Estonian Research Council

December 2018

**Guidance material for research and development institutions for filling out self-report for the 2019 regular evaluation**

Information in the self-report has been divided into six sections: general information, staff, resources, R&D activities, doctoral studies and outcomes of the R&D. This guidance material describes how the information has been collected in different sections and examples (when needed) are given in the footnotes.

1. **General Information**

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| **Name of the data field** | **Composer of the field** | **Technical description of the field** | **Specification of the field** |
| Institution | Estonian Research Council | Composed by the Estonian Research Council based on the application |  |
| (Corresponding) R&D field | Estonian Research Council | Composed by the Estonian Research Council based on the application | Frascati 2015 broad classifications[[1]](#footnote-1):   * Natural sciences * Engineering and technology * Medical and health sciences * Agricultural and veterinary sciences * Social sciences * Humanities and the arts |
| Evaluation period | Estonian Research Council | Composed by the Estonian Research Council based on the application | By default 01.01.2013-31.12.2017. Institution may, however also add facts about 2018 in the comments section (e.g., when these are important for describing the potential of the field, etc.). |
| The person responsible | Estonian Research Council | Composed by the Estonian Research Council based on the application | A member of the institution’s management board or a person authorised by them who is authorised to coordinate the regular evaluation process and has the sole right to confirm the self-report. |
| Structural unit(s) to be evaluated | Estonian Research Council | Composed by the Estonian Research Council based on the application | Structural units that have been recorded in the application by its deadline (15 November 2018) and have been included in the institution`s structure in the Estonian Research Information System will be taken into account.[[2]](#footnote-2) |
| Short summary of the institution (formation, activities and role in the Estonian R&D) | Institution | Free text composed by the institution, maximum 3 000 characters (incl. spaces) | Description of theinstitution’s rolefrom the perspective of the field to be evaluated. Larger universities may do this by corresponding structural unit(s); in that case, the general information about the institution may be presented as a reference to a respective web page.[[3]](#footnote-3) |
| Short summary of the institution's R&D management (incl. support services) | Institution | Free text composed by the institution, maximum 3 000 characters (incl. spaces) | This describes the organisation and management of R&D from the perspective of the field to be evaluated. In larger universities, it may be different by fields and therefore the general description of the institution’s R&D organisation and management may be presented as a reference to a respective web page.[[4]](#footnote-4) |
| Short summary of the process of drawing up the self-evaluation report | Institution | Free text composed by the institution, maximum 3 000 characters (incl. spaces) | The process of drawing up the self-report is described in short, for example, how was the process management and division of tasks organized; whether and where in the process research staff was involved; how were the lists submitted by the institution selected, etc. |
| The institution requests in-depth feedback on the following aspects related to the field | Institution | Free text composed by the institution, maximum 300 characters (incl. spaces) | Filling in the field is not obligatory. In order to increase the added value of regular evaluation, the institution may ask for detailed feedback on up to three aspects that are currently important for the institution.[[5]](#footnote-5) |
| Additional information | Institution | Field for uploading additional documents | Please upload here a few pages long SWOT analysis of the institution in pdf format. Institution may choose to present other documents which are relevant to the regular evaluation (selected by the institution). |

1. **Staff**

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| **Name of the data field** | **Composer of the field** | **Technical description of the field** | **Specification of the field** |
| Staff engaged in R&D in the corresponding field | ETIS/ institution | Pre-filled with the data of the Estonian Research Information System, the institution could change the pre-filled fields, if necessary. The data is submitted for 2013–2017 as of 31.12.201x. (See explanation and table below) | Changes can be done in the list of staff in the Estonian Research Information System form[[6]](#footnote-6) (by removing staff not engaged in the corresponding field) and thereafter refreshing the table or adding the data manually. To simplify the procedure for adding data manually it is possible to download an Excel table from the Estonian Research Information System form which contains data of staff engaged in the institution`s corresponding R&D field and structural unit, which can be used as the basis for required calculations. Institution can present their own data about the staff, in this case the data collection method should be coordinated with ETAg. |
| Comments | Institution | Free text composed by the institution, maximum 3 000 characters (incl. spaces) | Additional information and/or up to 30 facts, which indicate the sustainability and potential of R&D in the corresponding field from the staff perspective (assessment by the institution). It is not necessary to list precisely 30 facts (especially in case of smaller R&D institutions and/or fields); it is important to emphasise relevant issues. [[7]](#footnote-7) |

