

A4L_ACTIONS

Alliance for Life Sciences: From Strategies to Actions in Central and Eastern Europe

H2020-SC1-2020-Single-Stage-RTD-964997

D1.1 Self-assessment report template

Work Package:WP1
Task:Task:T1.1Deliverable due date:31/05/2021Responsible partner:BMC SAVEditors:Silvia PastorekováDeliverable number:D1.1Deliverable type:RDissemination level:PUFirst Created:01/06/2021Last Updated:14/06/2021Version:3.2 (final)



This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 964997. This document reflects the view of Alliance4Life's consortium and the European Commission is not responsible for any use that may be made of the information it contains.

Table of Contents

1	I		3
2	N	IETHODOLOGY OF SELF-ASSESSMENT	3
	2.1	SWOT ANALYSIS	4
	2.2	SELF-ASSSSMENT OF MANAGERIAL PRACTICES	5
	2.3	SURVEY OF INTERNAL RESEARCH CULTURE & INSTITUTIONAL ENVIROR	MENT.6
3	В		7
	3.1	RESEARCH EXCELLENCE	7
	3.2	KNOWLEDGE TRANSFER	9
	3.3	FUNDING AND GRANTS	9
	3.4	HUMAN RESOURCES	11
	3.5	CORE FACILITIES AND/OR SPECIAL INFRASTRUCTURES	12
4	Α	PPENDICES	14
	4.1	APPENDIX A: SELF-ASSSSMENT OF MANAGERIAL PRACTICES	14
	4.2	APPENDIX B: ANONYMOUS ONLINE SURVEY	

1 INTRODUCTION

D1.1 Self-assessment Report Template is the first public deliverable of the A4L_ACTIONS project (No. 964997). It falls under the work package **WP1 – Culture for Excellence, Task 1.1 Institutional self-assessment of R&I excellence and research culture** (Lead: BMC SAV, Partners: all, M1-M6). This deliverable sets the basis for the D1.2 Self-assessment reports due in month 7 (November 2021).

With the self-assessment task, the Alliance4Life intends to build on the work performed during the previous project of Alliance4Life (No. 779303) in order to

- get an **overview of the progress of member institutions** the baseline for the progress assessment provides the deliverable *D2.1 Assessment Report_779303*, and
- learn how the member institutions work with the best practices formulated during the previous project in the deliverable *D2.2 Inventory of Best Practice_779303*.

In comparison with the previous project, the current self-assessment task has been enriched with SWOT analysis, self-assessment of managerial practices and survey of institutional culture (see chapter 2). The reason for the methodological enrichment is based on our **focus on excellence**. Excellence in science is a function of hard work and outstanding personalities. We need to foster an environment which attracts and supports exceptional individuals, where they feel freedom to pursue big questions and ambitions, and where their efforts are not hampered by an envious community, lack of resources, or excessive duties on top of their research. In Central and Eastern Europe (CEE), such an environment emerges sporadically, often by lucky accidents, and is not systemically built and nurtured. However, **institutional practice** (administration, human resources policy, relations with industry, focus on impact of research) are the underlying **aspects which make a difference** between good and excellent research institutions.

In order to **make the environment attractive for top scientists** we need to imprint a **culture favourable for excellence** into the "DNA" of institutions in CEE. We consider evaluation of not only scientific performance, but also of institutional practices as the best grounds to start with the cultural transformation. Fair and open feedback from both internal research personnel and from scientific peers will enable informed decision making by institutional managements, will provide guidance for strategic decisions, and will open up the mind-sets of leaders by bringing in new perspectives.

2 METHODOLOGY OF SELF-ASSESSMENT

There is now wide recognition that quality of research is very difficult to assess using metrics alone and that qualitative assessments are essential. Therefore, we intend to promote the international evaluation of scientific performance as a strategic management tool for decisions supporting culture for excellence in CEE research institutions.

The evaluation will start with **internal reflection through self-assessment reports** including:

- \Rightarrow SWOT analysis
- \Rightarrow Self-assessment of managerial practices
- \Rightarrow Internal survey of institutional culture and environment

Using **SWOT** analysis, all partners will identify their unique attributes and factors that are expected to shape their sustainability and progressive development and will select ten most valued basic research, application and/or societal outputs generated throughout 2018-2020 period.

In addition, all partners will respond to a set of questions related to **institutional practices** including internal rules of management and communication, science evaluation, research integrity, staffing policy, human resources and mobility, grant support, tech transfer and IP management, etc. This part and the SWOT analysis will be **completed by the management** of the Alliance4Life's member institutions.

On voluntary basis, A4L_ACTIONS partners will perform an **anonymous internal survey among employees** with the aim to receive individual opinions on **institutional research environment**, working conditions, senior-junior relationships, time devoted to real research compared to complementary activities, perception of high-quality research, motivation to perform research, teaching and training etc.

The institutional self-assessment reports will be supplemented by the collection of **bibliometric and other quantitative indicators** that will be used in a standardized manner for benchmarking of their research performance and for evaluation of trends when compared to the baseline situation reflecting data collected by the Alliance4Life members three years ago.

The Alliance4Life partners that are comprehensive institutions covering a broad range of research areas will perform their self-assessment reports on research activities related to Life Sciences.

2.1 SWOT ANALYSIS

Table 2.1 SWOT analysis template

STRENGTHS WEAKNESSES advantages, uniqueness, competencies, internal barriers and limitations, skills, capacities, resources, reputation, gaps in skills, knowledge and infrastructure, management, partnerships etc. low staff motivation and involvement etc. **OPPORTUNITIES** THREADS external barriers, strong competition, improvements, performance, motivation, collaborations and strategic alliances, new lack of funding, loss of sustainability etc. grant opportunities etc. **SELECTION OF 10 BEST OUTPUTS** outstanding research papers, innovations, projects, societal impacts

2.2 SELF-ASSSSMENT OF MANAGERIAL PRACTICES

Self-assessment of managerial practices will be accomplished via **online survey to be filled out by the management of the Alliance4Life's member institutions**. The aim is to get an overview about the adoption of best practices suggested by Alliance4Life (as described in the deliverable "D2.2 Inventory of Best Practices_779303" from the previous project).

Domain	Торіс	Particular aspects
	Science Evaluation and Benchmarking	Evaluations on a regular basis Independent peer review Bibliometric analysis Benchmarking Indicators and mechanisms of data collection Consequences of the evaluation
	Research Integrity and Ethics	Research ethics committee or consultants Procedures for handling RI&E cases Courses on RI&E at institutional level SOP Trainings
ctices	Internalization of Human Resources and Mobility	
Management Practices	Grant preparation & Implementation	
Mana	Technology Transfer and IP Management	Tech Transfer Office or external consultants Tech Transfer Strategy Policy on IP protection
	Science Communication	Communication/PR department Communication/PR plan Work with media and journalists Trainings in communication skills Twitter account
	Organization and Management	autonomy

*Full-text template is included in the Appendix A to this deliverable.

2.3 SURVEY OF INTERNAL RESEARCH CULTURE & INSTITUTIONAL ENVIRONMENT

Domain	Торіс	Particular aspects
	Profile of Respondent	Career stage Job position Gender Caring responsibilities Current employment status Average numbers of hours dedicated to research
	Management and Leadership	Activities of supervisor, PI or manager Leadership skills Management decisions Research freedom Plans and opportunities Open communication
vironment	Career Development	Markers of a successful career Barriers of a successful career Work-life balance Competition versus collaboration KPIs Research ethics Satisfaction with work and prospects
Internal Environment	Perception of Research Culture and Experiences	Competition versus creativity Quantity versus quality Impact of metrics Bureaucracy Safety, diversity and equality in working environment Personal resiliency Work-load versus well-being
	Visions	Prerequisites and responsibilities for positive changes Opportunities for improvements Personal engagement
	Science Communication	Role and impact of science communication Responsibility Opportunities for improvement Personal engagement
	Internalization of Human Resources and Mobility remplate is included in the Appendix B to	English language in internal communication Website in English Welcome office Guidelines for new employees

*Full-text template is included in the Appendix B to this deliverable.

3 BENCHMARKING INDICATORS

We selected a set of indicators reflecting bibliometric parameters, projects, HR capacities, etc. with the main focus on criteria of excellence. The indicators are mostly corresponding to indicators used in the previous project **to allow for direct comparison of A4L partners' trends** in research performances.

3.1 RESEARCH EXCELLENCE

In the set of indicators of research excellence, we included a new indicator related to **multi-author papers** based on Clarivate analysis concluding that the combination of many authors/many countries creates a complex authorship pattern that differs from more typical academic papers and **drives elevated citation rates**. This is particularly visible at the level of institutions and small countries. (<u>https://clarivate.com/webofsciencegroup/wpcontent/uploads/sites/2/dlm_uploads/2019/12/WS419558643_I_SI_Global_Research_Report_6_v9_RGB_SP.pdf</u>)

Indicators will also include a list of top research personalities of the partner institutions, including 10 senior researchers and 10 junior researchers, who can serve as experts for external peer review evaluation and/or as speakers at mini-conferences/match-making events.

