Group C: 2016 – 2017 evaluation campaign

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 period and the future scientific strategy. 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 considered 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.

The data of the research unit's (self-evaluation) will be presented for the period running from January 1, 2011 to June 30, 2016, thus covering a little more than five years. For research units that were created after January 1, 2011 or the data should cover the period between the starting date and June 30, 2016. 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 HCERES standards listing the criteria for evaluating research units are available on High Council's website.

If a unit is divided into internal teams, please follow the indications given at the beginning of the application form (i.e., give all the information for the unit, followed by all the information, starting at § 2 below, on team (theme) #1, all the information on team (theme) #2 etc.

The application length will be adapted to the size of the unit. For example, around ten pages are suitable for a research unit of around fifteen professors or researchers, whereas the maximum size for a unit of fifty professors or researchers would be around thirty pages (without the appendices). These figures may be increased by up to five pages for earch 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 document.

The application must contain both an English and a French version of an "Executive Summary" of the unit (appendix 1).

THE APPLICATION

1. Presentation of the unit

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

Scientific policy

Then present the scientific policy of the research unit. Specify its missions, scientific objectives and strategy for the currrent contract. If a 'mission statement' was given to the unit director at the start of the current contact, it must be appended to the application (see 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 the outcome has been. Mention any changes that have taken place as well as the reasons for these.

Activity profile

This paragraph is intented to *describe in a synthetic manner* the research unit's 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. Fill in the table giving the overall breakdown in percentages (to a total of 100% for each line) of the research unit's activity between:

- *academic research*;

- *interactions with the social, economic and cultural environment (valorisation of research findings, expertise, transfer and dissemination of scientific culture)*;

- *support activities (at the service of the academic or scientific communities)*;

- *training through research (not taking into account the teachers' regular activities) and supervision of master's and doctoral students.*

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*.

When the research unit is divided into internal teams, this breakdown – *if the director considers it appropriate* – may be presented for each individual team, before being computed at the unit level.

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

Organisation and life of the research unit

Describe how the research unit is structured, particularly by specifying the number of internal teams and their research interests:

- the research unit may also be structured by themes – 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 periode. Describe how relations are organised between the research unit and its supervising institutions and its partners Where applicable, provide the list of equipments, platforms, major tools, computing centres, etc. (appendix 3);

- present how the management is organised, in particular for managing the financial resources, the personnel recruitments (including post-docs and students), the internal and external communication, etc. Lastly, state which measures are implemented to facilitate the scientific production. 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 functional organisation chart (appendix 4) and, where applicable, the unit's rules of procedure (appendix 5) are to be appended.

Highlights

Following, please, present the unit's scientific *highlights* for 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.

At HCERES, specific procedures are used for the evaluation of inter-disciplinary research units (in particular for selecting the visiting committee). Please state – in the application introduction – whether the unit falls into this category. Note that Inter-disciplinary evaluation concerns research units with activities crossing (at least) two different scientific fields (social and human sciences, sciences and techniques, life and environmental sciences).

> NB: for the definition and implications of interdisciplinarity, please refer to the HCERES standards (which can be downloaded on High Council's website).

2. Achievements

> In this section, please provide information on the unit's achievements, in accordance with the HCERES standards (to be downloaded on High Council's website).

Please, present the achievements in:

– scientific production;
– academic reputation and appeal;
– interaction with the social, economic and cultural environment.

In this context, the research unit has 'carte blanche' to use the presentation the most appropriate. A full list of research products and achievements must be given in the appendices (see appendix 6).

3. Involvement in training by research

Describe the unit's involvement in training by research. It is mandatory to state the name and number of the doctoral school(s), along with the master specialities, to which the research unit makes significant training contributions. State which achievements result from the unit's involvement in training by research. Please, make sure your fill out the Excel table listing the theses that have been defended and those that are under way in the application form.

4. Scientific strategy and prospects of the unit

Please, explain the unit's current strategy in the frame of her missions, as well as the scientific prospects and strategy the unit is considering implementing in the future. A SWOT analysis, based upon the self-evaluation of past activities, will help to identify, for example:

– 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 improve the prospective).

On the basis of this analysis, present the unit's prospects, objectives, positioning in its scientific community as well as the unit's progress. State how the unit is positioned in the regional, national and international context. 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 has been gained by creating a new structure.

The unit must supply the list of researchers and professors who will be involved in the unit on January 1, 2018 (see appendix 9).

APPENDICES

The following documents will be appended at the end of the application file. Additional documents may be added if needed.

Appendix 1:   Executive summary

This document (see the application forms) must be written both in French (entitled 'présentation synthétique') and English (entitled 'executive summary').

Appendix 2:   Contractual mission statement

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

Appendix 3:   Equipment, platforms

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

Appendix 4:   Functional organisation chart

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

Appendix 5:   Rules of procedure

Where applicable, a copy of the research unit's rules of procedure is to be appended to the application.

Appendix 6:   List of research products and achievements

This list shall be laid out in the three sections as indicated in the application: 1) scientific output; 2) academic appeal and reputation indicators; 3) products intended for social, economic and cultural partners.

List the achievements by team or theme, if the research unit is organised in such a way. Any products common to several teams shall be grouped together under a specific section.

For products co-signed by several people, the names of the research unit members, in-house team or theme must be underlined in the list of co-authors.

In case of publications co-signed by several authors, a list of every author should be established, unless when the number of co-authors exceeds 15. The names of the members of the research unit, the internal team or theme should be underlined on the co-authors' list.

For staff recruited during the past five years, products produced before they joined the unit will be mentioned in a separate list.

Appendix 7 :   List of contracts

- institutional grants and public funding (by team or by theme);

- patents, industrial contracts, private funding (by team or by theme).

Appendix 8 :   List of staff

List of the unit's staff (researchers, professors and similar) employed on June 30, 2016 and who will still be in the unit on January 1, 2018.

This list must give the staff full names and *signatures*.

You may use here the list of staff from the 'Next contract data' Excel file after printing it out. Please scan the document with all the signatures and append it (Appendix 8) to the application file.

Note that a person cannot belong to more than one research unit, and signing the document is a commitment.

Important: please note that it is mandatory that Excel files be **uploaded as Excel files** on the Pelican website.