Staff engaged in R&D is divided into: a) research staff, b) teaching staff and c) technical and auxiliary staff (related to R&D). The division of staff is given in the table below. The data related to staff engaged in R&D is submitted as both persons and full-time equivalents. The proportion of employees with a research degree and women from the total number of research staff and teaching staff are pre-filled. The proportion of foreign researchers (all researchers who do not have Estonian citizenship) from the total number of research staff and teaching staff is also calculated and inserted by the institution.

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| **Name of position in English** | **Position type** |
| *Senior Assistant* | Teaching staff |
| *Extraordinary Lecturer* |
| *Extraordinary Associate Professor* |
| *Associate Professor emeritus* |
| *Assistant* |
| *Teacher* |
| *Senior Teacher* |
| *Lecturer* |
| *Associate Professor* |
| *Extraordinary Professor* |
| *Emeritus Professor* |
| *Professor* |
| *Junior Researcher* | Research staff |
| *Post-Doc* |
| *Extraordinary Research Professor* |
| *Extraordinary Senior Researcher* |
| *Extraordinary Researcher* |
| *Academy Research Professor* |
| *Researcher* |
| *Senior Researcher* |  |
| *Research Professor* |  |
| *Visiting Researcher* |  |

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| **Name of position in English** | **Position type** |
| *Administrator* | Technical and auxiliary staff |
| *Parental leave* |
| *National service* |
| *Other staff* |
| *Technical staff* |

1. **Resources**

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| **Name of the data field** | **Composer of the field** | **Technical description of the field** | **Specification of the field** |
| Total revenue in the corresponding R&D field | ETIS/ institution | Partially pre-filled with the data of the Estonian Research Information System. The data is submitted for 2013–2017 as of 31.12.201x. (See explanation and table below) | See below the table |
| Summary of R&D infrastructure | Institution | Free text composed by the institution, maximum 3 000 characters (incl. spaces) | The current situation, development and perspectives of infrastructure and equipment, directly connected to the institution`s/structural unit`s R&D in the corresponding field is described.[[8]](#footnote-8) |
| Collections | Institution | Institution selects from the list of collections entered in the Estonian Research Information System. It might be necessary for the institution to list the collections into the System beforehand. | This field may not be filled in because listing the collections in the Estonian Research Information System is not obligatory. |
| Objects of core R&D infrastructure | Institution | Free text composed by the institution, maximum 3 000 characters (incl. spaces) | This field is not obligatory. The core infrastructures related to the field to be evaluated and belonging to the list of [core infrastructures](https://www.etag.ee/en/funding/infrastructure-funding/core-infrastructures/) could be added. |
| Comments section (comments about collections and/or objects of core infrastructure) | Institution | Free text composed by the institution, maximum 3 000 characters (incl. spaces) | Collections can be added here manually if they are not listed in the Estonian Research Information System. Explanations regarding collections and/or core infrastructure objects can also be entered here, including from the perspective of how they support the R&D in the corresponding field, what is their broader role, etc. |
| Sufficiency of resources from the point of view of sustainability and potential | Institution | Free text composed by the institution, maximum 3 000 characters (incl. spaces) | Additional information and/or up to 30 facts that indicate the sustainability and potential of the institution’s R&D from resources perspective (assessment by the institution). It is recommended to describe which measures the institution implements in order to ensure the sufficiency of the field’s R&D revenue. It is not necessary to list precisely 30 facts (especially in case of smaller R&D institutions and/or fields); it is important to emphasise relevant issues.[[9]](#footnote-9) |

