Forskningsrådet

Evaluation of Life Sciences 2022-2024

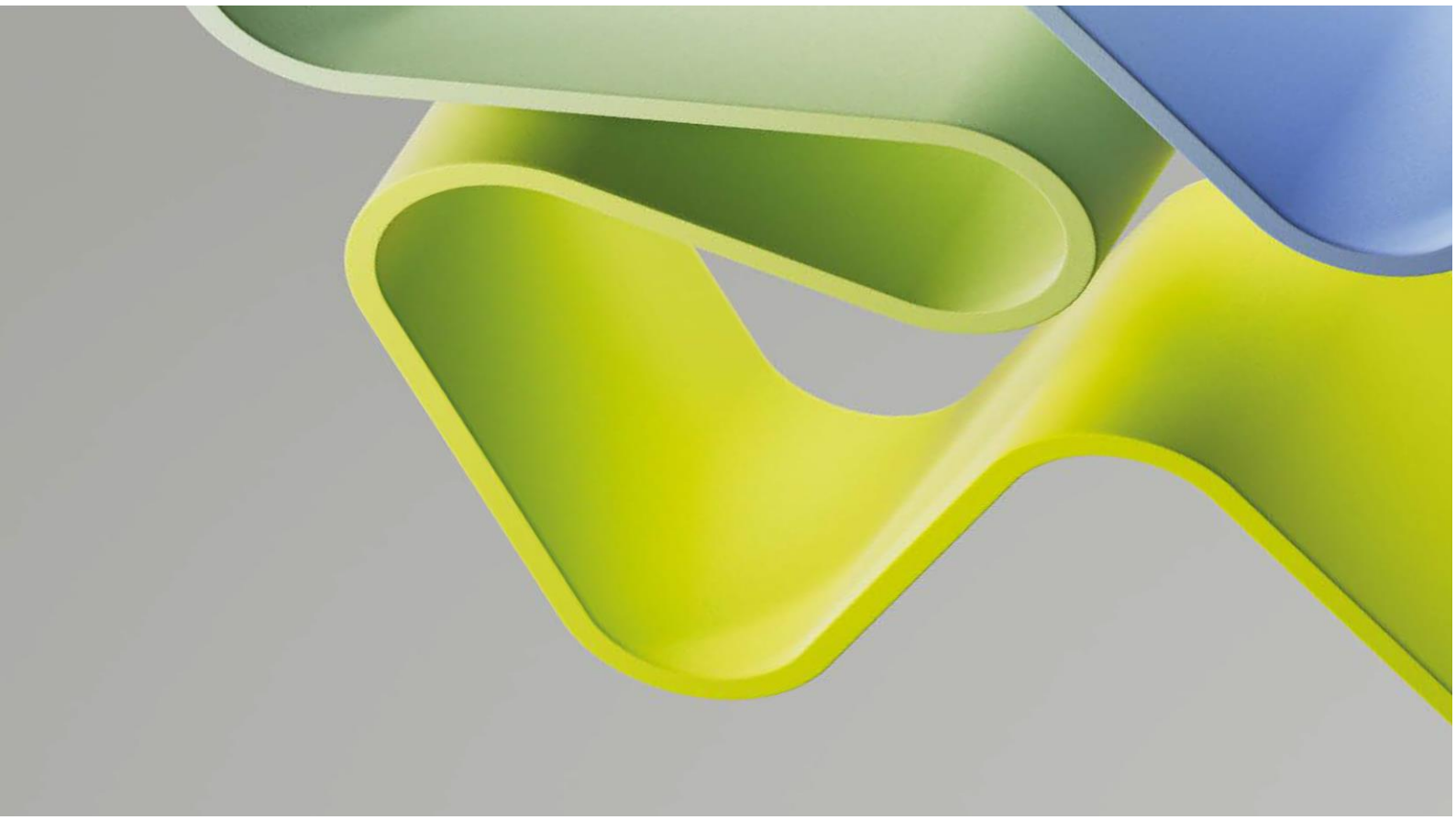
Evaluation of Biosciences 2022-2023

Evaluation report – Administrative Unit

The Arctic University Museum of Norway

The Arctic University Museum of Norway and Academy of Fine Arts (UMAK)

December 2023



Contents

Statement from Evaluation Committee 1 (Higher Education Sector)

This report is from Evaluation Committee 1 which evaluated the following administrative units representing the higher education sector in the Evaluation of Biosciences 2022-2023:

- Faculty of Environmental Sciences and Natural Resource Management (MINA), NMBU
- Faculty of Veterinary Medicine (VET), NMBU
- Department of Biology (IBI), NTNU
- Faculty of Science and Engineering, UiA
- The Department of Natural History, NTNU
- University Museum of Bergen (UM), UiB
- Natural History Museum (NHM), UiO
- The Arctic University Museum of Norway, UiT

The conclusions and recommendations in this report are based on information from the administrative units (self-assessment), digital meetings with representatives from the administrative units, bibliometric analysis and personnel statistics from the Nordic Institute for Studies of Innovation, Research, and Education (NIFU) and Statistics Norway (SSB), and selected data from Studiebarometeret and the National Teacher Survey (Norwegian Agency for Quality Assurance in Education [NOKUT]). The digital interviews took place in Autumn 2023.

This report is the consensus view from committee 1. All members of the committee have agreed with the assessments, conclusions and recommendations presented here.

Evaluation committee 1 consisted of the following members:

Professor/dean
Marianne Holmer (chair),
University of Southern Denmark

Professor/chair
Alan Dobson,
University College Cork

Research group leader
Felicity Jones,
The Friedrich Miescher Laboratory

Professor/section manager
Jan Tind Sørensen,
Aarhus University

Professor/ head
Kjell Arne Johanson,
The Swedish Museum of Natural History

Professor
Martin Polz,
University of Vienna

Ass. Professor/head
Natasha Louise de Vere,
University of Copenhagen

Ivette Oomens, Principal Consultant, Technopolis Group, was the committee secretary.

Oslo, December 2023

Profile of the administrative unit

The Arctic University Museum of Norway has a total of 60 employees. These are comprised of professors (9), research associates (7), researchers (5), PhD fellows (7), postdocs (3) and technical/administrative/other (29). Moreover, the share of women in these posts is close to 50% except for researchers where they are overrepresented (70%).

The administrative unit is comprised of five research groups out of which one is part of this evaluation, the Norwegian Centre for eDNA of Arctic Ecosystems Through Time (NEAT)

The administrative unit mentions in its self-assessment that the main strategic goals are to be an innovative administrative unit with broadly composed subject areas relevant to museums, developing robust academic environments, prioritising national and international collaboration partners, promoting open science and developing good research-based exhibitions. Societal impact is achieved by publications in scientific journals and museum activities. The administrative unit mentions in its self-assessment that a university museum's asset is its collections. Collection-based research is sought to be achieved in all subject areas. To give the population access to cultural and natural history knowledge and understanding about Northern Norway and Svalbard, mediating and improving the accessibility of museum collections to the research community and the public, is also a goal.

As a higher education institution, the Arctic University Museum strives to reach the four overall goals of Norwegian Higher Education Institutions: high quality in research and education, research and education for welfare, value creation and innovation, access to education (esp. capacity in health and teacher education) and efficiency, diversity and solidity of the higher education sector and research system. In relation to this, the museum has special obligations concerning the production and mediation of cultural and natural history knowledge and understanding about Northern Norway and Svalbard. The knowledge it produces is mediated through exhibitions, social media, various in-house seminars, a museum magazine, plus various outdoor arrangements. The museum had about 150 various arrangements in 2021. Researchers contributed, but it should be noted that the responsibility for public mediation lies at faculty level. The museum has special obligations regarding cultural heritage management, for example regarding indigenous Sámi people and the Kven minority.

Based on its self-assessment, the Arctic University Museum of Norway in the future might take advantage of robust environments which make the museum a place for first-hand knowledge of societal challenges, the contact with the public through museum exhibitions and other activities and that museums are trusted units when it comes to knowledge presentations. Moreover, the Arctic University Museum of Norway may take advantage of harmonised data on collections/datasets (MUSIT and CMS natur).

Overall assessment

The overall assessment considering the Terms of Reference provided by the administrative unit is that the Arctic University Museum of Norway (UMAK) lacks an updated strategy, as the strategy is from 2014-2020 with minor updates in 2020-2022. The strategy would benefit from a longer perspective and a more focused approach covering strongholds of the individual research groups. UMAK is organised in 5 research groups with one large group and 4 smaller groups, and UMAK contributes with unique research and unique museum activities based on the collections covering Arctic and Sami culture and thus has several recognised strongholds. The unit´s research performed within the area of life sciences in Arctic ecosystem dynamics, is internationally recognised and has societal relevance for understanding the past, present and future of the ecosystems in the Polar region.

The unit has a flat management structure and lacks a clear strategic approach for the development of the unit and the research groups. The future success of the administrative unit will depend on the development of the research groups and the museum. The management of the unit could benefit from a stronger focus on leadership by including representation of the research groups in the management. This will help to ensure common goals for the unit.

The unit has limited internal funding from the University and limited external funding from national and international funding bodies. The external funding is concentrated in one research group and some diversification of funding would be valuable. The number of PhD fellows and Postdocs is relatively low compared to international norms, with most students belonging to one group. The organisation is top-heavy with staff primarily at the senior level and extended recruitment of young talent would be valuable to secure a more diverse organisation.

The unit is active in using the collections in exhibitions and provides a large number of annual events to the public, but the collections require modern facilities to keep them safe in the future. Several attempts to renovate the facilities have failed due to lack of funding. Researchers from the University of Tromsø could contribute more to the activities in the museum.

The unit follows the strategy at UiT for gender diversity and has a high percentage of female staff at all levels. The research at UMAK complies very well with the FAIR principles as illustrated by the open access to ancient environmental DNA data in recognised databases. Furthermore, the majority of the publications (>90%) are published under open access. UMAK also complies with the UiT strategy and has a strong focus on the UN SDG´s and in particular addresses goals number 5,11,13,14 and 15.

