



department for the evaluation of institutions

Group B

Evaluation
guide

2010



Contents

Introduction	4
Research strategy	5
Objective 1. The institution's research potential	5
Objective 2. The institution's research strategy	7
Objective 3. Implementation and follow-up of the research strategy	8
Strategy for exploiting research findings	9
Objective. Development of a strategy for exploiting research findings	9
Training strategy	10
Objective 1. Management of the range of programmes	10
Objective 2. Legibility and visibility of the range of programmes	11
Objective 3. Student support initiatives: from arrival at the institution to assistance with integration into the job market	12
Objective 4. The institution provides the student with a work environment in keeping with the requirements of a higher education programme	13
Objective 5. Quality assurance in teaching	14
Student life strategy	15
Objective 1. The student is involved in the life of the institution	15
Objective 2. The initiatives and practices enabling students to enjoy a real quality of life	16
Partnership strategy	18
Objective 1. Development of relations between higher education institutions	18
Objective 2. Relations with public science and technology institutions (EPST) and public industrial and commercial institutions (EPIC)	19
Objective 3. Relations with local authorities	20
Objective 4. Relations with socioeconomic environments	21
International relations strategy	22
Objective. International activity in terms of research and training	22



Governance	23
Objective 1. The institution's organisation and management system	23
Objective 2. Management, development and quality of information and communication systems	25
Objective 3. Employment, total wage bill and human resources management policy	26
Objectif 4. Organisation and management of the budgetary and financial policy at the service of the institution's strategy	28
Objectif 5. Real-estate policy: management, maintenance and development of all assets	30
Objectif 6. Development of the self-evaluation capacity at the service of more effective activity	31
Objectif 7. Quality assurance	32
Relations with the teaching hospital	34
Objective. Development of relations between universities, health departments and hospitals	34
Affirmation of the institution's identity through a communication policy	388
Objective. Develop a sense of belonging	388
Evaluation of institutions Group B	39
Procedure	39



Introduction |

Current discussions on the role and methods for organising the university system in Europe - and in France, particularly through the French law on the freedoms and responsibilities of universities (known as LRU) - are highlighting the need to develop the responsibility of institutions. In this context, the institutional evaluation must allow for a decision to be reached about the institution's ability to know itself, to set and follow its objectives under the main guidelines defined by the State, to detect any anomaly in the way it is run and to make improvements.

The work of the department for the evaluation of institutions draws above all on the evaluations of the department for the evaluation of research units, the department for the evaluation of programmes and degrees and on the institution's self-evaluation. The department endeavours to perform a summary analysis revealing an institution's strengths and weaknesses.

The evaluation examines the institution's strategy and methods of governance in the fields of training, research, exploitation of research findings, international relations, student life and relations with the environment. Special attention will be paid to the institution's quality assurance policy. This evaluation also allows a decision to be reached about the feasibility of implementing its strategic development objectives.

Regarding those institutions in group B for which the AERES produced an evaluation report in 2007, we need to check to what extent and how the recommendations made in this initial evaluation have been taken on board and, based on the analysis of strengths and weaknesses observed at the time, assess how the situation has progressed.

The evaluation guide has a twofold purpose: it will be used by the expert committee and can also be used as a reference document by the institution for its self-evaluation.

It is up to institutions to determine the necessary documents for performing this self-evaluation. The various members of staff and students in the institution must take part in the self-evaluation process, which must lead to a critical analysis of the institution's strategy findings, thereby enabling it to see where it stands at the local, regional, national and international level.

The evaluation takes into account

- all of the self-evaluation data provided by the institution,
- the information and observations gathered during the on-site visit.

For each sphere of activity, the institution's policy is considered in light of the main objectives. Each objective comes with an assessment system that comprises several criteria. Explanations and justifications must back up the evaluation, based on the specific criteria of each objective and on the indicators available.

The experts conduct their evaluation by taking account of the institution's environment, for the criteria cannot have the same importance and/or same weighting for each institution - which has its own characteristics and context.

The *Standards and Guidelines for Quality Assurance in the European Higher Education Area* (ESG) lay down four conditions for a successful evaluation:

- the objectives and evaluation fields must be clear and widely distributed;
- the assessment criteria must be known and shared by the reviewers and evaluated institutions;
- the system for interpreting observations must be known by all parties concerned;
- the evaluation procedures must be geared to the objectives and based on the standards.

The institutions must return their documents to the AERES by 15 October 2010.



Research strategy |

Objective 1. The institution's research potential

Interpretation system and evaluation criteria

Does the institution have an accurate idea of its research potential? Is it able to describe, characterise and position it in its regional, national and international environment? Is it able to provide accurate "mapping" of its research activities and identify the main strengths and weaknesses of its research?

1-1 • Presentation of the organisation chart of research units

1-2 • Research themes

- ✓ the institution's most important objectives. Their relevance in relation to its general policy in the regional research context and their association with national policies - particularly those of research organisations...
- ✓ the financial, human and material resources earmarked to achieve them
- ✓ whether or not progress as regards these objectives is assessed periodically

1-3 • Organisation of research potential

1-3-1. Internal organisation

- ✓ structures (labs, research centre [Very Large Infrastructure], training & research, federated research institute, DS): nature, accreditations, etc.
- ✓ breakdown between the different research activities (fundamental, targeted)
- ✓ human resources (professors; researchers; engineers, technical and administrative staff working in training and research (ITARF); librarians, engineers, technical and administrative staff and workers in the service and health sectors (BIATOSS)) and the actual availability of professors for research: the institution's ability to say what percentage of their time its professors devote to research, by major disciplinary field
- ✓ facilities: pooling or otherwise of major research facilities, technical platforms and calculation methods
- ✓ operating and investment appropriations

1-3-2. External organisation

- ✓ organisation of cooperation with public science and technology institutions (EPST) and public industrial and commercial institutions (EPIC)
- ✓ involvement in networks and new research groups (network of social sciences and humanities research institutes (MSH), higher education and research cluster (PRES), Instituts Carnot, advanced research thematic networks (RTRA), health research thematic networks or centres (C/RTRS), innovation clusters, etc.)
- ✓ organisation of cooperation with the local authorities

1-4 • The institution's scientific production and influence

1-4-1. Nature and volume

- ✓ real-time knowledge of the flow of scientific production: definition of the framework and monitoring by the university (whether or not a research activity database exists)



1-4-2. Legibility/visibility/influence/appeal

- ✓ definition of the framework and monitoring by the university (indicators chosen to evaluate the visibility of its research activities and their follow-up). Proportion of the institution's publications in French, European and international scientific production; proportion of professors and researchers declared in A and A+ ranked units; proportion of the institution's publications in scientific fields considered to be priorities. Reputation indices of researchers/professors: number of visiting professors, members of editorial or scientific committees, consultants, awards; success rates in international calls for tender; number of European contracts, etc.
- ✓ international recruitment policy and procedure followed in this matter: proportion of foreigners in researchers, professors, post-doctoral students and research engineers on the institution's wage bill; proportion of articles jointly published with an EU Member State in the institution's articles
- ✓ the university's editorial policy
- ✓ the university's policy in terms of signing articles (possibly a joint charter with partners: EPST, EPIC, hospitals, etc.)

1-5 ● Human resources

- ✓ recruitment policy on strategic objectives, job descriptions and support
- ✓ publication, advertising
- ✓ the university's promotion policy
- ✓ leave for thematic conversion or research (CRCT), *modulations de service* (division of professors' timetables between teaching, research and other activities)

1-6 ● Financial and material resources

- ✓ amount, organisation and use of funding: the institution's room for manoeuvre, volumes and shares depending on source (research section of the four-year contract, research quality bonus, State-Region project contracts, etc.)
- ✓ funding organisations: foundation, sponsorship, etc.
- ✓ participation in projects run by the French National Research Agency (ANR) or French National AIDS and Hepatitis Research Agency: share of funds obtained by the institution in the means attributed by the ANR (participation rate in ANR projects)
- ✓ involvement in European FPs: participation/coordination rate of the institution in projects funded by the EU's framework programmes in R&D
- ✓ constructions dedicated to research (allocation, management)

1-7 ● Documentary resources

- ✓ documentary expenditure per professor, researcher and doctoral students: the institution's ability to provide this or not
- ✓ documentary policy: refer to the chapter entitled *Training strategy*, objective 4.3



Objective 2. The institution's research strategy

Interpretation system and evaluation criteria

Is the institution able to develop a research strategy, explain, justify and make adjustments to it over time?

