

UNIVERSITÉ DE TECHNOLOGIE DE COMPIÈGNE

UTC

Human Resources Strategy for Research



HR EXCELLENCE IN RESEARCH

Internal review

December 2018

Organisation under review:

Université de technologie de Compiègne - UTC

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Web-link to published version of organisation's HR Strategy and Action Plan:

www.utc.fr/en/utc/an-innovative-model/european-charter-for-researchers.html

Web-link to organisational recruitment policy (OTM-R principles):

www.utc.fr/en/utc/an-innovative-model/european-charter-for-researchers.html

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1. Organisational Information

STAFF & STUDENTS	FTE
<i>Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research</i>	(1 st January 2018, in our 8 research units) 176.4 + 300 PhD candidates for the academic year 2017/2018 ⇒ 476.4 (+ 40 FTE administrative and technical research staff)
<i>Of whom are international (i.e. foreign nationality)</i>	215.7 (45%)
<i>Of whom are externally funded (i.e. for whom the organisation is host organisation)</i>	207.7 (44%)
<i>Of whom are women</i>	158.8 (33%)
<i>Of whom are stage R3 or R4¹ = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.</i>	126.4 (27%)
<i>Of whom are stage R2 = in most organisations corresponding with postdoctoral level</i>	48.9 (10%)
<i>Of whom are stage R1 = in most organisations corresponding with doctoral level</i>	301.2 (63%)
<i>Total number of students (if relevant)</i>	4,556 (academic year 2017/2018)
<i>Total number of staff (including management, administrative, teaching and research staff)</i>	773.3 (1 st January 2018)
RESEARCH FUNDING (figures for most recent fiscal year=2017)	€
<i>Total annual organisational budget</i>	68,276,621
<i>Annual organisational direct government funding (block funding, used for teaching, research, infrastructure,...)</i>	47,243,982
<i>Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)</i>	5,271,201
<i>Annual funding from private, non-government sources, designated for research</i>	(from consolidated budget, subsidiary) 1,283,008
ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)	
<p>UTC was the first <i>university</i> in France (as opposed to an <i>école</i>, which has a different admissions framework) to award the qualification of <i>engineer</i>. It is a dynamic institution, founded in 1972 with the aim of bringing engineering courses into closer alignment with the needs of industry. UTC belongs to a network of three universities of technology in France and a newly created one in China. It has 8 research units covering a broad range of research areas, and 7 teaching departments.</p> <p>UTC hosts 4,500 students including 300 PhD candidates and has a research staff of 325.</p> <p>See http://www.utc.fr/</p>	

¹ http://ec.europa.eu/euraxess/pdf/research_policies/Towards_a_European_Framework_for_Research_Careers_final.pdf

2. Narrative

In 2015 Université de technologie de Compiègne made a commitment to pursuing HRS4R, and in 2016 it was awarded the HR Excellence for Research label. Since then, some of the senior management positions within the university (president, functional directors, departmental and research unit directors) have changed hands, which has meant changes to the composition of UTC bodies and the HR steering committee. To raise awareness of the project among the new membership, the Project Group (Stéphanie Rossard, Marion Kaczowski and Lydia Vignolle-Dupré) gave another presentation of the proposals. The administrative environment in which UTC operates has also seen some changes: our COMUE² has become an alliance and institutions within it have merged, and a reorganisation of French administrative regions has led to a reduction in the regional funding UTC receives for its research and teaching activities.

Progress in implementing the action plan was slowed when Lydia Vignolle-Dupré stood in as Human Resources Director for six months in 2017. Also, in 2017, one of UTC's laboratories was classed as a restricted zone (*zone à régime restrictif*), meaning that ministerial approval must be now obtained when new researchers are recruited. This makes recruitment slightly less straightforward (and other UTC laboratories are to follow).

We have reformulated the SWOT, as described in our 2016 strategy document, as a list of strengths and weaknesses (see Appendix 5.1.). With respect to the progress of our action plan, our strengths and weaknesses in 2018 are as follows:

STRENGTHS

Ethical and professional aspects

Support and assist researchers' partnership activities:

- 22-26. Assisting research projects => in progress; including use of the TOGETHER project tool, communication, and some specific measures.