Recommendations

The evaluation committee recommends UMAK to initiate a more robust strategic plan with both stronger focus on areas of strength and increased support for the individual research groups. This will provide a stronger identity and build momentum that will foster a productive research environment attractive to new researchers and external funding alike. Special attention should be on the infrastructure to secure the collections in the future. The facilities are old, limited in space and lack modern instrumentation, which likely impacts recruitment to the administrative unit and limits research groups to grow and unfold their potential as world-leading research group.

Second, the evaluation committee recommends UMAK to strengthen its management by including the research group leaders in a management group at the department. This will benefit the strategy process and allow the head of department to develop the department together with the research group leaders and ensure ownership to focus areas and necessary priorities.

Third, the evaluation committee recommends UMAK to focus more on attracting external funding to increase the research activity and to secure infrastructure for the labs and the collections. We particularly recommend diversifying the funding strategy at national and international level. EU funding could be an opportunity based on previous success with this funding body. We recommend increasing the efforts to attract funding in the smaller

research groups to increase the use of collections for research and to be able to recruit young talents to these groups. This can contribute to a shift from a top-heavy organisation to a more balanced administrative unit with young researchers at PhD and Postdoc level.

Finally, the evaluation committee recommends UMAK to take an active role in interacting with UiT researchers in the museum activities (exhibitions and events). There is a potential to engage more researchers from UiT in the museum by encouraging researchers to include the museum as part of their strategy for communication and outreach to the public in projects. This may increase the funding to exhibitions and other communication activities in the museum.

1. Strategy, resources and organisation of research

UMAK has a generic and broad strategy encompassing the large diversity in research and in outreach activities at the museum. The strategy needs to be updated. The current strategy is from 2014, was updated in 2020 and lasts until 2022. The life science area falls well under the broad strategy of UMAK, delivering high quality research on northern archaeology and eDNA of Arctic ecosystems through time, but the life science area could benefit from a more focused strategy given the strong international competition within ecosystems genomics. The life science area contributes to the research with innovative approaches and is highly recognised internationally within the field of eDNA in Arctic plants and Arctic ecosystems. The success in innovation is reflected in the participation of national and international PhD fellows and young researchers in bioinformatics courses to learn techniques in eDNA developed at UMAK.

UMAK is a small administrative unit with 21 senior researchers, 7 PhD Fellows and 3 Postdocs and 29 administrative staff. The unit needs to build a stronger and more inclusive governance structure. The department is organised with a head of department and has a flat governance structure without an established leadership group. The head of department interacts directly with the individual research group leaders. The life science area has been growing significantly over the past decade without major changes in the governance structure and is now challenged by unclear management. This may challenge the potential of the life science area to become world-leading in the field.

The infrastructure needs to be updated and expanded. The buildings are old and lack modern equipment in the laboratories. The collections are at risk and are considered unsafe in near future. The unit has limited space preventing the unit and in particular the life science area to maintain and to advance in their standing as an international recognised and excellent research area. UMAK is active in relevant national and international infrastructures and contributes significantly to databases on environmental DNA and related topics. The funding from external sources needs to be increased. The life science area has been quite successful during the past decade with attracting funding from EU, but for the administrative unit as a whole, funding obtained from external sources is on the low side when comparing to international norms. UMAK is encouraged to diversify the funding from national and international sources, including more diverse funding from EU.

The recruitment of young talent needs to be increased. The staff at UMAK is well balanced with respect to gender but is top-heavy due to the high seniority of the staff. Most PhD fellows and Postdocs belong within one research area (Life science). More economic support should be provided to researchers granted sabbaticals. Researchers have access to mobility through sabbaticals, but the number of completed sabbaticals are limited due to lack of funding at UiT and UMAK to support international travelling.

1.1 Research Strategy

UMAK has a rather generic and broad research strategy, focusing on Sami research (including cultural heritage), northern archaeology, polar cultural science, collection-based taxonomy and biosystematics, and eDNA of Arctic ecosystems through time. The broad research strategy is in line with the strategy of UiT, and UMAK contributes to the UiT strategy by addressing topics related to the Arctic and High North, to major societal challenges and by developing talent. As only one research area (Life Science) was assessed by an expert panel by evaluating one research group (NEAT) within this area it is only possible to provide detailed assessment of the research strategy within this field. The life science area contributes well to the strategy at UMAK and UiT. The group is doing research in ecosystems genomics in the Polar and Arctic regions and is internationally recognised and provide research of high quality according to the ambitions at UiT. The life science area addresses the major societal challenges through studies of biodiversity in terrestrial and aquatic ecosystems. The life science area develops talent through training of Ph.d. students and providing courses in bioinformatics, which have been developed at UMAK. The life science area has been growing rapid over the past decade and the expert panel considers the area at risk to maintain the international standing in the future. The development of the life science area into the future requires a more robust strategic approach with focus on governance structure and on securing modern and sufficient infrastructures to allow the group to keep on growing.

The compliance with UMAK´s and UiT´s research strategy was not so evident for the other four research groups. They appear less international, less productive and with less impact compared to the life science area and could benefit from a strategy process with focus on attracting external funding to increase research activity and to increase talent development.

1.2 Organisation of research

UMAK consists of three departments: the museum, the botanical garden, and the polar museum. UMAK is, since 2019, a department in the faculty of UMAK (The Arctic University Museum of Norway and Academy of Fine Arts). UMAK is organised in five research groups covering topics in Sami culture, polar history, archaeology, natural science collections and ecosystem dynamics in the past, present and future. Only one research group has been evaluated by an expert panel.

UMAK is a small administrative unit with 21 researchers, seven PhD Fellows and three Postdocs and 29 administrative staff. The department is organised with a head of department and the head of department interacts directly with the research group leaders. The research groups are responsible for preparing research plans with description of ambitions, goals, innovation and development, with particular focus on project portfolio, external funding, publication and other communication.

The existing governance structure of UMAK seems inadequate to support the strong and rapidly growing research areas. The expert panel raised concern about the organisation of the life science area and provided a relatively low score (3). This research area, has been growing significantly over the past decade without major changes in their governance and is now challenged by unclear management. The group has a flat governance structure and lack a clear leadership preventing the group from articulating their relevance and needs for support at the institutional level. This may challenge the potential of this research area to become world-leading in their field. These observations led the evaluation committee to recommend UMAK to strengthen the leadership at the department level by creating a leadership group with the research group leaders from each group. This will allow a more dynamic interaction between the research group leaders and allow the head of department to develop a more robust strategy for the entire unit.

1.3 Research funding

UMAK receives funding from prestigious funding bodies (ERC advanced grant) and from RCN. The funding is rather low for UMAK as a whole (ca. 16 MNOK/year), considering the number of senior scientists (21). External funding of <1 MNOK (ca. 85KEuro) for senior scientists is low when comparing to the annual norms that have been reported in other EU countries for professors (360-390 KEuro). Each research group receives 50.000 NOK/year from the faculty, which is very low. UMAK has access to PhD fellowships from UiT (one/year). UMAK has not considered more competitive national or international calls over the years, such as aquaculture, but is now considering the health area, such as cancer medicine. This seems to be a new area for the administrative unit and the evaluation committee recommends to also explore the more competitive calls within the existing research areas that build upon and expand existing strengths.

The number of PhD fellows is low at UMAK compared to similar institutions and when comparing to high-performing international research groups. Furthermore, the PhD fellows are primarily hosted within one research area with 6 out of 7 PhD fellows being located in the life science area. The organisation is top-heavy dominated by professors and senior scientists reflecting the low amount of funding for young talent. For these reasons we recommend that the external funding should particularly target research activities, PhD fellows and Postdocs and funding for infrastructure.

1.4 Use of infrastructures

UMAK is member of the relevant national and international infrastructures within the field such as Gbif, DiSSCo Prepare, EMBRC-Norway, COAT, ELIXIR, NorBOL, DDAMA and ADED. UMAK contributes to the national and international collections of Arctic materials, which provides a stronghold for the department. The collection-based research within life science is internationally recognised and provides publications in high-ranking journals and attracts prestigious international grants. International collaborations and recruitment of scientific staff is to a large extent linked through these infrastructures.

The most important physical infrastructures at UMAK include facilities for fieldwork and laboratory work. However, compared to competitors, the resources provided by UiT to UMAK are minimal. The resources accessible are meagre compared to the major research centres in Sweden, Denmark and Germany. UMAK highlights a lack of infrastructure and space (especially with increasing group size) as a limitation. UMAK are major users of externally provided laboratory services many of which are available in Norway, but at less competitive prices and with slower turn-around times, which is a threat to the research and future development of UMAK.

1.5 National and international collaboration

The documentation of national and international collaborations at UMAK is limited. The connections are informal and known by the individual researcher rather than being based on a strategic focus at the level of the department. Within the life science area, UMAK is internationally recognised with a well-developed international network of collaborators. As a leading ancient DNA laboratory in the world and the leading group applying sedDNA to archaeology in Norway, this area is cross-disciplinary and works in close collaboration with other large research groups in Norway and internationally. This area publishes together with both national and international co-authors outside UiT, illustrating their large national and international network. The research school ForBio at UMAK and the courses provided by the school, attracts many national and international students.

1.6 Research staff

The total number of research staff at UMAK is 31 FTE´s, with nine professors, seven research associates, five researchers, seven PhD fellows and three Postdocs. The composition of the staff is heavy on the senior researchers with only a few PhD fellows and Postdocs. UiT provides internal funding to one PhD fellow each year, which is distributed among all groups (probably through a competitive call). The number of PhD fellows and Postdocs is low, when comparing to international norms. The share of female researchers is high at all levels at UMAK (>43%), with more than half of the permanent staff being female (50-70%). There is no information on the share of international staff. UiT has a programme for staff mobility with the possibility of a sabbatical after four years. UMAK has had four researchers applying during recent years and they were all selected. The funding for the sabbatical is self-financed, which limits the mobility due to the shrinking economy at UMAK and UiT.

