief, general summary of the AC's findings to the EB, dean, DC's, SD and other relevant colleagues. The provisional findings are not published. The AC secretary shares the final program with SD and the EB, and organizes the logistical and other practical matters together with the coordinator. The AC secretary shares the final program with all AC members. The coordinator ensures that all relevant colleagues are informed about and prepared for the site visit. 	Months 13-24	Chapters 2,4 & Appendix F
12.	Share self-assessment	<ul style="list-style-type: none"> The EB sends the self-assessment report, and other relevant documentation, to the AC. If necessary, the AC can request additional information of the departments via the EB and SD. 	Months 22-23	Chapters 2,3 & Appendix C
13.	Perform site visit	<ul style="list-style-type: none"> The AC conducts the site visit, according to the programme. 	Month 25	Chapters 2,4,5 & Appendix F

STEP	WHAT	HOW	WHEN	SEP
14.	Write assessment report	<ul style="list-style-type: none"> The AC writes a draft assessment report and sends it to the EB for a check on factual inaccuracies. The EB shares the draft report with the dean, DCs and coordinator. If such inaccuracies are detected, the EB informs the AC, and the AC sees that they are corrected. The AC sends the assessment report to the EB for approval. 	Months 26-29	Chapters 2,4,5 & Appendix I
15.	Accept assessment report	<ul style="list-style-type: none"> The EB accepts the assessment report if it adheres to the ToR, and thereby discharges the AC members and secretary of their duty. The EB formally shares the accepted assessment report with the dean and the coordinator, and asks for a combined written response from the DCs and the dean. The EB writes a position document. SD shares it for information with the dean and coordinator. The departments apply for reimbursement for the assessment costs in the calendar year of the site visit. 	Months 28-29	Chapters 2,3,5
16.	Publish documents	<ul style="list-style-type: none"> The EB publishes the departmental summaries of the self-assessment as well as the case studies, the assessment report and the EB's position document on the TU Delft website and informs the coordinator. 	Months 29-30	Chapters 2 and 3
17.	Write response	<ul style="list-style-type: none"> The DCs send via the dean a written response to the assessment report to the EB, that includes follow-up actions regarding the AC recommendations to be taken by the involved departments and at the Faculty level. 	Months 29-30	Chapters 2,3 and 4
18.	Accept response	<ul style="list-style-type: none"> The EB responds, and asks the dean where relevant to incorporate the assessment outcomes in the executive work agreements between the Executive Board and the Faculty. 	Months 30-31	Chapters 2 and 3

MIDTERM ASSESSMENT

STEP	WHAT	HOW	WHEN	SEP
A.	Startup midterm	<ul style="list-style-type: none"> • As part of the ongoing discussions about the assessment outcomes, the EB requests the dean to oversee a midterm assessment of the departments, in order to assess: <ul style="list-style-type: none"> » The state of affairs regarding the recommendations of the AC; » The development of the strategy and accompanying indicators for the following assessment. • The FS, in consultation with the dean and the DCs, selects a coordinator for the midterm assessment. 	Months 50-51	Chapters 1 and 3
B.	Formulate midterm Plan of Approach	<ul style="list-style-type: none"> • The coordinator, in consultation with the DCs and the dean, formulates a draft PoA for the midterm based on the TU Delft template, and sends it to SD. • SD and the coordinator meet to discuss the draft PoA. • The coordinator ensures that feedback on the draft is incorporated and sends the PoA via the dean to the EB for approval. 	Months 51-52	Chapters 1 and 3
C.	Accept midterm Plan of Approach	<ul style="list-style-type: none"> • The EB takes a decision on the midterm PoA and informs the dean in writing. 	Months 52-53	Chapters 1 and 3
D.	Perform midterm	<ul style="list-style-type: none"> • The dean oversees the execution of the midterm assessment, including at least the following steps: <ul style="list-style-type: none"> » The dean sends appointment letters to the MC members and secretary, as well as the ToR for the midterm assessment, after they have returned their signed SIC; » The DCs, together with other relevant colleagues write a self-assessment; and organize the midterm site visit. » The MC writes a midterm report and sends the draft report to the dean and the DCs to check for factual inaccuracies. If such inaccuracies are detected, the MC sees that they are corrected. • The dean accepts the midterm report if it adheres to the ToR, and thereby discharges the MC members and secretary of their duty. 	Months 53-66	Chapters 1 and 3
E.	Share midterm report and Faculty response	<ul style="list-style-type: none"> • The dean sends the midterm report as well a written response by the DCs, that includes follow-up actions regarding the MC recommendations to be taken by the involved departments and at the Faculty level, to the EB. 	Months 66-67	Chapters 1 and 3
F.	Accept midterm Faculty response	<ul style="list-style-type: none"> • The EB responds to the dean in writing, and asks to propose how to incorporate the midterm outcomes where relevant in the executive work agreements between the Executive Board and the Faculty. 	Months 67-68	Chapters 1 and 3

Terminology list

The below table provides an overview of the terminology used in the step-by-step tables for the **FULLTERM** and **MIDTERM** assessments.

TERM	MEANING
EB	Portfolio holder research assessments of the Executive Board (i.e. the Rector Magnificus)
SD	Portfolio holder(s) research assessments of the corporate office of Strategic Development
Dean	Dean of the Faculty that the departments to be assessed are a part of
Coordinator	Selected contact person representing the departments to be assessed
DC(s)	Department chair(s)
FS	Secretary of the Faculty that the departments to be assessed are a part of
AC	Members and secretary of the assessment committee
MC	Members and secretary of the midterm committee
PoA	Plan of Approach
ToR	Terms of Reference
SIC	Statement(s) of Impartiality and Confidentiality

Planning

The below planning indicates the years in which the site visits of TU Delft **FULLTERM** assessments (step 13) and the **MIDTERM** assessments (step D) are to take place. The column 'when' in the step-by-step tables shows in which month(s) each step is to be conducted, related to the planning of the site visit. E.g. step 13 is to be conducted in month 25, and step 1 in month 1-2, which means that the process starts two years prior to the site visit. The exact moment depends on the planning of the assessment, to be detailed in the Plan of Approach.

PLANNING SEP 2021-2027		
FIELD	FULLTERM	MIDTERM
Chemical Engineering (AS)	2021 (fullterm 2015-20)	2024 (midterm 2021-23)
Geosciences (CEG)	2021 (fullterm 2015-20)	2024 (midterm 2021-23)
Computer Science and Engineering (EEMCS)	2021 (fullterm 2015-20)	2024 (midterm 2021-23)
Applied Mathematics (EEMCS)	2021 (fullterm 2015-20)	2024 (midterm 2021-23)
Architecture and the Built Environment (ABE)	2022 (fullterm 2016-21)	2025 (midterm 2022-24)
Technology, Policy and Management (TPM)	2022 (fullterm 2016-21)	2025 (midterm 2022-24)
Applied Physics (AS)	2022 (fullterm 2016-21)	2025 (midterm 2022-24)
Civil Engineering (CEG)	2023 (fullterm 2017-22)	2026 (midterm 2023-25)
Electrical Engineering (EEMCS)	2023 (fullterm 2017-22)	2026 (midterm 2023-25)
Industrial Design Engineering (IO)	2025 (fullterm 2019-24)	2022 (midterm 2019-21)
Mechanical, Maritime and Materials Engineering (3mE)	2025 (fullterm 2019-24)	2022 (midterm 2019-21)
Aerospace Engineering (AE)	2026 (fullterm 2020-25)	2023 (midterm 2020-22)