Disseminate the results of research:

- (ex-**T**hreat) 29-31. Giving the University Library a more professional role => the French Open Access platform HAL has been deployed.
scope for improvement: recording all publications by UTC personnel, providing training sessions, etc.

Strengthen research freedom:

- (ex-**W**eakness) 1. Incorporating contributions by individuals into a group venture => completed.
- (ex-**W**eakness) 2. Making it possible to contribute to the group venture in a variety of ways => completed.
Communication via internal channels (inter-laboratory, intranet).

Improve the way visitors are received:

- (ex-**W**eakness) 9-11. Making UTC more accessible to new researchers => Welcome Day.
scope for improvement: a common UTC-wide guide for newcomers (there are guides specific to individual research units, but a joint guide is lacking), clarification of agreements drawn up for outside researchers (internal processes to be formalised).

Cultivate a stimulating work environment:

- (ex-**W**eakness) 12-13. Clarifying the framework for working conditions => a framework for standardizing the internal regulations of the different research units has been put in place, but remains to be implemented in the different labs.

Recruitment

Make good recruitment practices systematic:

- (ex-**O**ppportunity) 5. Publish all job offers (vacancies) on EURAXESS => done.

² Sorbonne Universités COMUE group (a "community" of institutions established by Act No 2013-660 of 22 July 2013)

An analysis (benchmark) was done to look at how other sites publish vacancies, according to the type of vacancy and the target population.

- 6. Harmonising good recruitment practices => procedures written.
scope for improvement: e-tool in English and feedback for each candidate.

Working conditions and social security

Support and assist researchers' partnership activities:

- (ex-**O**ppportunity) 17-18. Creating new opportunities => training and mobility tools implemented.

Training

Cultivate a stimulating work environment:

- (ex-**W**eakness) 15-16. Developing cross-sectional skills => training for PhD supervisors and managers.

WEAKNESSES

Ethical and professional aspects

Strengthen research freedom:

- 3-4. Raising awareness in relation to ethical issues => weakness / opportunity scope for improvement (Ethics document by the Scientific Committee)

Improve the way visitors are received:

- 8. Explaining how we can better get along with each other in the UTC community => still to be done.

Cultivate a stimulating work environment:

- 14. Clarifying the framework for working conditions => an English version of the employment contract.

Disseminate the results of research:

- (ex-**S**trength) 32-33. Harmonising the acquisition and dissemination of research results => scope for improvement in progress (HAL portal implemented).

Recruitment

- (ex-**S**trength) 7. Transparency of procedures => the obtaining of feedback remains to be put into general use.

Working conditions and social security

Support and assist researchers' partnership activities:

- (ex-**O**ppportunity) 27. Improving the resourcing of researchers=> frozen due to regulatory risk.
- (ex-**S**trength) 28. Enhancing researcher outreach => in progress.

Cultivate a stimulating work environment:

- (ex-**O**ppportunity) 19-21. Creating new opportunities => actions still to be undertaken.

Further actions have been proposed for incorporation in the HRS4R action plan, in particular following the approval in 2017 of UTC's disability blueprint. This is a project instituted by the UTC management in response to a French inter-ministerial committee's requirement that all institutions of higher education have a strategy blueprint in place by 21 December 2018 with respect to disability. Another important occurrence was the HRM (human resource management) survey carried out in 2016, where all UTC personnel were invited to complete a questionnaire comprising 41 questions divided into various themes (recruitment and installation/professional assessment/determination and evolution of salary/career path/lifelong support). There were 229 responses, corresponding to 27% of UTC personnel. This survey identified areas for improvement requiring particular attention (for example, a uniform policy for integrating new arrivals, an online guide to advertising employment vacancies, and training for those involved in managing research), consistent with UTC's strategy and action plan that led to the awarding of the HR Excellence for Research label in December 2016.

3. Actions

Although UTC's HR Excellence for Research label was awarded at the end of 2016, implementation of the action plan had already begun following our application in May of that year, and for this reason some actions are marked as having been initiated, or even completed, in 2016.