Domain	Indicator	Definition
	Publications	Number of publications that are part of the Web of Science Core Collection; type of document (i.e., article, review, or letter), published 2018 – 2020 (cumulative total for the whole period)
	Number of multi-author publications	Number of publications with more than 100 authors (according to WoS)
ence	Publications Tier 5*	Number of publications in Tier 5 (according to WoS)
Research Excellence	Publications Tier 10*	Number of publications in Tier 10 (including T5, according to WoS)
earch	Publications Quartile 1*	Number of publications in Q1 (including T10, according to WoS)
Res	Highly Cited Papers*	Number of highly cited papers (according to WoS)
	International Collaboration	% of papers with international collaboration (i.e., at least one author has at least one affiliation to foreign institution)
	National Collaboration	% of papers with only national collaboration
	Without Any Collaboration	% of publications without any collaboration
	Cumulative Impact Factor*	The sum of Impact Factors of all publications

Table 3.1 Benchmarking Indicators for the Research Excellence Domain

The cumulative sum of IFs across all publications, divided by the total number of publicationsIF Median*The middle value of IF calculated from full IF dataset. A value separating the higher half from the lower half of a data sample.Cumulative Citations*The sum of citations of all publications (including self-citations), divided by the total number of publications The middle value of citations calculated from the (including self-citations), divided by the total number of publications of the corresponding AuthorNumber of Publications of Corresponding AuthorThe number of publications across all publications of the corresponding author with affiliation to the domestic benchmark institution the corresponding author with affiliation to the domestic benchmark institution functions across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations)Average Citation of Corresponding AuthorThe middle value of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations)Average Citation of Corresponding AuthorThe middle value of citations across all publicationsMedian Citation of Corresponding AuthorThe middle value of citations across all publicationsMedian Citation of Corresponding AuthorThe middle value of citations across all publicationsMedian Citation of Corresponding AuthorThe middle value of citations across all publicationsMedian Citation of Corresponding AuthorNumber of ERC holders in 2018 – 2020 (that were implemented in 2018 – 2020 period, as beneficiary) <th></th> <th></th>		
IF Median* The middle value of IF calculated from full IF dataset. A value separating the higher half from the lower half of a data sample. Cumulative Citations* The sum of citations of all publications (including self-citations). Average Citations* The sum of citations of all publications per them (including self-citations). Average Citations* The sum of citations calculated from full if citations dataset. A value separating the higher half from the lower half of a data sample. Number of Publications of Corresponding Author The number of publications of the corresponding author with affiliation to the domestic benchmark institution The sum of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations) Average Citation of Corresponding Author The sum of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution per item (including self-citations) Average Citation of Corresponding Author The sum of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution per item (including self-citations), divided by the total number of publications Median Citation of Corresponding Author The middle value of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations). Median Citation of Corresponding Author The middle value of citations across all publications of the corresponding author with affililation to the domes	A	The cumulative sum of IFs across all
IF Median*The middle value of IF calculated from full IF dataset. A value separating the higher half from the lower half of a data sample.Cumulative Citations*The sum of citations of all publications (including self-citations)Average Citations*The sum of citations of all publications (including self-citations), divided by the total number of publications full citations dataset. A value separating the higher half from the lower half of a data sample.Number of Publications of Corresponding AuthorThe number of publications of the corresponding author corresponding AuthorCumulative Citations of Corresponding Author Corresponding AuthorThe sum of citations across all publications of the corresponding author with affiliation to the domestic benchmark institutionAverage Citation of Corresponding AuthorThe sum of citations across all publications of the domestic benchmark institution per item (including self-citations).Average Citation of Corresponding AuthorThe sum of citations across all publications of the domestic benchmark institution per item (including self-citations).Median Citation of Corresponding AuthorThe middle value of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations).Median Citation of Corresponding AuthorThe middle value of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution per item (including self-citations).Median Citation of Corresponding AuthorThe middle value of citations across all publications of the corresponding author with affiliation to the domest	Average IF*	
IF Median*dataset. A value separating the higher half from the lower half of a data sample.Cumulative Citations*The sum of citations of all publications (including self-citations)Average Citations*The sum of citations of all publications per item (including self-citations), divided by the total number of publications calculated from full citations dataset. A value separating the higher half from the lower half of a data sample.Number of Publications of Corresponding AuthorThe number of publications of the corresponding author with affiliation to the domestic benchmark institution ample.Average Citation of Corresponding AuthorThe sum of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations).Average Citation of Corresponding AuthorThe middle value of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations).Median Citation of Corresponding AuthorThe middle value of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations).Median Citation of Corresponding MSCA-IF GrantsNumber of ERC holders in 2018 – 2020 (that were implemented in 2018 – 2020, as beneficiary)Number of MSCA Individual Fellowships holders (that were implemented in 2018 – 2020, as beneficiary)Number of MSCA Individual Fellowships holders (that were implemented in 2018 – 2020, as beneficiary)Number of MSCA		
from the lower half of a data sample. Cumulative Citations* The sum of citations of all publications (including self-citations). Average Citations* Average Citations* Citations Median* Citations of Publications of Corresponding Author Cumulative Citations of Corresponding Author Average Citation of Corresponding Author The sum of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations) Average Citation of Corresponding Author The work of the corresponding author with affiliation to the domestic benchmark institution per item (including self-citations, divided by the total number of publications Median Citation of Corresponding Author Author The model value of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations). Murber of MSCA individu	IF Median*	
Cumulative Citations*The sum of citations of all publications (including self-citations)Average Citations*The sum of citations of all publications per item (including self-citations), divided by the total number of publications full citations dataset. A value separating the higher half from the lower half of a data sample.Number of Publications of Corresponding AuthorThe number of publications of the corresponding author with affiliation to the domestic benchmark institutionCumulative Citations of Corresponding AuthorThe number of publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations)Average Citation of Corresponding AuthorThe sum of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations)Median Citation of Corresponding AuthorThe middle value of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations)Median Citation of Corresponding AuthorThe middle value of citations across all publicationsMedian Citation of Corresponding AuthorThe middle value of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations)Median Citation of Corresponding AuthorThe middle value of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations)Median Citation of Corresponding AuthorThe middle value of citations across all publications of the		
Including self-citations)Average Citations*The sum of citations of all publications per item (including self-citations), divided by the total number of publicationsCitations Median*The middle value of citations calculated from full citations dataset. A value separating the higher half from the lower half of a data sample.Number of Publications of Corresponding AuthorThe number of publications of the corresponding author with affiliation to the domestic benchmark institutionCumulative Citations of Corresponding AuthorThe sum of publication situations across all publications of the corresponding author with affiliation to the corresponding author with affiliation to the domestic benchmark institution (including self-citations)Average Citation of Corresponding AuthorThe sum of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution per item (including self-citations), divided by the total number of publicationsMedian Citation of Corresponding AuthorThe middle value of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations)Median Citation of Corresponding AuthorNumber of ERC holders in 2018 – 2020 (that sere implemented in 2018 – 2020 (that sere implemented in 2018 – 2020 (that sere (that were implemented in 2018 – 2020, as beneficiary)Mumber of MSCA-IF GrantsNumber of MSCA Individual Fellowships holders (that were implemented in 2018 – 2020, as beneficiary)The most active research area 2020, as beneficiary)Number of silen institution mostly assigned according to the Subject categories in WoS (max	Currulative Citations*	-
Average Citations*item (including self-citations), divided by the total number of publicationsCitations Median*The middle value of citations calculated from full citations dataset. A value separating the higher half from the lower half of a data sample.Number of Publications of Corresponding AuthorThe number of publications of the corresponding author with affiliation to the domestic benchmark institution The sum of publications across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations)Average Citation of Corresponding AuthorThe sum of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution per item (including self-citations), divided by the total number of publicationsMedian Citation of Corresponding AuthorThe sum of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution per item (including self-citations), divided by the total number of publicationsMedian Citation of Corresponding AuthorNumber of ERC holders in 2018 – 2020 (that were implemented in 2018 – 2020 period, as beneficiary)Mumber of MSCA-IF GrantsNumber of MSCA Individual Fellowships holders (that were implemented in 2018 – 2020, as beneficiary)Mumber of given institution mostly assigned according to the Subject categories in WOS (max. 5 areas).Top research personalitiesExcellent researchers* with the highest recognition in research and/or innovation)	Cumulative Citations*	(including self-citations)
