

TERMS OF REFERENCE FOR THE ASSESSMENT OF THE *INSTITUT PASTEUR*

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INTRODUCTION

This document presents the Terms of reference for the 2023-2024 assessment of the *Institut Pasteur*.

These Terms of reference identify the topics and criteria for the assessment – or, in mirror form, the elements that are expected in the self-assessment report elaborated by the *Institut Pasteur* in 2023. They are proposed by the High Council for the evaluation of research and higher education (Hcéres); they have been discussed with the management of the *Institut Pasteur*.

These Terms of reference are public on the Hcéres website. They are based on the *Reference assessment framework for national research organizations* approved in October 2021 by the Hcéres Board, and on the companion document entitled *Guidelines for the self-assessment of a research organization*, with the adaptations which are needed to take into account that the *Institut Pasteur* is a singular actor in the French research and innovation landscape and is not a public national research organization.

Principles and objectives for the assessment

The core principles for the assessment are set in the provisions of the French Law and government regulations that define the missions of Hcéres, and in the *Reference assessment framework*:

- The assessment is a peer review by a committee of experts.
- These experts are appointed by Hcéres in compliance with the principles of neutrality, expertise, absence of any conflict of interests, independence, integrity, appropriate balance within the committee.
- The assessment is performed on a collegial basis, under the responsibility of the chairperson of the expert committee.
- The assessment report is signed by the chairperson of the committee of experts, on their behalf, and countersigned by the president of Hcéres.
- The assessed institution is given the opportunity to comment throughout the assessment process and at the end of it.
- The assessment is conducted with due respect to the autonomy of the assessed institution and to the responsibilities of its governing boards and executive management.

The assessment process also respects the following principles:

- the assessment objectives are explicit and public;
- the assessment process is based on procedures known to the assessors and the assessed entities;
- the assessment criteria are explicit and public;
- the self-assessment performed by the assessed institution is a major basis for the assessment.

The assessment takes into account all the missions of the *Institut Pasteur*¹. More precisely, as agreed with the management of *Institut Pasteur*, the assessment is to examine:

- *Institut Pasteur*'s activities related to its missions on research, on training and on innovation,
- as well as its public health activities insofar as they have relations with the research, training and innovation activities.

The assessment's objectives are twofold:

- to provide substantiated assessments of the quality of the results obtained, and to give recommendations;
- to provide valuable feedback to the *Institut Pasteur* and to the French ministries in charge of research and in charge of health concerning the institution's policy and its implementation, and the relations with the ministries.

The assessment focuses on five areas: 1) positioning and strategy; 2) organizational structure and governance; 3) strategy implementation; 4) activities and results; 5) strategic orientations for the next years. For the first four areas, the reference period covered by the assessment is the period 2018-2022.

¹ As stated in Article 1 of its bylaws, the *Institut Pasteur* is a foundation recognized as being in the public interest, the purpose of which is, in France and internationally:

- The development and pursuit of research in all fields of biological science likely to contribute, directly or indirectly, to progress in human health, particularly in the field of infectious diseases.
- Teaching and training in connection with the above research activities.
- Conducting and supporting public health initiatives.
- The development of innovation and the transfer of knowledge with a view to applications aimed at preventing or combating diseases, particularly infectious, parasitic or immune diseases, or, more broadly, at improving health.

The self-assessment

The self-assessment report (SAR) prepared by the assessed institution is the main source of information for the expert committee at the beginning of the assessment process. The SAR contains two types of information:

- information and factual data provided by the institution about its strategy and positioning, its activities, its actions and its results;
- and self-assessments produced by the assessed institution: the institution is expected to perform a self-critical analysis of its results and of the successes and limitations of the actions taken to implement its strategy.

The SAR describes:

- the orientations and objectives set in the institution's strategy for each activity;
- the actions taken for each activity to deploy the strategy;
- the monitoring indicators selected for each activity;
- and the main results achieved by the institution during the assessed period, *alone or in partnership*.

