



CALL FOR PARTICIPATION Evaluation of Research Quality 2015-2019 (VQR 2015-2019)

**Decree n. 1
January 3rd, 2020**

THE PRESIDENT

HAVING REGARD TO article 2, paragraphs 138 and 139, of Decree-Law no. 262 of October 3rd, 2006 converted, with amendments, by Law no. 286 November 24, 2006 establishing the Italian National Agency for the evaluation of Universities and Research Institutes;

HAVING REGARD TO the Presidential Decree no. 76 of February 1st, 2010 “Regolamento concernente la struttura ed il funzionamento dell’Agenzia nazionale di valutazione del sistema universitario e della ricerca (ANVUR)”, adopted in accordance to article 2, paragraph 140, of the Decree-Law no. 262 of October 3rd, 2006 converted, with amendments, by Law no. 286 of November 24, 2006;

HAVING REGARD TO article 3, paragraph 1, point i-bis) of Presidential Decree 76/2010, as amended by article 1, paragraph 339 of the Law no. 232 of December 11, 2016 (Budget law 2017), which defines that ANVUR: *carries out, on a five-year basis, the evaluation of the quality of research of universities and research institutes, on the basis of a specific decree by the Ministry of Education, University and Research, issued by March 31st of the year following the five-year period subject to evaluation, and aimed at identifying the guidelines concerning the conduct of the same evaluation and the economic resources necessary for this purpose. The evaluation of the quality of research must be completed by 31st December of the year following the issue of the decree referred to in the previous sentence;*

HAVING REGARD TO the Official Guidelines of the Ministry of Education, University and Research protocol no. 39 of May 14, 2018, concerning the 2017 updates to the National Anti-corruption Plan – University section (*Piano nazionale anticorruzione – Sezione Università*), approved with the ANAC Resolution no. 1208 of November 22, 2017;

HAVING REGARD TO Law no. 241 of August 7, 1990, and its subsequent modifications, called “Nuove norme in materia di procedimento amministrativo e di diritto di accesso ai documenti amministrativi”;

HAVING REGARD TO the legislative decree no. 39 of February 12, 1993 and its subsequent modifications, regarding the rules on automated information systems of public administrations;

HAVING REGARD TO the legislative decree no. 196 of June 30, 2003, the European Regulation 2016/679 and the legislative decree no. 101 of August 10, 2018, on the protection of personal data and on the free movement of such data;

HAVING REGARD TO the Decree-Law of August 8, 2013, no. 91, as amended by Law no. 112 of October 7, 2013 “Disposizioni urgenti per la tutela, la valorizzazione e il rilancio dei beni e delle attività culturali e del turismo” and, in particular, to Article 4 “Disposizioni urgenti per favorire lo sviluppo delle biblioteche e degli archivi e per la promozione della recitazione e della lettura”.



HAVING REGARD TO the decree by the Ministry of Education, University and Research no. 738 of August 8, 2019 concerning “Criteri di ripartizione del Fondo di Finanziamento Ordinario (FFO) delle Università Statali e dei Consorzi interuniversitari per l’anno 2019” and in particular to article 8 which defines a co-funding for ANVUR of € 1.000.000, as part of the resources needed for the 2015-2019 evaluation of research quality exercise (VQR 2015-2019);

HAVING REGARD TO the decree by the Ministry of Education, University and Research no. 1110 of November 29, 2019 which defines guidelines for evaluation of research quality of universities and research institutes for the period 2015-2019 and, in particular, to article 2, paragraph 1, stating that:

The evaluation process referred to in this decree is launched with a specific call issued by the President of ANVUR within 45 days of the issue of this decree and ends, with the publication of the results, with the deadline on July 31st, 2021. The Call establishes, among other things, the timetable for carrying out the evaluation;

HAVING REGARD TO ANVUR’s provisional budget for the period 2020-2022 approved by the Board of Directors in the session of December 17, 2019;

HAVING REGARD TO the Resolution of the ANVUR Board of Directors of January 3rd, 2020 concerning “Bando VQR 2015–2019”.

DECREES

Article 1 General provisions

1. For the purposes of this Call:
 - a) MIUR stands for the Ministry of Education, University and Research;
 - b) ANVUR stands for the Italian National Agency for the evaluation of Universities and Research Institutes;
 - c) University refers to any Italian state and non-state University including Schools for Advanced Studies;
 - d) EPR stands for Public Research Institute supervised by the MIUR;
 - e) Other Institutions refer to any public and private Institutions performing research activities;
 - f) Institutions refer to Universities, EPRs and Other Institutions;
 - g) MIUR Guidelines refer to the decree of the Minister of Education, University and Research no. 1110, November 29, 2019;
 - h) VQR stands for the Italian Evaluation of Research Quality for the period 2015-2019;
 - i) GEV stands for the Groups of experts for evaluation;
 - j) Scientific Areas correspond to the 17 Areas referred to in article 3, paragraph 1 of this Call;
 - k) Interdisciplinary Area refers to the Area relating to the evaluation of Third Mission activities referred to in Article 9.

Article 2 Subject-matter

1. This Call contains the procedures for carrying out the VQR.
2. The VQR is aimed at evaluating the results of the scientific research of the Institutions and related internal subdivisions (Departments and similar structures), also taking into account the scientific area. The Institutions assessed are:



- a) Universities;
 - b) EPR;
 - c) Other Institutions upon request and following an understanding with ANVUR for the coverage of the evaluation expenses.
3. The exercise is also aimed at evaluating Third Mission activities carried out by the Institutions and their internal divisions, whose impact occurred in the period 2015-2019.

Article 3 VQR and GEV structure

1. The VQR is divided into 17 scientific areas and 1 interdisciplinary area regarding Third mission, as listed in the following Table.

Table 1. Assessment Areas

Area	Name
Area 1	Mathematics and Computer Sciences
Area 2	Physics
Area 3	Chemistry
Area 4	Earth Sciences
Area 5	Biology
Area 6	Medicine
Area 7	Agricultural and veterinary sciences
Area 8a	Architecture
Area 8b	Civil Engineering
Area 9	Industrial and Information Engineering
Area 10	Ancient History, Philology, Literature and Art History
Area 11a	History, Philosophy, Pedagogy
Area 11b	Psychology
Area 12	Law
Area 13a	Economics and Statistics
Area 13b	Economics and Management
Area 14	Political and Social Sciences
Interdisciplinary	Impact/Third mission

2. For each of the 17 scientific areas, ANVUR appoints, following a specific draw, a GEV, composed of highly qualified Italian and foreign scholars chosen on the basis of international experience in the field of research and its evaluation. To this end, ANVUR publishes by January 31st2020, in the "VQR 2015-2019" section of its website, a specific Call containing the requirements to participate in the GEV, also taking into account the provisions of the following paragraphs.