total number of publicationsCitations Median*Citations Median*Number of Publications of Corresponding AuthorNumulative Citations of Corresponding AuthorCumulative Citations of Corresponding AuthorCumulative Citations of Corresponding AuthorCumulative Citations of Corresponding AuthorCumulative Citations of Corresponding AuthorAverage Citation of Corresponding AuthorAverage Citation of Corresponding AuthorMedian Citation of Corresponding AuthorThe middle value of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations)Median Citation of Corresponding AuthorMumber of ERC Holders in 2018 – 2020 (that were implemented in 2018 – 2020 (that were implemented in 2018 – 2020 (that were implemented in 2018 – 2020, as beneficiary)Number of MSCA-IF GrantsMumber of MSCA Individual Fellowships holders (that were implemented in 2018 – 2020, as beneficiary)The most active research area in WOS (max. 5 areas).Top research personalitiesTop research personalities		The sum of citations of all publications per
Citations Median*The middle value of citations calculated from full citations dataset. A value separating the higher half from the lower half of a data sample.Number of Publications of Corresponding AuthorThe number of publications of the corresponding author with affiliation to the domestic benchmark institutionCumulative Citations of Corresponding AuthorThe sum of publication citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations)Average Citation of Corresponding AuthorThe sum of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution per item (including self-citations), divided by the total number of publicationsMedian Citation of Corresponding AuthorThe middle value of citations across all publicationsMedian Citation of Corresponding AuthorThe middle value of citations across all publicationsMedian Citation of Corresponding AuthorThe middle value of citations across all publicationsMedian Citation of Corresponding AuthorThe middle value of citations across all publicationsMedian Citation of Corresponding AuthorThe middle value of citations across all publicationsMedian Citation of Corresponding AuthorThe middle value of citations across all publicationsMedian Citation of Corresponding AuthorThe most across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations)Mumber of ERC GrantsNumber of ERC holders in 2018 – 2020 (that were implemented in 2018 – 2	Average Citations*	item (including self-citations), divided by the
Citations Median*full citations dataset. A value separating the higher half from the lower half of a data sample.Number of Publications of Corresponding AuthorThe number of publications of the corresponding author with affiliation to the domestic benchmark institutionCumulative Citations of Corresponding AuthorThe sum of publication citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations)Average Citation of Corresponding AuthorThe sum of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations), divided by the total number of publicationsMedian Citation of Corresponding AuthorThe middle value of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations).Median Citation of Corresponding AuthorNumber of ERC holders in 2018 – 2020 (that were implemented in 2018 – 2020 period, as beneficiary)Number of SCA Individual Fellowships holders (that were implemented in 2018 – 2020, as beneficiary)The research area into which are the publications of given institution mostly assigned according to the Subject categories in WoS (max. 5 areas).Top research personalitiesExcellent researchers* with the highest recognition in research and/or innovation)		•
IndexIndexIndexNumber of Publications of Corresponding AuthorThe number of publications of the corresponding author with affiliation to the domestic benchmark institutionCumulative Citations of Corresponding AuthorThe sum of publications across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations)Average Citation of Corresponding AuthorThe sum of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations), divided by the total number of publicationsMedian Citation of Corresponding AuthorThe middle value of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution per item (including self-citations), divided by the total number of publicationsMedian Citation of Corresponding AuthorThe middle value of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations)Median Citation of Corresponding AuthorNumber of ERC holders in 2018 – 2020 (that were implemented in 2018 – 2020 period, as beneficiary)Mumber of MSCA-IF GrantsNumber of MSCA Individual Fellowships holders (that were implemented in 2018 – 2020, as beneficiary)The most active research area assigned according to the Subject categories in WOS (max. 5 areas).Top research personalitiesExcellent researchers (10 senior and 10 junior researchers** with the highest recognition in research and/or innovation)		
Sample.Number of Publications of Corresponding AuthorThe number of publications of the corresponding author with affiliation to the domestic benchmark institutionCumulative Citations of Corresponding AuthorThe sum of publication citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations)Average Citation of Corresponding AuthorThe sum of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution per item (including self-citations), divided by the total number of publicationsMedian Citation of Corresponding AuthorThe middle value of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations), Number of publicationsMedian Citation of Corresponding AuthorNumber of ERC holders in 2018 – 2020 (that were implemented in 2018 – 2020 period, as beneficiary)MisCA-IF GrantsNumber of MSCA Individual Fellowships holders (that were implemented in 2018 – 2020, as beneficiary)The most active research area in WOS (max. 5 areas).Excellent researchers (10 senior and 10 junior research area)Top research personalitiesExcellent researchers ** with the highest recognition in research and/or innovation)	Citations Median*	
Number of Publications of Corresponding AuthorThe number of publications of the corresponding author with affiliation to the domestic benchmark institutionCumulative Citations of Corresponding AuthorThe sum of publication citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations)Average Citation of Corresponding AuthorThe sum of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution per item (including self-citations), divided by the total number of publicationsMedian Citation of Corresponding AuthorThe middle value of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations), divided by the total number of publicationsMedian Citation of Corresponding AuthorThe middle value of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations)Median Citation of Corresponding AuthorNumber of ERC holders in 2018 – 2020 (that were implemented in 2018 – 2020 period, as beneficiary)Number of MSCA-IF GrantsNumber of MSCA Individual Fellowships holders (that were implemented in 2018 – 2020, as beneficiary)The most active research area in WOS (max. 5 areas).Number of search, area into which are the publications of given institution mostly assigned according to the Subject categories in WOS (max. 5 areas).Top research personalitiesExcellent researchers (10 senior and 10 junior research and/or innovation)		-
Number of Publications of Corresponding Authorcorresponding author with affiliation to the domestic benchmark institution The sum of publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations)Average Citation of Corresponding AuthorThe sum of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution per item (including self-citations), divided by the total number of publicationsMedian Citation of Corresponding AuthorThe middle value of citations across all publicationsMedian Citation of Corresponding AuthorThe middle value of citations across all publicationsMedian Citation of Corresponding AuthorThe middle value of citations across all publicationsMedian Citation of Corresponding AuthorThe middle value of citations across all publicationsMedian Citation of Corresponding AuthorNumber of ERC holders in 2018 – 2020 (that were implemented in 2018 – 2020 period, as beneficiary)Number of MSCA-IF GrantsNumber of MSCA Individual Fellowships holders (that were implemented in 2018 – 2020, as beneficiary)The most active research area in WOS (max. 5 areas).Numor of sereas). Excellent researchers (10 senior and 10 junior research and/or innovation)		•
Corresponding Authordomestic benchmark institutionCumulative Citations of Corresponding AuthorThe sum of publication citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations)Average Citation of Corresponding AuthorThe sum of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution per item (including self-citations), divided by the total number of publicationsMedian Citation of Corresponding AuthorThe middle value of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations)Median Citation of Corresponding AuthorThe middle value of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations)Median Citation of Corresponding AuthorNumber of PublicationsMedian Citation of Corresponding AuthorNumber of ERC holders in 2018 – 2020 (that were implemented in 2018 – 2020 period, as beneficiary)Number of MSCA Individual Fellowships holders (that were implemented in 2018 – 2020, as beneficiary)Number of MSCA Individual Fellowships holders of given institution mostly assigned according to the Subject categories in WOS (max. 5 areas).Top research personalitiesExcellent researchers (10 senior and 10 junior researchers** with the highest recognition in research and/or innovation)	Number of Publications of	
Cumulative Citations of Corresponding AuthorThe sum of publication citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations)Average Citation of Corresponding AuthorThe sum of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution per item (including self-citations), divided by the total number of publications of the corresponding author with affiliation to the domestic benchmark institution publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations)Median Citation of Corresponding AuthorThe middle value of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations)Median Citation of Corresponding AuthorNumber of ERC holders in 2018 – 2020 (that were implemented in 2018 – 2020 period, as beneficiary)MSCA-IF GrantsNumber of MSCA Individual Fellowships holders (that were implemented in 2018 – 2020, as beneficiary)Mether the most active research area in WOS (max. 5 areas).The subject categories in WOS (max. 5 areas).Top research personalitiesExcellent researchers (10 senior and 10 junior researchers** with the highest recognition in research and/or innovation)	Corresponding Author	
Cumulative Citations of Corresponding Authorpublications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations)Average Citation of Corresponding AuthorThe sum of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution per item (including self-citations), divided by the total number of publicationsMedian Citation of Corresponding AuthorThe middle value of citations across all publicationsMedian Citation of Corresponding AuthorThe middle value of citations across all publicationsMedian Citation of Corresponding AuthorThe middle value of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations)Median Citation of Corresponding AuthorThe middle value of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations)Mumber of ERC GrantsNumber of ERC holders in 2018 – 2020 (that were implemented in 2018 – 2020 period, as beneficiary)MSCA-IF GrantsNumber of MSCA Individual Fellowships holders (that were implemented in 2018 – 2020, as beneficiary)The most active research area in WoS (max. 5 areas).The research area into which are the publications of given institution mostly assigned according to the Subject categories in WoS (max. 5 areas).Top research personalitiesExcellent researchers (10 senior and 10 junior research and/or innovation)		
