

Group D  
Evaluation campaign 2017 – 2018  
  
Guide for the redaction  
of a research unit application

The application submitted by research units consists of a single, main text document, which includes the data on both the past and the future period.

If several research units are merged, the application will present the results of the units involved in the merger one after another before presenting the common scientific strategy for the next period.

If a research unit is split into several different units, each future unit must submit a separate application.

Below, you will find advices on how to complete the application.

Data will be presented for the period running from January 1, 2012 to June 30, 2017, thus covering a little more than five years. For research units that were created after January 1, 2012, the data should cover the period between the starting date and June 30, 2017. This section will be followed by a presentation of the future scientific strategy, which will cover the future prospects, objectives and means for achieving them.

The AERES standards and criteria for evaluating research units are available on the HCERES website.

The application length will be adapted to the size of the unit. For example, around ten pages would be suitable for a research unit of fifteen professors or scientists, whereas the maximum size for a unit of fifty professors or researchers would be around thirty pages (without the appendices). The size of the application may be increased by up to five pages per internal team or theme, if any.

The total size of the files (Excel and Word) should not exceed 50 Mo.

The document may be written in French or in English. However, in the event that non-French-speaking experts are selected in the committee, HCERES may ask the research unit to submit an English version of the scientific part of the document.

HCERES has set up a specific procedure for the evaluation of interdisciplinary units. The head of the unit will check the relevant box in the front page of the application.

## Layout of the application

If a unit has internal teams, please see the “multi-team or multi-themes unit” layout (i. e., give all the required information for the unit, followed by all the required information, for team (theme) #1, then all the information for team (theme) #2 etc.).

The following layouts will be used:

### FOR A UNIT APPLYING FOR RENEWAL WITHOUT MAJOR CHANGES

Single team unit	Multi teams or Multi themes unit
<ul style="list-style-type: none"> <li>- <u>Presentation of the unit</u> (introduction, staff, scientific strategy, activity profile);</li> <li>- <u>Scientific production and activities</u> (highlights, scientific output, academic reputation and appeal, interaction with the social, economic and cultural environment, involvement in training through research);</li> <li>- <u>Organisation and life of the unit</u>;</li> <li>- <u>SWOT analysis</u>;</li> <li>- <u>Project, strategy and perspectives</u>;</li> <li>- <u>Appendices 1-4</u>.</li> </ul>	<ul style="list-style-type: none"> <li>- <u>Presentation of the unit</u> (introduction, staff, scientific strategy, activity profile);</li> <li>- <u>Scientific production and activities</u> (highlights, scientific output, academic reputation and appeal, interaction with the social, economic and cultural environment, involvement in training through research);</li> <li>- <u>Organisation and life of the unit</u>;</li> <li>- <u>SWOT analysis</u>;</li> <li>- <u>Global project, strategy and perspectives</u>;</li> <li>- <u>Appendices 1-4</u>.</li> </ul> <p style="color: red; text-align: center;"><i>And then, for each team or theme (to be repeated for the following teams or themes):</i></p> <ul style="list-style-type: none"> <li>- <u>Presentation of the team or theme</u> (introduction, staff, scientific strategy, activity profile);</li> <li>- <u>Scientific production and activities</u> (highlights, scientific output, academic reputation and appeal, interaction with the social, economic and cultural environment, involvement in training through research);</li> <li>- <u>SWOT analysis</u>;</li> <li>- <u>Scientific project</u>;</li> <li>- <u>Appendix 4</u>.</li> </ul>

