



Approved by

**Rector's Order №01-03 10.01.2023**

Rector



**P. Khvedelidze**

## The rule for evaluating the effectiveness of scientific, research, and practical activities

sd №2-030101-22

Batumi

2023



## Table of Content

Preamble: Scope of application, legal framework, applied abbreviations and definitions .....	3
Article 1. General provisions .....	4
Article 2. Financing sources and rule .....	4
Article 3. Evaluation of the effectiveness of activities aimed at the realization and development of scientific, research, practical, cognitive and personal potential .....	4
Article 4. Evaluation of research activities .....	6
Article 5. Evaluation of the involvement of BNTU affiliated academic staff in research activities and of effectiveness of such activities .....	7
Article 6. Mechanisms for promotion of scientific, research, practical, etc. activities .....	7
Article 8. Publicity /Confidentiality of the Rule .....	8
Article 9. Final provisions .....	8
Document revision sheet .....	9

#### Preamble

1. This Regulations shall be effective immediately upon approval unless otherwise provided by the act of approval of the Regulation;
2. The Regulations and the changes thereto shall be developed by a working group, which includes the faculty dean, Head of Vocational education department, Head of the Research Center, Head of the Culture and Sports Center, Head of International Relations Service, Head of Practice and Employment Service, Head of the HR Service, Head of the PR Service, Head of the Finance Service, Head of the Quality Assurance Service, Head of the Legal Service, and other persons (as required). The work of the working group is coordinated and the preparation of the final project is ensured by the Head of Quality Assurance Service;
3. Modifications to this Regulations shall be developed and made as required, based on the results of application of the Regulations and/or taking into consideration of modifications of statutory documents based on which this Regulations was prepared;
4. Control over the making changes to this Regulations shall be carried out by the Head of Quality Assurance Service;
5. The original of the Regulations (in electronic format) is kept to the BNTU Quality Assurance Service.

#### Scope of application

1. This Regulations is the governing (internal statutory) document of Batumi Navigation Teaching University;
2. This Regulations applies to all matters that are within the scope of regulation of this Regulations, and to all documents, approval of which is based on the requirements contained in this Regulations.

#### Legal framework

1. Constitution of Georgia;
2. Law of Georgia on Education Quality Enhancement;
3. Law of Georgia on Higher Education;
4. Law of Georgia on Vocational Education;
5. Law of Georgia "On Personal Data Protection";
6. Quality Assurance Standards and Guiding Principles of the European Area of Higher Education (ESG - European Standards and Guidelines);
7. European Standards and Guidelines (ESG-2015);
8. International Standard ISO 9001:2015 Quality Management Systems – Requirements;
9. International Standard ISO 9000:2015 Quality Management System and Glossary;
10. sd №2-010101 – BNTU Articles of Association;
11. sd №2-010102 – BNTU Activity Governing Regulations (Internal Regulations);
12. sd №2-020101-01 – Documentation management procedure.

#### Applied abbreviations and definitions

Internal statutory document – BNTU activity regulating, internal regulatory document, which establishes the rules of activity, general principles and description and refers to different types of activities and their results;

Job Description - Internal statutory document, determining qualification requirements, duties, rights and liability of an employee, appointed to the position;

Regulations of a structural unit – Internal statutory document, determining the status, field or area of activity, tasks and functions of a structural unit, rules of appointment of a structural unit head, his/her official duties;

Registered copy - Document with registration number according to the list of registered documents;

Educational programme – Bachelor's/Master's/ vocational educational programme;

Student - Person, who was enrolled and is studying at Bachelor's/Master's degree educational programme in accordance with the law;

Master's Student - Person, who was enrolled and is studying at Master's degree educational programme in accordance with the law;

BNTU or teaching university - Batumi Navigation Teaching University Ltd;

HEI/EI - Higher educational institution/ educational institution;

ISO - International Organization for Standardization;

QS - Quality System;

ECTS - European Credit Transfer and Accumulation System;

ESG - European Standards and Guidelines;

ENQA - European Network for Quality Assurance;

Id - Information document;

MAG - Maritime Administration of Georgia.