Corresponding Authoraffiliation to the domestic benchmark institution (including self-citations)Average Citation of Corresponding AuthorThe sum of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution per item (including self-citations), divided by the total number of publicationsMedian Citation of Corresponding AuthorThe middle value of citations across all publicationsMedian Citation of Corresponding AuthorThe middle value of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations)Median Citation of Corresponding AuthorNumber of ERC holders in 2018 – 2020 (that were implemented in 2018 – 2020 (that were implemented in 2018 – 2020 period, as beneficiary)MSCA-IF GrantsNumber of MSCA Individual Fellowships holders (that were implemented in 2018 – 2020, as beneficiary)The most active research area in WOS (max. 5 areas).The research area into which are the publications of given institution mostly assigned according to the Subject categories in WOS (max. 5 areas).Excellent researchers ** with the highest recognition in research and/or innovation)	Cumulative Citations of	
Average Citation of Corresponding AuthorThe sum of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution per item (including self-citations), divided by the total number of publicationsMedian Citation of Corresponding AuthorThe middle value of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations)Median Citation of Corresponding AuthorThe middle value of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations)Median Citation of Corresponding AuthorNumber of ERC holders in 2018 – 2020 (that were implemented in 2018 – 2020 period, as beneficiary)MSCA-IF GrantsNumber of MSCA Individual Fellowships holders (that were implemented in 2018 – 2020, as beneficiary)The most active research area in WOS (max. 5 areas).The research area into which are the publications of given institution mostly assigned according to the Subject categories in WOS (max. 5 areas).Top research personalitiesExcellent researchers (10 senior and 10 junior research and/or innovation)	Corresponding Author	
Average Citation of Corresponding Authorthe corresponding author with affiliation to the domestic benchmark institution per item (including self-citations), divided by the total number of publicationsMedian Citation of Corresponding AuthorThe middle value of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations)Median Citation of Corresponding AuthorThe middle value of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations)Median Citation of Corresponding AuthorNumber of ERC holders in 2018 – 2020 (that were implemented in 2018 – 2020 period, as beneficiary)Number of MSCA-IF GrantsNumber of MSCA Individual Fellowships holders (that were implemented in 2018 – 2020, as beneficiary)The most active research area publications of given institution mostly assigned according to the Subject categories in WoS (max. 5 areas).Top research personalitiesExcellent researchers (10 senior and 10 junior research and/or innovation)		institution (including self-citations)
Average Citation of Corresponding Authorthe domestic benchmark institution per item (including self-citations), divided by the total number of publicationsMedian Citation of Corresponding AuthorThe middle value of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations)Median Citation of Corresponding AuthorThe middle value of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations)Median Citation of Corresponding AuthorNumber of ERC holders in 2018 – 2020 (that were implemented in 2018 – 2020 period, as beneficiary)Number of MSCA Individual Fellowships holders (that were implemented in 2018 – 2020, as beneficiary)The most active research area in WOS (max. 5 areas).Top research personalitiesExcellent researchers (10 senior and 10 junior research and/or innovation)		The sum of citations across all publications of
AuthorAuthorthe domestic benchmark institution per item (including self-citations), divided by the total number of publicationsMedian Citation of Corresponding AuthorThe middle value of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations)Median Citation of Corresponding AuthorThe middle value of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations)Median Citation of Corresponding AuthorNumber of ERC holders in 2018 – 2020 (that were implemented in 2018 – 2020 period, as beneficiary)MSCA-IF GrantsNumber of MSCA Individual Fellowships holders (that were implemented in 2018 – 2020, as beneficiary)The most active research area publications of given institution mostly assigned according to the Subject categories in WoS (max. 5 areas).Top research personalitiesExcellent researchers (10 senior and 10 junior research and/or innovation)	Average Citation of Corresponding	
Median Citation of Corresponding AuthorThe middle value of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations)MERC GrantsNumber of ERC holders in 2018 – 2020 (that were implemented in 2018 – 2020 period, as beneficiary)MSCA-IF GrantsNumber of MSCA Individual Fellowships holders (that were implemented in 2018 – 2020, as beneficiary)The most active research areaThe research area into which are the publications of given institution mostly assigned according to the Subject categories in WOS (max. 5 areas).Top research personalitiesExcellent researchers (10 senior and 10 junior research and/or innovation)		
Median Citation of Corresponding AuthorThe middle value of citations across all publications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations)ERC GrantsNumber of ERC holders in 2018 – 2020 (that were implemented in 2018 – 2020 period, as beneficiary)MSCA-IF GrantsNumber of MSCA Individual Fellowships holders (that were implemented in 2018 – 2020, as beneficiary)The most active research area in WoS (max. 5 areas).The research and 10 junior research and 10 junior research and/or innovation)		
Median Citation of Corresponding Authorpublications of the corresponding author with affiliation to the domestic benchmark institution (including self-citations)Mumber of ERC holders in 2018 – 2020 (that were implemented in 2018 – 2020 period, as beneficiary)MSCA-IF GrantsNumber of MSCA Individual Fellowships holders (that were implemented in 2018 – 2020, as beneficiary)Median Citation of Corresponding The most active research areaNumber of MSCA Individual Fellowships holders (that were implemented in 2018 – 2020, as beneficiary)The most active research areaThe research area into which are the publications of given institution mostly assigned according to the Subject categories in WOS (max. 5 areas).Top research personalitiesExcellent researchers (10 senior and 10 junior research and/or innovation)		-
Authoraffiliation to the domestic benchmark institution (including self-citations)ERC GrantsNumber of ERC holders in 2018 – 2020 (that were implemented in 2018 – 2020 period, as beneficiary)MSCA-IF GrantsNumber of MSCA Individual Fellowships holders (that were implemented in 2018 – 2020, as beneficiary)The most active research areaThe research area into which are the publications of given institution mostly assigned according to the Subject categories in WoS (max. 5 areas).Top research personalitiesExcellent researchers (10 senior and 10 junior research and/or innovation)	Median Citation of Corresponding	
ERC GrantsNumber of ERC holders in 2018 – 2020 (that were implemented in 2018 – 2020 period, as beneficiary)MSCA-IF GrantsNumber of MSCA Individual Fellowships holders (that were implemented in 2018 – 2020, as beneficiary)The most active research areaThe research area into which are the publications of given institution mostly assigned according to the Subject categories in WoS (max. 5 areas).Top research personalitiesExcellent researchers (10 senior and 10 junior research and/or innovation)		
ERC GrantsNumber of ERC holders in 2018 – 2020 (that were implemented in 2018 – 2020 period, as beneficiary)MSCA-IF GrantsNumber of MSCA Individual Fellowships holders (that were implemented in 2018 – 2020, as beneficiary)The most active research areaThe research area into which are the publications of given institution mostly assigned according to the Subject categories in WoS (max. 5 areas).Top research personalitiesExcellent researchers (10 senior and 10 junior research and/or innovation)		
beneficiary)MSCA-IF GrantsNumber of MSCA Individual Fellowships holders (that were implemented in 2018 – 2020, as beneficiary)The most active research areaThe research area into which are the publications of given institution mostly assigned according to the Subject categories in WOS (max. 5 areas).Top research personalitiesExcellent researchers (10 senior and 10 junior research and/or innovation)		
MSCA-IF GrantsNumber of MSCA Individual Fellowships holders (that were implemented in 2018 – 2020, as beneficiary)The most active research areaThe research area into which are the publications of given institution mostly assigned according to the Subject categories in WOS (max. 5 areas).Top research personalitiesExcellent researchers (10 senior and 10 junior research and/or innovation)	ERC Grants	
MSCA-IF Grants holders (that were implemented in 2018 – 2020, as beneficiary) The most active research area The research area into which are the publications of given institution mostly assigned according to the Subject categories in WoS (max. 5 areas). Top research personalities Excellent researchers (10 senior and 10 junior researchers** with the highest recognition in research and/or innovation)		beneficiary)
2020, as beneficiary)The most active research areaThe most active research areaThe most active research areaPublications of given institution mostly assigned according to the Subject categories in WoS (max. 5 areas).Top research personalitiesExcellent researchers (10 senior and 10 junior research and/or innovation)		
The most active research areaThe research area into which are the publications of given institution mostly assigned according to the Subject categories in WoS (max. 5 areas).Top research personalitiesExcellent researchers (10 senior and 10 junior researchers** with the highest recognition in research and/or innovation)	MSCA-IF Grants	· · · · · · · · · · · · · · · · · · ·
The most active research area publications of given institution mostly assigned according to the Subject categories in WoS (max. 5 areas). Top research personalities Excellent researchers (10 senior and 10 junior researchers** with the highest recognition in research and/or innovation)		
The most active research area assigned according to the Subject categories in WoS (max. 5 areas). Excellent researchers (10 senior and 10 junior research personalities Top research personalities		
in WoS (max. 5 areas). Excellent researchers (10 senior and 10 junior researchers** with the highest recognition in research and/or innovation)	The most active research area	
Top research personalitiesExcellent researchers (10 senior and 10 junior researchers** with the highest recognition in research and/or innovation)		· · · ·
Top research personalities researchers** with the highest recognition in research and/or innovation)		
research and/or innovation)	_	
	Top research personalities	
		their KPIs and research fields