3. GEV candidates are Italian and foreign researchers (preferably with knowledge of the Italian language) in service on the expiry date of the Call referred to in paragraph 2 or in any case on 30/09/2018, in an Italian or foreign University or research institute (EPR), with at least 3 scientific publications with ISBN / ISSN / ISMN or indexed in WOS or Scopus in the period 1st January 2015 – 31st December 2019. According to art. 3, paragraph 2 of the MIUR Guidelines, GEV candidates should also possess at least two of the following qualifications, as declared under their own responsibility, in the application:
- a) Full professor, Research Director of research institutes or equivalent for foreign scholar or experts working in a university or research institute in a Country member of the Organisation for Economic Co-operation and Development (OECD);
 - b) Associate Professor or researcher working in a University or EPR, in possess of the national scientific qualification for the role of full professor;
 - c) Awarded with the Research programme “Rita Levi Montalcini” or SIR;
 - d) Membership in the lists for the role of National Scientific Habilitation Commissioner;
 - e) For Full and Associate Professors: Director of a PhD Programme in Italy or equivalent abroad for at least one cycle, starting from the XXXI cycle;
 - f) For Associate Professors: Phd academic staff for four cycles in an Italian University or equivalent abroad, starting from the XXXI cycle;
 - g) For University and EPR researchers: Phd academic staff for two cycles in an Italian University or equivalent abroad, starting from the XXXI cycle;
 - h) Principal Investigator (PI) o local coordinator for a PRIN project in the period 2009- 2019;
 - i) Principal Investigator (PI) for ERC or Marie Curie or FP7 or Horizon 2020 project in the period 2009- 2019;
 - j) Local coordinator for a ERC or FP7 or Horizon 2020 project in the period 2009- 2019;
 - k) Member of international assessment committees for ERC projects;
 - l) Member of international assessment committees in exercises with purposes similar to the VQR (for instance REF, ERA, ANECA, HCERES).
4. Those who meet the requirements and qualifications referred to in paragraph 3, verified by the ANVUR Board of Directors, will be included in the list of candidates that can be selected as a member of the GEV of the relevant scientific area. Each GEV, where possible, is formed in compliance with what is indicated below:
- a) at least 25% of the GEV members are Full Professors;
 - b) at least 20% of the GEV members are, respectively, Associate Professors and Researchers in an Italian University;
 - c) up to a maximum of 30% of the GEV members are researchers working in a EPR, considering the estimate of the number of research outputs for researchers working in EPRs in the scientific area compared to researchers working in universities;
 - d) at least 5% of the GEV members are researchers working in foreign universities or research institutes;
 - e) at least one member:
 - i. for each Academic Recruitment Field (SC);
 - ii. for each Academic Discipline (SSD) with at least 50 members;
 - f) without prejudice to the presence of at least one member for each SC and for each SSD with at least 50 members, the remaining part of the GEV is composed, where possible, of a number of members proportional to the size of the SC;
 - g) at least one third of each genre is represented;
 - h) no more than 20% of GEV members participated in the GEVs for VQR 2011-14.



5. In order to comply with the provisions of paragraph 4, a special drawing procedure will be defined, approved by the ANVUR Board of Directors, with procedures similar to those envisaged for the drawing of the National Scientific Habilitation committees and made public on the ANVUR website by February 21st, 2020.
6. Whereas the drawing does not allow the definition of GEVs as indicated in paragraph 4, ANVUR can integrate them by identifying non-candidate researchers, in any case in possession of the defined requirements and qualifications.
7. For the purposes of assessing Third mission activities, taking into account the provisions of Article 3, paragraph 5 of the MIUR Guidelines, an interdisciplinary GEV is also appointed. The GEV is composed as follows:
 - a) half by experts, chosen by ANVUR Board of Directors, who applied to the Public call referred to in paragraph 2 and who, in addition to the requirements and qualifications referred to in paragraph 3, are also in possession of an experience of at least 5 years of work in a technology transfer office or in an office of valorisation of research results in the society and/or managerial position regarding Third Mission activities, or with at least 3 years' experience with specific appointments in areas related to technology transfer or in any case to the valorisation of research results in the society;
 - b) half by experts, chosen by ANVUR Board of Directors, who applied to a specific Public call, to be issued by January 31, 2020, and who are in possession of at least one of the following qualifications:
 - i. Manager of public or private administrations, expert in the areas of valorisation of research results in the society;
 - ii. National and international expert, engaged in the dissemination of the open science approach with respect to research data and results;
 - iii. Expert from independent national authorities or international organizations involved in programs for impact assessment of activities of valorisation of research results in the society;
 - iv. Responsible for structured collaboration programs between companies and/or public administrations and research institutions and /or open innovation programs, with at least 3 years of experience;
 - v. President or director of incubators connected to research institutions, with at least 3 years of experience;
 - vi. President/CEO/partner of asset management companies or investment companies/funds, with documented collaboration activities with research institutions;
 - vii. President or director of foundations operating in the field of valorisation of research results, with at least 3 years of experience;
 - viii. President or director of structures (e.g. science or technology parks, museums, 'science centres') operating in the field of valorisation of research results, with at least 3 years of experience;
 - ix. President or director of associations/bodies operating in the field of valorisation of research results (e.g. NETVAL, PNI, UIBM).
8. In any case, no more than 20% of the members of the interdisciplinary GEV may have already participated in the GEVs for VQR 2011-14.
9. GEV membership is incompatible with the following offices:



- a) Rector and Director General of the University;
 - b) Head of Department or equivalent structure;
 - c) President and Director of EPR;
 - d) President and Director of different institutions;
 - e) Member of the Board of Directors of ANVUR after 09/30/2018.
10. GEV members shall undertake to comply with the provisions of the Legislative Decree no. 101, August 10, 2018, concerning personal data protection as well as the free movement of such data, and of the ANVUR Code of Ethics, approved by the Board of Directors on 15 October 2014 and available at https://www.anvur.it/wp-content/uploads/2014/10/Codice_etico_Anvur2014.pdf, guaranteeing absolute confidentiality in the various stages of the evaluation process and in processing all personal data in the exercise of their functions.
11. GEV members, also taking into account the Guidelines of the Ministry of Education, University and Research no. 39, of 14/05/2018 concerning the 2017 update to the National Anti-Corruption Plan - University section, must not be, in a situation of conflict of interest, even potential, with respect to the authors of the research outputs they have assessed and the academic staff of reference of the case studies. Such a conflict exists in the following situations:
- a) relationship within the fourth degree;
 - b) affinity;
 - c) marriage, civil union, or cohabitation *more uxorio*;
 - d) affiliation to the same institution;
 - e) participation in the same research projects during the evaluation period 2015-2019;
 - f) extracurricular professional connection;
 - g) all further hypotheses referred to in Article 51 of the Italian Code of Civil Procedure.
12. Without prejudice to the provisions of the previous paragraph, members of the interdisciplinary GEV shall not be in a situation of conflict of interest, even potential, due to the following situations, referred to the institutions that submit the case studies they assessed:
- a) participation in the intervention on which the case study under assessment is based;
 - b) participation in other evaluation activities of the case study submitted also for the purpose of funding.
13. In the cases mentioned in paragraphs 11 and 12, GEV members refrain from evaluating the research output or the case study for which a conflict of interest exists.
14. At the time of the appointment of the GEVs, ANVUR Board of Directors identifies the 18 Coordinators, by choosing them among the members.
15. For participation in the works and for the assessment of the research outputs, GEV members are granted the following all-inclusive economic treatment (except for reimbursement of expenses):
- a) GEV Coordinator = € 15.000 gross;
 - b) GEV Member = € 5.000 gross.
16. For the areas characterized by particular disciplinary heterogeneity and high number of research outputs to be assessed, sub-GEVs can be formed, following a motivated proposal from the GEV Coordinator and consequent approval by the ANVUR Board of Directors. Sub-GEV Coordinators may be awarded with an additional gross compensation determined by the Board of Directors in a maximum amount of € 5,000, and in any case within a maximum additional spending budget of € 10,000 for each GEV.

17. Each GEV is supported in its activity by no more than 2 assistant evaluators. The latter are entrusted with management functions and technical tasks throughout the entire evaluation exercise. The selection of these figures is carried out by ANVUR through a specific public Call, to be issued by January 31st, 2020.
18. The number of members for each GEV, depending on the amount of expected research outputs and on the respective area disciplinary heterogeneity, is detailed below (Table 2)

Table 2. Number of GEV members

Area	Name	Expert evaluators	Assistant evaluators
Area 1	Mathematics and Computer Sciences	29	1
Area 2	Physics	43	2
Area 3	Chemistry	31	1
Area 4	Earth Sciences	19	1
Area 5	Biology	49	2
Area 6	Medicine	80	2
Area 7	Agricultural and veterinary sciences	36	1
Area 8a	Architecture	17	1
Area 8b	Civil Engineering	15	1
Area 9	Industrial and Information Engineering	59	2
Area 10	Ancient History, Philology, Literature and Art History	56	2
Area 11a	History, Philosophy, Pedagogy	29	1
Area 11b	Psychology	12	1
Area 12	Law	39	1
Area 13a	Economics and Statistics	22	1
Area 13b	Economics and Management	18	1
Area 14	Political and Social Sciences	16	1
Interdisciplinary	Impact/Third mission	30	2
TOTAL		600	24

19. ANVUR Board of Directors reserves the right to:
- Replace GEV members as a consequence of:
 - member's resignation for justifiable reasons or in case of supervening incompatibility;
 - ongoing assessment on the progress of the evaluation process, after consultation with the GEV coordinator.
 - increase the number of GEV members reported in Table 2, by drawing on the list of eligible candidates, in response to specific needs related to the amount of research outputs or case studies submitted by Institutions.

Article 4 Researchers

- The research outputs of researchers belonging to the following categories are considered for evaluation:
 - Full professors, associate professors, researchers according to art. 24, paragraph 3, letters a) and b) of Law no. 240/2010, researchers holding a permanent position, adjunct professors with contracts provided by art. 1, paragraph 12, of Law no. 230/2005, and assistant professors affiliated to Universities;
 - Research directors, first researchers, researchers (both full and part-time) affiliated to EPR;
 - Technologist directors, first technologists and technologists (both full and part-time) involved in EPR's research activities;



- d) Professors and University researchers (both full and part-time) referred to in letter a), affiliated in EPR;
 - e) Researchers on other institutions whose profile is equivalent to the figures referred to in letters a) to d).
2. Without prejudice to paragraph 6, researchers are intended to belong to the institution they work for at the date of November 1st, 2019. Their research outputs are attributed to that institution regardless of the researchers' affiliation at the time of publication.
 3. Researchers are considered as affiliated to an EPR if officially entrusted with a research assignment – still in place at the date of November 1st, 2019 – for at least three years (not necessarily consecutive) within the period 2015-2019, provided that they have been assigned with a funding for research from the EPR, or that they participated in research projects financed by the EPR, or that they made use of the EPR's facilities.
 4. University researchers can be accredited, in addition to their University, by an EPR or another organization belonging to the category “other institutions”. EPR researchers can be accredited, in addition to their research institute, by a second institution among Universities, EPRs or “other institutions”.
 5. With regard to EPRs and “other institutions”, technologists, first technologists and technologist directors who mainly carry out administrative and/or support activities are not considered for determining the number of research outputs to be submitted. It is up to each EPR, when considering the researchers affiliated to the institution, to single out the technologists carrying out research activities.
 6. Research outputs associated with any researcher who, during the period 2015-2019, worked for an institution other than the one they belong to on November 1st, 2019, according to art. 6, paragraph 11 of Law 240/2010 or to art. 55, paragraph 1 of Legislative Decree 5/2012, are attributed exclusively to the institution in which they served for the largest period of time. Such institution is also required to verify the names of these researchers.

