

## Evaluation of Natural Sciences 2022-2023

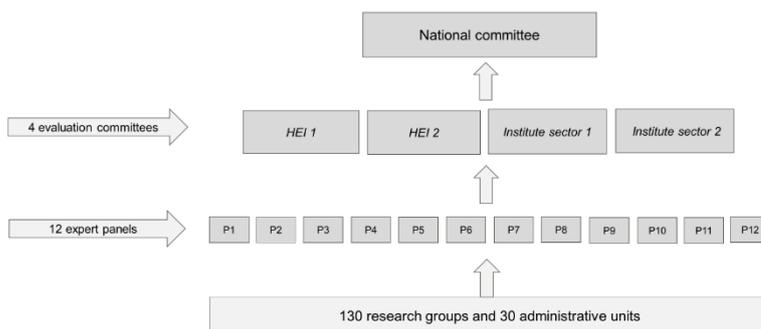
In accordance with the statutes of the Research Council of Norway (RCN), the RCN evaluates Norwegian research at Higher Education Institutions (HEIs) and independent research institutes to create a solid and up-to-date knowledge base about Norwegian research and higher education in an international perspective. The evaluation of natural sciences in Norway took place in 2022 – 2023.

The primary aim of the evaluation of natural sciences (physics, chemistry, and geosciences) is to reveal and confirm the quality and the relevance of research performed at Norwegian Higher Education Institutions (HEIs) and by the Institute Sector. The evaluation shall result in recommendations to the institutions, the Research Council, and the Government.

The evaluation included thirty administrative units (e.g. faculty, department, institution) which were submitted for evaluation by the host institution and assessed by four evaluation committees according to sectorial affiliation and/or other relevant similarities between the units.

The administrative units were invited to submit their research groups (130) to be assessed by twelve expert panels organised by research subjects or themes. The expert panels assessed research groups across institutions and sectors.

### Evaluation of physics, chemistry and geosciences (EVALNAT) 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 strategic development. The administrative unit together with the research group(s) selected appropriate benchmarks for each of the research group(s).

The Research Council has commissioned an external 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. The Research Council will use the evaluation reports in the development of funding instruments and as basis for advice to the Government.

The web page for the evaluation of natural sciences 2022-2023:  
[Evaluation of natural sciences 2022-2023 \(forskingsradet.no\)](https://forskingsradet.no)

Se vedlagte adresseliste

Vår saksbehandler/tlf.  
Marianne Grønsløth/91889241  
Terje Strand/90090026

Vår ref.  
21/10735  
Deres ref.

Oslo,  
11.11.2021

## **Nye fagevalueringer innenfor matematikk, naturvitenskap og teknologi i perioden 2022 – 2024 - invitasjon til å delta**

Vi viser til vedlagte varsel om oppstart av nye evalueringer sendt til institusjonenes ledelse 9. november 2021.

Hovedmålet med fagevaluering av matematikk, naturvitenskap og teknologi 2022-2024 er å vurdere kvaliteten på norsk forskning, rammebetingelsene for matematisk-naturvitenskapelig og teknologisk forskning i Norge, og forskningens relevans for sentrale samfunnsområder. Evalueringen skal resultere i anbefalinger til institusjonene, Forskningsrådet og departementene.

Forskingsrådet har benyttet resultatene fra tidligere evalueringer som grunnlag for forskningspolitiske råd til regjering og berørte departementer, og til å utvikle nye virkemidler som f.eks. Sentre for fremragende forskning (SFF) og Unge forskertalenter.

### ***Nye fagevalueringer***

Noen gjennomgående begrensninger i tidligere evalueringer har vært at den disiplinbaserte inndelingen ikke samsvarer med hvordan forskningen er organisert ved institusjonene, og at evalueringene har vurdert alle institusjoner med den samme målestokken uavhengig av deres sektortilhørighet, ressurser og strategiske mål. Basert på erfaringene med de to første rundene av fagevalueringer har Forskningsrådet gjort noen justeringer i modellen som vi vil bruke for tredje runde av fagevalueringer. Den nye evalueringsmåten gir muligheter for tilpasning av mandat og evalueringskriterier til institusjonenes egne strategier og formål.