	Action	Status 2017	Status 2018	Responsible Unit	Indicator(s) / Target	Current status
Strengthen research freedom						
1	Formalise what it means to belong to a research unit	Completed	Completed	Research Division + Human Resources Division	A reference document was drafted, approved by the University Supervisory Board, and distributed to research unit personnel.	Completed in 2016.
2	Clarify the definition of a contributor/creator in a research unit's scientific programme	Completed	Completed	Research Division	A reference document was produced in consultation with the research units and the UTC's Scientific Committee.	Completed in 2016.
3	Set up a working group on Ethics and Technological Culture piloted by UTC's Scientific Committee	Ongoing	Ongoing	Scientific Committee	Number of Scientific Committee InfoActions: 2. Number of meetings: 0.	To be completed: establishment of the working group. New target / Completed in 2018: Appointment of a UTC Scientific Integrity Advisor.
4	Educate people about ethics (including plagiarism)	Operational	Operational	Research Division + Doctoral School	Number of training sessions: 1 series of 9 talks on research ethics and scientific integrity. Number of trainees: 240 PhD candidates.	Completed in 2017: annual training session. To be completed: supporting documentation.
Make good recruitment practices systematic						
5	Publish all job vacancies on EURAXESS	Ongoing	Operational	Human Resources Division	Number of vacancies published on Euraxess as a proportion of the total number vacancies (per annum).	Completed in 2018: all vacancies for researchers (under contract).
6	Formalise all information to be included when publishing a job vacancy	Initiated	Completed	Human Resources Division	A memo containing a checklist	Completed in 2018.
7	Formalise a process for providing feedback to all applicants	Initiated	Initiated	Human Resources Division	Production of a template (for the summary of the interview with the applicant)	To be completed: drafting of a template
Improve the way visitors are received						
8	Have all newcomers sign a charter: confidentiality, conflicts of interests	Initiated	Initiated	Human Resources Division	Drafting of a charter	To be completed: drafting of a charter
9	Produce a guide for newcomers (in French and in English)	Initiated	Initiated	Human Resources Division	Drafting of a guide	To be completed: drafting of a guide.
10	Organise a Welcome Day for newcomers to the research units (research unit, HR Division)	Initiated	Operational	Human Resources Division	Number of participants as a percentage of invitees: 29%	Completed in 2018: first Welcome Day organised in October.
11	Clarify how agreements are to be drawn up for outside researchers	Initiated	Initiated	Internal Services Division	Drafting of a procedure Drafting of a template	To be completed: drafting of a template.

	Action	Status 2017	Status 2018	Responsible Unit	Indicator(s) / Target	Current status
Cultivate a stimulating work environment						
12	Produce a framework for standardizing the internal regulations of research units	Ongoing	Completed	Internal Services Division	Drafting of a template to be used in the formulation of internal regulations.	Completed in 2018: production of a template. To be completed: adoption of the template by every research unit.
13	Provide the Director of Internal Services with a copy of each research unit's internal regulations	Completed		Internal Services Division	Number of internal regulations documents deposited with Director of Internal Services: 8 (i.e. all UTC research units).	Completed in 2017: all internal regulations deposited. To be completed: Deposit all the <i>new</i> internal regulations (compliant with the new template).
14	Complete the employment contract (+ English version as an annex for reference)	Initiated	Initiated	Human Resources Division	Drafting of a special clause relating to intellectual property / Translation of the employment contract into English (as an annex to French version)	To be completed
15	Set up a training session for managers	Operational	Operational	Human Resources Division	Number of managers who attended the whole training session: 13 in 2017, 26 in 2018. Number of supervisors who attended the supervision training session: 8 in 2018.	Completed in 2016: training sessions for managers. New target / Completed in 2018: training sessions for supervisors.
16	Set up an Annual Day for PhD supervisors		Initiated	Doctoral School	In progress.	To be completed: framework to be defined.
17	Communicate about potential training sessions	Operational	Operational	Human Resources Division	Number of researchers trained per year: 128 in 2017.	Completed in 2016: training plan approved by UTC Supervisory Board and open to all personnel.
18	Communicate about the possibilities of mobility (incoming/outgoing) and support researchers who wish to take advantage of these possibilities	Ongoing	Ongoing	Research Division + Human Resources Division	Drafting of a short descriptive short note for each of the mobility programmes concerned: there are currently 2 outgoing programmes. Number of researchers supported (incoming/outgoing): - Outgoing: 2017= 8 PhD candidates, 2018= 3 PhD candidates (WIP). - Outgoing : 2018= 6 researchers	Completed in 2018: new outgoing programme for researchers (<i>UTC Recherche Mobilité</i>). Programmes in operation (2). To be completed: formalising a process for incoming mobility.
19	Implement an information portal for researchers: opportunities, calls for research funding, mobility, training sessions, PEDR, links and contracts with CNRS (for Joint Research Units), etc.			Research Division	Unimplemented	Lack of human resources.