Article 5

Research outputs

1. Research outputs are considered for evaluation only if published for the first time during the period 2015-2019. In case of a double publication, first in electronic form and then in printed version, the date of the first publication is considered. An exception is made for those articles published electronically before 2015 and included in a journal issue published in the period 2015-2019. These outputs can be submitted for evaluation in the VQR 2015-2019, provided they have not been already evaluated in the VQR 2011-2014.
2. The following research outputs represent the complete set of outputs considered for evaluation. Each GEV can further detail or narrow down the list of outputs being eligible for evaluation on the basis of the scientific characteristics of each sector, by properly motivating their choices in the evaluation criteria report.
 - a) Scientific monographs and related outputs:
 1. Research monographs (including manuals, where not merely learning material; descriptive and grammars, scientific dictionaries);
 2. Concordance;
 3. Scientific commentaries;
 4. Critical editions (including critical editions of manuscripts);
 5. Critical editions of excavations;
 6. Editions of unpublished sources (only if including an introduction and a commentary);
 7. Book translations (subject to decision of the GEV, and only if the translation represents an interpretive work characterized by a critical approach on the part of the translator).

- b) Journal contributions, limited to:
 1. Journal article, which includes:
 - i. Article;
 - ii. Review;
 - iii. Letter;
 - iv. Short bibliographic review or short survey, limited to those sectors where they prove scientifically relevant (subject to decision of the GEV);
 - v. Forum contribution, on invitation by journal's editorial board;
 - vi. Critical edition of short texts.
 2. Comment on a court sentence.
 - c) Contributions in books:
 1. Book chapter or essay (including critical edition of short texts);
 2. Preface/Afterwords;
 3. Dictionary or encyclopaedia entry;
 4. Translation in a volume, limited to the scientific sectors where considered as scientifically relevant (subject to decision of the GEV);
 5. Sections of catalogues, repertoires, corpora.
 - d) Contributions in conference proceedings:
 1. Conference paper (in journals);
 2. Contributions in conference proceedings (in volumes).
 - e) Other scientific outputs (only in the presence of official information allowing identifying the authorship and the publication date). Research outputs that have been submitted for evaluation as Third mission activities shall not be resubmitted.
 1. Compositions;
 2. Drawings;
 3. Architecture projects;
 4. Design works;
 5. Performances (art, theatre, music);
 6. Exhibitions;
 7. Expo;
 8. Epigraphic and archeological works;
 9. Prototypes of artworks and related projects (including prototypes of devices of a technological interest and related projects);
 10. Databases and software programs;
 11. Thematic maps;
 12. Psychological tests;
 13. AV material.
 - f) Patents granted within the evaluation period (from 1/1/2015 to 31/12/2019). Research outputs that have been submitted for evaluation as Third mission activities shall not be resubmitted.
3. GEVs establish the relevant criteria to determine whether the following types of publications feature innovative contents, so as to make them eligible for evaluation:
- a) New edition and/or translation of works published before 2015;
 - b) Introduction and/or Afterword to new editions of works appeared before 2015.

4. The following outputs shall not be considered for evaluation:
- Learning material and textbooks;
 - Book review or bibliographic record of a single work, devoid of a critical analysis of the related literature;
 - Short dictionary or encyclopaedia entry with no original character;
 - Short comments on court sentences of an editorial nature and with no original character;
 - Short sections of catalogues with no proper scientific content.
5. Research outputs are submitted for evaluation by each institution. The maximum number of outputs that each institution can submit correspond to:
- For Universities: three times as many researchers work for the institution at the date of November 1st, 2019;
 - For EPRs and other institutions: three times as many researchers work for the institution at the date of November 1st, 2019, to which is added the number of research outputs corresponding to the number of researchers affiliated to the institution at that date.
6. In compliance with the maximum limits established in paragraph 5, each institution can optionally submit a lower number of products, by taking into account the amounts reported in Table 3.

Table 3. Number of research outputs “ordinarily” expected in case of specific assignments or particular situations (art. 4, paragraph 5 MIUR Guidelines)

Role	Duration of the assignment in the period 2015 - 2019	Number of outputs
<ul style="list-style-type: none"> University Rector President or Director of a Research Institute 	at least 24 months	1
<ul style="list-style-type: none"> Vice-rector, Head of Department, President of University School or Universities' sub-organisations Head of Department or corresponding Unit in EPRs Coordinator of the Unit responsible for the internal QA system (<i>Presidio della Qualità</i>) 	at least 24 months	2
Member of the National Scientific Habilitation Committee	at least 24 months	2
<ul style="list-style-type: none"> Type-A researchers, Type-B researchers, researchers holding a permanent position (University) Researcher or technologist (EPR) 	if the assignment began between 1/1/2016 and 31/12/2016	2
	if the assignment began between 1/1/2017 and 31/12/2018	1
	if the assignment began after 1/1/2019	0
Researcher who has taken a leave of absence, maternity leave, parental or sick leave.	equal to or longer than 5 months	2
	longer than 24 months	1
	longer than 48 months	0
Political or administrative office entailing a time off work	at least 24 months	1
Researcher being in a condition of severe impairment (under art. 3 of Law 118/1971 and art. 3 of Law 104/1992), such as to limit the scientific production and	at least 24 months	1

Role	Duration of the assignment in the period 2015 - 2019	Number of outputs
activity.		

7. The number of research outputs expected from each institution will be determined after the choice regarding the fruition of exemptions or reductions detailed in paragraph 6 is made explicit.
8. In compliance with the maximum and minimum limits established in paragraph 5 and 6, the maximum number of research outputs attributable to each University researcher is set at 4; that attributable to each researcher affiliated to a Research institute (EPR or other institutions) is set at 2. It should be noted that, in case of co-authorship, a researcher's name can also appear in research outputs associated to other researchers. Scientific monographs and related outputs can be double-counted on the institution's request.
9. For other institutions participating to VQR on a voluntary basis, ANVUR defines the researchers that can be accredited and the number of outputs that must be submitted, based on the activities carried out by the institution and taking into account the respective statutes and regulations.