- 2-1 ● Research-related decision-making, negotiation and discussion systems and bodies
- ✓ the institution's research strategy and the laboratories' strategies; consistency with the institution's general policy; association of research with training (M, D) and of research with exploitation of research findings
 - ✓ role and activity of the scientific advisory board (CS) (minutes of the CS's meetings); existence of a standing committee or board of the CS; choice and role of sector-based project managers
 - ✓ existence of other bodies or systems: strategic steering committee, ethics committee, etc.
 - ✓ involvement of the university community in developing and monitoring the research strategy
 - ✓ ability to make research-related decisions; the institution's ability to implement its own policy (successful consultation with the EPST and ministry)
 - ✓ procedure for preparing the contractual negotiations with the Directorate-General for Higher Education (research section)
 - ✓ association with the regional economic development plan and/or regional research and higher education plan
 - ✓ internal evaluation ability; the institution's recourse to audits/external evaluations and use made thereof
- 2-2 ● Strategic documents on research
- ✓ research section of the four-year contract and its review: are requirements in terms of human, financial and material resources planned for the different measures decided; is an evaluation system planned?
 - ✓ are there management charts for steering research and a procedure for drawing these up (choice of indicators, etc.)



Objective 3. Implementation and follow-up of the research strategy

Interpretation system and evaluation criteria

Does the institution give itself the means to implement and follow up the research strategy it has developed? Does it favour certain measures by assigning the necessary human and financial resources for carrying them out and by setting up the appropriate support services?

3-1 ● Management of research

- ✓ stakeholders and their respective role: rector's team/boards; project managers
- ✓ involvement of laboratories in implementing the research policy; role of research unit directors and area for dialogue; presence of the research VP on the laboratory's boards; centralised or decentralised implementation of the research strategy
- ✓ the institution's ability to involve public science and technology institutions (EPST) in implementing its research policy
- ✓ existence of EPST, EPIC/institution contracts

3-2 ● Allocation of resources

- ✓ procedure for sharing out centralised resources (research quality bonus, *PPF Président* pluriannual funding plan, research grants, etc.): attribution procedures (criteria-based call for tenders, etc.)
- ✓ procedure for recruiting professors, researchers and ITARF-BIATOSS staff, under all types of contract
- ✓ initiatives fostering research in the career of researchers and professors: CRCT and delegations in EPST (number of applicants, number of staff members availing thereof and breakdown per grade and department); *décharges* (time off from teaching to undertake paid work) or *modulations de service*.

3-3 ● Pooled roles and support services

- ✓ services and systems set up; review and follow-up of their activities
- ✓ assistance with putting together projects (European, ANR): number of applications and amount
- ✓ assistance with developing and support for external, public (with research organisations or other national or foreign institutions) or industrial partnerships: number of applications and amount
- ✓ communication services with socioeconomic and regional environments: involvement in innovation clusters, etc.
- ✓ ICTs at the service of the research policy



Strategy for exploiting research findings

Objective. Development of a strategy for exploiting research findings

Interpretation system and evaluation criteria

Is the institution developing a strategy for exploiting the findings of its research and training activities? Has it set up a body (industrial and commercial activities department, subsidiary, not-for-profit association) or does it participate in a pooled body? Has it entrusted its exploitation activity to an external body (EPST-EPIC, subsidiary of another institution, etc.)?

- 1 ● Partnership policy and research strategy
 - ✓ public partnership including human and material resources
 - ✓ private partnership including human and material resources
- 2 ● Intellectual property policy
 - ✓ patents, publications, software programs, etc.
 - ✓ declarations of invention, etc.
- 3 ● Managing exploitation and transfer of findings
 - ✓ organisation of the exploitation department, definition of its missions
 - ✓ agreements binding the institution to EPST, EPIC, businesses, hospitals or other institutions
 - ✓ provision of services and consultancy
 - ✓ management of intellectual property
 - ✓ policy for detecting inventions worth exploiting
 - ✓ intellectual property portfolio
 - ✓ services for transferring and canvassing partners likely to obtain licences
 - ✓ portfolio exploitation licences
 - ✓ business incubators
 - ✓ creation of business and their type (lifetime > 3 years)
 - ✓ marketing income
 - ✓ measures conducted through innovation clusters and the State-Region project contracts
 - ✓ proactivity of processes towards industry and academia
- 4 ● Impact of productions in terms of
 - ✓ professional practices
 - ✓ decision-aiding tools
 - ✓ communication tools
- 5 ● Existence of a specific or joint editorial policy



Training strategy |

Objective 1. Management of the range of programmes

Interpretation system and evaluation criteria

Does the institution equip itself with the means to manage its range of programmes in line with clearly defined strategic objectives that are genuinely shared by the whole of the university community? Does it take the regional context into consideration? Has it identified the human and material resources it needs for its teaching plan and is it developing a strategy to acquire these?

- 1-1 ● How the institution fits into the local, regional and national environment
- 1-2 ● Strategic objectives
 - ✓ appeal and information and recruitment policy
 - ✓ welcome and support of students
 - ✓ assistance with passing programmes
 - ✓ multidisciplinary
 - ✓ extent of work experience available to students
 - ✓ work-linked training
 - ✓ extent programmes are associated with research
 - ✓ doctoral training policy
- 1-3 ● Procedure for internal liaison and decision-making
 - ✓ role of the advisory board for university life and studies (CEVU) and executive board (CA) in managing the range of programmes, based on the objectives defined in the institution
 - ✓ description of the process for designing courses and programmes
 - ✓ existence of a department policy: common law research and training unit, institutes and schools internally
 - ✓ calculation of training costs
- 1-4 ● Positioning of the range of programmes in relation to the regional context and with a view to setting up a higher education and research cluster and network: pooling, complementarity, consistency (avoiding redundancy and co-accreditations)
- 1-5 ● Specifics of the range with regard to the main research themes
 - ✓ extent to which the main research themes match the programme titles
- 1-6 ● Lifelong learning policy
 - ✓ Volume of activity and organisation of the continuing education service
 - ✓ Division of responsibilities between the continuing education service and departments
 - ✓ Share of continuing education that leads to a qualification in the range of continuing education programmes
 - ✓ Policy for Validation of Learning through Experience (VAE)
- 1-7 ● Development of the range in partnership with the business community and the region, and lessons delivered by professionals
- 1-8 ● Role of the observatory and consideration of students' marks and surveys on integration into the job market in the management of programmes
- 1-9 ● Useful human resources for the teaching plan: the proportion of lessons entrusted to guest speakers – professors and teachers from other institutions and professionals



Objective 2. Legibility and visibility of the range of programmes

Interpretation system and evaluation criteria

Does the institution communicate in a suitable way using objective information depending on the different targets, whether these be high school students, French or foreign students, adults involved in career change choices, adults who have resumed their studies or employees? This particularly means evaluating all external and internal communication tools, how they are adapted to specific sections of the public and to what extent the objectives are achieved.