FOR MERGING UNITS

Single team unit	Multi teams or Multi themes unit
<p><u>Unit 1</u></p> <ul style="list-style-type: none"> <li>- <u>Presentation of the unit</u> (introduction, staff, scientific strategy, activity profile);</li> <li>- <u>Scientific production and activities</u> (scientific output, academic reputation and appeal, interaction with the social, economic and cultural environment, involvement in training through research, highlights);</li> <li>- <u>Organisation and life of the unit</u>;</li> <li>- <u>SWOT analysis</u>;</li> <li>- <u>Appendices 1-4</u>.</li> </ul> <p><u>Unit 2</u></p> <ul style="list-style-type: none"> <li>- <u>Presentation of the unit</u> (introduction, staff, scientific strategy, activity profile);</li> <li>- <u>Scientific production and activities</u> (highlights, scientific output, academic reputation and appeal, interaction with the social, economic and cultural environment, involvement in training through research);</li> <li>- <u>Organisation and life of the unit</u>;</li> <li>- <u>SWOT analysis</u>;</li> <li>- <u>Appendices 1-4</u>.</li> </ul> <p><u>Unit 3</u> .....</p> <p><u>Common scientific project</u>.</p>	<p><u>Unit 1</u></p> <ul style="list-style-type: none"> <li>- <u>Presentation of the unit</u> (introduction, staff, scientific strategy, activity profile);</li> <li>- <u>Scientific production and activities</u> (scientific output, academic reputation and appeal, interaction with the social, economic and cultural environment, involvement in training through research, highlights);</li> <li>- <u>Organisation and life of the unit</u>;</li> <li>- <u>SWOT analysis</u>;</li> <li>- <u>Appendices 1-4</u>.</li> </ul> <p><u>Unit 2</u></p> <ul style="list-style-type: none"> <li>- <u>Presentation of the unit</u> (introduction, staff, scientific strategy, activity profile);</li> <li>- <u>Scientific production and activities</u> (highlights, scientific output, academic reputation and appeal, interaction with the social, economic and cultural environment, involvement in training through research);</li> <li>- <u>Organisation and life of the unit</u>;</li> <li>- <u>SWOT analysis</u>;</li> <li>- <u>Appendices 1-4</u>.</li> </ul> <p><u>Unit 3</u> .....</p> <p><u>Common scientific project</u>.</p> <p><i>And then, for each team or theme (to be repeated for the following teams or themes):</i></p> <ul style="list-style-type: none"> <li>- <u>Presentation of the team or theme</u> (introduction, staff, scientific strategy, activity profile);</li> <li>- <u>Scientific production and activities</u> (highlights, scientific output, academic reputation and appeal, interaction with the social, economic and cultural environment, involvement in training through research);</li> <li>- <u>SWOT analysis</u>;</li> <li>- <u>scientific project</u>;</li> <li>- <u>Appendix 4</u>.</li> </ul>

## I. APPLICATION

### 1. Presentation of the research unit (or of the team/theme)

#### Introduction

Please, describe the research unit's history and how it has evolved over time. Specify where the unit is located.

#### Staff and resources

Please, comment on the evolution of the staff and of financial resources, described in the Excel files "Données du contrat en cours" et "Données du prochain contrat".

#### Scientific strategy

Please describe the scientific strategy of the research unit or the team/theme. Specify its missions, scientific objectives and strategy for the current contract. For the unit, if a "mission statement" was given to the unit director at the start of the current contract, it must be appended to the application (appendix 2). Present the research fields and themes chosen for the unit; give a summary of the actions undertaken to meet the objectives, and what was the outcome. Mention any changes that have taken place as well as the reasons for these.

The activity profile is intended to describe in a synthetic manner the research unit or the team/theme profile. To this end, specify the orientations of the research unit (particularly for units undertaking applied, translational or clinical research for example) and the unit scientific priorities. You may provide the overall breakdown in percentages, to a total of 100% between:

- *academic research* (production of new knowledge);
- *transfer and outreach activities* (valorisation of research findings, expertise, transfer and dissemination of scientific culture);
- *support activities* (at the service of the academic or scientific communities).

The breakdown will be done globally, taking into account the entire staff (permanent and non-permanent). This is not intended to provide an extremely accurate breakdown, but rather to give a rough idea of it.

Please, highlight the major characteristics of the research unit's human resources.