Porteføljestyret for naturvitenskap og teknologi vedtok i sitt møte 4. oktober 2021 å gjennomføre to fagevalueringer:

- **Evaluering av naturvitenskap (EVALNAT) (2022-2023)**
- **Evaluering av matematikk, IKT og teknologi (EVALMIT) (2023-2024)**

De nye fagevalueringene retter seg mot UH-sektoren og instituttsektoren. Forskningsrådet forventer at aktuelle forskningsmiljøer deltar i evalueringene, selv om beslutning om deltagelse gjøres ved den enkelte institusjon. Det forventes at deltakende institusjoner setter av tilstrekkelig med ressurser til å delta i evalueringsprosessen, og at institusjonen representeres med én person i hver evaluering. Forskningsrådet vil koordinere lokal og nasjonal planlegging for den enkelte evaluering gjennom felles dialogmøter og individuell oppfølging.

### ***Invitasjon til å delta og dato for informasjonsmøte***

Vi ber institusjonene om å melde inn sine administrative enheter (institutt, avdeling, senter) til de to aktuelle evalueringene EVALNAT eller EVALMIT ved å fylle ut vedlagte skjema (vedlegg). For universitetene har vi fylt inn institutter som er relevante for MNT-fag (med unntak av biovitenskap/livsvitenskap), men andre administrative enheter kan tilføyes. Vi gjør oppmerksom på at en administrativ enhet kun kan delta i en av de to evalueringene EVALNAT eller EVALMIT. I de tilfeller hvor det er forskningsgrupper i begge evalueringene, for eksempel *Institutt for matematikk og fysikk*, så kan enheten delta i begge evalueringene.

Frist for å melde inn administrative enheter er **torsdag 2. desember 2021**.

Vedlagte skjema fylles ut og sendes til: [evalnat@forskningsradet.no](mailto:evalnat@forskningsradet.no)

I forkant av innmeldingsfristen 2. desember vil Forskningsrådet arrangere et digitalt informasjonsmøte som retter seg mot kontaktpersoner ved fakulteter/ledelse:

**tirsdag 23. november 2021, kl. 14:15 - 15:00.**

For påmelding: [INFORMASJONSMØTE - NYE FAGEVALUERINGER \(pameldingssystem.no\)](https://pameldingssystem.no)

### ***Videre prosess***

Forskningsrådet skal utarbeide en evalueringsprotokoll som beskriver roller, prosesser og ansvarsfordeling i evalueringsarbeidet. Protokollen legger rammer for utformingen av evalueringsmandater for hver enkelt institusjon ved å angi overordnede evalueringsdimensjoner og felles evalueringskriterier.

Etter innmeldingsfristen 2. desember 2021 vil Forskningsrådet gå i dialog med de aktuelle miljøene på fakultetsnivå/instituttledelse om utformingen av mandatet og i utvelgelse av relevante evalueringsdata og indikatorer. Institusjonene vil også ha ansvaret for innsamling av data som skal danne grunnlag for å vurdere evalueringskriteriene.

Videre vil vi be de administrative enhetene som ønsker å delta om selv å identifisere sine evalueringsenheter/forskergrupper, altså de enhetene som skal være gjenstand for evaluering av forskningens kvalitet og relevans og som vil bli vurdert av internasjonale ekspertpaneler. Disse enhetene må oppfylle noen minimumskrav til størrelse, organisering og strategiske mål, men kan være både mindre enn eller identisk med en organisatorisk enhet. Forskningsrådet vil deretter opprette et antall ekspertpaneler for hver evaluering med eksperter som til sammen har kompetanse til å vurdere evalueringsenheter/forskergrupper som meldes inn fra institusjonene. Forskningsrådet vil legge til rette for at panelstrukturen har tilstrekkelig faglig bredde til at all forskning ved hver enkelt administrativ/organisatorisk enhet kan evalueres i en og samme fagevaluering. Mer informasjon om dette vil vi komme tilbake til på et senere tidspunkt.