- 2-1 ● Presentation of the programme organisation chart
- 2-2 ● Legibility of the range architecture
 - ✓ Bachelor 's and Master's degrees: fields, specialities, subspecialities
 - ✓ links between bachelor's and master's degrees and master's degrees, engineering programmes and doctoral schools
 - ✓ display of learning pathways: conversions, continuation of studies and direct integration into the job market from the programme
 - ✓ the institution's appeal
- 2-2 ● Management and harmonisation of the communication policy
 - ✓ level of centralisation or decentralisation
 - ✓ existence of a strategy, objectives, resources and results analysis, with regulation procedure depending on the departments; dissemination of good practices
 - ✓ participation in a one-stop academic portal (regional digital university)
- 2-3 ● Communication tailored to students
 - ✓ communication tool tailored to high school students and their careers advisors
 - ✓ quantitative information provided about pass rates and conditions for integration into the job market
 - ✓ publication of explicit training objectives
 - ✓ specific communication for the attention of foreign students (with a website in English in particular)
 - ✓ information tailored to students who are resuming their studies or in continuing education
 - ✓ type and procedure for delivering information during programmes: website (programmes, timetables, knowledge testing procedures) and access to the student's file
- 2-4 ● Communication tailored to socioeconomic environments
 - ✓ presentation of professional fields of application and professions depending on the course
 - ✓ supplement to the degree drawn up on the basis of the skills acquired
 - ✓ the institution's communication to employers and businesses about the skills acquired by its graduates



Objective 3. Student support initiatives: from arrival at the institution to assistance with integration into the job market

Interpretation system and evaluation criteria

Has the institution set up centrally-run initiatives to personalise and make the information provided widely available so as to enable each student to define a study plan and career plan in line with his/her skills and aspirations and to help students to pass their university studies and integrate into the job market according to their qualification level? Are these initiatives adapted to all programme levels?

- 3-1 ● Management of welcome initiatives in the institution
- 3-2 ● Management of specialisation, conversion and support initiatives
 - ✓ raising the awareness of students in secondary education, agreements between *lycées* (high schools) and institutions
 - ✓ relevant information: prerequisites, pass rates, links between specialities, job openings; personalised advice, active guidance
 - ✓ information provided about continuing on to do a master's degree in view of suitable specialisation
 - ✓ introduction to research at bachelor level, research training at master level and high-quality supervision at doctorate level
- 3-3 ● Consideration of objectives for passing bachelor's degrees
 - ✓ early diagnosis of difficulties encountered by students
 - ✓ existence of teaching advisors and/or course directors, teachers accessible according to a clearly disseminated procedure, tutoring
 - ✓ support initiatives for specific types of student: foreigners, adults resuming their studies, employees, the disabled, high-level athletes, etc.
 - ✓ measures intended to prevent students from becoming uncommunicative, bottling up their feelings, refusing to discuss or gauge their progress
 - ✓ measures in favour of gender equality
 - ✓ partnership with the business community
- 3-4 ● Consideration of objectives for passing master's degrees
 - ✓ master's degree admission policy
 - ✓ capacity to welcome and integrate into the job market
 - ✓ links between first-year and second-year master's degrees
 - ✓ acquisition of knowledge and skills in line with the training objectives
- 3-5 ● Aids for integration into the job market
 - ✓ policy for work placements integrated into the course
 - ✓ existence of an office for integration into the job market and its missions: placement management, job offers, assistance with techniques for looking for placements and jobs, putting graduates' CVs online, etc.
 - ✓ *doctoriales* (training seminars for researchers who have obtained doctorates to improve their employment opportunities) and preparation for the integration of doctors into the job market



Objective 4. The institution provides the student with a work environment in keeping with the requirements of a higher education programme

Interpretation system and evaluation criteria

What are the educational resources available to students? Where does the institution's documentary policy really stand and how is it adapted to the training requirements of students? What is the policy conducted in terms of ICT in teaching? Do students have a suitable digital work environment?

The work environment also concerns the administrative departments managing the student's file and useful information on the implementation of his/her education; the characteristics of teaching premises, access to individual and small-group work areas, the conditions for accessing libraries and documentation. This means evaluating the extent to which initiatives and practices suit students and are adapted to their needs.

- 4-1 ● Characteristics of the digital work environment and student access conditions
 - ✓ management of the digital work environment (DWE) and teaching resources: policy of central DWE or separate DWEs, internal and external accessibility with clear procedures for use that have been sent to all users
 - ✓ ICT in teaching priorities
 - ✓ Access via the DWE to the student's file (notes, administrative information), to useful teaching resources (lesson supplements, online lessons, available teaching aids, etc.) and possible saving of all computer files created by the student
 - ✓ support and training of teaching staff in ICT in teaching
 - ✓ existence and procedure for distance learning for students in initial training and/or continuing education

- 4-2 ● The institution's participation in a training network
 - ✓ contribution to thematic universities
 - ✓ contribution to virtual training programmes, e-learning
 - ✓ provision of tele-training platforms

- 4-3 ● Documentary policy and useful resources for the student, teacher and researcher
 - ✓ documentary policy steered by the joint documentation department within the institution and in liaison with EPST and other partners
 - ✓ documentary policy constructed in line with the range of programmes and approved by the institution's bodies
 - ✓ documentary resources tailored to training needs - with the involvement of teachers in acquisitions
 - ✓ training in documentary searches policy: students concerned depending on the various types of degree and on the training objectives
 - ✓ access to the WiFi network, multimedia rooms, email address to the institution for the student
 - ✓ level of IT equipment for students and training programmes
 - ✓ access to documentary resources: volume and quality of paper collections, libraries united or spread out over sites, loan procedure, reservation and consultation, opening hours of libraries
 - ✓ number of seats in a university library and number of places connected with current and enough signal
 - ✓ secure and distant access to paying e-documentary resources, consultation of the personal reader account, reservation and extension of loans from a distance, submission and distribution of theses online



Objective 5. Quality assurance in teaching

Interpretation system evaluation criteria

Do the information system and other systems set up allow the institution to fit squarely into the quality assurance process by evaluating training programmes, students and the teaching teams' methods of working? How are such systems managed? What resources are allocated to them? Are they used (institutionalised practice or not within the institution) to amend and readapt the scope of the programme range, its content and teaching practices? *The assessment focuses on the way in which the institution implements the programmes and systems announced.*

- 5-1 ● Central management of evaluation procedures for classes and training programmes and their use
 - ✓ distribution of good practices, corrective actions, etc.
 - ✓ regular evaluation practices of how studies, classes and placements are organised: regular evaluation, use of findings, communication to students
 - ✓ role of students in the evaluation
 - ✓ existence of a six-monthly or annual teaching review
- 5-2 ● Knowledge and consideration of students' characteristics
 - ✓ characteristics of secondary studies
 - ✓ analysis of the drop-out, failure, progress, pass and study continuation rates
 - ✓ social characteristics: social environment, place of residence, grants, specific students (foreigners, employees, disabled, etc.)
- 5-3 ● Role of teaching teams: match between the teaching staff and methods for passing on knowledge depending on the skills required by the programme; organisation of schemes making it easier to manage study time (timetables, availability of teaching and administrative staff, etc.), suitable work environment provided to the students
- 5-4 ● Surveys on integration into the job market: evaluation of "the employability" of graduates and consideration of results to improve programmes
- 5-5 ● Inspection of programme conformity: programmes, hourly volumes, conditions under which classes are taught
- 5-6 ● Quality of the evaluation of students and the degrees awarded
 - ✓ exams designed as a teaching aid to help students progress
 - ✓ updated evaluation criteria and procedures in step with changing knowledge on the test and examination procedures
 - ✓ existence of clear and published criteria for marking
 - ✓ establishment of clear rules on how absences, illnesses and other special cases are taken into consideration
 - ✓ regular consideration of feedback from employers, representatives of the job market and competent organisations
 - ✓ exams testing the diversity of skills required for a degree
 - ✓ degrees with external certification
 - ✓ additional certification strategy: IT and Internet certificate, languages, sustainable development training module and so on.
- 5-7 ● Rights and duties clearly explained: exam charter, placement charter, thesis charter, etc.
 - ✓ clear and accessible definition of the objectives of each programme
 - ✓ compliance with the knowledge testing procedure



Student life strategy |

Objective 1. The student is involved in the life of the institution

Interpretation system and evaluation criteria

How is student participation in the life of the institution encouraged and sustained and what are the tangible results of this policy?