### 2. Scientific production and activities

#### Scientific achievements

The unit or the team will describe its scientific achievements in the last 5 years.

#### Quantitative data

Please fill out the table "Scientific production" in the Excel file "Données du contrat en cours".

#### Selection of scientific achievements and activities

Please, fill out Appendix 4 as indicated.

## Highlights

Following, please, present the **highlights** of the current contract i. e. a **small number of achievements** outputs, facts, breakthroughs considered as "key achievements". Please, describe their importance, originality, impact (including on the research community), innovative nature and evolution as compared to the previous evaluation. If needed, you may make your "key products" available to members of the visiting committee.

## 3. Organisation and life of the research unit (or the team/theme if relevant)

Describe *how the research unit is structured, particularly by specifying the number of internal teams and their research field*. The research unit may also be structured into themes, which have to represent transversal activities or internal collaborative activities.

Next, present the human and material resources that were available to the research unit and how these evolved over the reference period. Describe how are the relationships between the research unit and its supervising institutions and partners. Where applicable, provide the list of equipment, platforms, major tools, computing centres, etc. (appendix 3).

Present how the unit is managed, in particular the management of human (staff scientists as well as students and post-docs) and financial resources, of internal and external communication, etc.. If applicable, describe how the organisation of the research unit will evolve in the near future.

If applicable, describe how are handled health and safety matters, quality control, implementation of ethical rules, surveillance of scientific integrity etc.

A organisational chart is to be appended (appendix 3).

### Gender issues

Please refer to the HCERES standards (available on the HCERES website) to describe the internal actions taken to reach men/women parity.

### Safety and security

Please refer to the HCERES standards (available on the HCERES website) to describe the internal actions taken to promote scientific integrity, safety and security when applicable.

## 4. SWOT analysis

A SWOT analysis, based upon the self-evaluation of past activities, will help to identify, in particular:

- strengths (internal factors upholding the scientific strategy);
- weaknesses (internal factors which might jeopardise the scientific strategy or prospects);
- external threats (external factors likely to impede the scientific strategy);
- external opportunities (external factors likely to facilitate the scientific strategy or to improve the prospective).

## 5. Scientific strategy and prospects of the unit or of the team/theme

Please, describe the unit or team/theme scientific projects and strategy for the next 5 years, taking into account its previous research activities, its current strategy and its missions.

In particular, please, describe the objectives, regarding the scientific activity, the collaborations and the unit or team/theme reputation/appeal, as well as the planned evolutions.

On the basis of the SWOT analysis, present the unit or team/theme scientific projects and objectives, as well its strategy regarding the unit or team/theme positioning in its scientific community (regional, national and international) and its progress.. Clearly indicate any changes expected as compared to the previous period. Present the incentive policy for the emergence of risky innovative subjects or of topics lying at disciplinary interfaces.

Highlight any decisions that the unit has made to adapt to any changes in its environment or in its scientific scope.

For merged or restructured units, explain what is the benefit of creating a new structure.

## II. Appendices

The following documents will be appended at the end of the application. Additional documents may be added if needed. Note that application and appendices are to be included into a single file.

### Appendix 1: Contractual mission statement

If a mission statement was sent to the research unit director at the beginning of the current contract, a copy of it must be appended to the application.

### Appendix 2: Equipment, platforms

A list of equipment and platforms used by the research unit is be appended to the application.

### Appendix 3: Functional organisation chart

A diagram presenting how the research unit is organised must be appended to the application.

### Appendix 4: Selection of research products and activities

Please, fill out the relevant frame "Scientific production and activities".

In the list of publications, the list of authors must be complete, and the names of the research unit team/theme members, **must be underlined** in the list of co-authors. The productions in which the unit team/theme is leader (such as those with a unit team/theme member as last author in biology) will be highlighted or listed apart.

For staff recruited during the past five years, products obtained prior to their joining the unit will be listed in a separate list.