Data about total revenue in the corresponding R&D field is partially pre-filled (projects of targeted financing and institutional research funding; projects of Estonian Science Foundation grants and personal research funding in the corresponding field). The number of projects and the amount funded is partially filled in by the institution (domestic R&D contracts (including grant agreements); international contracts and grants; funding from the EU structural funds). The percentage of the field to be evaluated is taken into account while calculating the number of projects and the amount funded. [[10]](#footnote-10)

**Filling out the domestic R&D contracts (including grant agreements) and international contracts and grants field:**

* Upon dividing revenue into domestic and external contracts, the applicant proceeded from the foreign capital definition of Statistics Estonia, i.e. foreign capital means the funds received from international funds and contracts, fee received from foreign ordered and contract work.
* Institution divides the revenue from interdisciplinary projects between fields and reflects the number and amount of projects only as part of this field in the application of the corresponding field.[[11]](#footnote-11)
* Domestic R&D contracts (including grant agreements) and international contracts and grants field in the self-report include:
* revenue from projects and contract work funded by private legal persons and carried out in their interest for which it can be clearly identified that the provided service and submitted financial documents are related to research and development;
* revenue from projects and contract work funded by the state and local government institutions and public legal persons and carried out in their interest for which it can be clearly identified that the provided service and submitted financial documents are related to research and development;
* revenue gained from conducting basic and applied research funded by national research programmes;
  + grant revenue from state budget or from sources other than state budget or from external funding for conducting basic and applied research;
  + revenue from projects and contract work carried out in the interest of businesses funded by the Enterprise Estonia R&D projects funding programme; irrespective of the funder;
  + royalties and patent revenues;
  + revenue from baseline funding.

The data about funding and the number of projects per research staff and teaching staff member and their full-time equivalent is also calculated by the Estonian Research Information System.

1. **R&D activities**

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| **Name of the data field** | **Composer of the field** | **Technical description of the field** | **Specification of the field** |
| Summary of R&D in the corresponding field | Institution | Free text composed by the institution, maximum 3 000 characters (incl. spaces) | The institution briefly describes the R&D in the corresponding field which would give the evaluation committee an overview of the current and planned development prospects, important implemented and planned changes (e.g. through changes in the institutional structure, merger of institutions, etc.), a broader context of the field (e.g. connection with national strategies), analyses about the strengths and development needs of the field, etc. [[12]](#footnote-12) |
| Main researchdirections in the corresponding R&D field during 2013-2017 | Institution | Free text composed by the institution, maximum 3 000 characters (incl. spaces) | The institution lists the most important research directions in the field to be evaluated at its own choice. This is not a definitive list of various research themes and projects, but the assessment by the institution of the most important areas that indicate the extent and focus of their R&D.[[13]](#footnote-13) |
| The most important projects in the main research areas of the corresponding field during 2013–2017 | Institution | Institution selects from the list of projects entered in the Estonian Research Information System. | Institution selects up to 30 projects, which are related to the aforementioned research directions. It is not necessary to list precisely 30 projects (especially in case of smaller R&D institutions and/or fields); it is important to emphasise relevant issues. |