Article 6

Submission and evaluation of research outputs

1. The institution submits the research outputs by taking into account the proposals made by the Department (or corresponding unit). The Department (or corresponding unit) selects the research outputs, also by considering the researchers' suggestions.
2. For University researchers who are also affiliated to an EPR or other institution, the associated output shall not be the same submitted by the University. It must also include the explicit mention of the researcher's affiliation to the institution or, in its absence, the explicit acknowledgment of the research funding or co-funding by the institution.
3. Multi-authored outputs can only be submitted by institutions to which at least a co-author belongs, provided that he or she made a significant contribution to the research output at issue. More particularly, the identification of the co-authors making a significant contribution is based on:
 - a) the description of the contribution of the co-author provided by the institution and reported in the specific section of Annex 1 (in areas 1, 2, 3, 4, 8a, 8b, 9, 10, 11a, 11b, 12, 13a, 13b and 14);
 - b) the position of the co-author's name in the list of authors as first, last or corresponding author (in areas 5, 6 and 7).
4. Research outputs co-authored by up to 5 researchers can be submitted:
 - a) overall by three institutions as a maximum (University or EPR), to which co-authors who have made a significant contribution to research are affiliated;
 - b) for Universities, only once per Department, and in any case no more than twice if the co-authors who have made a significant contribution to research belong to different Departments;
 - c) for EPRs, once per Department (or corresponding unit), and in any case no more than three times if the co-authors who have made a significant contribution to research belong to different Departments (or corresponding units).
5. Research outputs co-authored by 6 or more researchers, depending on the characteristics of the scientific areas, may be submitted (as a maximum) as many times as indicated in Table 4.

Table 4. Regulations for the submission of research outputs co-authored by 6 or more researchers

Area	Rule
Areas 1, 2 (excluding the Academic Disciplines FIS/01, FIS/04, FIS/07), 3, 4, 8a, 8b, 9, 10, 11a, 11b, 12, 13a, 13b, 14	The research output can be submitted, at the national level, by 5 institutions as a maximum (University or EPR), to which co-authors who have made a significant contribution to research are affiliated. In any case, it can be submitted by no more than 3 Departments (or corresponding units) belonging to the same institution. Since in these areas the position in the list of authors is generally not indicative of the author's contribution, the latter is evidenced by the Institution in Annex 1.
Area 2 (Academic Disciplines FIS/01, FIS/04, FIS/07)	The research output can be submitted, at the national level, by 15 institutions as a maximum (University or EPR), to which co-authors who have made a significant contribution to research are affiliated. In any case, it can be submitted by no more than 3 Departments (for Universities) and by no more than 4 corresponding units (for EPRs and other institutions). Since in these Academic Disciplines the position in the list of authors is generally not indicative of the author's contribution, the latter is evidenced by the Institution in Annex 1.
Areas 5, 6, 7	The research output can be submitted, at the national level, by 3 institutions as a maximum, and in any case by no more than 3 Departments (or corresponding units) belonging to the same institution, considering the affiliation of the co-author referred to as first author, last author or corresponding author. In case of co-first authors, co-last authors, or multiple corresponding authors, the maximum number of institutions is set at 6. In the event of research outputs resulting from international collaborations, if the first, the last or the corresponding author serves in a foreign institutions (or most of the institutions involved are foreign), but in the list of co-authors researches belonging to Italian institutions are included, the research output can be submitted by no more than 5 Italian institutions. In this case the contribution of the author(s) is evidenced by the Institutions in Annex 1.

6. In the event that the research output is submitted for evaluation by a number of institutions exceeding the maximum limits established in paragraphs 4 and 5, the GEV is responsible for verifying that the co-author associated to the research output has actually made a significant contribution as stated in paragraph 3.
7. In the event that the GEV recognises and accounts for a significant contribution made by a number of co-authors belonging to a number of institutions exceeding the maximum limits established in paragraphs 4 and 5, the result of the evaluation will be attributed to all the institutions which submitted the output. In this case, each institution is required to submit an additional research output authored by the same researcher, by drawing on a specific list of extra research outputs (already defined at the time of submission).
8. In the event that the GEV fails to recognise a significant contribution made by one or more co-authors belonging to a number of institutions exceeding the maximum limits established in paragraphs 4 and 5 (by giving proper justification), the evaluation of the research output attributed to the institution will result in the category "Limited", under art. 7, paragraph 7, letter e), and institutions shall not draw on the list of extra research outputs.
9. Each research output submitted for evaluation must come with the information reported in Annex A. Additional information may be required by the GEV on special grounds, expounded in the respective document on evaluation criteria.
10. Institutions must submit research outputs for evaluation in PDF format, on the basis of its Version of Record (VoR), through a specific IT platform and according to a procedure that will be defined in a specific document, to be issued on the ANVUR website by April 15, 2020.

11. ANVUR shall subscribe an agreement with publishers in order to allow the GEVs to use, for evaluation purposes, monographs and research outputs listed in art. 5.

Article 7

Evaluation of Research outputs

1. GEVs define the implementation of the criteria referred to in paragraph 6 below for research outputs evaluation, and illustrate them in an online document issued on the ANVUR website. The implementation of the criteria concern, among other things, the use of citation indicators, the possible establishment of sub-GEVs, the criteria for assigning research outputs to GEV members, and others. GEVs are entrusted with the exclusive responsibility of assessing the quality of each research output.
2. In order to define the quality profiles referred to in article 2, paragraph 2, letters a) and b) of the MIUR Guidelines, GEV assesses the quality of each research output submitted by the Institutions adopting the peer review methodology. Wherever it is considered appropriate on the basis of characteristics of the Area, peer review can be informed by the use of international citation indicators, properly taking into account the number of self-citations. GEV, if deemed appropriate, can use at least one external expert, who shall be entrusted with the task of assessing anonymously the quality of the research output. The choice of anonymous external experts in possession of the requirements referred to in article 3, paragraph 3, letter a) of the MIUR Guidelines, is the responsibility of the GEV.
3. In Areas where the use of citation indicators is not deemed as appropriate, GEV evaluates the quality of each research output submitted by the Institutions with peer review, usually entrusted to two GEV members to whom the research output is assigned, on the basis of disciplinary expertise. If the disciplinary expertise necessary for evaluating a specific research output is lacking, GEV makes use of at least two external independent experts, who are entrusted with assessing anonymously the quality of the assigned research outputs. The choice of external experts, who should be in possession of the requirements referred to in article 3, paragraph 3, letter a) of the MIUR Guidelines, is the responsibility of the GEV.
4. GEV chooses whether to evaluate through informed peer review or not each research output. The choice will be made on the basis of the characteristics of the research output, the information provided by the Institution on the submission form and the quality and reliability of the available citation indicators.
5. Research outputs submitted by Institutions and:
 - a) co-authored by a GEV Member, shall be evaluated by the GEV Coordinator or – if appointed – Sub-GEV Coordinator, if necessary making use of external experts.
 - b) co-authored by a GEV Coordinator, shall be evaluated by the ANVUR Board of Directors, if necessary making use of external experts.
6. The quality profile of each research output is established on the basis of the following criteria:
 - a) **Originality**, seen as the extent to which the output makes an innovative contribution in the way of thinking about or understanding the research subject, also distinguishing and developing innovative approaches;
 - b) **Methodological rigour**, seen as the extent to which the output clearly addresses research objectives, taking into account the state of the art in the field, adopting appropriate methodologies and demonstrating the achievement of research goals.
 - c) **Impact**, seen as the extent to which the output has influenced, or shall probably influence, the international scientific community, or the national one depending on the characteristics of the field.
7. Each research output shall be classified into one of the following levels, based on the quality profile assessment:



- a) **Excellent and extremely significant:** the output reaches the highest levels in terms of originality, knowledge and use of literature, methodological rigour and clarity, impact in the scientific community.
 - b) **Excellent:** the output reaches excellent levels in terms of the majority of the following aspects: originality, knowledge and use of literature, methodological rigour and clarity, impact in the scientific community.
 - c) **Standard:** the output, with respect to the international standards, reaches satisfactory levels in terms of originality, knowledge and use of literature, methodological rigour and clarity, impact in the scientific community.
 - d) **Sufficient significance:** the output, with respect to the scientific standards of its scientific community, reaches sufficient levels in terms of originality, methodological rigour and clarity, even if has limited impact in the scientific community.
 - e) **Low significance or Not admissible:** the output has a low level of significance in terms of originality, knowledge and use of literature, methodological rigour and clarity, impact in the scientific community. This level also includes: research outputs not belonging to set of outputs considered for the current evaluation; or outputs presenting attachments, and/or inadequate documentation for the assessment or - in the cases referred to in Article 6, paragraph 8 - outputs co-authored where the author's contribution is not relevant.
8. GEVs shall evaluate each research output according to the criteria established in paragraph 6, and shall make a synthetic judgment for classifying each output in one of the levels referred to in paragraph 7.
 9. Each GEV shall evaluate research outputs using all the levels referred to in paragraph 7,
 10. Wherever appropriate and requested by the GEVs, ANVUR will provide information relating to international citation indicators, extracted from the main international bibliometric databases. Based on the GEV request, this information shall be issued on the ANVUR website in two stages:
 - a) before the submission of research outputs by the Institutions;
 - b) at the time of the start of the assessment by the GEVs.
 11. The assessment relating to the individual research output shall not be made public and shall be disclosed exclusively to the co-authors affiliated to the same Institution subject to evaluation.

Article 8 Open Access

1. In accordance with article 1, paragraph 3 of MIUR Guidelines, and with article 4, paragraph 2, letter b) of Law Decree 8 August, 2013, no. 91, subsequently amended by Law 7 October, 2013, no. 112, submitted research outputs shall be made available as follows:
 - a) in the case of journal articles relating to research outputs financed for a share equal to or greater than 50% with public funds and issued in scientific journals published at least twice a year: through open access and non-profit republication in at least one of the formats referred to in paragraph 4, within 18 months from the first publication for the STEM¹ fields and 24 months for the SSH² fields and, in any case, no later than 31st December 2021; outputs relating to results of research, development and innovation activities that enjoy protection according to Legislative Decree 10 February 2005, no. 30, are not subject to this statutory provision.

¹ Science, technology, engineering, and mathematics fields.

² Social Sciences and Humanities fields.



- b) in the case of journal articles relating to research outputs financed for a share of less than 50% with public funds, or with embargo periods greater than those indicated in letter a), at least through one of the following ones:
 - i. in the case of agreement with the scientific journal that allows the non-profit republication in open access, as foreseen in the previous letter a);
 - ii. at least with an indication of the output metadata if it is not possible to proceed as foreseen in point i.
 - c) in the case of monographs and other research outputs, at least through the indication of the output metadata.
2. At the end of the VQR and in any case by 31st December 2021, ANVUR shall issue on its website the list of all the research outputs evaluated and for each of them it shall report the following information (metadata): Title; Publisher; Type of document; DOI; Journal Title; Issue; Volume; First and Last Page Number; Authors; ISSN/ISBN/ISMN code; Publication Year; Universal Resource Locator (URL) where available.
 3. In order to report the correct URL it shall be the responsibility of each Institution to provide, by November 3rd, 2021, the necessary information to allow the connection to the research outputs that can be consulted in open access indicating the correct connection to one of the archives referred to in paragraph 4.
 4. The research outputs referred to in paragraph 1, letter a) and, where possible based on the agreements signed with the publishers, those referred to in letters b) and c) shall be made available in open access in at least one of the following ways:
 - a) Open access publication in Journals or Issue;
 - b) Open access University repository;
 - c) Open access disciplinary repositories (e.g. PubMed, ArXiv, etc.);
 - d) Working series;
 - e) Researcher's personal websites.

and in at least one of the following versions:

- a) final PDF Version of Record (VoR);
- b) Author's Accepted Manuscript (AAM);
- c) Submitted version to the journal.

Article 9 **Third Mission**

1. For the evaluation of Third mission activities:
 - a) each university shall submit Third mission case studies, whose impact has been achieved during the period 2015-19; the number of case studies required for each university is equal to half the number of its Departments;
 - b) each EPR and other institutions shall submit Third mission case studies, whose impact has been achieved during the period 2015-19; the number of case studies required for each of these institutions is equal to the number of their departments (or internal divisions).
2. Case studies are usually referred to the departments (or internal divisions) within a maximum of two per department; if the intervention that has generated impact is referred to the entire institution, the case study shall be referred to the institution, with an indication of the involved department(s);

