

Guide for the redaction of a Self-assessment document

EVALUATION CAMPAIGN 2018-2019 GROUP E

The application submitted by research units consists of a single, main text document, which includes all the data on both the past and the future periods, and two Excel files (« Données du contrat en cours » et « Données du prochain contrat »),.

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, 2013 to June 30, 2018, thus covering a little more than five years. For research units that were created after January 1, 2013, 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 standards and criteria for evaluating research units, as well as "Guides d'évaluation des produits et des activités de recherche" (English version in preparation) are or will be soon available on the Hcéres 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, Hcéres may ask the research unit to submit an English version of the scientific part of the document.

Hcéres has set up a specific procedure for the evaluation of interdisciplinary units¹. The head of the unit will check the relevant box in the front page of the application.

¹ The work and outputs of interdisciplinary units are related to at least 2 distinct Hcéres domains (ST-SHS, SHS-SVE, SVE-ST).

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 ²
<ul style="list-style-type: none"> - <u>presentation of the unit</u> (introduction, staff, scientific strategy, activity profile); - <u>scientific production and activities</u> - <u>organisation and life of the unit</u>; - <u>SWOT analysis</u>; - <u>project, strategy and perspectives for the next 5 years</u> ; - <u>appendices 1-4.</u> - 	<ul style="list-style-type: none"> - <u>presentation of the unit</u> (introduction, staff, scientific strategy, activity profile); - <u>scientific production and activities</u> - <u>organisation and life of the unit</u>; - <u>SWOT analysis</u>; - <u>global project strategy for the next five years</u> ; - <u>appendices 1-4.</u> - <li style="text-align: center;"><i>And then, for each team or theme :</i> - <u>presentation of the team or theme</u> (introduction, staff, scientific strategy, activity profile); - <u>scientific production and activities of the team or theme</u> - <u>SWOT analysis of team or theme</u>; - <u>scientific project of team or theme for the next five years</u>; - <u>appendice 4.</u> <p style="text-align: center;"><i>(to be repeated for the following teams or themes)</i></p>

² Or axes, etc....

FOR MERGING UNITS

Single team unit	Multi teams or Multi Themes unit
<p>Unit 1 :</p> <ul style="list-style-type: none"> - <u>presentation of the unit</u> (introduction, staff, scientific strategy, activity profile); - <u>scientific production and activities ;</u> - <u>organisation and life of the unit;</u> - <u>appendices 1-4.</u> <p>Unit 2 :</p> <ul style="list-style-type: none"> - <u>presentation of the unit</u> (introduction, staff, scientific strategy, activity profile); - <u>scientific production and activities ;</u> - <u>organisation and life of the unit;</u> - <u>appendices 1-4.</u> <p>Unit 3... :</p> <ul style="list-style-type: none"> - ... <p>Scientific project and strategy</p> <ul style="list-style-type: none"> -- <u>SWOT analysis;</u> -- <u>global project, strategy and perspectives for the next five years.</u> 	<p>Please, provide information/results of the whole future unit while discriminating those of each merging unit.</p> <p>Unit 1 :</p> <ul style="list-style-type: none"> - <u>presentation of the unit</u> (introduction, staff, scientific strategy, activity profile); - <u>scientific production and activities ;</u> - <u>organisation and life of the unit;</u> - <u>appendices 1-4.</u> <p><i>For each team or theme :</i></p> <ul style="list-style-type: none"> - <u>presentation of the team or theme</u> (introduction, staff, scientific strategy, activity profile); - <u>scientific production and activities of the theme or theme;</u> - <u>appendice -4.</u> <i>(to be repeated for the following teams or themes)</i> <p>Unit 2 :</p> <ul style="list-style-type: none"> - <u>presentation of the unit</u> (introduction, staff, scientific strategy, activity profile); - <u>scientific production and activities ;</u> - <u>organisation and life of the unit;</u> - <u>appendices 1-4.</u> <p><i>For each team or theme :</i></p> <ul style="list-style-type: none"> - <u>presentation of the team or theme</u> (introduction, staff, scientific strategy, activity profile); - <u>scientific production and activities of the theme or theme;</u> - <u>appendice -4.</u> <i>(to be repeated for the following teams or themes)</i> <p>Unité 3... :</p> <ul style="list-style-type: none"> - ... <p>Scientific strategy and projects of the unit or of the team/theme for the next five years</p> <ul style="list-style-type: none"> - <u>structure of the new entity ;</u> - <u>analyse SWOT ;</u> - <u>global project, strategy and perspectives for the next five years);</u> <p><i>For each team or theme of the future unit</i></p> <ul style="list-style-type: none"> - <u>analyse SWOT of team or theme ;</u> - <u>project, strategy and perspectives of team or theme ;</u> <i>(to be repeated for the following teams or themes)</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. Provide the number of internal teams and their research topics. Units may also propose Themes, which should be crosscutting scientific projects.

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 » and « Données du prochain contrat ».

Scientific policy

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 1). 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. Describe the actions taken in response to the recommendations of the previous site visit committee.

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.

Please, comment the activity profile and highlight the main features of the unit/team.

2- Unit environment

Please, describe the higher order structures in which the unit participate e.g. PIA labex, équipex, Departments, Federative Structures etc.

3- Scientific production and activities (for the whole unit and then for each team/theme)

Scientific achievements

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

Quantitative data

Please, fill in the tab # 4 of the Excel file « Produits et Activités de la Recherche » du fichier « Données du contrat en cours » (« Nombre »), with the totality of outputs or activities.

Selection of research products and activities

Please, fill out Appendix 4 as indicated.

Highlights

Please describe the unit's/team's highlights, either scientific or in the unit's/team's life and organisation (new team, new equipment, new premises etc.).

4- Organisation and life of the research unit (or the team/theme if relevant)

Present the human and material resources that were available to the research unit and how these evolved over the reference period. Describe the relationships between the research unit and its supervising institutions and partners. Describe the actions taken in the frame of a Quality Approach.

Management, organisation and scientific animation

Please, describe the management organisation and scientific animation of the unit/team (boards and councils, budget and staff management, internal and external communication) and actions taken to attract PhDs, post-docs and visitors.

Please, describe evolutions for the next period.

Please, attach a unit/team organisational chart (Appendix 3).

Parity, Scientific integrity, Health and Security

Please see the Hceres standards (on the Hceres website).

5- 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).

6- Scientific strategy and projects of the unit or of the team/theme for the next five years

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, as well as the SWOT analysis. Please, describe the objectives, provide information on its positioning in the international scientific community, and on the perspectives.

On the basis of the SWOT analysis, 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.

Present the unit or team/theme scientific projects and objectives, as well the strategy regarding the unit or team/theme positioning in its scientific community (local, 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 at disciplinary interfaces.

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

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

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 : Fonctionnal 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 provide a selection of the unit or team/theme scientific production and activities using the frame "Scientific production and activities".

In the list of publications, the names of the members of the unit or of the team/theme must be underlined. The publication in which the unit or team/theme is leader (notably those signed as a last or first author by members of the unit or team/theme) are to be highlighted.