	Action	Status 2017	Status 2018	Responsible Unit	Indicator(s) / Target	Current status
20	Create a service for the follow-up of post-doctoral fellows in the Doctoral School			Doctoral School	Unimplemented	Lack of human resources.
21	Develop ways to give PhD candidates a higher monthly income	Ongoing	Ongoing	Research Division + Doctoral School + Human Resources Division	Average salary for PhD students in 2018: 1,500€ per month.	To be completed: finding new sources of funding.
Support and assist researchers' partnership activities						
22	Researchers contact their Project Officer at PIPATT (Research Division) before/during/after a research project	Operational	Operational	Research Division	Number of contacts made as a proportion of the number of projects registered in the database: 100%	Systematic during set-up phase
23	Researchers register in the research database all responses they make to calls for proposals	Initiated	Initiated	Research Division	Number of projects registered in the database	The priority for the moment concerns direct industrial contracts.
24	Organise an internal kick-off meeting for every research project (DR, researcher, DAF, DRH)	Initiated	Ongoing	Research Division	In progress. Number of internal kick-off meetings as a proportion of the total number of projects (per year)	Systematic for European projects. For national projects a checklist is provided at the start of the project (by the Financial Division)
25	Produce a UTC guide on intellectual property	Initiated	Ongoing	Research Division	In progress.	Inclusion of practical examples requested by researchers – existing guides made available via the intranet
26	Set up a Contracts Committee (DR, DAF) to meet twice yearly			Research Division	Unimplemented at the moment	Research units have a yearly meeting with the Financial Division, and a table is drawn up jointly to provide an overview of contracts
27	Create the possibility of sabbatical leave for research	Ongoing	Frozen	Research Division	Unimplemented	Approved in principle by the Scientific Committee in 2017, but no further measures have been taken because of regulatory risk.

	Action	Status 2017	Status 2018	Responsible Unit	Indicator(s) / Target	Current status
28	Encourage researchers to participate in the development of a European research network	Initiated	Ongoing	Research Division	In progress.	Charting the different research groups in Europe according to their research area, along with the different institutional networks (document to be presented to the Scientific Committee). Charting collaborative research ventures (based on research projects and publications/articles).
Disseminate the results of research						
29	Implementation of an institutional archive (database) for publications/articles	Initiated	Implemented	University Library	Done	Completed in 2018: HAL portal for Open Access put in place at UTC.
30	Organise training sessions in the use of the institutional archive			University Library	Number of training sessions Number of persons trained	To be completed: in 2019 and renewed each year subsequently.
31	Promote the observance of publication embargoes			University Library	Drafting of a note with rules Number of contacts BUTC about embargo rules	To be completed: in 2019.
32	Designate a single database for recording publications by UTC personnel and ensure that it is used	Initiated	Ongoing	University Library	Setting up a single database Number of publications / articles recorded: 110 (since July 2018) / 450 average per year	
33	Help researchers to communicate via their research unit's or research team's website, and via their own individual website			Research Division + Communication		To be implemented in the next cycle

Remark concerning the implementation of Open, Transparent, Merit-based Recruitment (OTM-R):

When Université de technologie de Compiègne embarked on the HR Excellence for Research accreditation process, the European Commission had not yet published its recommendation that the application include elements to demonstrate an open, transparent, merit-based recruitment policy.

UTC has long prided itself on having a recruitment policy that is open, transparent, and merit-based, and remains committed to adhering vigorously to the principles of OTM-R.

See the OTM-R checklist in Appendix 5.3.