3. Case studies are related, also taking into account ANVUR Third mission Guidelines published on November 7, 2018, to interventions whose impact has been achieved into the following fields of action:
 - a) Intellectual and industrial property valorisation (patents, plant varieties and other products according to legislative decree n. 30/2005, article 2, paragraph 1);
 - b) Academic entrepreneurship (e.g. spin-off and start-up companies);
 - c) Technology transfer structures and other Third mission intermediaries (e.g. technology transfer offices, incubators, science and technology parks, consortia and associations for Third mission);
 - d) Production and management of artistic and cultural heritage (e.g. museum poles, archaeological excavations, music activities, historical buildings and archives, historical libraries, theatres and sports facilities);
 - e) Clinical experimentations and health protection (e.g. clinical trials, studies on medical devices, non-interventional studies, patients' empowerment initiatives, biobanks, veterinary clinics, information and prevention days, screening and awareness campaigns);
 - f) Lifelong learning and open education (e.g. continuous education courses, Continuing Medical Education courses, MOOCs);
 - g) Public Engagement, defined as non-profit institutional activities with educational, cultural and social value, namely:
 - i. organization of cultural and community benefit activities (e.g. music and theatre performances, film festivals, sport events, exhibitions and other events open to the community);
 - ii. science popularization actions (e.g. production of press, radio and tv outlets dedicated to non-academic audiences, management of websites and other social channels for science communication, excluding the university's institutional website);
 - iii. citizen engagement in science (e.g. debates, festivals and science cafés, online consultations; citizen science initiatives; contamination lab initiatives);
 - iv. engagement and interaction activities with schools (e.g. simulations and hands-on experiments and other laboratory activities);
 - h) Production of public goods and policy instruments for inclusion (e.g. public policy making/formulation, local development and urban regeneration programs, participatory democracy initiatives, consensus conferences, citizen panels);
 - i) Innovative tools to support Open Science;
 - j) Activities related to the UN 2030 Agenda for Sustainable Development Goals and SDGs.
4. The case studies are presented by each institution according to the model in Annex 2.
5. Each case study shall be evaluated by the Interdisciplinary GEV according to the following criteria:
 - a) Social, economic and cultural dimension of the impact;
 - b) Relevance in relation to the context;
 - c) Added value for the beneficiaries;
 - d) Contribution of the department or similar structure, highlighting the scientific linkage if relevant.
6. GEV shall define in a specific document on evaluation methods the qualification and the relative weight of each of the criteria defined above, according to the field of action, mentioned in paragraph 3, to which the case study is related. GEV will take into account the clarity of the descriptions, the relationship between actions taken and results achieved in terms of impact, any possible indicator proposed by the institution and any other useful evidence to demonstrate the differences compared to the starting situation.
7. According to GEV evaluation, each case study is classified into one of the following categories:
 - a) ***Excellent and extremely relevant***: the case study is clearly described and the impact achieved in its field of action is evident and very substantial. The contribution of the submitting institution has been crucial in generating the impact. Where relevant, a strong link with the institutions' scientific results



is also evident. The results achieved are also corroborated by the set of proposed indicators that are completely pertinent. The impact is highly significant in social, economic and cultural terms and the intervention has created a high added value for a large and diverse audience of beneficiaries.

- b) **Excellent:** the case study is clearly described and the impact achieved in its field of action is evident and substantial. The contribution of the submitting institution has been important in generating the impact. Where relevant, a direct link with the institutions' scientific results is also evident. The results achieved are also corroborated by the set of proposed indicators. The impact is significant in social, economic and cultural terms and the intervention has created a high added value for a large audience of beneficiaries.
- c) **Standard:** the case study is clearly described and the impact achieved in its field of action is evident. The contribution of the submitting institution has been important in generating the impact. Where relevant, a direct link with the institutions' scientific results is also evident. The results achieved are also corroborated by the set of proposed indicators. The impact is significant in social or economic or cultural terms and the intervention has created an appreciable added value for beneficiaries.
- d) **Sufficiently relevant:** the case study is adequately described and allows identifying a sufficient impact achieved in its field of action. The contribution of the submitting institution has been sufficient. Where relevant, a link with the institutions' scientific results is also evident. The results achieved are not supported by pertinent indicators or the proposed indicators do not allow an evident corroboration. The impact is sufficient in social or economic or cultural terms.
- e) **Scarcely relevant or not acceptable:** the case study is characterized by poor description and/or scarce evidence of impact in its field of action. The elements to appreciate the social, economic or cultural impact are insufficient and, anyhow, it is not evident or sufficient the contribution of the submitting institution.

Article 10 Outcomes of the VQR 2015-2019

1. Outcomes of the assessment exercise are formulated so that data can be correctly read and interpreted. Thus, for any Institution and Department, outcomes related to the following quality profiles are made available:
 - a) **Profile of the tenured personnel:** Quality profile of the Institution's research outputs, specific for each Area and referred to each department or similar structure, expressed as the number and percentage distribution in the five categories enumerated in article 7, subsection 7, of the research outputs pertaining to researchers that during the 2015-2019 period had served in the same Institution with the same role. The assessment shall include the indication of the highest possible number of expected research outputs and, relatively to the research outputs actually submitted for assessment, of the number of researchers to which the research outputs are associated and its distribution. In reporting data for each department, disaggregated information on each scientific area, as well as the comparison with the relevant national-level data, will be made available. Outcomes are published only if a minimum number of 10 research outputs is actually reached.
 - b) **Profile of the recruitment policies:** quality profile of research outputs, overall as well as specific for each area and for each department or similar structure, expressed as the number and percentage distribution in the five categories enumerated in article 7, subsection 7, of the research outputs associated with researchers that, in the 2015-2019 period, has been recruited, or have been awarded a promotion, by the Institution. The assessment shall include the indication of the highest possible number of expected research outputs and, relatively to the research outputs actually submitted for assessment, of the number of researchers to which the research outputs are associated and its



distribution. In reporting data for each department, disaggregated information in each scientific area, as well as the comparison with the relevant national-level data, shall be made available. Outcomes are published only if a minimum number of 10 research outputs is actually reached.

- c) **Research training profile:** quality profile of the Institution's research outputs, specific for each Area, concerning researchers on duty with a University or Research Institution as of November 1, 2019, who had been awarded a PhD between 2012 and 2016. Outcomes of the assessment are published only if a minimum number of 10 research outputs is actually reached.
- d) **Quality profile of research valorisation activities (so-called 'Third Mission')**: profile of the Institution, separated by field and, if applicable, by Department and referring to the Third Mission activities, expressed in the five categories enumerated by article 9, subsection 7, of case studies proposed by the Institutions.