*Nettsider*

Forskningsrådet vil opprette en nettside på [www.forskningsradet.no](http://www.forskningsradet.no) for hver evaluering hvor informasjon vil bli publisert fortløpende.

*Spørsmål*

Spørsmål som gjelder de to fagevalueringen(e) kan rettes til:

**Marianne Grønsleth, mobil 91 88 92 41**

**Terje Strand, mobil 900 900 26**

Med vennlig hilsen

**Norges forskningsråd**

Petter Helgesen  
Avdelingsdirektør

Marianne Grønsleth  
Spesialrådgiver

**Vedlegg**

Innmeldingsskjema NYE FAGEVALUERINGER 2022, MNT-fag.

Varsel om oppstart av nye evalueringer sendt til institusjonenes ledelse 09.11.21

Adresseliste

## Adresseliste - Brev av 11. november 2021

Institusjon	Fakulteter/divisjoner/etc.
Universitetet i Bergen	Det matematisk-naturvitenskapelige fakultet
Universitetet i Oslo	Det matematisk-naturvitenskapelige fakultet
Universitetet i Tromsø - Norges arktiske universitet	Fakultet for ingeniørvitenskap og teknologi
Universitetet i Tromsø - Norges arktiske universitet	Fakultet for naturvitenskap og teknologi
Norges miljø- og biovitenskapelige universitet	Fakultetet for Kjemi, bioteknologi og matvitenskap
Norges miljø- og biovitenskapelige universitet	Fakultet for miljøvitenskap og naturforvaltning
Norges miljø- og biovitenskapelige universitet	Fakultet for realfag og teknologi
Norges teknisk-naturvitenskapelige universitet	Fakultet for arkitektur og design
Norges teknisk-naturvitenskapelige universitet	Fakultet for informasjonsteknologi og elektroteknikk
Norges teknisk-naturvitenskapelige universitet	Fakultet for ingeniørvitenskap
Norges teknisk-naturvitenskapelige universitet	Fakultet for medisin og helsevitenskap
Norges teknisk-naturvitenskapelige universitet	Fakultet for naturvitenskap
Norges teknisk-naturvitenskapelige universitet	Fakultet for økonomi
Universitetssenteret på Svalbard	
Universitetet i Agder	Fakultet for samfunnsvitenskap
Universitetet i Agder	Fakultet for teknologi og realfag
Høgskulen på Vestlandet	Fakultet for ingeniør- og naturvitenskap
Høgskolen i Molde	Avdeling for logistikk
OsloMet - storbyuniversitetet	Fakultet for teknologi, kunst og design
Universitetet i Stavanger	Det teknisk- naturvitenskapelige fakultet
Universitetet i Sørøst-Norge	Fakultet for teknologi, naturvitenskap og maritime fag
Universitetet i Sørøst-Norge	Handelshøyskolen, Institutt for økonomi og IT
Høgskolen i Østfold	Fakultet for IKT, ingeniørfag og økonomi
Høyskolen Kristiania	School of Economics, Innovation, and Technology
NORCE Norwegian Research Centre AS	NORCE Energi og teknologi
NORCE Norwegian Research Centre AS	NORCE Klima og miljø
SINTEF	SINTEF Narvik
SINTEF	SINTEF Community
SINTEF	SINTEF Digital
SINTEF	SINTEF Industri
SINTEF	SINTEF Energi
SINTEF	SINTEF Ocean
SINTEF	SINTEF Manufacturing
NORSUS: Norsk institutt for bærekraftsforskning	
Meteorologisk institutt	Forsknings- og utviklingsdivisjonen
Forsvarets forskningsinstitutt	
Havforskningsinstituttet	
Nansen Senter for Miljø og Fjernmåling	
Norges geologiske undersøkelse	
Norges Geotekniske Institutt	
NORSAR	
NILU - Norsk institutt for luftforskning	
Norsk institutt for vannforskning	
Norsk Polarinstitutt	
Norsk Regnesentral	
CICERO Senter for klimaforskning	
Vestlandsforskning	
Institutt for energiteknikk	
Norsk institutt for bioøkonomi	Divisjon for miljø og naturressurser
SIMULA Research Laboratory	