A major expectation is that the SAR highlights the ability of the institution to:

- position itself in its local, national and international environment;
- qualify the results of the implementation of its strategy;
- characterize the evolution of each activity and identify its major results;
- mobilize its staff in line with its strategy;
- build strategic partnerships contributing to fulfill its missions;
- identify its strengths and weaknesses, and describe the analyses made to identify them.

Contents of the Terms of reference

The *Reference evaluation framework* sets the principle that the assessment of a research organization is tailored to its missions, its situation, and the key issues at stake in its fields of action. This adaptation of the *Reference framework* is all the more important and necessary for the *Institut Pasteur*, which is not a public national research organization and which has a singular place in the French ecosystem of research and innovation, and public health. This is why the Terms of reference below have been written by Hcéres, in relation with the management of *Institut Pasteur*.

The Terms of reference present the "criteria" selected for the assessment of the *Institut Pasteur*, and for its self-assessment report. These criteria are retrieved from the *Reference assessment framework of national research organizations*. They are grouped per areas or sub-areas following the *Reference framework*.

AREA 1: POSITIONING AND STRATEGY

1.1 Positioning of the *Institut Pasteur*

Reference 1: Is the *Institut Pasteur* capable of describing its position in the national, European and international landscape of health research and innovation, and of analyzing its evolution?

- a. Does the *Institut Pasteur* have a clear vision of its missions and its commitment to society and to the French State, in line with its history, values and bylaws?
- b. Can the *Institut Pasteur* describe its role in its institutional and economic environment, its place in Europe and internationally, its activities and operation modes?
- c. Does the *Institut Pasteur* define its positioning on the basis of a diagnosis relying on international benchmarking?
- d. Is the *Institut Pasteur* capable of analyzing the changes in its positioning over the reference period?

1.2. Strategy

Reference 2: Does the *Institut Pasteur* have, during the reference period, a strategy that is clear and consistent with its missions and positioning?

- a. Is the strategy for the reference period clear and formalized? Is it consistent with the *Institut Pasteur*'s positioning and the evolution foreseen? Does it set explicit orientations and objectives?
- b. Does the *Institut Pasteur*'s strategy set priority orientations for the scientific policy, based on scientific prospective and on the analysis of its strengths and weaknesses?
- c. Does the *Institut Pasteur*'s strategy include orientations and objectives to increase its contribution to the nation's economic and social life, by developing innovation and training, and by conducting and supporting public health initiatives?
- d. Does the *Institut Pasteur*'s strategy include orientations and objectives to favor the emergence of new research themes, risk-taking, interdisciplinarity and the professional development of young scientists?
- e. Does the *Institut Pasteur*'s strategy include orientations and objectives concerning its involvement in the European research area?
- f. Does the *Institut Pasteur*'s strategy include orientations and objectives for scientific integrity, ethics and deontology?

AREA 2: ORGANIZATION AND GOVERNANCE

2.1 Organizational structure

Reference 3: Is the *Institut Pasteur*'s organizational structure appropriate for its activities and strategy?

- a. Is the organizational structure consistent and suited to the strategy?
- b. Did the evolution of the organizational structure during the reference period support the implementation of the strategy?

2.2 Governance for the strategy implementation

Reference 4: Is the *Institut Pasteur*'s governance based on bodies and decision-making processes that are suited to its missions and to the actions taken to implement the strategy?

- a. Do the bodies and parties involved in political and administrative governance have clearly defined roles and responsibilities? Are the *Institut Pasteur*'s main partners involved in its governance?
- b. Are the decision-making processes clear and do they contribute to the effectiveness of the actions carried out by the *Institut Pasteur* alone or in partnership?
- c. Do the governing bodies and the governance processes encourage the expression and participation of the different categories of staff? Is the social dialogue active and recognized?
- d. Is the gender balance within the governance bodies and in the management team satisfactory? If not, are relevant actions underway to improve it?
- e. Is change management related to the implementation of the strategy conducted through explicit and coherent managerial processes and responsibilities?

Reference 5: How does the *Institut Pasteur* monitor its activities and the implementation of its strategy, and how does it implement its communication policy?