Article 11 **Timetable VQR 2015 – 2019**

1. For the purposes of this call, the timetable for VQR 2015-2019 is as follows:
 - a) Not later than January 31st, 2020: Public Notices for the application to GEV members and GEV Assistants (ANVUR);
 - b) Not later than February 21st, 2020: Publication of the document on the draw criteria (ANVUR);
 - c) Not later than February 29, 2020: Deadline for submitting GEV applications and GEV Assistants;
 - d) Not later than February 29, 2020: Deadline for entering into agreements with other Institutions (ANVUR);
 - e) Not later than March 27, 2020: publication of the list with the applicants admitted to the draw of the GEV members (ANVUR);
 - f) Not later than March 31st, 2020: the draw of the GEV members (ANVUR);
 - g) Not later than April 15, 2020: appointment and publication of GEV members and GEV assistants (ANVUR);
 - h) Not later than April 15, 2020: publication of the document on output submission methods (ANVUR);
 - i) From 2nd April to 15 April 2020: department definition for EPR and **other Institutions** to be assessed (INSTITUTIONS);
 - j) From April 2nd to April 30, 2020: Institutions define and indicate the staff on duty or affiliated on 1st November 2019 (INSTITUTIONS);
 - k) From May 1st to May 7, 2020: Institutions validate and confirm staff on duty or affiliated on 1st November 2019 (INSTITUTIONS);
 - l) Not later than May 7, 2020: if deemed appropriate, GEVs may form sub-GEV, i.e. GEV homogeneous subsets as defined by the scientific area's characteristics (GEV and ANVUR);
 - m) Not later than May 25, 2020: publication of the documents on the evaluation criteria of research outputs (GEV);
 - n) From June 4 to September 15, 2020: submission of research outputs and case studies by Universities, through a specific IT platform (UNIVERSITY);
 - o) From June 4 to September 30, 2020: submission of research outputs and case studies by EPR and other Institutions, through a specific IT platform (EPR and OTHER INSTITUTIONS);
 - p) Not later than October 30, 2020: Institutions validate and confirm the lists of researchers who have achieved the PhD title in the period 2012-2016 (INSTITUTIONS);
 - q) From September 16 to October 30, 2020: assignation of research outputs to GEV members for the evaluation (GEV);
 - r) From November 3rd, 2020 to May 31st, 2021: GEVs evaluate research outputs and case studies (GEV);



- s) Not later than July 31st, 2021: Publication of the VQR results (ANVUR);
- t) Not later than September 30, 2021: closure of Final Area Reports (GEV);
- u) Not later than October 30, 2021: publication of the Final ANVUR Report (ANVUR);
- v) Not later than November 3rd, 2021: information update related to research outputs available as open access (INSTITUTIONS);
- w) Not later than December 31st, 2021: publication on the ANVUR website of the lists of research outputs and case studies assessed (ANVUR).

Rome, January 3rd, 2020

Annex 1. Submission form for research outputs

Research outputs should be submitted in pdf extension in the Version of Record (*VoR*).

Metadata	Title of research output; Publisher, Type of document; DOI; Journal Title (if published on scientific journals); Issue; Volume; First and last page number; Authors; ISSN/ISBN/ISMN code; Publication Year; URL (where available).
ORCID	Authors' ORCID ID.
Language	The language in which the research output is written.
Abstract	If the product has no abstract, it must be written by the researcher with whom the research output is associated (max 200 words).
Scientific Area (VQR Area)	VQR Area in which the research output is proposed for the evaluation.
Scientific-Disciplinary Sectors (SSD)	One of the 370 Scientific-Disciplinary Sectors that best describes the content of research output. The proposed SSD may not coincide with the SSD to which the researcher belong, but shall be consistent with the proposed VQR Area.
ERC Sector	Scientific-Disciplinary sector according to the classification of the European Research Council (<i>ERC</i>).
WoS/Scopus	WoS ID and/or Scopus ID of research outputs that are indexed on these databases.
Research outputs in emerging, highly specialized or interdisciplinary fields	Field to be selected if it is believed that the research output refers to research activities in emerging fields, highly specialized or interdisciplinary.
Outputs that are co-authored	In VQR Areas 1, 2, 3, 4, 8a, 8b, 9, 10, 11a, 11b, 12, 13a, 13b, 14, where submitted research output is co-authored, each submitting Institution whose research shall provide a distinct description of the contribution by each co-author. The description may be provided by filling in a text box (max. 100 words) or by choosing the contribution type that will be defined in the research outputs submission procedure. In VQR Areas 5, 6, 7 Institution must indicate the order of authors in a list (first, last, or corresponding author).
Double Count	To be filled in the case of research outputs belonging to scientific monographs and related research outputs.
Open Access	Mutually exclusive options for research outputs distribution and access at the moment of submission: <ul style="list-style-type: none"> • The research output is already free of cost or other access barriers (in this case, enter the URL); • The research output shall be free of cost or other access barriers by December, 2021; • The research output is not and will not be free of cost or other access barriers (in this instance, enter the reason why provided by the research outputs submission procedure).



Annex 2. Case study template and guidance

TITLE: _____

FIELD OF ACTION: _____

A. INSTITUTIONS
B. DEPARTMENT(S):
C. DISCIPLINARY AREA(S) INVOLVED IN THE CASE STUDY:
D. NAME(S) OF THE ACADEMIC STAFF RESPONSIBLE FOR THE CASE STUDY:
E. KEYWORDS: In this section, 10 keywords will be indicated to qualify the case study and its impact.
F. DETAILED DESCRIPTION OF THE CASE STUDY In this section the case study will be illustrated with particular reference to the context in which it is located, the role played by the submitting institutions, the temporal development, the subjects involved and their role, the resources used and, generally, to all those elements that qualify the actions taken.
G. DETAILED DESCRIPTION OF THE IMPACT IN THE PERIOD 2015 – 2019 In this section the impact of the activities carried out shall be illustrated with reference to the local area, the reference period, and the added value for the beneficiaries, the economic, social and cultural dimension. In the description, the differences deriving from the actions taken with respect to the initial situation shall be highlighted.
H. INDICATORS TO CORROBORATE THE DESCRIBED IMPACT In this section it will be possible to provide a set of indicators, considered pertinent by the submitting institution and that allow to appreciate the impact of the activities carried out and to corroborate what is reported in section G. It is also possible to insert qualitative elements useful to demonstrate the impact of the intervention.
I. PUBLICATIONS RELATED TO THE CASE STUDY In this section the following elements will be provided, where relevant: a) main national / international scientific outputs that support the relevance of the case study; b) main scientific outputs by authors affiliated to the submitting institution or the involved department(s) that support the relevance of the case study.

The sum of the characters used to fill in sections F and G shall be a maximum of 12,000.