2. Research production, quality and integrity

One research group (NEAT group - Norwegian Centre for eDNA of Arctic Ecosystems Through Time) has been evaluated by an expert panel. The quality of the research in NEAT is high as indicated by the score 4 out of 6. The research group has been leading in the field of eDNA and sedDNA in the Arctic for the past decade. The group has been advancing the field and is at the forefront and has potential to become world leading. The group is, however, under pressure from external competition by larger research groups and from lack of internal resources to update and expand their infrastructure. The group is internationally excellent in terms of originality, significance, and rigour but falls short of the highest standards of excellence as indicated by the score of 4.

The research integrity follows international standards and UMAK has a high commitment to FAIR principles and open access. More than 90% of the publications are open access. Both raw and final datasets on eDNA and plant genomes are available in Open Access databases and repositories.

2.1 Research quality and integrity

NEAT provides an organisational environment that is adequate for supporting the production of excellent research. The research group sees themselves as one of the leading ancient DNA labs in the world and has received positive anonymous reviews on their work. While they may be smaller compared to competitors, their museum base and focused approach are strengths. Management seems ad hoc. The group has opportunities to continue developing their research in the expanding world of eDNA and sedDNA but would need improved infrastructural and university support to keep up with external competition, both from within Norway and internationally. NEAT lists many international collaborators, but it is unclear if they are the leaders or followers in these partnerships.

We would consider NEAT at risk in a fast-moving research area which has become a focus of larger research teams.

2.2. Open Science

UMAK follows the guidelines from UiT on handling research data. UMAK has a high commitment to the FAIR principles by sharing data and having a high percentage of Open Access publications with >90% of the publications with open access in 2021. UMAK submits pre-prints in bioxriv and makes data available in global repositories. This is particularly in the field of eDNA in plants, where NEAT has contributed with open access to genome skims of 1540 plant species deposited at the European Nucleotide Archive. All ancient DNA data published are available as open access (raw and final data) and initiatives are taken to make pollen (available in Neotoma.org) and sedDNA data available. The Impact case PhyloNorway shows the high commitment to Open Science by developing an open database for researchers and environmental managers.

UiT is providing information courses on how to handle research data and increase open access, which is an important activity to support the researchers.

3. Diversity and equality

UMAK follows the guidelines and practice from the UiT on diversity and equality. The policy is well described and comprehensive at the website of UiT and focuses on diversity as a driving force and resource. Diversity is not restricted to gender, but also to different countries bringing different backgrounds and histories to the university. UMAK seems to be successful in recruiting and retaining women, reflected in the >50% women in senior positions, including at professor level. There is no information on the number of international staff in general at the museum, but the life science area is highly international at all levels of staff. Their courses in bioinformatics attract students and early career researchers from all over the world and contributes to diversity in the area.

There are no available guidelines on diversity and equality practices at the UMAK website. Given the low number of international staff in the administrative unit (evaluated from names at the UMAK website) this area can be strengthened by a more strategic approach and by guidance during the recruitment of new staff.

4. Relevance to institutional and sectorial purposes

UMAK has a high focus on impact within the sector, being a museum that is in direct contact with the society through exhibitions and outreach activities. The museum is active and had about 150 activities in 2021. The museum has special obligations concerning the production and mediation of cultural and natural history knowledge and understanding about Norway and Svalbard. The knowledge is mediated through exhibitions, social media, various in-house seminars, a magazine and outdoor arrangements. The museum website provides several examples of mediation, including presentation of the exhibitions in the museum, lists of in-house seminars and popular science articles from UMAK and UiT.

UMAK has significant focus on innovation and the life science area contributes to innovation at international level. The quality of outputs within life science is high, and ranges from alpine plant diversity, prehistoric human impact in Arctic Norway, postglacial species arrival, and dynamics of Arctic biota to environmental palaeogenomic reconstruction and Holocene plant diversity and the comparative diet analysis of capercaillies. The submitted impact case PhyloNorway illustrates very well the high impact of UMAK within innovation of bioinformatics contributing to the national and international research in global biodiversity. The cultural scientific staff focuses on social innovation, whether and how this can be applied in the field.

UMAK contributes to training and mentoring of students and early career researchers primarily in the life science area. Regarding training of talent UMAK is responsible for the national research school ForBio (Research school in Biosystematics) and runs an attractive course in metabarcoding with participants of PhD fellows (and established researchers) from all over Europe. UMAK contributes to mentoring of young talent through supervision of PhD fellows and master students. UMAK recruits students from the region, from Norway and from abroad, e.g. through Erasmus scholarships.

5. Relevance to society

UMAK provides knowledge that is relevant for the environment and society. This is done through research projects addressing important environmental and social challenges in the Arctic environment and the Sami culture. The research is disseminated to the public by museum exhibitions and other media. The submitted impact case PhyloNorway is a well-illustrated example of societal impact, as the developed database contributes to both research in eDNA and to environmental management in Norway and in Polar regions.

However, only one impact case was submitted, and documentation of other similar cases or examples of impact were not provided.

The UN SDGs are addressed through the topics selected for research and museum activities and several SDGs are covered: 5. Gender equality; 11. Sustainable cities and communities; 13. Climate action, 14. Live below water and 15. Life on land. The contribution from the life science area is of high quality and has international impact contributing particularly to understanding historic, present and future development in biodiversity and environmental changes in terrestrial and aquatic ecosystems (SDG 14 and 15) also in relation to climate change (SDG 13). Other groups focus on human gender studies in the Arctic and High North area with significant outreach to the public through the museum (SDG 5, 11).

Comments to impact case 1 PhyloNorway

The creation of the PhyloNorway genetic database by the NEAT research group provides a unique resource for environmental managers in Norway and specifically in the Arctic. It enables DNA sequences from environmental samples to be assigned to species with almost 100% identity - far above that possible with the Global databases. This allows eDNA to be used for ecological surveys with confidence that it has the power to identify all the species in Norway and Polar regions. The resource was finally completed in 2020 and is currently being used by several environmental agencies including Norwegian Institute of Nature Research, NIBIO and in forensic science. The initiative was taken in 2010 and funded by RCN and the Norwegian Biodiversity Center for a decade. Several researchers have contributed during the project and several well cited publications and other types of outputs have come out of the project.

Appendices

List of research groups

Institution	Administrative unit	Research group
University of Tromsø	The Arctic Univ. Museum	*NEAT-Norwegian Centre for eDNA of Arctic Ecosystems Through Time*

Methods and limitations

Methods

The evaluation is based on documentary evidence and online interviews with the representatives of Administrative Unit.

The documentary inputs to the evaluation were:

- Evaluation Protocol Evaluation of life sciences in Norway 2022-2023
- Administrative Unit´s Terms of Reference
- Administrative Unit's self-assessment report
- Administrative Unit's impact cases
- Administrative Unit's research groups evaluation reports
- Panel reports from the Expert panels
- Bibliometric data (*NIFU Nordic Institute for Studies of innovation, research and education*)
- Personnel data (*Statistics Norway (SSB)*)
- Funding data – The Research Council´s contribution to biosciences research (*RCN*)
- Extract from the Survey for academic staff and the Student Survey (*Norwegian Agency for Quality Assurance in Education (NOKUT)*)

After the documentary review, the Committee held a meeting and discussed an initial assessment against the assessment criteria and defined questions for the interview with the Administrative Unit. The Committee shared the interview questions with the Administrative Unit two weeks before the interview.

Following the documentary review, the Committee interviewed the Administrative Unit in an hour-long virtual meeting to fact-check the Committee's understanding and refine perceptions. The Administrative Unit presented answers to the Committee's questions and addressed other follow-up questions.

After the online interview, the Committee attended the final meeting to review the initial assessment in light of the interview and make any final adjustments.

A one-page summary of the Administrative Unit was developed based on the information from the self-assessment, the research group assessment, and the interview. The Administrative Unit had the opportunity to fact-check this summary. The Administrative Unit approved the summary without adjustments. The Committee judged the information received through documentary inputs and the interview with the Administrative Unit sufficient to complete the evaluation.

The Committee judged that the Administrative Unit's self-assessment report was insufficient to assess all evaluation criteria fully, and some information gaps remained after the interview with the Administrative Unit.

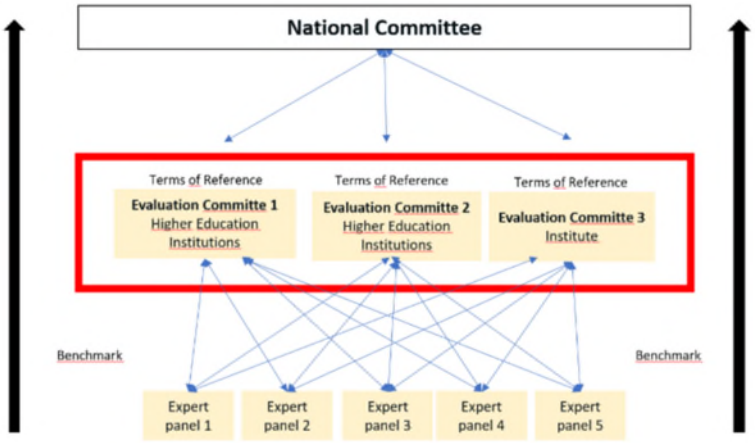
Evaluation of Biosciences 2022-2023

By evaluating Norwegian research and higher education we aim to enhance the quality, relevance, and efficiency. In accordance with the statutes of the Research Council of Norway (RCN), the RCN evaluates Norwegian professional environments to create a solid and up-to-date knowledge base about Norwegian research and higher education in an international perspective.

The evaluation of life sciences is conducted in 2022 - 2024. The evaluation of biosciences takes place in 2022 - 2023, and the evaluation of medicine and health is carried out in 2023-2024. The primary aim of the evaluation of life sciences is to reveal and confirm the quality and the relevance of research performed at Norwegian Higher Education Institutions (HEIs), the institute sector and the health trusts. The evaluation shall result in recommendations to the institutions, the RCN and the ministries.

Evaluation of biosciences (EVALBIOVIT) 2022-2023
The evaluation of biosciences includes twenty-two administrative units (e.g., faculty, department, institution) which are assessed by evaluation committees according to sectorial affiliation and/or other relevant similarities between the units. The administrative units enrolled their research groups (97) to five expert panels organised by research subjects or themes and assessed across institutions and sectors.