1-1 ● Central management of student life with definition of the key priorities

- ✓ student life management tool: role of the Advisory Board for University Life and Studies (CEVU) and/or a specific body
- ✓ organisation of training programmes for elected and associative students
- ✓ recognition of student commitment
- ✓ elections: communication campaign, voting procedure: over 2 days, e-voting, setup of polling stations, organisation of open debates giving students the chance to find out about the electoral procedure, participation rates

1-2 ● Participation of students in the everyday decisions of the institution

- ✓ Vice-president and president of the students' union: missions (including participation in steering bodies) and resources assigned
- ✓ participation of students in the student life steering committee
- ✓ active participation of students in boards
- ✓ student life office, students' union and special responsibilities devolved upon students
- ✓ student members of central boards and boards of the research and training unit; national organisations and/or associations: missions and resources assigned

1-3 ● Quality of associative life

- ✓ student associations: number, purposes, domiciliation and impact
- ✓ existence of a charter or accreditation of associations
- ✓ grouping/pooling of associations in a single "centre of associations"-type venue: objectives and results
- ✓ aids and resources provided
- ✓ incentive-raising and support policy for associative activities and group projects (policy of the Solidarity and Development Fund of Student Initiatives/FSDIE), with or without consideration of associations outside the institution, openness as regards the city, etc.



Objective 2. The initiatives and practices enabling students to enjoy a real quality of life

Interpretation system and evaluation criteria

How is every aspect of students' quality of life characterised: catering and accommodation conditions, possibilities of student jobs, social grants, preventive medicine, cultural life and sport? How does the institution's policy favouring quality of life for all its students fit into a spirit of partnership: Regional Centre of University and Academic Works (CROUS), local authorities, etc.? How are the initiatives set up managed at central and local level? How well adapted to students are they?

2-1 ● Coordination of services and simplification of access to information and useful schemes for students such as:

- ✓ round-the-clock accessibility of information for students
- ✓ documentary resources¹
- ✓ "one-stop shop": central or on campus, during administrative enrolments and the university year, targeting of different groups of students
- ✓ Multi-service card: services provided, internal and/or external use
- ✓ salaried students: special schemes, facilities, etc.
- ✓ foreign students: welcome point (partnerships with the prefecture) accommodation, services, etc.
- ✓ high-level athletes: special schemes, facilities, etc.
- ✓ disabled students: welcome point and specific services available (accommodation, transport, etc.)
- ✓ information campaigns: eco-attitude, healthy and balanced lifestyles (diet, sport, prevention, etc.), etc.

2-2 ● Sport

- ✓ sports policy and management structure (annual report)
- ✓ role of the sports association
- ✓ diversity of sports disciplines
- ✓ regular session in the timetable
- ✓ accessibility of facilities: hours and location
- ✓ proportion of students who practise a sport in the institution
- ✓ "educational" management of high-level athletes (combine sports training and university course, adjustment of timetable, health, etc.)

2-3 ● Cultural life

- ✓ cultural policy and cultural action service (annual report)
- ✓ cultural associations: number of students concerned
- ✓ linking with the range of programmes

2-4 ● Preventive medicine

- ✓ preventive medicine, appointments and psychological counselling
- ✓ organisation of prevention, medico-social, health and psychological follow-up
- ✓ logical targeting of different student groups: freshers, foreign students, disabled students
- ✓ coordination with student insurance companies

¹ Regarding the documentary policy, we will refer to the Training Strategy chapter, objective 4-3



2-5 ● Relations with the CROUS

- ✓ existence of a global agreement: level of activity, purposes and stakeholders, existence of a steering and follow-up committee
- ✓ policy defined in liaison with the institution
- ✓ accommodation, catering, social grants, management of the one-off emergency allowance for students in financial difficulty

2-6 ● Type and purposes of partnerships with the city, Region, follow-up of any agreements

- ✓ health, sport, culture, accommodation, transport, special case of incoming and outgoing mobilities
- ✓ partnerships with other higher education institutions, follow-up of any agreements

2-7 ● Student job policy

- ✓ Number of jobs created in the institution
- ✓ Pay, type of contract
- ✓ Recruitment and allocation procedure.



Partnership strategy |

Objective 1. Development of relations between higher education institutions

Interpretation system and evaluation criteria

Does the institution have a cooperation strategy with other higher education institutions? Is it involved in a higher education and research cluster or network?

1-1 ● Pooling of research activities

- ✓ is the pooling of research activities a priority for the institution?
- ✓ are joint laboratories the result of an incentive-raising policy, following the initiative of laboratories or the involvement of public science and technology institutions?
- ✓ are joint resource centres and platforms the result of a site policy?
- ✓ does the institution take part in forward thinking? In what context?

1-2 ● Pooling of the range of programmes

- ✓ does the institution contribute to local and regional deliberations on the range of programmes?
- ✓ what concrete form does cooperation take (recruitments, co-accredited degrees, joint programmes)?
- ✓ are there joint resource centres (language or IT labs, etc.),
- ✓ is there an inter-university approach for continuing education activities?
- ✓ is there a shared system for the validation of learning through experience (VAE)?

1-3 ● Pooling of international relations initiatives

- ✓ is the institution involved in a joint tool for assisting the incoming and outgoing mobility of students, post-doctoral students and professors?

1-4 ● Pooling of student life activities

- ✓ what are the joint activities in terms of running campuses, cultural life, sport and social actions?

1-5 ● Coordination of services

- ✓ is coordination set up for documentation, real estate, an IT resources centre, a preventive medicine centre?
- ✓ is there a body within the institution tasked with following up cooperation initiatives?

1-6 ● Higher education and research cluster and networks

- ✓ is the institution involved in an established or planned higher education and research cluster?
- ✓ how many and what are the characteristics of the founding and associate members?
- ✓ what is the legal status of this cluster (public scientific cooperation institution or other)?
- ✓ is it a campus-based cluster, regional or inter-regional one?
- ✓ what are its statutory missions and is there a transfer of skills in terms of: research and exploitation of findings, facilities, research teams, doctoral programmes, observatory for student life, integration into the job market, international relations?
- ✓ is the institution involved in a thematic or national network?



Objective 2. Relations with public science and technology institutions (EPST) and public industrial and commercial institutions (EPIC)

Interpretation system and evaluation criteria

Does the institution play an effective role in its relations with the EPST-EPIC? Is it helping to jointly define the research policies and necessary investments?

2-1 • Place of research organisations in the institution

- ✓ how many EPST and EPIC are represented in the institution?
- ✓ what type of teams are involved, are there researchers working alone?
- ✓ jobs with the French National Centre for Scientific Research (CNRS) or French National Institute of Health and Medical Research (INSERM)
- ✓ chairs, interface contracts
- ✓ condition for sharing out management and exploitation of research findings delegations

2-2 • Cooperation procedure between the institution-EPST-EPIC

- ✓ is there a joint charter for the rank of publication signatures?
- ✓ are relations between institutions governed by agreements, framework agreements or contracts? What are the follow-up and evaluation procedures? How are the infrastructure expenses governed (overheads, etc.)
- ✓ which procedures are implemented for a shared definition of the scientific policy?
- ✓ is there a discussion body on matters of HRM, assignment of jobs, recruitment, exchange of staff members, etc.?
- ✓ how are investments for heavy and semi-heavy equipment put forward through State-Region project contracts, city contracts, national and international programmes?
- ✓ are findings exploited subject to negotiation division?

2-3 • Decision-making tools

- ✓ have institutions set up shared internal evaluation procedures?



Objective 3. Relations with local authorities

Interpretation system and evaluation criteria

Does the institution play an effective role in its relations with the authorities?

3-1 • Place of local authorities in the institution's bodies

- ✓ how are local authorities represented in boards and councils?
- ✓ how does the institution encourage the regular attendance of external members?

3-2 • Cooperation procedure with local authorities

- ✓ how is the institution involved and represented (presidence, research and training unit, teams, etc.) in the local authorities' discussion bodies?
- ✓ existence of a specific liaison committee
- ✓ framework contracts
- ✓ has the institution been involved in defining the main objectives of the research and training policy of local authorities?
- ✓ has it been involved in operations under a State-Region project contract, city contract, etc.
- ✓ what share do local authorities contribute to the funding of research and general and vocational training programmes and to real-estate and movable investments?
- ✓ have the institution and local authorities set up a consultation body on vocational training programmes?
- ✓ participation of academics in the economic and social council



Objective 4. Relations with socioeconomic environments

Interpretation system and evaluation criteria

Does the institution play an effective role in its relations with socioeconomic environments? Is it clear enough in its actions to assert a partnership strategy?