### Article 1. General provisions

1. The Rule of Evaluation of the effectiveness of activities aimed at the realization and development of scientific, research, practical, cognitive and personal potential (hereinafter referred to as the Rule) of Batumi Navigation Teaching University Ltd. (hereinafter referred to as - BNTU) establishes procedures, rights and obligations etc. in BNTU in relation to the evaluation of such activities;
2. The aim of this Rule is to provide involvement of BNTU staff and educands (students and vocational students) in abovementioned activities, and ensuring unbiased, fair and transparent evaluation of effectiveness of these activities;
3. BNTU thinks that involvement of the staff, educands and graduates in BNTU practical, cognitive, creative etc. activities is a part of the activity aimed at promoting and realizing the development of personal abilities;
4. The following persons are entitled to participate in BNTU scientific, research, practical, cognitive, creative etc. activities:
  - BNTU staff and other persons, employed at BNTU (out of main work hours);
  - BNTU educands (except for persons, regarding which the order on termination of the status is issued in BNTU);
  - BNTU graduates
  - Representatives of the partner institutions (staff and students) and other interested persons.
5. BNTU staff, educands and graduates are able to participate in the competition, announced by BNTU, as well as BNTU partner or other institution/organization, and apply to BNTU to obtain financing/co-financing. Also, they can independently submit their own initiative without announcing a competition and use the infrastructure and material and technical resources of BNTU to solve the tasks. In order to improve its activities, BNTU examines the expectations and attitudes of the BNTU community (through interviews and surveys).;
6. BNTU provides publicity of information about researches/projects/programs etc. planned by BNTU/with the participation of BNTU, through placing information at website, and by means of arrangement of information meetings;
7. BNTU provides information publicity, including through the website. BNTU staff and educands are obliged to familiarize themselves with this information and fulfill the requirements defined by this Rule. Ignorance of these requirements does not release them from the obligation to fulfill the requirements established by this Rule and from the responsibility caused by non-fulfillment.

### Article 2. Financing sources and rule

1. Sources for financing of activities, provided for by this Rule in BNTU may be the following:
  - 1) Own funds of BNTU (own funds, gained as a result of statutory activity of BNTU);
  - 2) External funds (including income earned as a result of joint research activity on the basis of a contract, grants, and other special funds obtained from international scientific foundations and organizations; funds from sponsors, investments, contributions from legal entities and natural persons; other legal sources).
2. BNTU plans the abovementioned activity, defines its directions and economic norms;
3. The costs related to the activities provided for in this Rule include financial resources appropriate to the specifics of these activities, costs directed to the creation of material and technical resources, administrative and organizational support of the relevant activities;
4. BNTU can finance initiatives planned by BNTU, as well as initiatives of staff, educands and graduates - individual and collective activities formalized in any form in priority directions for BNTU;
5. Financing of initiatives (projects/theses/etc.) of BNTU staff, educands and graduates is usually done on a competitive basis. Exception - a memorandum/agreement concluded with partner institutions, which provides for the implementation of a specific project/work and the obligation to co-finance it; The decision of the BNTU Meeting of Partners on financing of a particularly relevant project/work for BNTU without competition; Commitments undertaken by BNTU.