Organisation of evaluation of biosciences research 2022 - 2023



The institutions have been allowed to adapt the evaluation mandate (Terms of Reference) to their own strategic goals. This is to ensure that the results of the evaluation will be useful for the institution's own strategic development. The administrative unit together with the research group(s) selects an appropriate benchmark for each of the research group(s).

The Research Council of Norway has commissioned an external evaluation secretariat at Technopolis Group for the implementation of the evaluation process.

Each institution/administrative unit is responsible for following up the recommendations that apply to their own institution/administrative unit. The Research Council will use the results from the evaluation in the development of funding instruments and as a basis for advice to the Government.

The web page for the evaluation of biosciences 2022-2023:
https://www.forskningsradet.no/en/analysis-numbers/evaluations/subject-theme/biosciences/

Til innmeldte administrative enheter til
fagevaluering av biovitenskap (EVALBIOVIT)

Vår saksbehandler/tlf.	**Vår ref.**	**Oslo,**
Hilde D.G. Nielsen/4092 2260	21/10653	21.04.2022
	Deres ref.	

Fagevaluering av biovitenskap (EVALBIOVIT) 2022 – 2023

Vi viser til invitasjonsbrev om å delta i fagevaluering av biovitenskap (EVALBIOVIT) datert 11.11.2021 og til informasjonsmøte med innmeldte administrative enheter 15.12.2021.

Porteføljestyret for livsvitenskap vedtok evalueringsprotokollen for fagevaluering av biovitenskap 05.04.2022 (vedlegg 1). Protokollen beskriver roller, prosesser og ansvarsfordeling i evalueringsarbeidet og er i tråd med forslaget til nytt nasjonalt rammeverk for evaluering av forskning og høyere utdanning utarbeidet i regi av Kunnskapsdepartementet.

Forskningsrådet har mottatt innmelding av 37 administrative enheter til EVALBIOVIT. Disse vil bli fordelt på sektorspesifikke evalueringskomitéer: 1-2 evalueringskomité/er for administrative enheter som tilhører instituttsektoren og 1-2 evalueringskomité/er for administrative enheter som tilhører UH-sektor. Universitetsmuseene vil bli evaluert samlet i én evalueringskomité for UH-sektor.
Det skal i tillegg opprettes internasjonale fagekspertpaneler etter faglig eller tematisk likhet på tvers av sektorer. Ekspertpanelene skal evaluere forskergruppene som de administrative enhetene melder inn. Evalueringskomitéene og ekspertpanelene skal vurdere de innsamlede dataene og gi anbefalinger til den enkelte institusjon, til Forskningsrådet og til departementene.

Tilpasning av mandat (vedlegg 1)

Forskningsrådet ber med dette administrative enheter om å tilpasse mandatet (vedlegg 1) til de lokale forhold ved egen institusjon. Tilpasningen gjøres ved å fylle inn de åpne punktene i malen (Appendix A). Utfylt skjema sendes på epost til evalbiovit@forskningsradet.no *innen 30. september 2022.*

Innmelding av forskergrupper (vedlegg 2a og 2b)

Forskningsrådet ber administrative enheter om å melde inn forskergrupper i tråd med forskergruppedefinisjonen beskrevet i kapittel 1.2 i evalueringsprotokollen. Det bes også om at forskergruppene innplasseres i den tentative fagpanelinndelingen for EVALBIOVIT (vedlegg 2a). Utfylt regneark (vedlegg 2b) sendes til evalbiovit@forskningsradet.no *innen 31. mai 2022.*

Forskningsrådet vil ferdigstille panelstruktur og avgjøre den endelige fordelingen av forskergruppene på fagpaneler *etter* at alle forskergrupper er meldt inn.

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NO–1327 Lysaker

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Org.nr. 970141669

Invitasjon til å foreslå eksperter (vedlegg 3a og 3b)

Forskningsrådet inviterer administrative enheter til å spille inn forslag til eksperter som kan inngå i evalueringskomitéene og i ekspertpanelene (vedlegg 3a). Hver evalueringskomité skal bestå av 7-9 komitémedlemmer. Hvert ekspertpanel skal bestå av 5-7 eksperter. Utfylt regneark (vedlegg 3b, fane 1 og fane 2) sendes til evalbiovit@forskningsradet.no *innen 31. mai 2022.*

Forskningsrådet v/porteføljestyret for livsvitenskap vil oppnevne leder og medlemmer til evalueringskomitéene og til ekspertpanelene.

Data og datainnsamling

Forskningsrådet har nå ute et oppdrag for analyse av data om personal og forskningsproduksjon. Analysen skal i hovedsak baseres på data i DBH, NIFUs forskerpersonaleregister og Cristin. Analysene vil inkludere indikatorer som skal brukes for evaluering av alle institusjoner.

Videre vil institusjonene få et ansvar for innsamling av data til en egenevaluering som skal inngå i vurderingsgrunnlaget for evalueringskomiteene. For å sikre at evalueringen blir nyttig for forskningsinstitusjonenes utvikling, vil Forskningsrådet også invitere institusjonene til å delta i utvelgelse av relevante evalueringsdata og indikatorer som kan danne grunnlag for vurdering opp mot institusjonens egne strategiske mål og sektormål. På bakgrunn av dette har Forskningsrådet en forventning om at institusjonene som deltar i evalueringen stiller med nødvendige ressurser gjennom hele evalueringsprosessen.

Forskningsrådet har, etter en anbudskonkurranse om sekretariatstjenester, inngått en avtale med Technopolis Group som skal bistå Forskningsrådets administrasjon i arbeidet med EVALBIOVIT. Sekretariatet skal blant annet koordinere datainnsamlingen fra institusjonene og systematisere det innsamlede materialet for vurdering i ekspertpaneler og evalueringskomitéer.

Endring av administrativ enhet

For noen få tilfeller kan det være behov for å gjøre noen endringer i forhold til den administrative enheten[1] som allerede er innmeldt til EVALBIOVIT. For eksempel kan et fakultet som ble meldt inn samlet til EVALBIOVIT i desember 2021 finne det mer hensiktsmessig å heller melde inn fakultetets institutter som egne administrative enheter. Hvis man ønsker å endre på den administrative enheten må dette meldes Forskningsrådets administrasjon så fort som mulig, men ikke senere enn 31.05.2022. Melding om endring sendes på epost til: evalbiovit@forskningsradet.no.

Informasjonsmøte 9. mai 2022 og nettside for EVALBIOVIT

Forskningsrådet arrangerer 09.05.2022 kl. 12.00-12.45 et informasjonsmøte for alle som deltar i EVALBIOVIT. Møtet vil foregå digitalt (Zoom). Vi vil i møtet bl.a. gå gjennom evalueringsprotokollen samt at det vil være mulig å stille spørsmål. Påmelding til evalbiovit@forskningsradet.no *innen 07.05.2022.*

Forskningsrådet har opprette en egen nettside hvor informasjon om EVALBIOVIT vil bli publisert fortløpende. Lenke til nettsiden finner dere her: https://www.forskningsradet.no/statistikk-evalueringer/biovitenskap-2022-2023/.

[1] Med administrativ enhet menes en organisatorisk enhet på nivå 2 eller 3 i organisasjonsstrukturen til DBH for UH sektor eller NIFUs organisasjonsregister for institutt- og helsesektoren.

Spørsmål som gjelder fagevalueringen kan sendes på epost til evalbiovit@forskningsradet.no eller ved å kontakte Hilde Dorthea Grindvik Nielsen på epost hgn@forskningsradet.no /mobil 40 92 22 60.

Med vennlig hilsen
Norges forskningsråd

Ole Johan Borge
avdelingsdirektør
Avdeling for helseforskning og helseinnovasjon

Hilde G. Nielsen
spesialrådgiver
Avdeling for helseforskning og helseinnovasjon

Vedlegg

1. Evalueringsprotokoll for fagevaluering av biovitenskap 2022-2023
2a. Tentativ fagpanelinndeling for evaluering av forskergrupper
2b. Skjema for innmelding av forskergrupper
3a. Invitasjon til å foreslå eksperter og informasjon om evalueringskomitéer og ekspertpaneler
3b. Skjema for å foreslå eksperter til evalueringskomitéer og ekspertpaneler

The Research Council of Norway

Evaluation of life sciences in Norway 2022-2023

LIVSEVAL protocol version 1.0

By decision of the Portfolio board for life sciences April 5., 2022

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1 Introduction

Research assessments based on this protocol serve different aims and have different target groups. The primary aim of the evaluation of life sciences is to reveal and confirm the quality and the relevance of research performed at Norwegian Higher Education Institutions (HEIs), and by the institute sector and regional health authorities and health trusts. These institutions will hereafter be collectively referred to as Research Performing Organisations (RPOs). The assessments should serve a formative purpose by contributing to the development of research quality and relevance at these institutions and at the national level.

1.1 Evaluation units

The assessment will comprise a number of *administrative units* submitted for evaluation by the host institution. By assessing these administrative units in light of the goals and strategies set for them by their host institution, it will be possible to learn more about how public funding is used at the institution(s) to facilitate high-quality research and how this research contributes to society. The administrative units will be assessed by evaluation committees according to sectoral affiliation and/or other relevant similarities between the units.

The administrative units will be invited to submit data on their *research groups* to be assessed by expert panels organised by research subject or theme. See Chapter 3 for details on organisation.

Administrative unit	An administrative unit is any part of an RPO that is recognised as a formal (administrative) unit of that RPO, with a designated budget, strategic goals and dedicated management. It may, for instance, be a university faculty or department, a department of an independent research institute or a hospital.
Research group	Designates groups of researchers within the administrative units that fulfil the minimum requirements set out in section 1.2. Research groups are identified and submitted for evaluation by the administrative unit, which may decide to consider itself a single research group.