4-1 ● Place of socioeconomic environments in the institution's bodies

- ✓ are socioeconomic environments represented on boards and councils?
- ✓ how does the institution encourage their regular attendance?
- ✓ does the institution involve representatives of socioeconomic environments in its strategic discussion bodies: for example steering committee?

4.2 ● Place of professionals in research and training activities

- ✓ has the institution set up a policy for encouraging development of contractual activities with businesses: research contracts, research and development, reviews, industrial training agreement for research (CIFRE) contract, etc.?
- ✓ is one of the institution's priorities to participate in joint activities with businesses through innovation clusters, thematic research and healthcare centres (CTRS), advanced research thematic networks (RTRA), instituts Carnot, etc.?
- ✓ does the institution involve socioeconomic environments in the definition of objectives and priorities as regards vocational training?
- ✓ is there a recruitment policy for temporary and contractual professors? How involved are they in classes? To what extent do they participate in teaching teams, classes, integration and evaluation?



International relations strategy

Objective. International activity in terms of research and training

Interpretation system and evaluation criteria

Does the institution play an effective role in international research and training cooperations

- 1 • Strategic objectives and management of international relations
 - ✓ respective role of departments and central services
- 2 • Research initiatives
 - ✓ beyond individual contacts between researchers, does the institution have a strategy for promoting international exchanges in the research field by setting up inter-institution laboratories or cooperation contracts between laboratories?
 - ✓ does the institution encourage professors and researchers to exploit their research findings through joint publications with French and foreign laboratories?
 - ✓ has the institution set up bodies through which it can take part in European programmes as a leader or associate?
 - ✓ has the institution organised a body for assisting with responding to international calls for tender (NIH, NFS, MRC, etc.)?
- 3 • Initiatives fostering mobility
 - ✓ what resources has the institution made available to foster the incoming and outgoing mobility of researchers and professors?
 - ✓ has the institution defined its policy in terms of recruiting foreigners for permanent or contractual positions?
 - ✓ what is its welcome policy with regard to post-doctoral students and foreigners?
 - ✓ does the institution advertise its job vacancies abroad?
 - ✓ what resources has the institution made available to foster the incoming and outgoing mobility of students? To what extent does it participate in European student mobility programmes? What proportion do agreements make up in student mobility?
 - ✓ how does the institution prepare for and support student mobility: practice of languages and certification, foreign language classes, ECTS, grants, etc.?
- 4 • Training initiatives
 - ✓ is the institution involved in awarding degrees jointly or in partnership?
 - ✓ is it involved in preparing for and awarding joint honours? Does it contribute to joint thesis supervision?
 - ✓ has the institution become involved in relocating training programmes? How many of these are there and what are the selection criteria and conditions for setting them up? How well does it control the creation and content of degrees?



Governance |

Objective 1. The institution's organisation and management system

Interpretation system and evaluation criteria

Does the institution's management team have a widely disseminated and shared policy - the implementation and follow-up of which are objectives for all managers (training, research, administration)? Does the governing method set up by the management team give it effective powers of decision-making and regulation at the service of the institution's policy and cohesion?

- 1-1 ● The Institution defines its strategic development objectives
 - ✓ In this regard, can it specify
 - its local, regional, national and international standing
 - the image it would like to give to its various representatives
- 1-2 ● Consideration of the previous AERES evaluation
 - ✓ corrections made to the weaknesses observed
 - ✓ strengths still applicable?
 - ✓ decisions made for applying recommendations
- 1-3 ● Institutional plan
 - ✓ how it is drawn up and distributed. Existence of implementation follow-up (VP, committee, etc.)
- 1-4 ● Management bodies
 - ✓ president's (management) team:
 - members, procedure for appointing VPs, project managers
 - operating method
 - ✓ the Executive Board: members, frequency, dissemination of work, regular attendance, etc.
 - ✓ members and role of the Scientific Advisory Board and Advisory Board for Studies or equivalent bodies
 - ✓ proportion of women in the institution's various bodies
 - ✓ the institution's organisation charts (Presidence, departments, common services): internal coherency, respective responsibilities, links of responsibility. Do they help make the organisation clearly understandable and efficient?
- 1-5 ● Organising implementation of the plan
 - ✓ organisation of decision-making and information circuits when statuses or the organisation of the institution are being overhauled?
- 1-6 ● Departments: their number, location, type and operation
 - ✓ place and role of department heads in the institution's management bodies (statutory boards, management units, etc.)
 - ✓ existence of subdivisions within departments: their role, relations of responsibility between subdivision heads and department heads
 - ✓ number of students per department or major sector and the change in number over four years



- 1-7 ● The institution's management services (central, common and departments)
- ✓ organisation, steering, management procedure, breakdown of the main management tasks
 - ✓ place and role of the secretary-general or Director-General of Services,
 - ✓ powers and running of the central and common services and departments, governing of the institution's senior administrative management (HRD, director of finances, information systems, assets, etc.)
 - ✓ place and role of the accountant
- 1-8 ● The main and peripheral sites of the institution and their management
- ✓ relocation and running of services
 - ✓ listing, location, nature and status (university technology institute, schools, branches of departments located on one of the main sites, other)
 - ✓ participation of peripheral sites in the life of the institution (executive board meetings, project manager for the peripheral sites, etc.
 - ✓ total number of students on each site (change in numbers over four years)
- 1-9 ● Management capacity
- ✓ governance process and way in which the institution's strategic objectives are developed and then implemented through:
 - hierarchical and functional structures
 - relations between statutory boards and the management team,
 - relations between the departments and management team,
 - the procedure for drawing up management documents (contract with the supervising body, drafting of the budget and decisions to amend the budget, framework memoranda in HR, finances, etc.)
 - organising the main management roles,
 - the existence of information systems for managing the institution,
 - the information tools of the supervising government departments
 - ✓ management assistance process (indicators, annual performance report, quality assurance, management control, analytical compatibility, etc.)
 - ✓ method adopted for preparing for and taking account of AERES-type external evaluations
- 1-10 ● The institution's relations with the supervising government department (except institutions supervised by the French Ministry of Higher Education and Research)
- ✓ Existence of a specific plan for developing higher education or a forward-looking framework
 - ✓ Major actions under way concerning institutions (regulatory framework, scope measurement, national organisation, mergers, etc.)
 - ✓ Institutional Law on Finance Laws (LOLF) programme under which the institution falls
 - ✓ Consultation, discussion or forward-planning bodies of institutions under the same supervising body
 - ✓ Specific indicators followed up by the supervising body and completed by the institution in the various fields



Objective 2. Management, development and quality of information and communication systems

Interpretation systems and evaluation criteria

Is the institution developing a strategy to optimise the performances of its information systems and the familiarisation with information and communication technologies by professionals? (use by students is addressed in the training section).

This means reviewing the way in which the information and communication systems are organised and managed throughout the institution, to what extent they meet the institution's and the different users' requirements and the results achieved.

2-1 • Management of information and communication systems

- ✓ detailed hierarchical and functional organisation chart of the service(s) in charge of designing, developing and maintaining information and communication systems,
- ✓ the institution's medium- and long-term policy in this field (as main contractor) is defined within the institution's management team and is part of an overall information system
- ✓ existence of a master plan including the information systems safety policy. Existence of a French Data Protection Authority (CNIL) correspondent
- ✓ responsibility of the project management. Relations between the project manager and main contractor,
- ✓ management of information and communication systems in the institution allows expectations to be raised and needs to be expressed
- ✓ the institution has put a data warehouse in place, enabling indicators to be constructed and followed up
- ✓ does the policy for the continuing education of staff encourage use and familiarisation with information and communication systems?
- ✓ analysis of the resources devoted by the institution to this field of activity

2-2 • Development, quality, reliability and maintenance of information and communication systems

- ✓ are the information collection and feedback processes reliable?
- ✓ is consistent use made of IT software programs across the different services and departments?
- ✓ have systems to check the quality of data been set up?
- ✓ is a system aimed at the interoperability of software programs under way?
- ✓ the institution has set up a digital work environment (DWE): main operational services, for teaching, research, administration and management
- ✓ the institution is (or has been) a partner of a regional digital university
- ✓ level of WiFi development and access to the intranet and Internet over the different sites of the institution
- ✓ description of network infrastructures and their connection to collection networks (national or regional networks, Renater)
- ✓ support policy for departments in developing and providing online resources for students
- ✓ information and communication systems at the service of the research policy



Objective 3. Employment, total wage bill and human resources management policy

Interpretation system and evaluation criteria

Does the institution have a multiannual policy in terms of employment, total wage bill and HRM - in tune with its strategic objectives?