### Article 3. Evaluation of the effectiveness of activities aimed at the realization and development of scientific, research, practical, cognitive and personal potential

1. Evaluation of the activity provided for in this Rule, including its effectiveness, is carried out by studying the mechanisms provided for in this Rule, as well as the opinions and attitudes of BNTU staff, educands and graduates (by analyzing the information obtained through interviews and surveys):
  - 1) The collection of primary information for the evaluation of this activity is provided by: faculty dean, Head of Vocational education department, Head of the Research Center, Head of the Culture and Sports Center, Head of Practice and Employment Service, Head of the HR Service, Head of the PR Service, Head of International Relations Service, Head of the Finance Service;
  - 2) The Quality Assurance Service is responsible for summarizing and analyzing information, developing conclusions and recommendations, and determining improvement mechanisms, which prepares a report and submits it to the Head of Administration-Chancellor for review ;
  - 3) Head of Administration-Chancellor is responsible for the effectiveness and development of the activities in BNTU provided for in this Rule, maximum support and provision of resources.
2. Various criteria are used to evaluate the quality of activities provided for in this Rule, the involvement of BNTU staff, educands and graduates, and the effectiveness of activities, for example:
  - 1) Criteria of compliance with requirements (for example, compliance with deadlines, scale of activity, consideration of specificities of activity, planning, organization and implementation, etc.);
  - 2) Criteria of Maximum/minimum (sufficiency) (for example, number of participants, provision of financing, administrative, human and material-technical resources, etc.);
  - 3) Criteria of predominance (used for relative evaluations, for example, importance for the development of BNTU, public and/or international importance, etc.)
3. For the purpose of evaluation of involvement of BNTU staff, educands and graduates in various activities, and assessment of effectiveness of activity, it is possible to develop various relevant (corresponding to the specifics of the aspect to be assessed) indicators and /or use one, several, or all of the indicators below, for example:
  - 1) Number of persons, participating in papers/projects/events (Evaluation criteria: The ratio of the number of persons participating in the preparation of papers/projects and events (by categories) in the last year and in the current year, growth/reduction of these figures in comparison with the same figures of the previous year(s). Positive result –Increase in their number every next year for several years);
  - 2) Number of papers/projects/events (Evaluation criteria: The ratio of the number of papers/projects/events in the last year and in the current year by categories, growth/reduction of these figures in comparison with the same figures of the previous year(s). Positive result - Increase in their number every next year for several years);

- 3) Results of papers/projects (Evaluation criteria: The ratio of the numbers of obtained results in the last year and in the current year (of papers/projects, formalized in any form), growth/reduction of these figures in comparison with the same figures of the previous year(s). Positive result - Increase in their number every next year for several years);
  - 4) Scale of events (Evaluation criteria: The ratio of the numbers of conducted local and international events in the last year and in the current year (by categories), growth/reduction of these figures in comparison with the same figures of the previous year(s). Positive result - Increase in their number every next year for several years);
  - 5) Sufficiency of financing of the activities provided for in this Document (Evaluation criteria: Sufficiency and the ratio of the numbers of financing of activities implemented and in progress in the last year and in the current year, growth/reduction of these figures in comparison with the same figures of the previous year(s). Positive result – Increase in the amount of their financing every next year for several years);
  - 6) Amount of internal and external financing (Evaluation criteria: Ratio of internal and external financing of activities implemented and in progress in the last year and in the current year, growth/reduction of these figures in comparison with the same figures of the previous year(s); Positive result – Their ratio for several years by increase in the amount of external financing every next year);
  - 7) Sufficiency of administrative, information and organizational support (Evaluation criteria: Sufficiency of administrative, information and organizational support of activities implemented and in progress in the last year and in the current year and the ratio of the numbers of BNTU human and material and technical resources used in this process, growth/reduction of these figures in comparison with the same figures of the previous year(s). Positive result - Increase in their number every next year for several years);
4. The following can be also used as an indicator of effectiveness:
- 1) Number of the best paper/project/etc., competition winner papers/projects/etc. (The ratio of the numbers of total number of papers/projects/etc. and the winner papers/projects/etc. for several years. The ratio of the numbers of such papers/projects/etc. towards growth every next year);
  - 2) Number of independent (individual/collective) activities of BNTU staff, educands, graduates (The ratio of the numbers for several years, towards growth every next year);
  - 3) Financing of independent (individual/collective) activities of BNTU staff, educands, graduates (amount for several years, ratio of financing towards growth every next year);
  - 4) Created scientific/practical/sectoral/etc. project/etc. (amount for several years, the ratio of the numbers towards growth every next year);
  - 5) Realization/involvement in realization of scientific/practical/sectoral/etc. projects (amount for several years, the ratio of the numbers of local/international events/projects (by categories), towards growth of number of international activities every next year);
  - 6) Commercialization of created scientific/practical/sectoral/etc. Project/product (number for several years, the ratio of the numbers towards growth every next year);
  - 7) Arrangement of scientific/practical/sectoral/etc. conferences/seminars/etc. in BNTU and/or with co-participation of BNTU (number for several years, the ratio of the numbers of local/international conferences/seminars/etc. (by categories) towards growth of number of international activities every next year);
  - 8) Involvement of BNTU staff, educands, graduates in conferences/seminars/etc. held in BNTU and/or with co-participation of BNTU (number for several years, the ratio of the numbers (by individual categories - staff, educands, graduates) towards growth every next year);
  - 9) Participation of BNTU affiliated staff in international scientific conferences/seminars, etc. (number for several years, the ratio of the numbers towards growth every next year);
  - 10) Organization and effectiveness of independent (non-academic) activity of educands (number of educands involved in this activity, number of papers/projects/etc. prepared by them).