4. Implementation

As part of the internal review the Project Group convened a panel of researchers with the aim of eliciting proposals for improvements; two meetings were held, with nine researchers involved. The action plan was presented to all the research units, either at general meetings or at laboratory board meetings, where progress in implementing the plan was reported. Consequently, every researcher at UTC was potentially informed about the actions. Presentations were also given at the Human Resources Division, the Research Division, and the Doctoral School, to secure the involvement of all the administrative personnel directly concerned. The state of progress of the action plan was presented in detail to the UTC Management Committee, to the elected members of the University Supervisory Board, and to the Scientific Committee. The membership of these bodies is composed predominantly of researchers (elected representatives and functional directors), the remainder being administrative personnel, students, and external members. Suggestions made at these different presentations were taken into account in the internal review. The review report was approved by the Technical Committee, the Scientific Committee, and the University Supervisory Board. In addition, a generic email address h4rs4r@utc.fr was created for the Project Group, and feedback and suggestions transmitted via this address are welcomed.

In 2017 and 2018 the HRS4R Project Group (three members) had 26 two-hour meetings, and the Steering Committee (eight members) met five times (1½ hours each time). At these meetings progress in relation to individual actions is reported (responsibility for implementing each action is assigned to one of the members of the Project Group), members can liaise with each other in relation to measures requiring joint action, and the UTC management can be alerted to any circumstances that may be impeding the implementation of particular actions.

The involvement of the research community in the implementation process is through the presentation/consultation process described above and through the research community's role in implementing certain actions. These include, for example, Ethics and Technological Culture (action 3), which is directly in the hands of researchers on a working group piloted by UTC's Scientific Committee. The Scientific Committee has also appointed a Scientific Integrity Advisor, in the person of an emeritus professor known and respected in the UTC community. Discussions within the different working groups and UTC bodies (comprising mainly researchers) give rise to exchanges of ideas about good practices. They also help to pinpoint ways in which UTC might make itself more attractive to new recruits and enrich researchers' working environments. All those who take part in the various training opportunities on offer (management, thesis supervision, etc.) are asked to provide some feedback at the end. Finally, the Project Group's h4rs4r@utc.fr address has been widely advertised within UTC.

The project group is monitoring progress with respect to the different indicators (qualitative for some actions, quantitative for others). The quantitative indicators were fixed by the Project Group in cooperation with the team at UTC that monitors the university's costs and performances (*Pôle Pilotage*). The omnipresence of IT makes collecting statistics (such as numbers of applicants, or numbers of publications) significantly easier. The qualitative indicators were provided in each case by the administrative units concerned.

UTC's HR policy needs to reflect and reinforce UTC's research strategy. In view of the several changes of personnel at senior management level in 2017, the Director of Internal services has proposed the following two-stage agenda: global blueprint in 2019, and drafting of an HR strategy in 2020 (to be approved by the university bodies in 2021).

UTC's research strategy aims at boosting UTC's international profile, in particular by recruiting outstanding researchers. HRS4R and the label are therefore a key element in this strategy.

In the first two years of the HRS4R process the Project Group's main concern has been ensuring that the actions contained in the plan were successfully set in motion. In anticipation of an external assessment we will now be seeking to raise awareness among researchers of the label and its potential (when publishing employment vacancies, procedures, hosting agreements, employment contracts, etc.). An information campaign is planned.

The HR Excellence in Research accreditation has meant that UTC has reviewed its recruitment processes, its education programme, and ways of attracting top-level researchers. At the same time, the accreditation has shone a spotlight on furthering the development and the careers of researchers who are already here. Cooperation between different administrative units within UTC has received an additional impetus, and we need to make sure that this continues. The fact that UTC management is fully committed should help to ensure that everyone in the university takes ownership of the dynamic that has been created. This is the challenge of the next three years, pending the external assessment.