- a. Does the *Institut Pasteur* have appropriate tools to monitor its activities and its results? Are relevant steering indicators monitored at the various levels of the organization?
- b. Does the *Institut Pasteur* identify, assess and manage the risks associated with its activities?
- c. Does the *Institut Pasteur* monitor the actions taken to implement its strategy and their results? Does it take corrective actions when necessary?
- d. Does the *Institut Pasteur's* external communication sustain a shared understanding of its missions, activities and strategy and highlights its results and achievements? Does it appropriately involve its partners? How does the external communication sustain the public's trust in the *Institut Pasteur*?
- e. Does the internal communication favor the staff's support for strategy, and an appropriate sharing of information?

AREA 3: KEY ASPECTS OF STRATEGY IMPLEMENTATION

3.1 Involvement in the development of universities and role in the national ecosystem

Reference 6: How is the *Institut Pasteur* involved in implementing a shared site policy with its main partner university, with common objectives and joint actions?

- a. Is the *Institut Pasteur* involved in a "site governance" with *Université Paris Cité* to implement a shared policy with common objectives and joint actions?
- b. Does this site policy include common objectives and joint actions to promote the participation of the *Institut Pasteur's* staff in teaching and in doctoral training?
- c. Does this site policy include common objectives and joint actions for the scientific policy and for embedding science in society?
- d. Does it include common objectives and joint actions on innovation, as well as effective and shared arrangements for research contracts with companies and technology transfer?
- e. Does it include common objectives and joint actions for the management and the support of joint research units?

Reference 7: Is the role of the *Institut Pasteur* in the French higher education, research and innovation (HERI) ecosystem well identified? Is it implemented through relevant operating modes?

- a. Does the *Institut Pasteur* lead major research and innovation projects with partners of the national HERI ecosystem and with European and international partners?
- b. Does the *Institut Pasteur* conduct a policy of managing major research and innovation instruments for the benefit of the national and of the European and international scientific community?
- c. Does it develop synergies with leading universities in its field of activity?
- d. Do the *Institut Pasteur* and the French national research organizations have constructive relations and do they have a good capacity to lead joint actions?

3.2 Human resources policy

Reference 8: Is the *Institut Pasteur* human resources policy in line with its strategy? Is it attractive to top talents? Are all activities valued in the staff assessment and career development?

- a. Does the *Institut Pasteur* implement a strong recruitment and attractiveness policy in line with its strategy? Does it attract people with top-level recognized talents and various backgrounds, trained outside its teams?
- b. Does the *Institut Pasteur* implement a dynamic policy for its staff's competency development? Does it promote internal and external mobility of its staff?
- c. Does the *Institut Pasteur* ensure that staff assessment and career development recognize the full range of their contributions?
- d. How does the *Institut Pasteur* promote gender balance in all its activities and at all career levels, and how does it fight against discrimination?

3.3 European commitment and international cooperation

Reference 9: How does the *Institut Pasteur* strengthen its contribution to the European research area?

- a. Does the *Institut Pasteur* implement an action plan to increase its participation in European research and innovation programs?
- b. Does it develop strategic research and innovation partnerships with European actors? Does it play a leading role in Europe in some identified fields?
- c. Does it develop strategic research and innovation partnerships with international actors outside Europe?

3.4 Factors supporting society's trust in the *Institut Pasteur*

Reference 10: How does the *Institut Pasteur* promote scientific integrity, ethics and professional conduct? Does it implement an active policy for sustainable development?

- a. Does the *Institut Pasteur* implement an active policy for scientific integrity, including awareness-raising and prevention actions as well as mechanisms to detect and address misconducts?
- b. Does it contribute to discussions on ethical issues related to its research and innovation activities and carry out awareness-raising actions for its teams?
- c. How does the *Institut Pasteur* ensure quality and effectiveness of its internal processes and reflections on professional ethics for all professions and activities: research, innovation, public health, support, etc.?
- d. More broadly, does the *Institut Pasteur* develop specific reflections on how to improve society's trust in health research? Does it take specific actions to enhance transparency and improve the public's trust in the *Institut Pasteur*?
- e. Does the *Institut Pasteur* implement an active policy for sustainable development, particularly for reducing the environmental impact of its activities?