* Indicators will be collected separately for regular and multi-author publications

**Category of junior researchers includes researchers up to 7 years from PhD award, with extensions for special circumstances as defined in ERC Work Program 2021: <u>https://ec.europa.eu/info/funding-</u> tenders/opportunities/docs/2021-2027/horizon/wp-call/2021/wp_horizon-erc-2021_en.pdf

3.2 KNOWLEDGE TRANSFER

Domain	Indicator	Definition
Knowledge Transfer		Number of PCT applications (cumulative total from 2018 – 2020)
edge T	• •	Number of licenses and IP Assignments (cumulative total from 2018 – 2020)
Knowl	Spin-offs	Number of spin-offs (incl. start-ups exploiting the know-how of the institution) in the period of 2018 – 2020

3.3 FUNDING AND GRANTS

Domain	Indicator	Definition
	Total Cumulative Funding (EUR) Spent During 2018 – 2020	Total operational cost (including investments)
	Spent-International (competitive)	
	Spent-National - Institutional (non-competitive)	
	Spent-National (competitive)	
	Spent-ESIF	
	Spent-Private	
	Spent-Other	
Grants	Spent-Investments	Long-term investments, as part of total cumulative funding, from all sources (e.g., construction, equipment, etc.)
Funding & Grants	Total Awarded Funding During 2018 – 2020	Timing is based on institutional practice; the sum of all categories below = total awarded funding
Fun	Core Funding-National	
	(non-competitive)	Institutional funding
	Operating	
	Investment	
	National Grants (competitive)	
	Research	
	Infrastructure	
	CSA, Capacity-building, and	
	Networking	
	ESIF funding	
	Research	

Infrastructure CSA, Capacity-building, and Networking Awarded during 2018 – 2020 (includes all types of collaborative projects, as coordinator and partner(s)); EC contribution is only for the A4L institution H2020 ERC (number) H2020 ERC (value, EUR) H2020 HEALTH (number) H2020 MSCA IF (number) H2020 MSCA ITN (number) H2020 MSCA ITN (value, EUR) H2020 MSCA ITN (value, EUR) H2020 MSCA ETN (value, EUR) H2020 MSCA ETN (value, EUR)
Networking International Grants Awarded during 2018 – 2020 (includes all types of collaborative projects, as coordinator and partner(s)); EC contribution is only for the A4L institution H2020 ERC (number) Includes only those who host the ERC (implementation matters) H2020 ERC (value, EUR) Includes only those who host the person (implementation matters) H2020 MSCA IF (number) Includes only those who host the person (implementation matters) H2020 MSCA IF (value, EUR) Includes only those who host the person (implementation matters) H2020 MSCA IF (value, EUR) Includes only those who host the person (implementation matters) H2020 MSCA IF (value, EUR) Includes only those who host the person (implementation matters) H2020 MSCA IF (value, EUR) Includes only those who host the person (implementation matters) H2020 MSCA IF (value, EUR) H2020 MSCA ITN (number) H2020 MSCA ITN (value, EUR) H2020 MSCA ITN (value, EUR)
International Grantstypes of collaborative projects, as coordinator and partner(s)); EC contribution is only for the A4L institutionH2020 ERC (number)Includes only those who host the ERC (implementation matters)H2020 ERC (value, EUR)H2020 HEALTH (number)H2020 HEALTH (value, EUR)H2020 HEALTH (value, EUR)H2020 MSCA IF (number)Includes only those who host the person (implementation matters)H2020 MSCA IF (value, EUR)H2020 MSCA IF (value, EUR)H2020 MSCA IF (value, EUR)H2020 MSCA ITN (number)H2020 MSCA ITN (number)H2020 MSCA ITN (number)H2020 MSCA ITN (value, EUR)H2020 MSCA ETN (number)
H2020 ERC (number)(implementation matters)H2020 ERC (value, EUR)H2020 HEALTH (number)H2020 HEALTH (value, EUR)H2020 MSCA IF (number)H2020 MSCA IF (value, EUR)H2020 MSCA IF (value, EUR)H2020 MSCA IF (value, EUR)H2020 MSCA ITN (number)H2020 MSCA ITN (number)H2020 MSCA ITN (value, EUR)H2020 MSCA ITN (value, EUR)H2020 MSCA ITN (value, EUR)H2020 MSCA ITN (value, EUR)H2020 MSCA ITN (value, EUR)
H2020 HEALTH (number) H2020 HEALTH (value, EUR) H2020 MSCA IF (number) H2020 MSCA IF (number) H2020 MSCA IF (value, EUR) H2020 MSCA ITN (number) H2020 MSCA ITN (value, EUR) H2020 MSCA ITN (value, EUR) H2020 MSCA ETN (number)
H2020 HEALTH (value, EUR)H2020 MSCA IF (number)Includes only those who host the person (implementation matters)H2020 MSCA IF (value, EUR)H2020 MSCA ITN (number)H2020 MSCA ITN (value, EUR)H2020 MSCA ITN (value, EUR)H2020 MSCA ITN (value, EUR)H2020 MSCA ITN (value, EUR)
H2020 MSCA IF (number) H2020 MSCA IF (value, EUR) H2020 MSCA IF (value, EUR) H2020 MSCA ITN (number) H2020 MSCA ITN (value, EUR) H2020 MSCA ETN (number)
H2020 MSCA IF (value, EUR) H2020 MSCA IF (value, EUR) H2020 MSCA ITN (number) H2020 MSCA ITN (value, EUR) H2020 MSCA ETN (number)
H2020 MSCA ITN (number) H2020 MSCA ITN (value, EUR) H2020 MSCA ETN (number)
H2020 MSCA ITN (value, EUR) H2020 MSCA ETN (number)
H2020 MSCA ETN (number)
H2020 MSCA FTN (value, FUR)
H2020 MSCA RISE (number)
H2020 MSCA RISE (value, EUR)
H2020 Teaming (number)
H2020 Teaming (value, EUR)
H2020 Twinning (number)
H2020 Twinning (value, EUR)
H2020 ERA-Chairs (number)
H2020 ERA-Chairs (value, EUR)
H2020 LEIT (number)
H2020 LEIT (value, EUR)
H2020 FET (number)
H2020 FET (value, EUR)
H2020 SC (except Health) (number)
H2020 SC (except Health) (value, EUR)
ERA-NETs (number)
ERA-NETs (value, EUR)
IMI (number)
IMI (value, EUR)
EUROSTARS (number)
EUROSTARS (value, EUR)
Other (number)
Other (value, EUR)

Private income	
Contract research	
Knowledge transfer	(e.g., from licences)
Other	(e.g., private donations, rental of premises, etc.)
Other sources	

3.4 HUMAN RESOURCES

Table 3.4 Benchmarking Indicators for the Human Resources Domain
--

Domain	Indicator	Definition
	Total Staff FTE (all)	FTE=full-time equivalent: number of working hours that represent one full-time employee of the institute (for 2018 – 2020). Include: total staff of the institute: research, supporting technical, and supporting administration Exclude: PhD students without a working contract
	Total Staff FTE (female)	
	Total Staff FTE (international)	
	Total Staff HC (all)	Total staff HC (all): HC=headcounts: number of employees at the institute
	Total Staff HC (female)	
Ces	Total Staff HC (international)	
Human Resources	Research Staff FTE (all)	FTE=full-time equivalent: number of working hours that represent one full-time employee of the institute. To calculate FTE of research staff, encompass all working hours of research-affiliated staff, including those dedicated to their teaching or managerial duties. Research staff FTEs/HCs: include total research staff of the institute (researchers and facilities staff) Exclude: technical support, administrative, management, and students without a working contract
	Research Staff FTE (female)	
	Research Staff FTE (international)	
	Research Staff HC (all)	
	Research Staff HC (female)	
	Research Staff HC (international)	