5. Appendix

5.1. SWOT analysis

5.2. Revised Action Plan - New GANTT chart

5.3. UTC's OTM-R checklist and OTM-R review

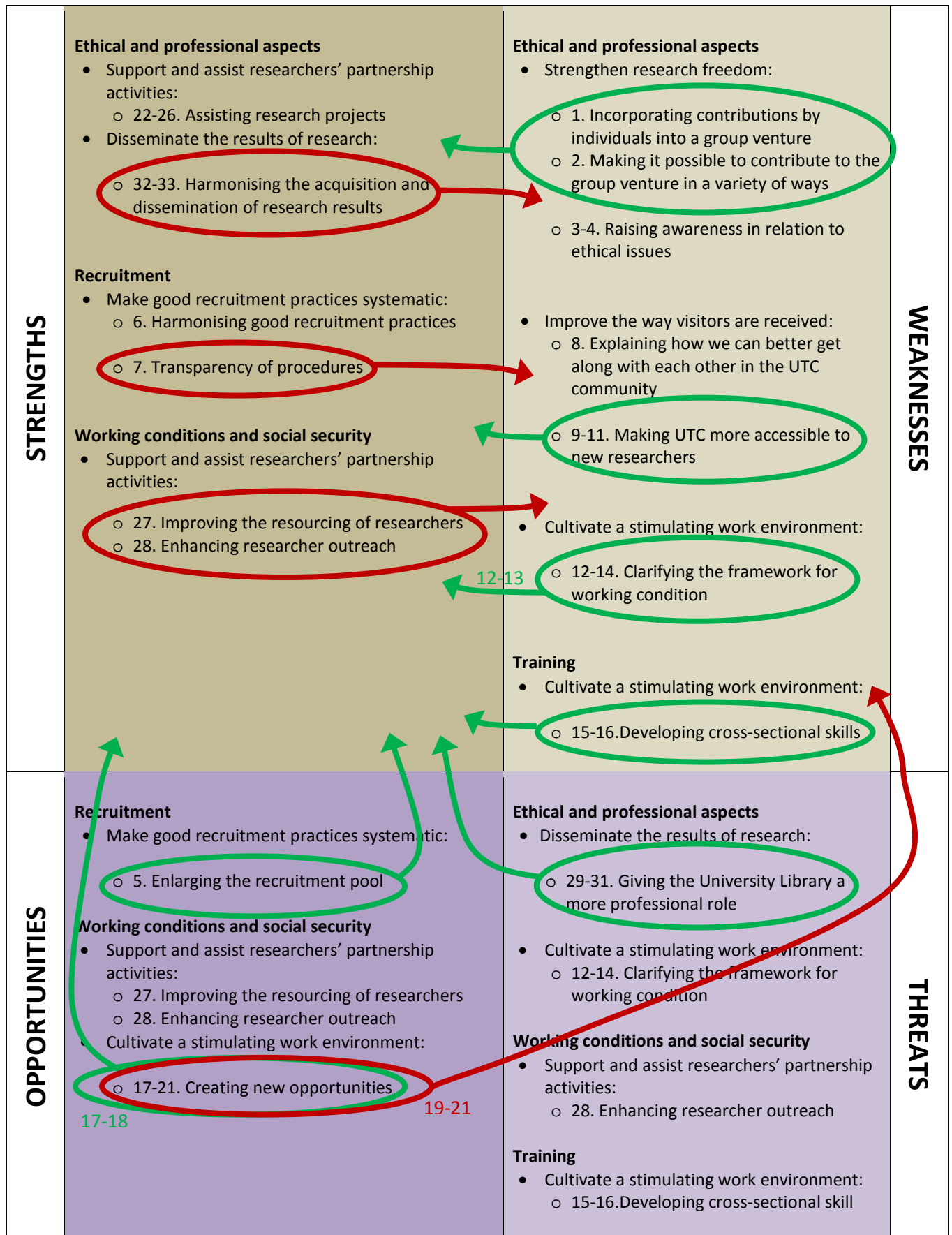
5.4. Structural organisation of UTC

5.5. Membership of:





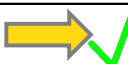

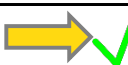







- HRS4R Project Group
- Steering Committee (COPIL)
- UTC bodies
- Consultative Panel















5.1. SWOT


















UTC's SWOT as of 2016 and its evolution as of 2018 symbolized by green (became a strength) and red (became a weakness) arrows, depending on the implementation of the action plan and within the institutional framework:



5.2. Revised Action Plan - New GANTT chart

	Title action	2016	2017	2018	2019	2020	2021	Responsible Unit
Strengthen research freedom								
1	Formalize a concept of belonging to a research unit							Research Division + Human Resources Division
2	Clarify the definition a contributor/ creator to a research unit scientific programme							Research Division
3	Set up a working group piloted by UTC's Scientific Committee on Ethics and Technological culture							Scientific Committee
4	Inform about Ethics (including Plagiarism)							Research Division + Doctoral School
Make good recruitment practices systematic								
5	Publish all job offers (vacancies) on EURAXESS							Human Resources Division
6	Formalize all information required for the publication of a vacancy (job offer)							Human Resources Division
7	Formalize a process for a report to each candidate / applicant							Human Resources Division
Improve the way visitors are received								
8	Make sign a charter to all newcomers: confidentiality, conflicts of interests							Human Resources Division
9	Write a guide for newcomers (in French and in English)							Human Resources Division
10	Organise a welcome day for newcomers in the Research Unit (Research Unit, DRH)							Human Resources Division
11	Clarify the writing of agreements for guest researchers							Internal Services Division

	Title action	2016	2017	2018	2019	2020	2021	Responsible Unit
Cultivate a stimulating work environment								
12	Write a frame for the standardization of Research Units' internal regulation							Internal Services Division
13	Transfer a copy of each Research Unit's internal regulation to the DGS							Internal Services Division
14	Complete the work contract (+ English version for information as an Annex)							Human Resources Division
15	Set up a training session for managers							Human Resources Division
16	Set up an Annual Day for PhD supervisors							Doctoral School
17	Communicate about potential training sessions							Human Resources Division
18	Communicate about the instruments for mobility (incoming/outcoming) and support the applicants							Research Division + Human Resources Division
19	Implement an Information portal for Researchers: opportunities, Research funding calls, mobilities, training sessions, PEDR, links and contracts with CNRS (for Joint Research Units), etc							Research Division
20	Create a service for the follow-up of Post-doctoral fellows in the Doctoral School							Doctoral School
21	Develop tools for the improvement of PhD candidates' salary treatment							Research Division + Doctoral School + Human Resources Division

	Title action	2016	2017	2018	2019	2020	2021	Responsible Unit
Support and assist researchers' partnership activities								
22	Each Researcher contacts his/her Project Officer at PIPATT (DR) before/during/after a research project							Research Division
23	Each Researcher records his/ her Proposal to a Call into the Research Database							Research Division
24	Organize an internal kick-off meeting for each Research Project (DR, researcher, DAF, DRH)							Research Division
25	Write a UTC guide for Intellectual Property							Research Division
26	Organise twice a year a Contracts Committee (DR, DAF)							Research Division
27	Create the possibility of a sabbatical leave for research			frozen				Research Division
28	Encourage / incite the participation to the development of the European Research network							Research Division
Disseminate the results of research								
29	Implementation of an institutional archive (database) for publications/articles							University Library
30	Organize training sessions to use the institutional archive							University Library
31	Release and respect the rules of embargo for publications							University Library
32	Define a single Database and record each publication/ article in it							University Library
33	Support Researchers to communicate via the website of the Research Unit / the Research Team/ the Researcher							Research Division + Communication

5.3.1. UTC's OTM-R checklist

Open, Transparent and Merit-based Recruitment of Researchers – OTM-R checklist

	Open	Transparent	Merit-based	Answer: Yes <i>completely/Yes substantially/ Yes partially/No</i>	Suggested indicators (or form of measurement)
OTM-R system					
1. Have we published a version of our OTM-R policy online (in the national language and in English)?	x	x	x	Yes completely	www.utc.fr/en/utc/an-innovative-model/european-charter-for-researchers.html
2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?	x	x	x	Yes partially	All the recruitment procedures are on-line and a guide is being drafted.
3. Is everyone involved in the process sufficiently trained in the area of OTM-R?	x	x	x	Yes partially	Two briefing sessions for the Human Resources Division and the Doctoral School have occurred.
4. Do we make (sufficient) use of e-recruitment tools?	x	x		Yes completely	E-recruitment tools: <i>UTC recrute</i> , <i>SENIORITA</i> (ministerial), <i>GALAXIE</i> (ministerial).
5. Do we have a quality control system for OTM-R in place?	x	x	x	No	Not formalized.
6. Does our current OTM-R policy encourage external candidates to apply?	x	x	x	Yes substantially	On 1 January 2018, 26% researchers (tenured and under contract) are foreigners.
7. Is our current OTM-R policy in line with policies to attract researchers from abroad?	x	x	x	Yes partially	On 1 January 2018, 26% researchers (tenured and under contract) are foreigners.