Does the institution have a human resources management policy taking account of its demographic perspectives and research, training and governance priorities?

Does the policy conducted foster the involvement of researchers and ITARF-BIATOSS in the life of the institution (quality of life, training, career path, bonuses, etc.)?

3-1 • Employment policy

- ✓ does the institution conduct a centralised follow-up of the number, type and takeup of its jobs funded by the State and its own resources
- ✓ how is strategic workforce planning organised in the institution? What are the institution's main strategies in this field?
- ✓ has a policy for contractual jobs been defined?

3-2 • Total wage bill policy

- ✓ does the institution conduct a centralised follow-up of its double total wage bill limit?
- ✓ is the institution in a position to carry out an annual follow-up of its double total wage bill limit?

3-3 • Steering of human resource management (professors, researchers and ITARF-BIATOSS support staff): how does the institution take advantage of independence in this area?

- ✓ HRM organisation and steering: place and role of HRM, organisation of the HRM department (hierarchical and functional organisation), procedures, IT tools, indicators, etc.
- ✓ procedure for drawing up job descriptions (vacant or created) and suitable advertising, including towards EPST and abroad
- ✓ recruitment procedure, consideration of disciplinary and teaching skills
- ✓ operations review and analysis of the selection committees
- ✓ social review: construction, use, etc.
- ✓ procedure for distributing and redeploying jobs and human resources, recruitment policy, promotion, management of teaching load and days off defined under the agreement set up by the institution, compensation policy, etc.
- ✓ **map of professor and teacher jobs. Use of budgetary availabilities**
- ✓ **analysis of job trends in the light of the institution's range of programmes and research guidelines. Existence of a job-quality bonus**
- ✓ number and nature of redeployments and job requalifications
- ✓ ordered list of job publications requested mentioning the affiliated laboratories and departments
- ✓ measurement of the endogenous and exogenous character of recruitment



- ✓ supervision rates as regards professors (national standard) and teachers (with *agrégation*², certified, temporary, language lecturer, etc.) per main sector or statistical information system of education disciplines; measures taken to correct lack of trained staff
- ✓ proportion of professors publishing per main sector
- ✓ number of non-resident professors per main sector
- ✓ procedure for recruiting lecturers and contractual teaching staff
- ✓ definition and adjustment of teaching responsibilities, proportion of different systems
- ✓ map of ITARF-BIATOSS jobs; number of unfilled positions; analysis of job allocations to the institution; annual work volume, agreement set up by the institution concerning days off on top of annual holiday leave
- ✓ number and nature of redeployments and job requalifications; use of job vacancies and creation of jobs, contractual jobs, temporary staff
- ✓ ordered list of job creations requested mentioning the president's services, departments and affiliated laboratories; list of jobs obtained; match between jobs requested and obtained
- ✓ the institution's policy in terms of careers and compensation scheme
- ✓ recognition of the quality of teachers' contribution to teaching and to supporting students, to research and exploitation of findings and to the life of the institution
- ✓ initiatives concerning continuing education for teaching staff, research and support

3-4 ● Discussion structures on ethics and deontology

- ✓ characteristics of the structures and effectiveness in terms of pilot schemes and publications
- ✓ compliance with ethical rules in relations between teachers, researchers and students; teachers, researchers and ITARF-BIATOSS staff; ITARF-BIATOSS staff and students, etc.
- ✓ management of conflicts of interests
- ✓ raising awareness about sustainable development (green plan)

² Highest qualification available in the teaching profession in France



Objective 4. Organisation and management of the budgetary and financial policy at the service of the institution's strategy

Interpretation system and evaluation criteria

How has the institution organised its budgetary and financial policy? Has it selected an operating model in accordance with its own characteristics? This particularly involves evaluating the concept adopted by the management of the institution to organise and govern its finances (in a centralised manner, in a network or in a decentralised manner).

The role of elected associates in decisional and consultation plans, the relevance of management tools used and the level of control by the teams in place. The factors ensuring the consistent and smooth running of the budgetary and financial decision-making process should also be identified, along with the principles governing the drafting and implementation of the budget, which are often indicators of an institution's structure as a single agency or broken down into several branches.

4-1 • Budgetary and financial management

- ✓ organisation and management of finances (financial services/accountant): linking between the various members of the network responsible for budgetary affairs, particularly with the human resources department through the follow-up of employment and total wage bill limits; hierarchical and functional organisation chart of the service(s).
- ✓ the financial commission: members, operation, role and impact.
- ✓ has an institutionalised general framework been set up by the management team, work circuits and decision-making procedures: organisation of budget guideline debates by the Executive Board in liaison with debates on strategic workforce planning, framework statement (presented, discussed and approved by the Executive Board); quality of preparatory documents for the budget and decisions to amend the budget.
- ✓ relevance of strategic choices and internal evaluation capacity: connection and consistency of budgetary priorities with the guidelines followed in Research and Training. Self-evaluation and correction capacity.

4-2 • Constructing and implementing the budget

- ✓ source of funding (State, local authorities, registration fees, own resources, subsidiaries, contracts, etc.). Does the institution have an exhaustive knowledge of its resources (consolidated for institutions with extended responsibilities and remit)?
- ✓ budget structure: consistency with the LOLF and LRU, rules for apportionment between the central and common services and departments
- ✓ quality of budgetary construction: procedure for defining budgetary forecasts in expenses and receipts, use of an N-1 implementation review; budget not equivalent to the total of the department budgets, deviation between initial and consolidated budget
- ✓ does the institution base its evaluation of the forecasting and implementation quality on the budgetary implementation of year n?
- ✓ procedure for predicting and organising public orders: rules adopted for purchases, number and weighting of non-contracted expenses over all expenses, economic efficiency of choices made
- ✓ budgetary implementation; trends over the last three financial years: payment due dates per department, of the institution, application of the payment of interests on overdue payments and amount, where necessary, of the budgetary implementation rate, adjustments during the financial year (number and amount of decisions to amend the budget), accountant's rejections and amount of decisions to amend the budget.
- ✓ is the institution in a position to redeploy resources during the financial year and to make multiannual estimates so as to analyse its ability to bear the financial consequences of its decisions in the medium term?
- ✓ the financial commission: members, operation, role and impact
- ✓ is there a single invoicing department?
- ✓ analysis of the financial account of the past three financial years as approved by the Executive Board
- ✓ use of budgetary balances: pooling and practice of carrying forward



4-3 ● Skills at the service of financial and accounting management

- ✓ recruitment policy to financial and accounting management positions: job descriptions determined
- ✓ training courses for employees unfamiliar with the process.

4-4 ● Place of management control and internal accounting control

- ✓ existence of management charts available and expenditure follow-up indicators (expenses concerning real estate, infrastructure, maintenance, overtime, temporary staff, etc.); distribution, use and processing of data in the context of drafting the budget; cost analysis policy.
- ✓ are there procedures whereby the accountant identifies risk zones?
- ✓ is there a ranked control of expenses?
- ✓ is certification of accounts guaranteed?

4-5 ● Management of cash-flow and own resources

- ✓ policy for developing own resources; state of reserves and deductions made; changes in the working capital
- ✓ use of budgetary balances, carry-forward policies, use of total wage bill available

4-6 ● Investment policy

- ✓ Valuation of needs; multiannual and overall approach; search for external funding; practice of depreciation



Objective 5. Real-estate policy: management, maintenance and development of all assets

Interpretation system and evaluation criteria

Does the institution have in-depth knowledge of its real estate assets and does it have their management under control? Does its real estate policy fit in to an overall real estate management plan forming an analysis of where real estate currently stands, how it is used and its inadequacies as regards the institution's political project? Is it hoping to become the owner of its real estate assets?