Supporting Technical Staff FTE (all)	Include: Core Facility staff
Supporting Technical Staff FTE (female)	
Supporting Technical Staff FTE (international)	
Supporting Technical Staff HC (all)	
Supporting Technical Staff HC (female)	
Supporting Technical Staff HC (international)	
Supporting Administrative Staff FTE (all)	Include: administration and management
Supporting Administrative Staff FTE (female)	
Supporting Administrative Staff FTE (international)	
Supporting Administrative Staff	
HC (all)	
Supporting Administrative Staff HC (female)	
Supporting Administrative Staff HC (international)	

3.5 CORE FACILITIES AND/OR SPECIAL INFRASTRUCTURES

Table 3.5 Benchmarking Indicators for the Core Facilities /	Special Infrastructures Domain
---	--------------------------------

Domain	Indicator	Definition
	Number of Commercial Partners/Contracts	Number of partners cooperating with the institute based on a commercial contractual research/service provision when the partner institution is the supplier in this relationship, and company is in the position of the customer (for each year 2018 – 2020).
Core Facilities	Volume of Commercial Activities	Volume of a commercial contractual research/service provision to companies (for each year 2018 – 2020). Amount excl. VAT in EUR to be filled in.
	Coverage of the Running Costs from Core Facilities' Earnings (%)	Percentage of operational costs of Core Facilities covered by users' fees (for each year 2018 – 2020).

International Network Memberships (e.g., ESFRI roadmap membership)	Include full membership only, not preparatory
Users group	Percentage of the usage of Core Facilities by different user groups (to total 100%) (for each year 2018 – 2020).
Internal	
External Academic	
External Commercial	

4 APPENDICES

4.1 APPENDIX A: SELF-ASSSSMENT OF MANAGERIAL PRACTICES

Status of Best Practices Adoption

Online survey to be filled out by the management of the Alliance4Life's member institutions. The aim is to get an overview about the possible adoption of best practices suggested by Alliance4Life (as described in the deliverable "D2.2 Inventory of Best Practices_779303" from the previous project).

RESPONDING INSTITUTION: (name of the institution)

SCIENCE EVALUATION AND BENCHMARKING

1. Are the following statements true for your institution?

O YES, we had the practice in place already before Alliance4Life

- YES, we have adopted the practice based on inspiration from Alliance4Life
- NO, the practice has not been implemented
- PARTIALLY, the implementation is in progress

1.	$\bigcirc \bigcirc $	The evaluation is being organized regularly at least every 6 years (relates to
		internal and/or external evaluation)
2.	$\bigcirc \bigcirc $	The evaluation is being organized regularly with frequency more that every 6
		years
3.	$\bigcirc \bigcirc $	The evaluation includes an independent peer review
4.	$\bigcirc \bigcirc $	The evaluation is performed by ISAB, i.e., the scientific advisory board has
		international members
5.	$\bigcirc \bigcirc $	The bibliometric analysis supports the quality of publication performance, i.e.,
		the quality of publications is assessed by a position of the journal in Tier (T) or
		Quartile (Q)
6.	$\bigcirc \bigcirc $	For the bibliometric analysis, type of authorship is taken into account, i.e., first,
		corresponding, or co-authorship
7.	$\bigcirc \bigcirc $	The evaluation includes benchmarking with other institutions
8.	$\bigcirc \bigcirc $	Indicators and mechanisms of data collection and processing are well defined
		and described. i.e., guidelines exist
9.	$\bigcirc \bigcirc $	The possible consequences of the evaluation results are known to everybody in
		advance, i.e., transparent rules exist

RESEARCH INTEGRITY AND ETHICS

2. Are the following statements true for your institution?

O YES, we had the practice in place already before Alliance4Life

- YES, we have adopted the practice based on inspiration from Alliance4Life
- NO, the practice has not been implemented
- PARTIALLY, the implementation is in progress

1.	$\bigcirc \bigcirc $	My institution has established a Research Ethic Committee (REC), or introduced
		research integrity officers/consultants for review of research integrity cases
2.	$\bigcirc \bigcirc $	My institution has implemented transparent and clear procedures for handling
		research integrity cases
3.	$\bigcirc \bigcirc $	Courses on research ethics/research integrity are available at institutional level
4.	$\bigcirc \bigcirc $	Quality training materials exist, i.e., EU guidelines/manual/e-books for REC
		members
5.	$\bigcirc \bigcirc $	REC provides consultancy on ethical issues also for grant writing
6.	$\bigcirc \bigcirc $	Standard operating procedures are defined that include a clear set of rules for
		avoiding institutional and personal conflict of interest
7.	$\bigcirc \bigcirc $	The scope of ethics review is broad and includes also social science research
		methods

INTERNATIONALIZATION OF HUMAN RESOURCES AND MOBILITY

3. Are the following statements true for your institution?

- O YES, we had the practice in place already before Alliance4Life
- YES, we have adopted the practice based on inspiration from Alliance4Life
- NO, the practice has not been implemented
- PARTIALLY, the implementation is in progress

1.	$\bigcirc \bigcirc $	English is the primary language of internal communication at my institution
2.	$\bigcirc \bigcirc $	Important documents are being prepared or translated into English
3.	$\bigcirc \bigcirc $	Meetings with at least one foreign employee are held in English
4.	$\bigcirc \bigcirc $	Institutional website is completely available in English
5.	$\bigcirc \bigcirc $	Institutional website includes at least sections in English with the most relevant
		and important information
6.	$\bigcirc \bigcirc $	Recruitment of all positions, including administrative and technical positions,
		includes the requirement of a certain level of oral and written English
7.	$\bigcirc \bigcirc $	"Welcome Office" exists to assist researchers coming from abroad
8.	$\bigcirc \bigcirc $	"On boarding" for new employees exists, i.e. guidelines on how to navigate in
		the organization, information about employee rights and duties, about scientific
		career development and trainings etc.

GRANT PREPARATION & GRANT IMPLEMENTATION

4. Are the following statements true for your institution?

- O YES, we had the practice in place already before Alliance4Life
- YES, we have adopted the practice based on inspiration from Alliance4Life
- NO, the practice has not been implemented
- PARTIALLY, the implementation is in progress

1.	$\bigcirc \bigcirc \bigcirc \bigcirc \bigcirc \bigcirc$	b 11 , b (, , , , , , , , , ,
		departments or units dedicated to grant support
2.	$\bigcirc \bigcirc $	Specialized GO departments exist for pre-award and post-award phases
3.	$\bigcirc \bigcirc $	My institution uses services of external agencies or advisers for grant support
4.	$\bigcirc \bigcirc $	Grant preparation processes and guidelines for researchers have been defined
		and described

5.	$\bigcirc \bigcirc $	Some kind of motivation to submit international and prestigious national grants
		is in place, e.g. scheme for re-submission of promising proposals, benefits for
		successful applicants etc.
6.	$\bigcirc \bigcirc $	Some kind of support for preparation of international and prestigious national
		grants is in place, e.g. financial support, availability of external advisers etc.

RESEARCH INFRASTRUCTURE MANAGEMENT (CORE FACILITIES)

5. Are the following statements true for your institution?

O YES, we had the practice in place already before Alliance4Life

- YES, we have adopted the practice based on inspiration from Alliance4Life
- NO, the practice has not been implemented
- PARTIALLY, the implementation is in progress

1	0000	The model of specialized service-oriented core facilities (shared laboratories) has
1.		
		been introduced in order to concentrate costly equipment and provide access
		and services to internal and external users
2.	$\bigcirc \bigcirc $	Rules of management and operation of core facilities exist
3.	$\bigcirc \bigcirc $	Evaluation process and quality management guidelines are in place
4.	$\bigcirc \bigcirc $	My institution is member in one or more European-wide infrastructures (ESFRI)
5.	$\bigcirc \bigcirc $	Cost model and method of price calculation have been established
6.	0000	Booking system or other e-tool for laboratory management have been
		implemented

TECHNOLOGY TRANSFER AND INTELLECTUAL PROPERTY MANAGEMENT

6. Are the following statements true for your institution?

O YES, we had the practice in place already before Alliance4Life

- YES, we have adopted the practice based on inspiration from Alliance4Life
- NO, the practice has not been implemented
- PARTIALLY, the implementation is in progress

ology
- 07
mulated
been
try has
nal
t

9.	$\bigcirc \bigcirc $	Science and business collaboration is being fostered by match-making sessions
		with industry
10.	$\bigcirc \bigcirc $	Trainings on technology transfer issues like IP management, entrepreneurship,
		patent law etc. are being organized for staff and/or PhD students