3.5 Multi-annual management of resources

Reference 11: Does the *Institut Pasteur* develop a multi-annual overview of the evolution of its resources?

- a. Does the *Institut Pasteur* have a multi-annual vision of the evolution of its needs and resources, in line with its strategy?
- b. Does it develop a forward-looking approach to the management of jobs and competencies, in line with its strategy?
- c. Does it have a business model that is clearly defined, sustainable, and well suited to its various areas of activity?
- d. Does it carry out analyzes with a view to a resource diversification policy?

AREA 4: ACTIVITIES AND RESULTS

4.1 Research

Reference 12: How does the *Institut Pasteur* sustain the dynamics of its research activities? Does it identify and value its major results? How does it implement the orientations of its scientific policy?

- a. Is the *Institut Pasteur* capable of assessing the quality of its scientific production in the international context? Does it identify its major contributions and achievements during the reference period?
- b. Does the *Institut Pasteur* have a vision of the evolution of its research activities over the last 5 or 10 years, and of their impact?
- c. Does it analyze the successes and limitations of the actions taken to implement its scientific policy, and to promote the emergence of new research themes, risk-taking and the professional development of young scientists?
- d. Does the *Institut Pasteur* implement an open science policy and monitor its results? Does it use appropriate methods and tools to manage and open up access to research data? What are its actions to ensure transparency of clinical trial results?

4.2 Teaching and training

Reference 13: How does the *Institut Pasteur* develop its teaching and training activities, and assess their results and impact?

- a. Does the *Institut Pasteur* monitor its teaching and training activities? How does it develop them?
- b. How does it assess the results and impact of these activities?

4.3 Conducting and supporting public health initiatives

Reference 14: Does the *Institut Pasteur* identify the relevance and the impact of its contribution to public health actions?

- a. Is the *Institut Pasteur* able to assess its public health activities and their impact? Can it identify the major contributions and successes achieved during the reference period?
- b. Are its public health activities carried out in synergy with its other missions and activities?
- c. Are its public health activities recognized and appropriately integrated in the national public health system?
- d. Does the *Institut Pasteur* develop collective and corporate expertise on public health issues?

4.4 Innovation

Reference 15: How does the *Institut Pasteur* implement its innovation policy and value its achievements?

- a. Does the *Institut Pasteur* develop a culture of innovation within its teams and encourage risk-taking?
- b. Is the *Institut Pasteur* capable of assessing the results of its innovation activities, both qualitatively and quantitatively? Does it identify its major contributions and achievements during the reference period, and does it learn from its failures?
- c. Is the *Institut Pasteur* able to assess the socio-economic impact of its activities?
- d. How does the *Institut Pasteur* analyze the successes and limitations of its actions to support relations with companies: research contracts, industrial chairs, joint laboratories, multi-year framework agreements, PhD grants funded by companies, staff mobility, etc.?
- e. How does the *Institut Pasteur* analyze the successes and limitations of its actions carried out to implement transfer activities: support mechanisms for "project maturation" activities, technology transfer, know-how transfer, creation of startup companies, intellectual property policy, etc.?
- f. How does the *Institut Pasteur* assess the added value of its public and private partnerships for innovation?

AREA 5: STRATEGIC ORIENTATIONS FOR THE COMING YEARS

5.1 Strategic orientations for the coming years

Reference 16: What is the *Institut Pasteur*'s vision of its strategic orientations for the coming years and of the main evolutions to be led in the future?

- a. Is the *Institut Pasteur* capable of assessing the trajectory followed during the reference period, for its various activities? Is it capable of analyzing its strengths and weaknesses as well as the main challenges for the coming years?
- b. To elaborate its next strategic project, does the *Institut Pasteur* put in place clear and open working ways that ensure the participation of its staff and bodies and involve its partners?
- c. Can it present a first vision of its strategic orientations and objectives for the coming years?

ANNEX: TABLE OF ACRONYMS

Hcéres	Haut Conseil de l'évaluation de la recherche et de l'enseignement supérieur
HERI	Higher education, research and innovation
SAR	Self-assessment report