# **Evaluation of natural sciences in Norway 2022-2023**

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**Protocol version 1.0**

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The Research Council of Norway  
Visiting address: Drammensveien 288  
P.O. Box 564  
NO-1327 Lysaker

Telephone: +47 22 03 70 00

Telefax: +47 22 03 70 01

[post@rcn.no](mailto:post@rcn.no)

[www.rcn.no](http://www.rcn.no)

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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 natural 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.

<i>Administrative unit</i>	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.
<i>Research group</i>	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 natural sciences at the national level

The Research Council of Norway (RCN) will:

- provide a template for the Terms of Reference<sup>1</sup> for the assessment of RPOs and a national-level assessment in natural 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 natural 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)

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<sup>1</sup> 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 based on 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<sup>2</sup>

- 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

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<sup>2</sup> <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<sup>3</sup> 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 (RHF) in Norway. They are responsible for the specialist health service in their respective regions. The RHF 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 (HF), 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.<sup>4</sup> The three other main 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,

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<sup>3</sup> [Strategy for a holistic institute policy \(Kunnskapsdepartementet 2020\)](#)

<sup>4</sup> 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 [research area] 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 natural 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.

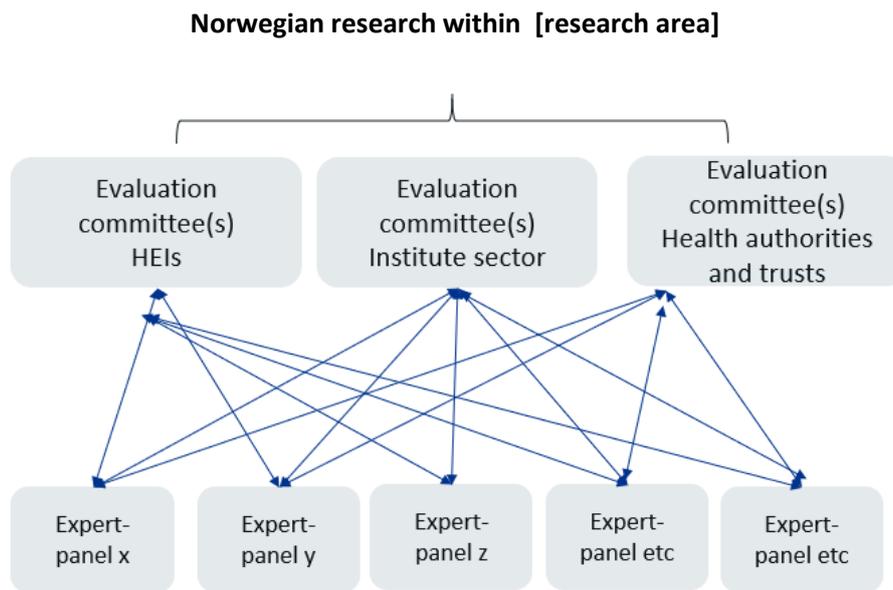


Figure 1. Evaluation committees and expert panels

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 [research area] 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 [research area] 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 [research area] secretariat at Technopolis Group

The documents will include the following:

- a report on research personnel and publications within [research area] commissioned by RCN
- a self-assessment based on a template provided by the [research area] 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 NATEVAL 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 [research area] 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 [research area] secretariat for the evaluation.

Table 1. Types of evaluation data per criterion

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



**The Research Council  
of Norway**

# EVALNAT

Self-assessment for administrative  
units

Version 1.2

## Overview

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**Institution (name and short name):**

---

**Administrative unit (name and short name):**

---

**Date:**

---

**Contact person:**

---

**Contact details (email):**

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# 1 Introduction

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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 [evalnat@technopolis-group.com](mailto:evalnat@technopolis-group.com) no later than 5th of December 2022.