5-1 • Organisation of real estate asset management and logistics

- ✓ existence of a central service bringing real estate asset management and logistics as well as the associated financial resources together under the same supervising body; existence of a health and safety unit: links with the real estate asset management and logistics service(s)
- ✓ functional and hierarchical organisation chart of the service

Real estate responsibilities exercised by the service

- ✓ contribution to drawing up the overall maintenance plan
- ✓ contribution to new constructions or the major renovation of existing premises (with energy savings as one of the objectives)
- ✓ contribution to technical exploitation: energy and fluid management, running and follow-up of real-estate technical installations, compulsory inspections, carbon footprint
- ✓ setup of energy management for the institution, water consumption management and a management plan for green spaces on the campus.
- ✓ diverse sources of funding, sums implemented.

Logistics responsibilities: examine the relevance of implementing the main logistics functions. Internalisation/externalisation

- ✓ cleaning of premises, reception services, upkeep of green spaces, existence of internal warehouses, motor vehicle fleet, reprography, telephony, surveillance and safety, etc.

5-2 • Real-estate knowledge concerning the university site and management tools

- ✓ Net floor area of all buildings and of each building; ratio of teaching surface area/number of students per main sector (Literature, languages, human and social sciences, Law, Science and Technology, etc.); ratio of research surface areas/number of professors + researchers + research IATOS +ITA per main sector; land area
- ✓ condition of property; analysis of where the institution stands in relation to the fire safety regulations
- ✓ accounting valuation of the institution's property by accurately completing the France Domain forms
- ✓ use of an "Autocad" type tool for enabling the input of drawings and databases associated with this tool
- ✓ use of an asset management software (e.g. Abyla, Alifa TT Graphics, Antilope or Patrimoine) whose database has been clearly filled in
- ✓ the institution has a software program for managing classrooms showing which premises are being used and enabling teaching hours to be managed
- ✓ has the institution updated its real estate asset accounting: reliable and exhaustive knowledge of the composition of its assets (finalisation of the physical inventory, accounting valuation of property in the balance sheet)?

5-3 • Ownership of real estate assets

- ✓ If the institution hopes to become the owner of its real estate assets, on what political and economic analysis is it basing its approach?



Objective 6. Development of the self-evaluation capacity at the service of more effective activity

Interpretation system and evaluation criteria

Does the institution have the capacity (human and financial resources and tools) to conduct discussions about the measures it is taking with a view to improving, adapting and stepping up the continuation of its strategy in the various fields of activity that have been devolved upon it? Does implementation of this internal evaluation attest to responsible management?

Developing its self-evaluation capacity requires effective coordination of the institution's staff and organisations to construct relevant follow-up tools, and therefore the training of executives and managers in new management methods. A good self-evaluation capacity is also a possible basis for a better communication strategy.

This means evaluating whether the institution has the necessary means to conduct a self-evaluation. In this case, the organisation (human and material) and its management should be evaluated, as well as the resources assigned and observable findings (progress made from one year to the next).

6-1 ● Management, organisation and findings

- ✓ Centralised management and organisation of a coordinated skills network within the different services and departments: work and exchange procedure between the centre and branches
- ✓ existence of evaluation contacts and of an internal training cycle in evaluation
- ✓ presentation of the institution's plan with the main strategic priorities, intermediate objectives and operational objectives considered by the "active units" (professor, admin. staff) on display; knowledge of the main priorities of their institution by staff (professors, admin. staff and elected students)
- ✓ organisation of the programme cycle (activity-based management): existence of written "intentions-achievements-findings" diagrams and impact logical diagrams
- ✓ existence of a body responsible for monitoring findings and how closely in line they are with the operational, intermediate and strategic objectives
- ✓ quality of teaching delivered: feedback to the central management department, comparison of characterisation and management data and findings of the institution with the information provided in publicity material (deviations concerning student numbers, omission of failing students, etc.)
- ✓ quality of the information system: accessibility to databases, level of use
- ✓ observable findings: progress made from one year to the next



Objective 7. Quality assurance

Interpretation system and evaluation criteria

The institution's quality assurance system, control of processes implemented and continuous improvement of the system

7-1 • Definition of a policy and procedures for quality assurance

- ✓ Quality assurance takes account of the Standards and Guidelines for Quality Assurance in the European Higher Education Area (ESG, see appendix).
- ✓ Its objectives are approved by the institution's bodies and presented to all staff.
- ✓ It is managed, the processes are described and responsibilities are identified.

7-2 • Implementation and follow-up of quality assurance in the different activities of the institution

Quality assurance applies to different activities within the institution, in particular:

- ✓ Research
- ✓ Training
- ✓ Student life
- ✓ External relations
- ✓ International relations
- ✓ Governance of the institution
- ✓ Human resources
- ✓ Sustainable development (green plan), etc.

7-3 • Continuous improvement of quality assurance

The continuous improvement process comprises the following stages in particular:

- ✓ Self-evaluation process
- ✓ Follow-up and consolidation of indicators
- ✓ Identification of operating anomalies
- ✓ Development and follow-up of an improvement plan



Objective 8. Health and safety

Interpretation system and evaluation criteria

Has the institution set up a health and safety department? Does it take the environment into account?

8-1 • The health and safety department

- ✓ human and material resources assigned
- ✓ coordination with the other services, particularly the real estate assets service
- ✓ Health & Safety Committee: operating method, risk evaluation capacity and recommendations

8-2 • Methods and means for distributing recommendations in the institution

- ✓ operation and impact
- ✓ waste treatment (household, biological, chemical, nuclear and electronic)



Relations with the teaching hospital

Objective. Development of relations between universities, health departments and hospitals

Interpretation system and evaluation criteria

Special attention will be paid to:

- the type of relations and the procedure between the university, its health departments and hospitals
- the consistency of the policy conducted in the three inextricably linked fields of hospital and university missions: research, training and health care
- added value for the university and health departments of hospital-university cooperation

- 1 • Description of health departments: general presentation (max. 20 lines)

Presentation of university objectives in the biomedical and clinical field. Presentation of the main themes

- 2 • Configurations and organisation

2.1. Management: what are the specific contractual discussion and decision configurations of the health field: hospital-university agreement, multiannual hospital contract of objectives and resources, mixed committee or board involved in the research and education fields, research committee in biomedicine and public health (CRBSP); representation of the hospital on the university boards of research and training boards and representation of the latter and universities on hospital boards and committees.

2.2. Biomedical research and clinical research strategy: strategic objectives selected; how have these been defined?

- ✓ how relevant are they in the light of local potential (other university departments, higher education and research clusters, teaching hospital, other institutions, etc.)
- ✓ pooling of resources (technical platforms, findings' exploitation unit, external cooperation with EPST, EPIC, RTRA, CRTRS, innovation clusters and foundations)

2.3. Training strategy

- ✓ range of programmes shared with other departments
- ✓ range of programmes specific to the health field
- ✓ involvement in training paramedics
- ✓ involvement in continuing education



3 • Resources implemented

3.1. Financial resources

Financial resources pooled between universities and hospitals for joint activities

3.2. Human resources of the health sector put to use for research and training

- ✓ analysis of staff numbers and recruitments to assess the renewal rate of hospital-university staff and participation of hospital and research staff
- ✓ what is the proportion of permanent jobs?
- ✓ is strategic workforce planning carried out for several years ahead?
- ✓ are discussions held with universities, hospitals and public science and technology institutes (EPST) as regards recruitment?