SCIENCE COMMUNICATION

7. Are the following statements true for your institution?

- O YES, we had the practice in place already before Alliance4Life
- YES, we have adopted the practice based on inspiration from Alliance4Life
- NO, the practice has not been implemented
- PARTIALLY the implementation is in progress

	-	
1.	$\bigcirc \bigcirc $	My institution employs a dedicated Communication / PR manager
2.	$\bigcirc \bigcirc $	My institution has a dedicated Communication / PR department
3.	$\bigcirc \bigcirc $	An institutional PR / Communication Plan has been formulated
4.	0000	List of priority scientific media is in place and network of journalists/ media contacts has been created
5.	$\bigcirc \odot \odot \odot$	My institution works actively with journalists – e.g. organizes roundtables, public discussions, joint meetings / training for (scientific) journalists and researchers etc.
6.	$\bigcirc \bigcirc $	Trainings for researchers in communication skills are being organized
7.	$\bigcirc \bigcirc \bigcirc \bigcirc \bigcirc \bigcirc$	My institution has a Twitter account

ORGANIZATION AND MANAGEMENT

Description of organizational structure, management system and hierarchy, potential integration/subordination in a larger organization/institution, decision-making autonomy

Free text (max. 500 words)

4.2 APPENDIX B: ANONYMOUS ONLINE SURVEY

PERCEPTION OF INTERNAL RESEARCH CULTURE IN A4L PARTNER INSTITUTIONS¹

PROFILE OF RESPONDENT

1.	Career stage	
	0	Entry level (up to 4 years after master graduation)
	0	Early career (5 – 15 years after master graduation)
	0	Mid-career (16 – 30 years after master graduation)
	0	Late career (more than 30 years after master graduation)

2.	Job position	
	0	Researcher – team member
	0	Researcher – team leader, department head or director
	0	Administrator
	0	Technician – team member
	0	Technician - team leader, core facility head
	0	Other

3.	Gender	
	0	Woman
	0	Man
	0	Prefer not to specify

4.	Country of origin	
	0	Same as that of current working place
	0	Different from that of current working place

5.	Caring	Caring responsibilities	
	0	None	
	0	Primary carer (of a child, disabled person, older person)	
	0	Secondary carer (another person carries out the main caring role)	
	0	Prefer not to define	

6.	Currer	Current employment status	
	(maxir	num two choices)	
	0	Full-time permanent	
	0	Part-time permanent	
	0	Full-time fixed term / contract	
	0	Part-time fixed term / contract	
	0	PhD study	
	0	Maternity / parental leave	

¹ The template for this questionnaire has been inspired by the Welcome Trust survey on institutional culture from 2019 (see <u>https://wellcome.org/reports/what-researchers-think-about-research-culture).</u> The pilot anonymous survey was performed at A4L partner BMC SAS in November 2020 and provided important cues for better understanding of institutional environment and its further cultivation.

0	Temporary working stay / sabbatical outside of the institution
0	Other
0	Prefer not to define

7.	Average number of hours dedicated to work for the institution	
	0	Less than 31 hours
	0	31-40 hours
	0	41-50 hours
	0	51-60 hours
	0	More than 60 hours
	0	Prefer not to define

MANAGEMENT AND LEADERSHIP

8.	Has your supervisor, PI or manager done any of the following within the last 12 months?	
	(Multiple choice)	
	0	Discussed your performance
	0	Noted your achievements
	0	Conducted a formal appraisal
	0	Had a conversation with you about your career aspirations
	0	Provided expert or career advice and guidance
	0	Connected you to others within or outside your field
	0	Supported your wellbeing
	0	Offered you training to support your skill development
	0	Supported you with personal issues
	0	Provided an example of appropriate research standards
	0	Provided an example of appropriate ethical codes
	0	Requested your feedback on their management of you
	0	Discussed alternative career options
	0	None of the above

9.	How fai	How far do you agree or disagree with the following statements?	
	(O agre	ee – ◉ neutral – ● disagree)	
	$\bigcirc \bigcirc \bigcirc$	I can work independently	
	$\bigcirc \bigcirc \bigcirc$	l enjoy managing people	
	$\bigcirc \odot \bullet$	I have received training on managing people	
	$\bigcirc \bigcirc \bigcirc$	I have the confidence and skills to manage a diverse team	
	$\bigcirc \bigcirc \bigcirc$	I have the confidence and skills to support others with their professional	
		development	
	$\bigcirc \bigcirc \bigcirc$	I feel good management and leadership is recognized at my institution	
	$\bigcirc \bigcirc \bigcirc \bigcirc$	I feel good management and leadership is recognized at my department/team	

10.	To what e	To what extent do you agree or disagree with the following statements regarding:	
	(O agree	(○ agree – ◉ neutral – ● disagree – ● not relevant)	
	$\bigcirc \bigcirc \bigcirc \bigcirc \bigcirc \bigcirc$	Leaders communicate clear expectations regarding: behaviours / culture in my work environment	
	$\bigcirc \bigcirc $	I am satisfied with the way my workplace handles performance reviews	
	$\bigcirc \bigcirc $	I think senior management makes wise decisions	

$\bigcirc \bigcirc $	My supervisor gives me freedom to explore my results
$\bigcirc \bigcirc $	My supervisor values negative results that don't meet an expected hypothesis
$\bigcirc \bigcirc $	I would feel comfortable approaching my supervisor if I couldn't reproduce lab
	results

11.	How important do you think the following research leadership characteristics are? How successful is your workplace team and your institution / workplace as a whole in demonstrating each leadership characteristic? (○ important – • workplace team success – • institutional success) multiple choices in each characteristic	
	000	Setting the direction for research and creating the plans to achieve it
	○◉●	Leading and supporting teams of diverse individuals
	$\bigcirc \bigcirc \bigcirc$	Setting and upholding standards in the conduct of research and its application
	000	Creating development and career opportunities
	$\bigcirc \bigcirc \bigcirc \bigcirc$	Open communication in problem solving

CAREER DEVELOPMENT

12.	What would you consider to be the markers of a successful career in the research	
	commu	nity? (multiple choice, max 5)
	0	Being perceived as an expert in my field
	0	Securing a strong record of published work
	0	Earning recognition from peers
	0	Job security
	0	High degree of autonomy
	0	Publishing work through renowned journals
	0	Influence over strategic decisions
	0	Becoming a mentor
	0	Promotion to a leadership role
	0	High salary
	0	Developing a highly refined skills
	0	Access to high-profile projects
	0	Promotion to a management role

13.	Do you	Do you face any barriers in achieving a successful career in the research community?	
	(multipl	e choice)	
	0	Lack of funding	
	0	Complicated and lengthy public procurement	
	0	Excessive bureaucracy and administrative processes	
	0	Job insecurity	
	0	Unmanageable workload	
	0	Lack of opportunities	
	0	Lack of advice and guidance	
	0	Inequalities / discrimination / bias	
	0	Lack of training in relevant skills	
	0	Lack of training in relevant field	
	0	None of the above	

14.		r do you agree or disagree with the following statements relating to your current genvironment? (○ agree – ④ neutral – ● disagree)
		Rigor of results is considered an important research outcome by my institution/workplace
	000	My working environment promotes a collaborative culture
	$\bigcirc \bigcirc \bigcirc \bigcirc$	Creativity is welcomed within my working environment in all its forms
	$\bigcirc \bigcirc \bigcirc \bigcirc$	My institution/workplace provides me with support to navigate the grant
		application process
	$\bigcirc \bigcirc \bigcirc$	My working environment promotes a good work-life balance
	$\bigcirc \bigcirc \bigcirc$	I am confident that my institution/workplace would listen and take action if
		I raised a concern
	$\bigcirc \bigcirc \bigcirc$	Expectations of me to undertake a number of roles leaves me little time for
		research
	$\bigcirc \bigcirc \bigcirc$	My institution/workplace places more value on meeting metrics than it does on
		research quality
	$\bigcirc \bigcirc \bigcirc$	Unhealthy competition is present within my team
	$\bigcirc \bigcirc \bigcirc \bigcirc$	Unhealthy competition is present within my institution

15.	How far you do agree or disagree with the following statements relating to your career over the last 1-5 years? (○ agree – ● disagree)	
	$\circ \bullet$	The work I do is fairly and adequately recognized
	0●	I feel pressured from my team leader to meet Key Performance Indicators / Metrics
	0	I feel pressured from my institution management to meet Key Performance Indicators / Metrics
	0●	I would feel comfortable reporting instances of compromised research standards and misconduct
	$\bigcirc igodot$	I know how to report instances of research misconduct
	0●	I have a clear understanding of what my workplace considers compromised research to be
	0●	I am able to efficiently balance the competing roles required as part of my employment
	\circ	I have experiences issues with others taking credit for my work
	$\bigcirc igodot$	My administrative duties have increased during the last 5 years