For questions concerning the self-assessment or EVALNAT in general, please contact RCN's evaluation secretariat at Technopolis Group: [evalnat.questions@technopolis-group.com](mailto:evalnat.questions@technopolis-group.com).

Many thanks in advance!

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<sup>1</sup> 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.forskningradet.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](#)

<b>Research strategy</b>	
1	...
<b>Research funding</b>	
1	...
<b>Cooperation policy</b>	
1	...
<b>Open Science policy</b>	
1	...

## 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).

	Strengths	Weaknesses
Internal		
External	Opportunities	Threats

## 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.

<b>National grants (NOK)</b>	
From the Research Council of Norway <sup>2</sup>	
From the ministries and underlying directorates	
From industry	
Other national grants	
<b>Total</b>	
<b>National contract research (oppdragsinntekter)<sup>3</sup> (NOK)</b>	
From the Research Council of Norway	
From the ministries and underlying directorates	
From industry	
Other national contract research	
<b>Total</b>	
<b>International grants (limited to research activities)</b>	
From the European Union	
From industry	
Other international grants	
<b>Total</b>	
<b>Funding related to public management (e.g., forvaltningsoppgaver) or (if applicable) funding related to special hospital tasks, if any</b>	
<b>Total</b>	

## 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).

<sup>2</sup> Excluding basic funding.

<sup>3</sup> For research institutes only research activities should be included from section 1.3 in the yearly reporting

Area strategies	Administrative unit's participation
Bioresources	
Biotechnology	
E-infrastructure	
The humanities	
ICT	
Climate and the environment	
Environmentally friendly energy	
Maritime technology	
Medicine and health	
Nanotechnology and advanced materials	
Petroleum Technology	
Social sciences and welfare	
Other infrastructure needs in the natural sciences and technology	

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).

Project		Summary of participation
CERN	European Organization for Nuclear Research	
EMBL/EMBC	European Molecular Biology Laboratory	
	The European Molecular Biology Conference	
ESRF	European Synchrotron Radiation Facility	
IARC	International Agency for Research on Cancer	
ESA	European Space Agency	
OECD Halden	Haldenprosjektet	

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)."

Social sciences and the humanities		
Name	ESFRI-project	Summary of participation
CLARIN ERIC	Common Language Resources and Technology Infrastructure	
ESSurvey ERIC	European Social Survey	
CESSDA ERIC	Council of European Social Science Data Archives	
Natural sciences and technology		
Name	ESFRI-project	Summary of participation
EISCAT 3D	European Next Generation Incoherent Scatter radar	
	European Incoherent Scatter Scientific Association	
ECCSEL ERIC	European Carbon Dioxide Capture and Storage Laboratory Infrastructure	

**Climate and the environment**

Name	ESFRI-project	Summary of participation
Euro Argo ERIC	European contribution to the Argo program	
EMSO ERIC	The European Multidisciplinary Seafloor and water column Observatory	
ICOS ERIC	Integrated Carbon Observation System	
EPOS ERIC	European Plate Observing System	
SIOS Svalbard AS	Svalbard Integrated Arctic Earth Observing System	

**Biology and medicine (Life sciences)**

Name	ESFRI-project	Summary of participation
ELIXIR (EMBL)	European infrastructure for biological information, supporting life science research and its translation to medicine, agriculture, bioindustries and society	

**Energy**

Name	ESFRI-project	Summary of participation
------	---------------	--------------------------

<b>BBMRI ERIC</b>	Biobanking and Biomolecular Resources Research Infrastructure	
<b>EATRIS ERIC</b>	European Advanced Translational Research Infrastructure in Medicine	
<b>EU-OPENSREEN ERIC</b>	European Infrastructure of Open Screening Platforms for Chemical Biology	
<b>ECRIN ERIC</b>	European Clinical Research Infrastructures Network	
<b>Euro-BiImaging ERIC</b>	Research Infrastructure for Imaging Technologies in Biological and Biomedical Sciences	
<b>EMBRC ERIC</b>	European Marine Biological Resource Centre	
<b>Analysis</b>		
<b>Name</b>	<b>ESFRI-project</b>	<b>Summary of participation</b>
<b>European Spallation Source ERIC</b>	European Spallation Source	
<b>ESRF – EBS</b>	European Synchrotron Radiation Facility – Extremely Brilliant Source	