1.2 Minimum requirements for research groups

1) The research group must be sufficiently large in size, i.e. at least five persons in full-time positions with research obligations. This merely indicates the minimum number, and larger units are preferable. In exceptional cases, the minimum number may include PhD students, postdoctoral fellows and/or non-tenured researchers. *In all cases, a research group must include at least three full-time tenured staff*. Adjunct professors, technical staff and other relevant personnel may be listed as group members but may not be included in the minimum number.

2) The research group subject to assessment must have been established for at least three years. Groups of more recent date may be accepted if they have come into existence as a consequence of major organisational changes within their host institution.
3) The research group should be known as such both within and outside the institution (e.g. have a separate website). It should be able to document common activities and results in the form of co-publications, research databases and infrastructure, software, or shared responsibilities for delivering education, health services or research-based solutions to designated markets.
4) In its self-assessment, the administrative unit should propose a suitable benchmark for the research group. The benchmark will be considered by the expert panels as a reference in their assessment of the performance of the group. The benchmark can be grounded in both academic and extra-academic standards and targets, depending on the purpose of the group and its host institution.

1.3 The evaluation in a nutshell

The assessment concerns:

- research that the administrative unit and its research groups have conducted in the previous 10 years
- the research strategy that the administrative units under evaluation intend to pursue going forward
- the capacity and quality of research in life sciences at the national level

The Research Council of Norway (RCN) will:

- provide a template for the Terms of Reference[1] for the assessment of RPOs and a national-level assessment in life sciences
- appoint members to evaluation committees and expert panels
- provide secretarial services
- commission reports on research personnel and publications based on data in national registries
- take responsibility for following up assessments and recommendations at the national level.

RPOs conducting research in life sciences are expected to take part in the evaluation. The board of each RPO under evaluation is responsible for tailoring the assessment to its own strategies and specific needs and for following them up within their own institution. Each participating RPO will carry out the following steps:

1) Identify the administrative unit(s) to be included as the main unit(s) of assessment
2) Specify the Terms of Reference by including information on specific tasks and/or strategic goals of relevance to the administrative unit(s)

[1] The terms of reference (ToR) document defines all aspects of how the evaluation committees and expert panels will conduct the [research area] evaluation. It defines the objectives and the scope of the evaluation, outlines the responsibilities of the involved parties, and provides a description of the resources available to carry out the evaluation.

3) The administrative unit will, in turn, be invited to register a set of research groups that fulfil the minimum criteria specified above (see section 1.2). The administrative unit may decide to consider itself a single research group.
4) For each research group, the administrative unit should select an appropriate benchmark in consultation with the group in question. This benchmark can be a reference to an academic level of performance or to the group's contributions to other institutional or sectoral purposes (see section 2.4). The benchmark will be used as a reference in the assessment of the unit by the expert panel.
5) The administrative units subject to assessment must provide information about each of their research groups, and about the administrative unit as a whole, by preparing self-assessments and by providing additional documentation in support of the self-assessment.

1.4 Target groups

- Administrative units represented by institutional management and boards
- Research groups represented by researchers and research group leaders
- Research funders
- Government

The evaluation will result in recommendations to the institutions, the RCN and the ministries. The results of the evaluation will also be disseminated for the benefit of potential students, users of research and society at large.

This protocol is intended for all participants in the evaluation. It provides the information required to organise and carry out the research assessments. Questions about the interpretation or implementation of the protocol should be addressed to the RCN.

2 Assessment criteria

The administrative units are to be assessed on the basis of five assessment criteria. The five criteria are applied in accordance with international standards. Finally, the evaluation committee passes judgement on the administrative units as a whole in qualitative terms. In this overall assessment, the committee should relate the assessment of the specific tasks to the strategic goals that the administrative unit has set for itself in the Terms of Reference.

When assessing administrative units, the committees will build on a separate assessment by expert panels of the research groups within the administrative units. See Chapter 3 'Evaluation process and organisation' for a description of the division of tasks.

2.1 Strategy, resources and organisation

The evaluation committee assesses the framework conditions for research in terms of funding, personnel, recruitment and research infrastructure in relation to the strategic aims set for the administrative unit. The administrative unit should address at least the following five specific aspects in its self-assessment: 1) funding sources, 2) national and international cooperation, 3) cross-sector and interdisciplinary cooperation, 4) research careers and mobility, and 5) Open Science. These five aspects relate to how the unit organises and actually performs its research, its composition in terms of leadership and personnel, and how the unit is run on a day-to-day basis.

To contribute to understanding what the administrative unit can or should change to improve its ability to perform, the evaluation committee is invited to focus on factors that may affect performance.

Further, the evaluation committee assesses the extent to which the administrative unit's goals for the future remain scientifically and societally relevant. It is also assessed whether its aims and strategy, as well as the foresight of its leadership and its overall management, are optimal in relation to attaining these goals. Finally, it is assessed whether the plans and resources are adequate to implement this strategy.

2.2 Research production, quality and integrity

The evaluation committee assesses the profile and quality of the administrative unit's research and the contribution the research makes to the body of scholarly knowledge and the knowledge base for other relevant sectors of society. The committee also assesses the scale of the unit's research results (scholarly publications, research infrastructure developed by the unit, and other contributions to the field) and its contribution to Open Science (early knowledge and sharing of data and other relevant digital objects, as well as science communication and collaboration with societal partners, where appropriate).

The evaluation committee considers the administrative unit's policy for research integrity and how violations of such integrity are prevented. It is interested in how the unit deals with research data, data management, confidentiality (GDPR) and integrity, and the extent to which independent and critical pursuit of research is made possible within the unit. Research integrity relates to both the scientific integrity of conducted research and the professional integrity of researchers.

2.3 Diversity and equality

The evaluation committee considers the diversity of the administrative unit, including gender equality. The presence of differences can be a powerful incentive for creativity and talent development in a diverse administrative unit. Diversity is not an end in itself in that regard, but a tool for bringing together different perspectives and opinions.

The evaluation committee considers the strategy and practices of the administrative unit to prevent discrimination on the grounds of gender, age, disability, ethnicity, religion, sexual orientation or other personal characteristics.

2.4 Relevance to institutional and sectoral purposes

The evaluation committee compares the relevance of the administrative unit's activities and results to the specific aspects detailed in the Terms of Reference for each institution and to the relevant sectoral goals (see below).

Higher Education Institutions

There are 36 Higher Education Institutions in Norway that receive public funding from the Ministry for Education and Research. Twenty-one of the 36 institutions are owned by the ministry, whereas the last 15 are privately owned. The HEIs are regulated under the Act relating to universities and university colleges of 1 August 2005.

The purposes of Norwegian HEIs are defined as follows in the Act relating to universities and university colleges[2]

- provide higher education at a high international level;
- conduct research and academic and artistic development work at a high international level;
- disseminate knowledge of the institution's activities and promote an understanding of the principle of academic freedom and application of scientific and artistic methods and results in the teaching of students, in the institution's own general activity as well as in public administration, in cultural life and in business and industry.

In line with these purposes, the Ministry for Research and Education has defined four overall goals for HEIs that receive public funding. These goals have been applied since 2015:

1) High quality in research and education
2) Research and education for welfare, value creation and innovation
3) Access to education (esp. capacity in health and teacher education)
4) Efficiency, diversity and solidity of the higher education sector and research system

The committee is invited to assess to what extent the research activities and results of each administrative unit have contributed to sectoral purposes as defined above. In particular, the committee is invited to take the share of resources spent on education at the administrative units into account and to assess the relevance and contributions of research to education, focusing on the master's and PhD levels. This assessment should be distinguished from an

[2] https://lovdata.no/dokument/NLE/lov/2005-04-01-15?q=universities

assessment of the quality of education in itself, and it is limited to the role of research in fostering high-quality education.

Research institutes (the institute sector)

Norway's large institute sector reflects a practical orientation of state R&D funding that has long historical roots. The Government's strategy for the institute sector[3] applies to the 33 independent research institutes that receive public basic funding through the RCN, in addition to 12 institutes outside the public basic funding system.

The institute sector plays an important and specific role in attaining the overall goal of the national research system, i.e. to increase competitiveness and innovation power to address major societal challenges. The research institutes' contributions to achieving these objectives should therefore form the basis for the evaluation. The main purpose of the sector is to conduct independent applied research for present and future use in the private and public sector. However, some institutes primarily focus on developing a research platform for public policy decisions, others on fulfilling their public responsibilities.

The institutes should:

- maintain a sound academic level, documented through scientific publications in recognised journals
- obtain competitive national and/or international research funding grants
- conduct contract research for private and/or public clients
- demonstrate robustness by having a reasonable number of researchers allocated to each research field

The committee is invited to assess the extent to which the research activities and results of each administrative unit contribute to sectoral purposes and overall goals as defined above. In particular, the committee is invited to assess the level of collaboration between the administrative unit(s) and partners in their own or other sectors.

The hospital sector

There are four regional health authorities (RHFs) in Norway. They are responsible for the specialist health service in their respective regions. The RHFs are regulated through the Health Enterprises Act of 15 June 2001 and are bound by requirements that apply to specialist and other health services, the Health Personnel Act and the Patient Rights Act. Under each of the regional health authorities, there are several health trusts (HFs), which can consist of one or more hospitals. A health trust (HF) is wholly owned by an RHF.

Research is one of the four main tasks of hospital trusts.[4] The three other mains tasks are to ensure good treatment, education and training of patients and relatives. Research is important if the health service is to keep abreast of stay up-to-date with medical developments and carry out critical assessments of established and new diagnostic methods,

[3] Strategy for a holistic institute policy (Kunnskapsdepartementet 2020)

[4] Cf. the Specialist Health Services Act § 3-8 and the Health Enterprises Act §§ 1 and 2

treatment options and technology, and work on quality development and patient safety while caring for and guiding patients.

The committee is invited to assess the extent to which the research activities and results of each administrative unit have contributed to sectoral purposes as described above. The assessment does not include an evaluation of the health services performed by the services.

2.5 Relevance to society

The committee assesses the quality, scale and relevance of contributions targeting specific economic, social or cultural target groups, of advisory reports on policy, of contributions to public debates, and so on. The documentation provided as the basis for the assessment of societal relevance should make it possible to assess relevance to various sectors of society (i.e. business, the public sector, non-governmental organisations and civil society).