#### Article 4. Evaluation of research activities

1. For the evaluation of effectiveness of BNTU research activity it is possible to develop various relevant indicators and /or use one, several, or all of the indicators below, for example:
- 1) Number of research projects implemented in the current year (Evaluation criteria: The ratio of the numbers of projects implemented in the current and previous years, growth/reduction of this figure (ratio of numbers) in comparison with the same figure of the previous year);
  - 2) Total number of research projects in current year and the number of started new projects (Evaluation criteria: The ratio of the total number of projects and new project in current year, growth/reduction of this figure (ratio of numbers) in comparison with the same figure of the previous year);
  - 3) Number of research projects in the last year and new projects started in the current year (Evaluation criteria: The ratio of the numbers of new projects in the last year and in the current year, growth/reduction of this figure (ratio of numbers) in comparison with the same figure of the previous year);
  - 4) Number of academic staff, students, master's students, participating in BNTU research projects of previous and current year (Evaluation criteria: The ratio of the numbers of academic staff, students, master's students involved in BNTU projects in the last year and in the current year (totally and separately for academic staff, students, master's students), growth/reduction of this figure (ratio of numbers) in comparison with the same figure of the previous year);
  - 5) Total number of master's theses and the number of defended master's theses (Evaluation criteria: Ratio of the number of master's theses and the number of defended master's theses, growth/reduction of these figures in comparison with the same figures of the previous year(s));
  - 6) Total number of academic papers published in international, referable peer-reviewed sectoral electronic or printed journal with an impact factor, registered in the relevant international classifier and/or the materials of the international scientific conference by BNTU academic staff authorship/co-authorship (authorship/co-authorship of the BNTU academic staff must be indicated) and total number of scientific works (monograph, textbook, etc.) published by authorship or co-authorship of BNTU academic staff (authorship/co-authorship of the BNTU staff must be indicated) (by separate categories: a. publication, b. work) and the number of publications and works published in current year (Information provider: Head of Research Center) - Evaluation criteria: Ratio of total number and the number in current year, growth/reduction of this figure (ratio of numbers) in comparison with the same figure of the previous year);
  - 7) number of academic papers published in previous an current year in international, referable peer-reviewed sectoral electronic or printed journal with an impact factor, registered in the relevant international classifier and/or the materials of the international scientific conference by BNTU academic staff authorship/co-authorship (authorship/co-authorship of the BNTU academic staff must be indicated) and number of scientific works (monograph, textbook, etc.) published by authorship or co-authorship of BNTU academic staff (by separate categories: a. publication, b. work) (Evaluation criteria: Ratio of number of previous year and current year, growth/reduction of this figure (ratio of numbers) in comparison with the same figure of the previous year);
  - 8) Total funds allocated for research activities in the last year and in the current year (Evaluation criteria: Ratio of funds, spent on research activities in the last year and in the current year, growth/reduction of this figure (ratio of numbers) in comparison with the same figure of the



