

Appendix - RQ20 Self-evaluation instructions

Dear colleague,

As a major research university – guided by the ambition to explain, understand and improve the world – Lund University regularly gauges the standing of its research. RQ20 is the most recent example of this, informed and shaped by self-evaluations done by the University’s many different research environments. The focus is on how well these research environments promote and support research quality. The aim is furthermore to clarify how research quality is promoted at the levels of departments, faculties and central management.

RQ20 therefore brings to the fore the conditions and processes underpinning quality and renewal within Lund’s research environments. Based on self-evaluations and a site visit in early May 2020, external panel advisors will submit conclusions and recommendations. These recommendations will identify the strengths, weaknesses and opportunities for development of research.

The ambition is that RQ20 will provide the environments – and the departments, faculties and central management – with inputs to enhance research quality. The results of RQ20 will also provide the University Board and management at all levels with valuable information, which will be used for devising future research strategies within Lund University.

An important goal for RQ20 is to elucidate the conditions for improvements in the University’s research environments. It is therefore important to reflect upon your environment in a manner that will enable further development and quality enhancement. The advisors will be instructed to propose constructive measures or developments, and that will be done on the basis of your self-evaluation and the information obtained during the site visits. In addition, advisors will be instructed to comment on the capacity for self-reflection, including the ability to recognise strengths and weaknesses.

The evaluation comprises three parts:

- 1) Planning and extraction of background materials (staff, financial and publication data). The background material is intended to serve as a backdrop to the research environments’ discussions on research quality and development.
- 2) Self-evaluations performed by the research environments.
- 3) Site visits, analysis of self-evaluations, and ensuing reports written by the external advisors.

This document is a self-evaluation template. The self-evaluation report that your unit submits will form a very important basis for the external expert evaluation report. However, *your self-evaluations will not be published in the final RQ20 report.*

In late September 2019, you will be provided with background materials aimed at supporting the analysis sections of the self-evaluation. You may also draw on and refer to other relevant materials in writing your self-evaluation, such as internal policy documents, results from internal or external evaluations, or other forms of data.

For more information about RQ20, please visit the website <https://rq20.blogg.lu.se/>

If you have any questions or considerations during your work with the self-evaluation, please contact the RQ20 office.

General Information:

Overall RQ20 Project description: See RQ20 Project Plan at the RQ20 website:
<https://rq20.blogg.lu.se/>

Self-evaluation period: **15 August 2019 — 20 December 2019**

Limits: The self-evaluation should not exceed **7000 words, excluding figures**. (*If you find that you have to exceed this limit, please contact the RQ20 office.*)

Deadline: Last day for submission of the self-evaluation report from each research environment to the RQ20 office (malin.bredenberg@fs.lu.se) is **20 December 2019**.

Self-evaluation content:

Background material: The background material/basic material will be provided in late September 2019, and it will consist of a financial summary of your unit (resources used for undergraduate education, direct government funding of research, and external funding of research). The publication profile will include an overview of the unit's publication pattern: articles, books, book chapters, and reports and other publications and forms of research outlets, as well as a bibliometric analysis of citation patterns. If the latter is not accurate for some reason (for instance if your publication profile is not properly represented in bibliometric databases), you may choose to disregard it as a background material.

When responding to the questions A-C below, please refer to the background material (financial conditions, publication patterns, impact) when appropriate.

A. Overarching summary:

- Which Strengths, Weaknesses, Opportunities and Threats¹ are the most critical for the unit when you plan for the future? (Please identify up to five items per category).
- Highlight 3-5 important events and achievements (publications, grants, or others) during the last five years (2014 - 2018).
- Identify one or several Swedish or international departments (research units, centres, or similar), that you use as benchmarks (and relate to) in your quality work.
- RQ20 is a follow-up of the earlier research evaluations RQ08 and RQ14. Please briefly mention - if applicable - major changes that have been undertaken within your unit during the last decade.

¹ As a general recommendation, identify strengths and weaknesses that are under the unit's control, and opportunities and threats that are external to the unit.

B. Specific issues.

B1. Leadership:

On this matter, we ask you to describe how your unit is organised, and how goals for research are set and resources allocated. More specifically, we want you to comment on the issues in the bullet points below.

- What are your considerations for:
 - a. Priority setting of direct government funding (fakultetsmedel, in Swedish)
 - b. Goals for external research funding (externa medel, in Swedish)
 - c. Recruitment, promotion and succession
 - d. Publication patterns (size and scope, types of channels)
 - e. The relationship and balance between activities in research, education and external engagement

- Do you have an overarching research strategy? How was it formed and how is it used?

B2. Collegial culture:

In this section, please describe how the unit ascertains the quality of your research and which mechanisms it deploys to further develop research activities. Address in particular how collegial mechanisms within and outside the unit are utilised.

Hence, please describe how the unit works with

- a. Opportunities for junior scholars to develop their originality and independence
- b. Sustainability and renewal of research strengths
- c. Academic networks and collaborations outside your unit
- d. Diversity, integrity and ethics
- e. Quality in applications and publications

B3. Quality ecosystem:

Within this section, we want you to identify how - if relevant - other tasks influence research activities in your unit. This includes linkages between your educational portfolio and research, as well as the impact of collaboration with partners outside the academic system on research quality in your unit.

- a. How are your research strengths reflected in your educational portfolio? Reflect on potential improvements of the linkages.
- b. Does your unit have external research collaborations (domestic and/or international), for instance, in industry, governments and states, county councils and municipalities, non-governmental organisations? If so, please reflect on how such collaborations influence the quality of your research, for instance in terms of generating research ideas, obtaining financial resources or exchanging staff.
- c. How does the unit deal with integrity and ethics, including potential conflicts of interests, in relation to collaboration?
- d. What is the unit's stance towards external engagement and outreach?

B4. Transversal themes:

In this section, we additionally enlist a number of questions that will be analysed by transversal external panels, devoted to areas deemed particularly critical to Lund University's future directions. These panels are appointed for the following areas:

- Management and leadership
- Infrastructures
- The relationship with strong and broad research areas
- Recruitment (covered above)
- Collaboration (covered above)

The last two issues have already been addressed above. Regarding the first three issues, please see below:

- **Management and leadership:**
How well do the faculty level and central University leadership support quality work in the unit?
Are guidance, adequate resources, and other forms of support provided?
Are there specific strengths and weaknesses in the current approach?
- **Infrastructures:**
If activities at the unit are critically dependent on research infrastructures, please describe which these are.
Reflect on the support you get to use and access such infrastructures, for instance if they are located in another faculty or department: is current support adequate or is there room for improvement?
Does the unit have plans for developing infrastructures, either individually or together with other units? If so, please briefly describe these plans.
- **The relationship with strong and broad research areas:**
Does your unit align with any of the University's strategic research areas (SFO)?² Or does it align with any other strong and broad research area, as defined by you? Please describe these areas.
If you align with any such environment, which opportunities do such connections create for your unit?
Is there room for improvements in the interface between your unit and these areas?
Are there strong and broad areas that you currently do not align with but that you would like to interact with in the future?

² For an overview: <https://www.lunduniversity.lu.se/research/research-excellence-areas/strategic-research-areas>

C. Final Remarks.

Please indicate if something was missing in the self-evaluation and add any issue that you want to raise.

Finally, we would like you to describe how you worked with this self-evaluation: who was involved? What were the critical issues? Were the instructions adequate?