When relevant, the administrative units will be asked to link their contributions to national and international goals set for research, including the Norwegian Long-term Plan for Research and Higher Education and the UN Sustainable Development Goals. Sector-specific objectives, e.g. those described in the Development Agreements for the HEIs and other national guidelines for the different sectors, will be assessed as part of criterion 2.4.

The committee is also invited to assess the societal impact of research based on case studies submitted by the administrative units and/or other relevant data presented to the committee. Academic impact will be assessed as part of criterion 2.2.

3 Evaluation process and organisation

The RCN will organise the assessment process as follows:

- Commission a professional secretariat to support the assessment process in the committees and panels, as well as the production of self-assessments within each RPO
- Commission reports on research personnel and publications within life sciences based on data in national registries
- Appoint one or more evaluation committees for the assessment of administrative units.
- Divide the administrative units between the appointed evaluation committees according to sectoral affiliation and/or other relevant similarities between the units.
- Appoint a number of expert panels for the assessment of research groups submitted by the administrative units.
- Divide research groups between expert panels according to similarity of research subjects or themes.
- Task the chairs of the evaluation committees with producing a national-level report building on the assessments of administrative units and a national-level assessments produced by the expert panels.

Committee members and members of the expert panels will be international, have sufficient competence and be able, as a body, to pass judgement based on all relevant assessment criteria. The RCN will facilitate the connection between the assessment levels of panels and committees by appointing committee members as panel chairs.

3.1 Division of tasks between the committee and panel levels

The expert panels will assess research groups across institutions and sectors, focusing on the first two criteria specified in Chapter 2: 'Strategy, resources and organisation' and 'Research production and quality' The assessments from the expert panels will also be used as part of the evidence base for a report on Norwegian research within life sciences (see section 3.3).

The evaluation committees will assess the administrative units based on all the criteria specified in Chapter 2. The assessment of research groups delivered by the expert panels will be a part of the evidence base for the committees' assessments of administrative units. See figure 1 below.

The evaluation committee has sole responsibility for the assessments and any recommendations in the report. The evaluation committee reaches a judgement on the research based on the administrative units and research groups' self-assessments provided by the RPOs, any additional documents provided by the RCN, and interviews with representatives of the administrative units. The additional documents will include a standardised analysis of research personnel and publications provided by the RCN.

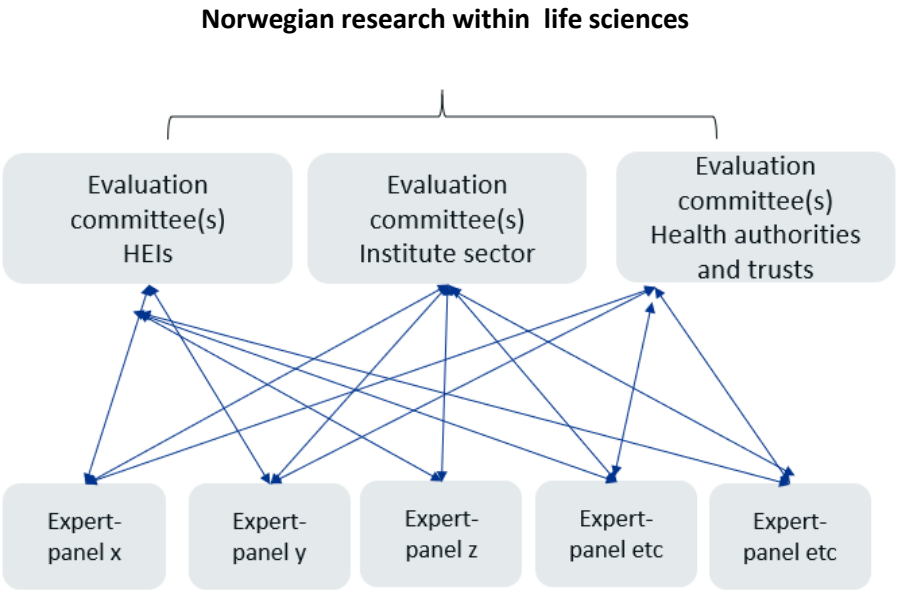

Figure 1. Evaluation committees and expert panels

The evaluation committee takes international trends and developments in science and society into account when forming its judgement. When judging the quality and relevance of the research, the committees shall bear in mind the specific tasks and/or strategic goals that the administrative unit has set for itself including sectoral purposes (see section 2.4 above).

3.2 Accuracy of factual information

The administrative unit under evaluation should be consulted to check the factual information before the final report is delivered to the RCN and the board of the institution hosting the administrative unit.

3.3 National level report

Finally, the RCN will ask the chairs of the evaluation committees to produce a national-level report that builds on the assessments of administrative units and the national-level assessments produced by the expert panels. The committee chairs will present their assessment of Norwegian research in life sciences at the national level in a separate report that pays specific attention to:

- Strengths and weaknesses of the research area in the international context
- The general resource situation regarding funding, personnel and infrastructure
- PhD training, recruitment, mobility and diversity
- Research cooperation nationally and internationally
- Societal impact and the role of research in society, including Open Science

This national-level assessment should be presented to the RCN.

Appendix A: Terms of References (ToR)

[Text in red to be filled in by the Research-performing organisations (RPOs)]

The board of [RPO] mandates the evaluation committee appointed by the Research Council of Norway (RCN) to assess [administrative unit] based on the following Terms of Reference.

Assessment
You are asked to assess the organisation, quality and diversity of research conducted by [administrative unit] as well as its relevance to institutional and sectoral purposes, and to society at large. You should do so by judging the unit's performance based on the following five assessment criteria (a. to e.). Be sure to take current international trends and developments in science and society into account in your analysis.

a) Strategy, resources and organisation
b) Research production, quality and integrity
c) Diversity and equality
d) Relevance to institutional and sectoral purposes
e) Relevance to society

For a description of these criteria, see Chapter 2 of the life sciences evaluation protocol. Please provide a written assessment for each of the five criteria. Please also provide recommendations for improvement. We ask you to pay special attention to the following [n] aspects in your assessment:

1. …
2. …
3. …
4. …

…

[To be completed by the board: specific aspects that the evaluation committee should focus on – they may be related to a) strategic issues, or b) an administrative unit's specific tasks.]

In addition, we would like your report to provide a qualitative assessment of [administrative unit] as a whole in relation to its strategic targets. The committee assesses the strategy that the administrative unit intends to pursue in the years ahead and the extent to which it will be capable of meeting its targets for research and society during this period based on available resources and competence. The committee is also invited to make recommendations concerning these two subjects.

Documentation
The necessary documentation will be made available by the life sciences secretariat at Technopolis Group.

The documents will include the following:

- a report on research personnel and publications within life sciences commissioned by RCN
- a self-assessment based on a template provided by the life sciences secretariat
- [to be completed by the board]

Interviews with representatives from the evaluated units
Interviews with the [administrative unit] will be organised by the evaluation secretariat. Such interviews can be organised as a site visit, in another specified location in Norway or as a video conference.

Statement on impartiality and confidence
The assessment should be carried out in accordance with the *Regulations on Impartiality and Confidence in the Research Council of Norway*. A statement on the impartiality of the committee members has been recorded by the RCN as a part of the appointment process. The impartiality and confidence of committee and panel members should be confirmed when evaluation data from [the administrative unit] are made available to the committee and the panels, and before any assessments are made based on these data. The RCN should be notified if questions concerning impartiality and confidence are raised by committee members during the evaluation process.

Assessment report
We ask you to report your findings in an assessment report drawn up in accordance with a format specified by the life sciences secretariat. The committee may suggest adjustments to this format at its first meeting. A draft report should be sent to the [administrative unit] and RCN by [date]. The [administrative unit] should be allowed to check the report for factual inaccuracies; if such inaccuracies are found, they should be reported to the life sciences secretariat no later than two weeks after receipt of the draft report. After the committee has made the amendments judged necessary, a corrected version of the assessment report should be sent to the board of [the RPO] and the RCN no later than two weeks after all feedback on inaccuracies has been received from [administrative unit].

Appendix B: Data sources

The lists below shows the most relevant data providers and types of data to be included in the evaluation. Data are categorised in two broad categories according to the data source: National registers and self-assessments prepared by the RFOs. The RCN will commission an analysis of data in national registers (R&D-expenditure, personnel, publications etc.) to be used as support for the committees' assessment of administrative units. The analysis will include a set of indicators related to research personnel and publications.

- **National directorates and data providers**
- Norwegian Directorate for Higher Education and Skills (HK-dir)
- Norwegian Agency for Quality Assurance in Education (NOKUT)
- Norwegian Agency for Shared Services in Education and Research (SIKT)
- Research Council of Norway (RCN)
- Statistics Norway (SSB)

National registers

1) R&D-expenditure
    a. SSB: R&D statistics
    b. SSB: Key figures for research institutes
    c. HK-dir: Database for Statistics on Higher Education (DBH)
    d. RCN: Project funding database (DVH)
    e. EU-funding: eCorda
2) Research personnel
    a. SSB: The Register of Research personnel
    b. SSB: The Doctoral Degree Register
    c. RCN: Key figures for research institutes
    d. HK-dir: Database for Statistics on Higher Education (DBH)
3) Research publications
    a. SIKT: Cristin - Current research information system in Norway
    b. SIKT: Norwegian Infrastructure for Bibliometrics
    (full bibliometric data incl. citations and co-authors)
4) Education
    a. HK-dir/DBH: Students and study points
    b. NOKUT: Study barometer
    c. NOKUT: National Teacher Survey
5) Sector-oriented research
    a. RCN: Key figures for research institutes
6) Patient treatments and health care services
    a. Research & Innovation expenditure in the health trusts
    b. Measurement of research and innovation activity in the health trusts
    c. Collaboration between health trusts and HEIs
    d. Funding of research and innovation in the health trusts
    e. Classification of medical and health research using HRCS (HO21 monitor)

Self-assessments

1) Administrative units
    a. *Self-assessment covering all assessment criteria*
    b. Administrative data on funding sources
    c. Administrative data on personnel
    d. Administrative data on the division of staff resources between research and other activities (teaching, dissemination etc.)
    e. Administrative data on research infrastructure and other support structures
    f. SWOT analysis
    g. Any supplementary data needed to assess performance related to the strategic goals and specific tasks of the unit

2) Research groups
    a. *Self-assessment covering the first two assessment criteria (see Table 1)*
    b. Administrative data on funding sources
    c. Administrative data on personnel
    d. Administrative data on contribution to sectoral purposes: teaching, commissioned work, clinical work [will be assessed at committee level]
    e. Publication profiles
    f. Example publications and other research results (databases, software etc.) The examples should be accompanied by an explanation of the groups' specific contributions to the result
    g. Any supplementary data needed to assess performance related to the benchmark defined by the administrative unit

The table below shows how different types of evaluation data may be relevant to different evaluation criteria. Please note that the self-assessment produced by the administrative units in the form of a written account of management, activities, results etc. should cover all criteria. A template for the self-assessment of research groups and administrative units will be commissioned by the RCN from the life sciences secretariat for the evaluation.