If possible, fill in the local managers for each health department in the table below:

	FTE staff numbers at 31-12-09				Recruitments over the past 4 years					
	UH	U	H	EPST	UH	U	H	EPST	Local	External
Grade A										
Grade B										
ITARF-BIATOSS										
Non-medical staff										

Number of professors receiving the award for scientific excellence (PES)

Number of post-doctoral students

4 • Activities and results

4.1. In terms of clinical and biomedical research

- ✓ publications of accredited teams and clinical teams
- ✓ submission of patents by accredited teams and clinical teams
- ✓ research exploitation results (income from patents and licences, contracts with firms, etc.)
- ✓ number of interface contracts

4.2. In terms of training

- ✓ participation of health departments in master’s degrees
- ✓ participation of health departments in DS and number of university doctorates awarded
- ✓ number of professors receiving the PES
- ✓ number of services awarding diplomas in specialist studies and diplomas in complementary specialist studies (DES-DESC)
- ✓ number of university and inter-university diplomas (DU-DIU) from the health sector and number of students
- ✓ activity in continuing education/continuing medical education/evaluation of professional practices

5 • Quality policy

In terms of research

- ✓ compliance with ethical rules
- ✓ compliance with good practice regulations in laboratories
- ✓ evaluation of clinical trials



In terms of training

- ✓ collective development of training objectives and programmes
- ✓ quality assessment of classes and placements by students
- ✓ evaluation of the quality of teaching documents
- ✓ "validation of learning" methods

6 • medical and medico-technical clusters

6.1. Strategic development objectives in terms of clinical research, training and healthcare activities in the cluster.

6.2. Specific resources for the biomedical and clinical research of clusters

	Overall	Cluster 1	Cluster 2	Cluster 3	Cluster n ...
Four-year contract					
Research quality bonus ANR, ANRS, INCA ...					
European contracts					
Industrial contracts, evaluations with the exception of phase IV trials					
Regions and local authorities					
RTRA					
C / RTRS					
PHRC					
Multiannual objectives and resources contracts					
Teaching, research, reference and innovation missions					

Sources: universities, health departments, university hospitals, clinical research delegations

6.3. Human resources for clinical and biomedical research

	Overall	Cluster 1	Cluster 2	Cluster 3	Cluster n ...
Permanent university professors- hospital practitioners (PU-PH)					
Permanent university lecturers- hospital practitioners (MCU-PH)					
Temporary university hospital practitioners (PHU)					
Hospital practitioners (PH)					
University professors, research directors (PR, DR)					
Lecturers, research officers (MCF, CR)					
University hospital assistants, senior registrars of university hospital assistants (AHU, CCA)					
Research engineers (IGR)					

Sources: universities, health departments, university hospitals and clinical research delegations

6.4. Production

	Overall	Cluster 1	Cluster 2	Cluster 3	Cluster n ...
No. of publications					
No. of patents					
No. of licences					
No. of interface contracts					

Sources: universities, health departments, university hospitals and clinical research delegations



6.5. Clinical research activity

	Overall	Cluster 1	Cluster 2	Cluster 3	Cluster n ...
No. of active patient cohorts					
Innovation biological activities not on the medical nomenclature, radiology activities, pharmaceutical innovation activities ...					
other					

Sources: universities, health departments, university hospitals and clinical research delegations

6.6. Training activities (one table per cluster)

Medicine, pharmacy, dentistry studies	No. hours of lectures	No. hours of tutorials and practicals
1 st cycle called		
2 nd cycle called		
DES DESC called		
DU called		
Master's degree called		
Doctoral students	No.	

6.7. Participation in accredited teams (one table per sector)

	PU PH	MCU PH	PHU	PH	PR DR	MCF CR	AHU CCA	IGR
Mixed research unit no. and name								
Mixed research unit no. and name								
...								
Host team no. and name								
Host team no. and name								
...								
Young team no. and name								
Young team no. and name								



Affirmation of the institution's identity through a communication policy

Objective. Develop a sense of belonging

Interpretation system and evaluation criteria

What is the institution's strategy for giving itself an identity, thereby fostering the materialisation of a sense of belonging (communication strategy: logo, corporate identity, organisation of events promoting teachers and/or students, etc.)? What is the impact of this strategy on student behaviour?

- Forging an identity of the institution: stable and clear image
 - ✓ communication of the institution to forge its identity: appropriate website, creation and adoption by everyone of a symbolically explicit logo, definition of a corporate identity adopted by each of its departments, signs, present in different areas of the institution, displays, etc.
 - ✓ conferences, debates on themes of disseminating knowledge produced in the institution, participation of staff in these events
 - ✓ demonstration of recognition of excellence with student and staff participation: distribution of prizes, official ceremony for the start of the university year, awards, honorary degrees and other ceremonies...
 - ✓ opening to the general public of cultural events organised on-site
 - ✓ student forums, student magazines, digital newsletter, magazine of the university for students or distributed to students, etc.
- External communication
 - ✓ partner networks with socioeconomic stakeholders
 - ✓ promotion of knowledge and skills associated with degrees and research activities
 - ✓ information that is disseminated should be easily accessible, accurate, impartial and objective as regards the range of programmes, objectives, expected results in terms of learning, the degrees awarded, teaching and evaluation procedures, research and exploitation of research findings
- Sense of belonging of alumni
 - ✓ actions reuniting and gaining the loyalty of the institution's students: organisation of such events as alumni get-togethers
 - ✓ alumni associations
 - ✓ directory of alumni
 - ✓ sustainable email address, etc.
- Assessment of the feeling of belonging in students and staff encountered
 - ✓ detect in the spontaneous comments of students and staff an expressed sense of belonging or pride based on the quality of training received, student living conditions, objectives of research excellence, etc.
 - ✓ identify whether this sense of belonging is expressed with regard to the institution or a department
 - ✓ participation of students and staff in national and even international external events in which they represent the institution (sports competitions, humanitarian operations, concerts, etc.)

Evaluation of institutions

Group B

Procedure

1 – Expert committee members:

- Appointment of the leading scientific delegate and project manager (AERES)
- Appointment of the committee chairman from among the academics who have held positions of responsibility in institutions
- Appointment of the experts from among:
 - French and foreign academics,
 - representatives of socioeconomic environments,
 - regional education authority secretary-generals
 - students.

2 – Informing the institution head

- Communication of the expert committee members and organisation of the on-site visit. The institution head may make comments

3 - Documentation submitted to the committee members

The AERES' file:

- regulatory texts
- evaluation guide for group B
- financial data
- higher education indicators of the French Ministry of Higher Education and Research (SIES)
- evaluation of units (department 2)
- evaluation of programmes (department 3)
- previous evaluation report of the AERES

Institution's application:

- organisation chart
- self-evaluation report and summary of development priorities
- evaluation indicators
- institutional contract indicators
- financial accounts as presented to the Executive Board
- external evaluations conducted following the institution's initiative
- research indicators
- State-Region project contract

4 – Preparatory meeting of the expert committee

The purpose of this meeting is to:

- check the experts' information
- specify the on-site visit's objectives
- share out the roles and responsibilities of each member



5 – Organisation of the on-site visit in liaison with the institution head

- determination of the dates (3 days)
- planning of interviews with:
 - management or director's teams
 - secretary-general
 - managers of departments and central or general services
 - directors of research teams and teaching teams
 - students, staff, etc.
 - external stakeholders (local authorities, etc.)
 - ...

6 – Documents likely to be requested from the institution by the committee

- the expert committee and members of the department for the evaluation of institutions of the AERES may ask the institution for any documents or further details for shedding light on their analysis
- the institution is asked to give the experts' access to its intranet (Board minutes, etc.) throughout the evaluation

7 – On-site visit (3 days)

- This begins with a presentation of the institution by its head
- It continues with individual interviews - without the rector or director attending - and concluding meetings.

8 – After the on-site visit, the experts write up their contributions

9 – Post-evaluation meeting

- expert committee, project manager, scientific delegate, director:
 - comparison of thematic analyses
 - finalisation of the draft report written by the committee chairman

10 – The draft report:

Plan:

- short presentation
- analysis of the policy conducted in terms of research, training, exploitation of research findings, relations with the environment, international relations, students, governance and management
- conclusion, strengths, weaknesses and recommendations
- appendix presenting the key figures on which the evaluation was based

11 – The evaluation report

- analysis of the draft report and added information from scientific delegates and project managers
- writing of the evaluation report: department head, scientific delegates, administrative delegate and project managers with emphasis on the strengths, weaknesses and recommendations

12 – Dispatch to the institution for comments from the rector or director

13 – Dispatch to the supervising bodies of the institutions

14 – Publication on the AERES website