1. **Doctoral studies**

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| **Name of the data field** | **Composer of the field** | **Technical description of the field** | **Specification of the field** |
| Number of doctoral students and their supervisors | ETIS/institution | Pre-filled data based on the data of the Estonian Research Information System, the institution adds the data about enrolled doctoral students based on the data of the Estonian Educational Information System. | Added by the Estonian Research Council or the institution based on the data of the Estonian Educational Information System:  The number of enrolled doctoral students in the corresponding field as of 10 November 201x – the number of current doctoral students in the institution. (added by the institution)  The number of doctoral graduates in a calendar year engaged in the corresponding R&D field – the number of students who have defended their doctoral thesis in the curricula related to the field to be evaluated in the institution within the year (added by the Estonian Research Council)  Pre-filled data based on the data of the Estonian Research Information System:  The number of staff with PhD level degree (the number of staff with PhD level degree and listed in the staff with active employment in the given year).  The number of staff listed in the Estonian Research Information System as doctoral thesis supervisors (the number of staff listed in the staff with active employment in the given year and with ongoing supervisions in the given year). All ongoing doctoral thesis supervisions in the institution (all ongoing doctoral thesis supervisions in the institution in the given year with supervisors listed in the staff with active employment in the given year) and ongoing supervisions outside the institution are also taken into account. |
| R&D relation to doctoral studies in the corresponding field | Institution | Free text composed by the institution, maximum 3 000 characters (incl. spaces) | Institution describes how R&D is directly related to the doctoral studies (research topics, projects, supervisors, engagement of doctoral students, etc.) |

1. **Outcomes of R&D**

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| **Name of the data field** | **Composer of the field** | **Technical description of the field** | **Specification of the field** |
| The number of publications and their classification according to Estonian Research Information System | ETIS | Pre-filled | The number of all publications according to the Estonian Research Information System classification), the total number of publications and high-level publications. Institution`s publications in the field to be evaluated in the given year that have some of the staff members listed in the System as author(s) are counted.. |
| The number of publications per FTE research and/or teaching staff member | ETIS | Pre-filled | The number of publications (see the previous row in the table) divided by the sum of research and teaching staff FTE. |
| The impact of scientific articles | Estonian Research Council | Added file | Institution’s publications in the field to be evaluated listed in the InCites database. Web of Science documents, category normalized citation impact, times cited, % of documents cited, % of documents in top 10%, % of industry collaborations and H-index have been entered. |
| The number of industrial property items | ETIS | Pre-filled based on the data of the Estonian Research Information System | Institution`s industrial property items in the field to be evaluated in the given year that have some of the staff members listed in the application as author(s) are counted. The year of the industrial property items will be taken into account by the date of priority not the issue date of the protection documents. |
| R&D outcomes with the highest impact during 2013–2017 (assessment by the institution) | Institution | Institution chooses up to 30 publications with highest impact from the list in the Estonian Research Information System. | Institution highlights publications with highest impact in the field to be evaluated (assessment by the institution). |
| R&D outcomes with the highest impact (assessment by the institution) | Institution | Free text composed by the institution, maximum 3 000 characters (incl. spaces) | Institution describes in a free format the most influential R&D outcomes that are not reflected in the list of publications.[[14]](#footnote-14) |
| Highest societal impact of research (assessment by the institution) | Institution | Free text composed by the institution, maximum 3 000 characters (incl. spaces) | Institution presents up to 30 facts that indicate the societal impact of research in the field to be evaluated. It is not necessary to list precisely 30 facts (especially in case of smaller R&D institutions and/or fields); it is important to emphasise relevant issues.[[15]](#footnote-15) |
| Significant additional facts which indicate the sustainability and potential of R&D (assessment by the institution) | Institution | Free text composed by the institution, maximum 3 000 characters (incl. spaces) | The sustainability and potential of the R&D is indicated by up to 30 significant facts (in addition to the description of staff and resources).[[16]](#footnote-16) |