Table 1. Types of evaluation data per criterion

Evaluation units / Criteria	Research groups	Administrative units
Strategy, resources and organisation	Self-assessment Administrative data	Self-assessment National registers Administrative data SWOT analysis
Research production and quality	Self-assessment Example publications (and other research results)	Self-assessment National registers
Diversity, equality and integrity		Self-assessment National registers Administrative data
Relevance to institutional and sectoral purposes		Self-assessment Administrative data
Relevance to society		Self-assessment National registers Impact cases
Overall assessment	*Data related to:* *Benchmark defined by administrative unit*	*Data related to:* *Strategic goals and specific tasks of the admin. unit*

The Research Council of Norway

EVALBIOVIT

Self-assessment for administrative units

Version 1.2

Overview

Institution (name and short name):
Administrative unit (name and short name):
Date:
Contact person:
Contact details (email):

1 Introduction

The primary aim of the evaluation is to reveal and confirm the quality and the relevance of research performed at Norwegian Higher Education Institutions (HEIs), and by the institute sector. For the life sciences area, research undertaken by regional health authorities and health trusts is also included. These institutions will henceforth be collectively referred to as research performing organisations (RPOs). The evaluation report(s) will provide a set of recommendations to the RPOs, the Research Council of Norway (RCN) and the concerned ministries. The results of the evaluation will also be disseminated for the benefit of potential students, users of research, and society at large.

You have been invited to complete this self-assessment as an administrative unit. The self-assessment contains questions regarding the unit's research- and innovation related activities and developments over the past 10 years. All the submitted data will be evaluated by evaluation committees (for administrative units) and expert panels (for research groups). Please read through the whole document including all instructions before answering the questions to avoid overlaps.

As an administrative unit, you are also responsible for collecting the completed self-assessment for each of the research groups that belong to the unit. The research groups need to submit their completed self- assessment to the unit no later than the 1st of December 2022. The unit will submit the research groups' completed self-assessments and the unit's own completed self-assessment no later than the 5th of December 2022.

The whole self-assessment shall be written in English.

Please use the following format when naming your document: name of the institution, and name of the administrative unit, e.g. UiO_FacBiosci. Send it to evalbiovit@technopolis-group.com no later than 5th of December 2022.

For questions concerning the self-assessment or EVALBIOVIT in general, please contact RCN's evaluation secretariat at Technopolis Group: evalbiovit.questions@technopolis-group.com.

Many thanks in advance![1]

[1] Personal information will be deleted when evaluation reports are published and no later than 30 April 2024

For more information on how Technopolis Group handles data processing, see: http://www.technopolis-group.com/privacy-policy/

For more information on how the Research Council of Norway handles data processing, see: https://www.forskningsradet.no/en/privacy-policy/

2 Self-assessment for administrative units

Self-assessment guidelines:

- Data on personnel should refer to reporting to DBH on 1 October 2021 for HEIs and to the yearly reporting for 2021 for the institute sector
- Other data should refer to 31 December 2021 if not specified otherwise
- Please read the entire self-assessment document before answering
- Provide information – provide documents and other relevant data or figures about the administrative unit, for example strategy and other planning documents, as well as data on R&D expenditure, sources of income and results and outcomes of research
- Describe – explain and present using contextual information about the administrative unit (most often this includes filling out specific forms) and inform the reader about the administrative unit
- Reflect – comment in a reflective and evaluative manner how the administrative unit operates
- 4000 characters including spaces equals one page

2.1 Strategy, resources and organisation of research

2.1.1 Research strategy

2.1.1.1 Describe the main strategic goals for research and innovation of the administrative unit (1000–4000 characters). How are these goals related to institutional strategies?

- Describe the main fields and focus of research and innovation in the unit
- Describe how you work to maximise synergies between the different purposes of the unit
- Describe the planned research-field impact; planned policy impact and planned societal impact
- Describe how the strategy is followed-up in the allocation of resources and other measures
- Describe the most important occasions where priorities are made (i.e., announcement of new positions, applying for external funding, following up on evaluations)
- If there is no long-term research strategy – explain why

Form 1 *Administrative unit's strategic planning documents*

Instructions: For each category (Research strategy, Research funding, Cooperation policy, Open science policy) present up to 5 documents that according to you are the most relevant. If the administrative unit uses the strategies, policies, etc. of a larger institution, then present these documents. Please use the following formatting: Name of document, Years active, Link to the document.

Example: Norwegian University of Science and Technology Strategy, 2021–2025, hyperlink to the document

2.1.2 Organisation of research

2.1.2.1 Describe the organisation of research and innovation activities at the unit, including how responsibilities for research and other purposes (education, knowledge exchange, patient treatment, training etc) are distributed and delegated (500–1500 characters).

Form 2 *SWOT analysis for administrative units*

Instructions: Please complete a SWOT analysis for your administrative unit. Reflect on what are the major internal Strengths and Weaknesses as well as external Threats and Opportunities for your research and innovation activities and research environment. Assess what the present Strengths enable in the future and what kinds of Threats are related to the Weaknesses. Consider your scientific expertise and achievements, funding, facilities, organisation and management (500–2000 characters per cell).

2.1.3 Research funding

2.1.3.1 Describe the funding sources of the unit and indicate the share of the unit's budget (NOK) dedicated to research compared to other purposes. Shares may be calculated based on full time equivalents (FTE) allocated to research compared to total FTE in unit (500–1500 characters).

2.1.3.2 Describe how successful the administrative unit has been in obtaining competitive regional, national and/or international research funding grants (200–1000 characters).

Form 3 *Funding levels for the administrative unit for 2021*

Instructions: For administrative units in the institute sector receiving basic funding via RCN, funding levels should be provided for 2021 in the funding categories used in the yearly reporting:

a) National grants (NOK) (post 1.1 og 1.2)):

   i) from the Research Council of Norway (NOK) – excluding basic funding

   ii) from the ministries and underlying directorates (NOK)

   iii) from industry (NOK)

   iv) other national grants including third sector, private associations and foundations (NOK)

b) National contract research (post 1.3)

c) International grants (post 1.4)

d) Funding related to public management (forvaltningsoppgaver post 1.5)

For Higher Education Institutions costs covered by external funding sources should be reported according to the same categories as far as possible. Costs may be classified as Other if they cannot be placed in one of the specified categories. Reporting should be based on incurred costs (regnskapstall) for 2021.

2.1.4 Participation in national infrastructures

2.1.4.1 Describe the most important participation in the national infrastructures listed in the Norwegian roadmap for research infrastructures (Nasjonalt veikart for forskningsinfrastruktur) including as host institution(s) (200–1000 characters).

Form 4 *Infrastructures listed in the Norwegian roadmap for research infrastructures (Nasjonalt veikart for forskningsinfrastruktur)*

Instructions: Please present up to 5 participations in the national infrastructures listed in the Norwegian roadmap for research infrastructures (Nasjonalt veikart for forskningsinfrastruktur) for each area that were the most important to your administrative unit. For each category area, please use the following formatting:

Name of research infrastructure, Years when used, Description (100–500 characters) of the engagement with the research infrastructure (reasoning, objectives, expected/actual outcomes).

[2] Excluding basic funding.

[3] For research institutes only research activities should be included from section 1.3 in the yearly reporting

2.1.4.2 Describe the most important participation in the international infrastructures funded by the ministries (Norsk deltakelse i internasjonale forskningsorganisasjoner finansiert av departementene) (200–1000 characters).

Form 5 *Participation in international research organisations*

Instructions: Please describe up to 5 participations in international and European infrastructures (ESFRI) for each area that have been most important to your research unit. When presenting your participation, please use the following formatting:

Name of research infrastructure, Years when used, Description (100–500 characters) of the participation in the research infrastructure (reasoning, objectives, expected/actual outcomes).

2.1.4.3 Describe the most important participation in European (ESFRI) infrastructures (Norske medlemskap i infrastrukturer i ESFRI roadmap) including as host institution(s) (200–1000 characters).

Form 6 *Participation in infrastructures on the ESFRI Roadmap*

Instructions: For each area, please give a description of up to 5 engagements that have been most important to your research unit. When presenting your participation, please use the following formatting: Name of research infrastructure, Years when used, Description (100–500 characters) of the engagement with the research infrastructure (reasoning, objectives, expected/actual outcomes)."

2.1.5 Accessibility to research infrastructures

2.1.5.1 Describe the accessibility to research infrastructures for your researchers. Considering both physical and electronic infrastructure (200–1000 characters).

2.1.5.2 Describe what is done at the unit to fulfil the FAIR-principles[4] (200–1000 characters).

2.1.6 Research staff

2.1.6.1 Describe the profile of research personnel at the unit in terms of position and gender (200–1000 characters).

Form 7 *Administrative data on the division of staff resources for 2021*

2.1.6.2 Describe the structures and practices to foster researcher careers and help early-career researchers to make their way into the profession (200–1000 characters).

2.1.6.3 Describe how research time is distributed among staff including criteria for research leave (forskningsfri) (200–1000 characters).