16.	How fai	How far do you agree or disagree with the following statements relating to your career?	
	(O agre	ee – ● disagree)	
	$\bigcirc igodot$	I am proud to work within the research community	
	0●	I am aware of alternative career options outside of research that could utilize my skills	
	$\bigcirc igodot$	I would recommend my lab/department to other researchers	
	$\circ \bullet$	I would recommend my institution to other researchers	
	$\bigcirc igodot$	I would recommend a research career in my sector	
	$\bigcirc igodot$	I am satisfied with my career prospects within my institution	
	0●	I am considering moving to another part of the research sector (e.g. leaving academia for industry)	
	0●	I am considering leaving the research community within a next 3 years to start a non-research role	
	$\bigcirc igodot$	I am considering moving to another country within next 3 years	

PERCEPTIONS OF RESEARCH CULTURE AND EXPERIENCES

17.	How far do you agree or disagree with the following statements relating to research	
	culture	? (○ agree – ● disagree)
	$\circ \bullet$	High levels of competition have created unkind and aggressive research conditions
	$\circ \bullet$	Creativity is stifled due to research being driven by an impact agenda / emphasis in
		impact
	$\bigcirc igodot$	Research culture promotes quantity over quality
	$\circ \bullet$	Current culture is unsustainable long-term
	$\circ \bullet$	High standards and integrity are valued with the research community of the
		institution
	$\bigcirc igodot$	Current metrics have had a positive impact on research culture
	$\circ \bullet$	Administrative processes and bureaucracy hinder research quality

18.	How fai	How far do you agree or disagree with the following statements relating to your working	
	environ	ment? (○ agree – ● disagree)	
	$\circ \bullet$	I feel safe within my working environment	
	0●	My team/department is committed to promoting diversity and equality	
	$\circ \bullet$	My institution/workplace is committed to promoting diversity and equality	
	$\circ \bullet$	I experienced bullying or harassment during my research career	
	0●	I witnessed bullying or harassment during my research career	
	0●	I experienced discrimination during my research career	
	0●	I witnessed discrimination during my research career	

19.	To what extent do you agree or disagree with the following statement?	
	(○ agree – ● disagree)	
	$\bigcirc igodot$	I consider myself to be a resilient person
	$\circ \bullet$	I find it difficult managing my workload when I'm experiencing personal issues
	$\circ \bullet$	I have a difficult time dealing with work-related stresses
	$\bigcirc igodot$	I am able to separate work-related setbacks from my personal sense of self

20.	To what extent do you agree or disagree with the following statements relating to your institution/workplace? (○ agree – ● disagree)	
	$\bigcirc igodot$	I believe wellbeing is fundamental to an effective working environment
	0●	A career in research can be isolating and lonely
	0●	I have felt supported by peers/colleagues when I've encountered personal
		problems
	$\bigcirc igodot$	The system exploits my interest in the work I do leading to a heavy workload
	0●	There is a long-hours culture at my institutions/workplace
	$\bigcirc igodot$	My institution/workplace offers adequate wellbeing support

VISIONS

21.	What do you think is needed to create significant positive change to research culture in your country? (○ agree – ● disagree)	
	$\circ \bullet$	Change funding conditions
	0●	Reduction in administration
	$\circ \bullet$	Greater focus on quality and less on quantity
	$\bigcirc ullet$	Wellbeing and support services / policies
	$\bigcirc ullet$	Rewards

22.		
		? (○ low responsibility –
	$\bigcirc \bigcirc \bigcirc \bigcirc$	Research institutions
	$\bigcirc \bigcirc \bigcirc$	Funding bodies
	$\bigcirc \bigcirc \bigcirc$	Your institution / university
	$\bigcirc \bigcirc \bigcirc$	Senior researchers
	$\bigcirc \bigcirc \bigcirc$	Policy-makers / government
	$\bigcirc \bigcirc \bigcirc$	Individuals in the research community
	$\bigcirc \odot \bullet$	Publishers
	$\bigcirc \odot \bullet$	Junior researchers

23.	Where do you think your institution should focus first to improve research culture?	
	(O 1st – ● 2nd – ● 3rd)	
	$\bigcirc \odot \bullet$	Training in the skills needed to promote good culture (e.g. leadership)
	$\bigcirc \odot \bullet$	A space to raise concerns, with appropriate actions then taken
	$\bigcirc \odot \bullet$	New awards and recognition opportunities
	$\bigcirc \odot \bullet$	Published satisfaction surveys and measures
	$\bigcirc \odot \bigcirc$	Increased administration capacities and better administrative support
	$\bigcirc \bigcirc \bigcirc$	Other, specify:

24.	As an in	As an individual, what actions do you think you could take to help drive positive change in	
	researc	research culture? (multiple choices)	
	0	Setting an example	
	0	Participate in organizing societal activities of your institution (PR, Green lab,	
		seminars)	
	0	Supporting peers and colleagues	
	0	Encouraging change within teams	
	0	Speaking up about wrongdoing	
	0	Promoting quality and celebrating success	
	0	Open discussion in the community	
	0	Promoting collaboration	
	0	Promoting diversity	
	0	Training	
	0	Don't know	

SCIENCE COMMUNICATION

25.	How far do you agree or disagree with the following statements relating to science communication of your research? (○ agree – ● disagree)	
	0●	Science communication is a duty of every modern scientist
	0●	Scientists from publicly funded institutes and universities should communicate
		science because they are using taxpayer's money
	$\circ \bullet$	Society has the right to know what research is being done at public institutions
	$\circ \bullet$	Science communication increases public's interest in science
	0●	Science communication increases the visibility and reputation of the institution.
	0●	Science communication is not important

26.	Which groups / entities do you think should be responsible for driving change in science	
	commu	nication? (○ low responsibility – medium responsibility – high responsibility)
	$\bigcirc \odot \bullet$	PR and communication officer / department at your institution / university
	$\bigcirc \odot \bullet$	Funding bodies
	$\bigcirc \odot \bullet$	Your institution / university
	$\bigcirc \odot \bullet$	Senior researchers
	$\bigcirc \odot \bullet$	Policy-makers / government
	$\bigcirc \odot \bullet$	Individuals in the research community
	$\bigcirc \bigcirc \bigcirc \bigcirc$	Media
	$\bigcirc \bigcirc \bigcirc$	Junior researchers

27.	Where do you think your institution should focus first to improve science	
	commu	nication? (○ 1st – ● 2nd – ● 3rd)
	$\odot \odot \bullet$	Training for researchers in the skills needed for effective science communication
	$\bigcirc \bigcirc \bigcirc$	Commitment and support of the management of the institute / university (science
		communication is regarded as strategically important agenda)
	$\bigcirc \bigcirc \bigcirc$	To learn from partner institutes / universities with successful communication
		departments
	$\bigcirc \bigcirc \bigcirc$	To establish good relations with the press
	$\bigcirc \bigcirc \bigcirc$	Increased administration capacities and better administrative support
		(experienced PR and communication officer / department)
	$\bigcirc \bigcirc \bigcirc$	Other, specify:

28.	As an individual, what actions do you think you could take to help drive positive change in science communication? (multiple choices)	
	0	Setting an example (to walk the talk)
	0	Participate in organizing societal activities of your institution (Open Days, Researcher's Night)
	0	Supporting peers and colleagues
	0	Encouraging change within teams (Research group leader motivates his lab members to engage in science communication)
	0	Being proactive and sharing research results with the PR and communication officer
	0	Attend science communication training
	0	Promoting science communication within the research community
	0	Other, specify:

INTERNATIONALIZATION OF HUMAN RESOURCES AND MOBILITY

29.	How far d	o you agree or disagree with the following statements?
	(O agree -	–
	$\bigcirc \bigcirc \bigcirc \bigcirc$	English is the primary language of internal communication at my institution
	$\bigcirc \bigcirc \bigcirc \bigcirc$	Important documents are being prepared or translated into English
	$\bigcirc \bigcirc \bigcirc \bigcirc$	Meetings with at least one foreign employee are held in English
	$\bigcirc \bigcirc \bigcirc \bigcirc$	Institutional website is completely available in English
	$\bigcirc \bigcirc \bigcirc$	Institutional website includes at least sections in English with the most relevant
		and important information
	$\bigcirc \bigcirc \bigcirc \bigcirc$	"Welcome Office" exists to assist researchers coming from abroad
	$\bigcirc \bigcirc \bigcirc \bigcirc$	"On boarding" for new employees exist, i.e. guidelines on how to navigate in the
		organization, information about employee rights and duties, about scientific
		career development and trainings etc.

30	0.	Is there anything else you want to comment / mention? (free text, max 100 words)