1. In case of need, the division of structural unit(s) into main fields should follow the second-level classification of the Frascati classification [↑](#footnote-ref-1)
2. Structural units that have been shut down by the application deadline but whose outcomes (2013-2017) need to be taken into account should also be recorded in the application. [↑](#footnote-ref-2)
3. For example (the list is not definitive): whether the institution/structural unit is the only one in Estonia involved in R&D in the corresponding field; whether the institution/structural unit has been created in the corresponding field with a specific nationally important purpose regarding R&D; whether another important area of responsibility is connected to the institution’s R&D (e.g. the institution is the only one in the corresponding field to provide doctoral studies); whether the institution/structural unit ensures itself or in cooperation with another institution/structural unit the sufficient volume of R&D in the field. [↑](#footnote-ref-3)
4. For example (the list is not definitive): which decisions regarding R&D are made at which organisational levels; how priorities are established in the corresponding field; how are resources distributed; which level decision-making bodies have a say in the field’s development; how the support services important for the research community in the corresponding field are developed? [↑](#footnote-ref-4)
5. For example (the list is not definitive): attitudes of the concerned parties of doctoral studies, R&D management at the institution, suggestions for development trends, open science, gender mainstreaming, etc. [↑](#footnote-ref-5)
6. The list of staff of the evaluated structural unit(s) (or their subdivisions) with current employments during the evaluated period is displayed in the Staff tab in the Estonian Research Information System form after the comments section. The list is changeable, i.e. persons can be added and removed. The list contains the name of the person, gender, highest academic degree, employments corresponding to the previously mentioned criterion and a link to a CV/resume in Estonian Research Information System. [↑](#footnote-ref-6)
7. . For example (the list is not definitive): the institution’s personnel policy from the perspective of sustainability (for supporting research career and ensuring early career researchers for the research community); indicating sustainability through the indicators of age structure of the research community; describing the achievements of research and teaching staff of the corresponding field (recognitions, success at competitions, etc.) and the success of involving foreign researchers/teaching staff. [↑](#footnote-ref-7)
8. For example (the list is not definitive): facilities, premises, laboratories, field bases, studios, experimental fields, equipment etc. [↑](#footnote-ref-8)
9. For example (the list is not definitive): how institution/structural unit manages financial risks (for example by increasing the variety of financial sources); how additional funding is being acquired in addition to national funding; which are the future plans of funding and infrastructure. [↑](#footnote-ref-9)
10. For example, if 40 percent of the project constitutes the field to be evaluated, that percentage is taken into account while counting the number of all projects and all the amounts funded in the given year. [↑](#footnote-ref-10)
11. For example, if an application in natural sciences is filled in and an interdisciplinary project is reflected which divides equally between natural sciences and another field, it is counted as 0.5 in the number of projects and half of the total budget of the project. [↑](#footnote-ref-11)
12. For example (the list is not definitive): an overview of the sub-fields of the field to be evaluated; larger/smaller, older/newer, stronger/weaker research directions of the field; the possibility of interdisciplinary cooperation; the emphasis of research of the field from the point of view of high quality, studies, experimental development, creative activities or business cooperation. [↑](#footnote-ref-12)
13. For example (the list is not definitive): whether the institution has specified priority research directions or subjects in the field; which have been the most resource-intensive and efficient research directions/groups; whether a certain research direction has been a priority in the corresponding field due to for example a public procurement or programme. [↑](#footnote-ref-13)
14. . For example (the list is not definitive): research staff participating in important decision-making and discussion committees that influence the research level of the corresponding field in Estonia as well as at the international level; management of large international research groups, projects, consortiums, professional associations, etc.; research prizes, other consistent processes based on the research results of the corresponding field, etc. [↑](#footnote-ref-14)
15. As the impact of R&D may vary significantly, from the scientific impact of research to the environmental, societal, political, etc., the institution could describe these different aspects here.

    For example (the list is not definitive): the influence of creative activities in the corresponding field; the influence of research on political or legislative actions (e.g. through research in vital issues or commission applied research, research staff participating in important external development and decision-making committees, significant societal developments based on the results of R&D, etc.). [↑](#footnote-ref-15)
16. For example (the list is not definitive): new research directions evolved due to research results/discoveries; inter- and trans-disciplinary breakthroughs; projected growth in the field and development plans; the role of research in national research priorities; knowledge transfer opportunities, etc. [↑](#footnote-ref-16)