### 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<sup>4</sup> (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

**Instructions:** Please complete the administrative data of staff resources.

	Position by category	No. of staff per category	Share of women per category	No. of FTE per category
<b>Number of personnel by position</b>	<Position A (Fill in)>	<No. of staff>	<% of staff>	<No. of FTE>
	<Position B (Fill in)>	<No. of staff>	<% of staff>	<No. of FTE>
	<Position C (Fill in)>	<No. of staff>	<% of staff>	<No. of FTE>
	<Position D (Fill in)>	<No. of staff>	<% of staff>	<No. of FTE>
	<Position E (Fill in)>	<No. of staff>	<% of staff>	<No. of FTE>
	<Position F (Fill in)>	<No. of staff>	<% of staff>	<No. of FTE>

- 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).<sup>5</sup>

<sup>4</sup> <http://www.go-fair.org/fair-principles/>

<sup>5</sup> Research integrity relates both to the scientific integrity of conducted research and to the professional integrity of researchers.

### 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](#)

No.	Policies against discrimination
1	...

## 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<sup>6</sup> 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.

<sup>6</sup>For example, those described in the Development Agreements for universities and other national guidelines for the different sectors.

### 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

No.	Policies for research innovation
1	...

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 to 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.

No.	Description
1	...

### 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.

Collaboration with national public institutions			
Name of collaborative projects or collaborations	Partner institutions		Impacts and relevance of collaboration
	Name of partner institution	Sector of partner institution	

Collaboration with national private institutions			
Name of collaborative projects or collaborations	Partner institutions		Impacts and relevance of collaboration
	Name of partner institution	Sector of partner institution	
Collaboration with international public institutions			
Name of collaborative projects or collaborations	Partner institutions		Impacts and relevance of collaboration
	Name of partner institution	Sector of partner institution	
Collaboration with international private institutions			
Name of collaborative projects or collaborations	Partner institutions		Impacts and relevance of collaboration
	Name of partner institution	Sector of partner institution	

### 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.

Collaboration with academic partners nationally			
Name of collaborative projects or collaborations	Partner institutions		Impacts and relevance of collaboration
	Name of partner institution	Sector of partner institution	
Collaboration with non-academic partners nationally			
Name of collaborative projects or collaborations	Partner institutions		Impacts and relevance of collaboration
	Name of partner institution	Sector of partner institution	
Collaboration with academic partners internationally			
Name of collaborative projects or collaborations	Partner institutions		Impacts and relevance of collaboration
	Name of partner institution	Sector of partner institution	
Collaboration with non-academic partners internationally			
Name of collaborative projects or collaborations	Partner institutions		Impacts and relevance of collaboration
	Name of partner institution	Sector of partner institution	

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.

Collaboration with national public institutions			
Name of collaborative projects or collaborations	Partner institutions		Impacts and relevance of collaboration
	Name of partner institution	Sector of partner institution	
Collaboration with national private institutions			
Name of collaborative projects or collaborations	Partner institutions		Impacts and relevance of collaboration
	Name of partner institution	Sector of partner institution	
Collaboration with international public institutions			
Name of collaborative projects or collaborations	Partner institutions		Impacts and relevance of collaboration
	Name of partner institution	Sector of partner institution	
Collaboration with international private institutions			
Name of collaborative projects or collaborations	Partner institutions		Impacts and relevance of collaboration
	Name of partner institution	Sector of partner institution	

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).<sup>7</sup>
- 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).<sup>8</sup>
- 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

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<sup>7</sup> 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.

<sup>8</sup> 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](#)).

Thank you for completing the self-assessment.

## Scales for research group assessment

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### 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 <a href="https://credit.niso.org/">https://credit.niso.org/</a>
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.