2.1.6.4 Describe research mobility options (200–1000 characters).

2.2 Research production, quality, and integrity

2.2.1 Research quality and integrity

2.2.1.1 Describe the scientific focus areas of the research conducted at the administrative unit, including the unit's contribution to these areas (500–2000 characters).

2.2.1.2 Describe the unit's policy for research integrity, including preventative measures when integrity is at risk, or violated (200–1000 characters).[5]

2.2.2 Open Science policies at the administrative unit

2.2.2.1 Describe the institutional policies, approaches, and activities to the following Open Science areas (consider each area separately, 500–1000 characters in total):

- Open access to publications
- Open access to research data and implementation of FAIR data principles
- Open-source software/tools
- Open access to educational resources
- Open peer review
- Skills and training for Open Science
- Citizen science and/or involvement of stakeholders / user groups

2.2.2.2 Describe the most important contributions and impact of the unit's researchers towards the different Open Science areas (consider each area separately, 500–1000 characters in total):

- Open access to publications
- Open access to research data and implementation of FAIR data principles
- Open-source software/tools
- Open access to educational resources
- Open peer review
- Skills and training for Open Science
- Citizen science and/or involvement of stakeholders/user groups

2.2.2.3 Describe the institutional policy regarding ownership of research data, data management, and confidentiality (200–1000 characters). Is the use of data management plans implemented at the unit?

2.3 *Diversity and equality*

2.3.1 Diversity and equality practices

2.3.1.1 Describe the policy and practices to protect against any form of discrimination in the administrative unit (200–1000 characters).

Form 8 *Administrative unit's policies against discrimination*

Instructions: Give a description of up to 5 documents that are the most relevant. If the administrative unit uses the strategies, policies, etc. of a larger institution, then these documents should be referred to. For each document use the following formatting: Name of document, Years active, Link to the document

Example: Norwegian University of Science and Technology Strategy, 2021–2025, hyperlink to the document

2.4 Relevance to institutional and sectorial purposes

2.4.1 Sector specific impact

2.4.1.1 Describe whether the administrative unit has activities aimed at achieving sector-specific objectives[6] or focused on contributing to the knowledge base in general. Describe activities connected to sector-specific objectives, the rationale for participation and achieved and/or expected impacts (500–3000 characters).

- Alternatively, describe whether the activities of the unit are aimed at contribution to the knowledge base in general. Describe the rationale for this approach and the impacts of the unit's work to the knowledge base.

2.4.2 Research innovation and commercialisation

2.4.2.1 Describe the administrative unit's practices for innovation and commercialisation (500–1500 characters).

- Describe the interest among the research staff in doing innovation and commercialisation activities
- Describe how innovation and commercialisation is supported at the unit

Form 9 *Administrative unit's policies for research innovation*

Instructions: Describe up to 5 documents of the administrative unit's policies for research innovation, including IP policies, new patents, licenses, start-up/spin-off guidelines, etc., that are the most relevant. If the administrative unit uses the strategies, policies, etc. of a larger institution, then present these documents. For each document use the following formatting: Name of document, Years active, Link to the document

Example: Norwegian University of Science and Technology Strategy, 2021–2025, hyperlink to the document

2.4.2.2 Provide examples of successful innovation and commercialisation results, such as new patents, licenses, etc (500–1500 characters).

Form 10 *Administrative description of successful innovation and commercialisation results*

Instructions: Please describe up 10 successful innovation and commercialisation results at your administrative unit. For each result, please use the following formatting: Name of innovation and commercial results, Year, Links to relevant documents, articles, etc. that present the result, Description (100–500 characters) of successful innovation and commercialisation result.

2.4.3 Collaboration

2.4.3.1 Describe the unit's policy towards regional, national and international collaboration, as well as how cross-sectorial collaboration and interdisciplinary collaboration is approached at the administrative unit (500–1500 characters). Please fill out the forms that match your institution: the institute sector fills out Form 11a and Form 11b; HEIs fill out Form 12.

- Reflect on how successful the unit have been in meeting its aspirations for collaborations

Form 11a (institute sector) *Administrative unit's partnerships ('faktisk samarbeid')*

Instructions: For each of the administrative unit's tender and project-based cooperation (which are not tax deducted) please present up to 5 examples under each category (Collaboration with national public institutions; Collaboration with national private institutions; Collaboration with international public institutions; Collaboration with international private institutions). Please use 100– 500 characters to describe the impacts and relevance of collaboration.

Form 11b (institute sector) *Administrative unit's collaboration*

Instructions: For each of the administrative unit's tender and project-based cooperation please present up to 5 examples under each category (Collaboration with academic partners nationally; Collaboration with non-academic partners nationally; Collaboration with academic partners internationally; Collaboration with non-academic partners internationally). Please use 100–500 characters to describe the impacts and relevance of collaboration.

2.4.3.2 Reflect on the importance of different types of collaboration for the administrative unit (200–1000 characters).

- Regional, national and international collaborations

Collaborations with different sectors, including public, private and third sector

Form 12 (HEIs) *Administrative unit's partnerships" ('faktisk samarbeid')*

Instructions: For each of the administrative unit's tender and project-based cooperation (which are not tax deducted) please present up to 5 examples under each category (Collaboration with national public institutions; Collaboration with national private institutions; Collaboration with international public institutions; Collaboration with international private institutions). Please use 100– 500 characters to describe the impacts and relevance of collaboration.

2.4.3.3 Reflect on the importance of different types of collaboration for the administrative unit, the added value of these collaborations to the administrative unit and Norwegian research system (500–1500 characters).

2.4.4 ONLY for higher education institutions

2.4.4.1 Reflect on how research at the unit contributes towards master and PhD-level education provision, at your institutions and beyond (200–1000 characters).7

2.4.4.2 Describe the opportunities for master and bachelor students to become involved in research activities at the unit (200–1000 characters).

2.4.5 ONLY for research institutes

2.4.5.1 Describe how the research activities at the administrative unit contribute to the knowledge base for policy development, sustainable development, and societal and industrial transformations more generally (500–1500 characters).8

2.4.5.2 Describe the most important research activities including those with partners outside of research organisations (500–1500 characters).

2.5 Relevance to society

2.5.1 Administrative unit's societal impact

2.5.1.1 Reflect on the unit's contribution towards the Norwegian Long-term plan for research and higher education, societal challenges more widely, and the UN Sustainable Development Goals (500–1500 characters).

2.5.1.2 Describe how the administrative unit's research and innovation has contributed to economic, societal and cultural development by submitting one to five impact cases depending on the size of the unit. For up to 10 researchers: one case; for 10 to 30 researchers: two cases; for 30-50 researchers: three cases; for 50-100 researchers: four cases, and up to five cases for units exceeding 100 researchers. Please use the attached template for impact cases. Each impact case will be submitted as an attachment to the self-evaluation. Institutions that submit impact cases do not have to fill in the box below.

Case no. 1

Thank you for completing the self-assessment.

[7] Please note: RCN will provide data from the national student survey (Studiebarometeret) on students' experience with research methods and exposure to research activities. The data will most probably be on an aggregate level but including the unit under assessment.

[8] Strategi for helhetlig instituttpolitikk, Kunnskapsdepartementet, p.4): «Instituttsektoren skal utvikle kunnskapsgrunnlag for politikkutforming og bidra til bærekraftig utvikling og omstilling, gjennom forskning av høy kvalitet og relevans.» (The government's strategy for an independent institute sector).

Scales for research group assessment

Organisational dimension

Score	Organisational environment
5	An organisational environment that is outstanding for supporting the production of excellent research.
4	An organisational environment that is very strong for supporting the production of excellent research.
3	An organisational environment that is adequate for supporting the production of excellent research.
2	An organisational environment that is modest for supporting the production of excellent research.
1	An organisational environment that is not supportive for the production of excellent research.

Quality dimension

Score	Research and publication quality	Score	Research group's contribution Groups were invited to refer to the Contributor Roles Taxonomy in their description https://credit.niso.org/
5	Quality that is outstanding in terms of originality, significance and rigour.	5	The group has played an outstanding role in the research process from the formulation of overarching research goals and aims via research activities to the preparation of the publication.
4	Quality that is internationally excellent in terms of originality, significance and rigour but which falls short of the highest standards of excellence.	4	The group has played a very considerable role in the research process from the formulation of overarching research goals and aims via research activities to the preparation of the publication.
3	Quality that is recognised internationally in terms of originality, significance and rigour.	3	The group has a considerable role in the research process from the formulation of overarching research goals and aims via research activities to the preparation of the publication.
2	Quality that meets the published definition of research for the purposes of this assessment.	2	The group has modest contributions to the research process from the formulation of overarching research goals and aims via research activities to the preparation of the publication.
1	Quality that falls below the published definition of research for the purposes of this assessment.	1	The group or a group member is credited in the publication, but there is little or no evidence of contributions to the research process from the formulation of overarching research goals and aims via research activities to the preparation of the publication.

Societal impact dimension

Score	Research group's societal contribution, taking into consideration the resources available to the group	Score	User involvement
5	The group has contributed extensively to economic, societal and/or cultural development in Norway and/or internationally.	5	Societal partner involvement is outstanding – partners have had an important role in all parts of the research process, from problem formulation to the publication and/or process or product innovation.
4	The group's contribution to economic, societal and/or cultural development in Norway and/or internationally is very considerable given what is expected from groups in the same research field.	4	Societal partners have very considerable involvement in all parts of the research process, from problem formulation to the publication and/or process or product innovation.
3	The group's contribution to economic, societal and/or cultural development in Norway and/or internationally is on par with what is expected from groups in the same research field.	3	Societal partners have considerable involvement in the research process, from problem formulation to the publication and/or process or product innovation.
2	The group's contribution to economic, societal and/or cultural development in Norway and/or internationally is modest given what is expected from groups in the same research field.	2	Societal partners have a modest part in the research process, from problem formulation to the publication and/or process or product innovation.
1	There is little documentation of contributions from the group to economic, societal and/or cultural development in Norway and/or internationally.	1	There is little documentation of societal partners' participation in the research process, from problem formulation to the publication and/or process or product innovation.

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