- previous year);
  - 9) Funds collected by BNTU from third parties for researches in the current year through grants and targeted funding and funds allocated by BNTU for research activities in the same year (Evaluation criteria: Ratio of funds, collected from third parties and funds allocated by BNTU in the current year, growth/reduction of this figure (ratio of numbers) in comparison with the same figure of the previous year);
  - 10) Total funds allocated in the last year and in the current year for material and technical provision of research activity (for example, updating/purchase/maintenance of computer equipment/software/etc.) (Evaluation criteria: The ratio of amounts of funds in the last year and in the current year, growth/reduction of this figure (ratio of amounts) in comparison with the same figure of the previous year);
  - 11) Funds allocated in the last year and in the current year for the provision of the research activity with scientific literature and periodicals (Evaluation criteria: The ratio of the amounts of funds in the last year and in the current year, growth/reduction of this figure (ratio of numbers) in comparison with the same figure of the previous year);
  - 12) Funds allocated in the last year and in the current year for the participation of BNTU academic staff, students, master’s students in scientific conferences/etc. (Evaluation criteria: Ratio of funds in the last year and in the current year, growth/reduction of this figure (ratio of numbers) in comparison with the same figure of the previous year);
  - 13) Total funds allocated for professional business trips in the last year and in the current year (for example, field research/etc. works) (Evaluation criteria: The ratio of the amounts of funds in the last year and in the current year, growth/reduction of this figure (ratio of numbers) in comparison with the same figure of the previous year. Note: The criterion is used in cases of justified need for business trips);
  - 14) Number of scientific conferences/etc. in the last year and in the current year held in BNTU and/or with co-participation of BNTU and funds, allocated for such conferences /etc. (Evaluation criteria: The ratio of the numbers of events and funds, allocated for these events in the last year and in the current year, growth/reduction of this figure (ratio of numbers) in comparison with the same figure of the previous year);
  - 15) Funds, allocated for publication/purchase of scientific literature and periodicals in the last year and in the current year (Information provider: Head of the Finance Service) - Evaluation criteria: The ratio of the amounts of funds in the last year and in the current year, growth/reduction of this figure (ratio of numbers) in comparison with the same figure of the previous year).
3. The abovementioned information is provided to the Quality Assurance Service one month before the end of the current year, and after that, the Service prepares a report and submits to the Academic Council;
4. When evaluating the research activity of BNTU, special attention is paid to such aspects as: research results; training of young scientific staff and involvement in research activities; providing research with resources; integration into the international scientific space;
5. The above-mentioned evaluation method can be used as is, or make additions/changes or develop and use another model;
6. In addition to the above, the results of monitoring, surveys of stakeholders, interviews and opinion surveys are also used for the purpose of evaluating research activities.

**Article 5. Evaluation of the involvement of BNTU affiliated academic staff in research activities and of effectiveness of such activities**

1. Requirements to the research activity of BNTU affiliated academic staff (hereinafter referred to as the Staff) are described by individual workload scheme of the staff, and the results of the staff activity are described by annual report on fulfillment of individual workload by them. Also, for the evaluation of research activity, the minimum mandatory standard (requirement criterion) of the research activity to be performed can be used, for example, all or one of the following:
- 1) Scientific/research/innovative work/project/product/etc. - for example, peer-reviewed (refereed peer-reviewed) monograph/scientific work prepared in Georgian/foreign language (authorship/co-authorship) and/or monograph/scientific work published in Georgia (having issn or isbn code) and/or publication/article in international referable peer-reviewed journal/ collection with an impact factor (indexed by web of science or scopus or google scholar) and/or duly registered invention/patent etc.;
  - 2) Research grant - Research grant funded by BNTU partners or by an international organization or by LEPL Shota Rustaveli Scientific Foundation or by BNTU or a scientific project of high international importance that will be submitted for the purpose of obtaining funding;
  - 3) Participation in the scientific conference as a speaker, with publishing theses (indexed by web of science or scopus or google scholar).
3. The system of research activity efficiency indicators can be, for example, as follows:

	Activity	High rate (implies one of the options)		Medium rate	Minimum standard
		1	2		
1.	Peer-reviewed (refereed peer-reviewed) monograph/scientific work prepared in Georgian/foreign language (authorship/co-authorship)	More than one activity every year	All activities every 2 years	More than one activity every 2 years	One activity every 2 years
	Monograph /scientific work published in Georgia (having issn or isbn code)				
	Publication/article in international referable peer-reviewed journal/ collection with an impact factor (indexed by web of science or scopus or google scholar)				
2.	Research grant - Research grant funded by BNTU partners or by an international organization or by LEPL Shota Rustaveli Scientific Foundation or by BNTU or a scientific project of high international importance that will be submitted for the purpose of obtaining funding	One activity every year		More than one activity every 2 years	One activity every 2 years
3.	Participation in the scientific conference as a speaker, with publishing theses (indexed by web of science or scopus or google scholar)	One activity every year			

3. Requirements to the research activity of the affiliated academic staff shall be fulfilled in case of performance of annual individual workload (scientific-research field) and of above-mentioned standard (requirement criterion)/other established standards.
4. Publications/works of the affiliated academic staff shall be considered if the person who is the author or co-author of the published scientific article indicates that he/she belongs to the academic staff of BNTU, and submitted the original/copy of the publication (in physical or electronic form) to the Research Center. The Center shall be obliged to verify the authenticity of the information and to transfer the documents submitted to it to the BNTU HR Service in order to keep them in the person's personal file;
5. BNTU shall be entitled to use abovementioned scheme for the evaluation, or make changes thereto, or develop and use other system for the evaluation of effectiveness.

**Article 6. Mechanisms for promotion of scientific, research, practical, etc. activities**

1. It is possible to determine the individual rating of persons involved in the activities provided for in this Document (Categories: staff, educand) by



means of mechanisms and procedures provided for in this rule or through other transparent and objective and fair mechanisms and procedures;  
2. For persons with the highest rating (Categories: staff, educand), non-material and/or material incentives may be used.

**Article 7. Annexes**

1. Annexes to this Rule, as well as documents/forms, which were elaborated on the basis of this regulation, shall be the integral part of this Rule.

**Article 8. Publicity /Confidentiality of the Rule**

1. This Rule is public;  
2. BNTU staff, persons, provided for by this Rule and other persons involved in the implementation of processes/procedures provided for by this Rule shall be obliged to be familiarized with this Rule and fulfill its requirements. BNTU is obliged to allow them to have a look at the Rule at any time.

**Article 9. Final provisions**

1. Immediately after this Rule became effective, the regulations/rules effective before and governing issues provided for by this Rule shall be null and void;  
2. Changes and additions to this Rule shall be made based on the initiative of the Rector, Academic Council, faculty dean, Head of Vocational education department, Head of the Research Center, Head of the Culture and Sports Center, Head of International Relations Service, Head of Practice and Employment Service, Head of HR Service, BNTU Lawyer;  
3. Changes and additions to this Rule shall be made by recommendation of the Quality Assurance Service;  
4. Titles of articles in this Rule are provided only for the convenience, and they shall not be regarded as for the determination, alteration or definition of any article;  
5. Invalidation of any article/provision of this Rule shall not invalidate remaining articles/provisions;  
6. All the issues not covered by this Rule shall be governed in accordance with the effective Law of Georgia;  
7. This Rule shall be null and void after approval of new Rule.



Document revision sheet

Revision №	Revision date	Content of revision