	Open	Transparent	Merit-based	Answer: Yes <i>completely/Yes substantially/ Yes partially/No</i>	Suggested indicators (or form of measurement)
8. Is our current OTM-R policy in line with policies to attract underrepresented groups?	x	x	x		On 1 January 2018, 26% researchers (tenured and under contract) are female.
9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?	x	x	x	Yes substantially	
10. Do we have means to monitor whether the most suitable researchers apply?				Yes substantially	

Advertising and application phase					
11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?	x	x		Yes completely	
12. Do we include in the job advertisement references/links to all the elements foreseen in the relevant section of the toolkit? [see Chapter 4.4.1 a)]	x	x		Yes substantially	
13. Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience?	x	x		Yes completely	
14. Do we make use of other job advertising tools?	x	x		Yes substantially	
15. Do we keep the administrative burden to a minimum for the candidate? [see Chapter 4.4.1 b)]	x			Yes substantially	

	Open	Transparent	Merit-based	Answer: Yes <i>completely/Yes substantially/ Yes partially/No</i>	Suggested indicators (or form of measurement)
Selection and evaluation phase					
16. Do we have clear rules governing the appointment of selection committees? [see Chapter 4.4.2 a)]		x	x	Yes substantially	
17. Do we have clear rules concerning the composition of selection committees?		x	x	Yes substantially	
18. Are the committees sufficiently gender- balanced?		x	x	Yes substantially	
19. Do we have clear guidelines for selection committees which help to judge 'merit' in a way that leads to the best candidate being selected?			x	Yes partially	

Appointment phase					
20. Do we inform all applicants at the end of the selection process?		x		Yes completely	
21. Do we provide adequate feedback to interviewees?		x		No	In progress.
22. Do we have an appropriate complaints mechanism in place?		x		Yes partially	Yes for tenured researchers. In progress for other recruitments.

Overall assessment					
23. Do we have a system in place to assess whether OTM-R delivers on its objectives?					Done by the Steering Committee.

5.3.2. OTM-R Review: UTC

When Université de technologie de Compiègne embarked on the HR Excellence for Research accreditation process, the European Commission had not yet published its recommendation that the application include elements to demonstrate an open, transparent, merit-based recruitment policy.

UTC has long prided itself on having a recruitment policy that is open, transparent, and merit-based, and remains committed to adhering vigorously to the principles of OTM-R.

I – OTM-R strategy

The recruitment of researchers at UTC recognises several categories of researchers:

- tenured academic personnel (Professors and Associate Professors) and academic personnel under contract
- scientific staff (PhD candidates and full-time researchers)
- technical staff who can also be recruited to roles supporting research

All recruitments within the university fall under the responsibility of the recruitment section of the Human Resources Division (with the exception of PhD candidates, recruited by the Doctoral School), with the aim of ensuring that recruitment is done in a secure, professional manner.

There are different recruitment processes corresponding to the different categories of personnel (tenured/non-tenured, academic personnel/full-time researchers/PhD candidates/engineers/technicians). Within a given category, however, the recruitment process is always the same, whether recruiting for a permanent or a temporary post.

For maximum transparency, and to facilitate the task of the administrative units wishing to recruit staff, all the recruitment procedures and corresponding documents and forms (relating to the request to recruit and to the recruitment sheet, or *fiche de recrutement*) can be viewed and downloaded via UTC's digital workspace:

⇒ *PhD candidates under contract:*

<https://webapplis.utc.fr/ent/services/services.jsf?sid=357>

⇒ *all other researchers:*

<https://webapplis.utc.fr/ent/services/services.jsf?sid=328>

Future enhancement:

To help UTC staff find their way through the various rules and procedures surrounding recruitment we are planning to publish a user guide. This will contain comprehensive information about recruitment procedures, from the request to recruit to the drafting and publication of the vacancy and the selection of candidates.

The guide will be in French and English.

⇒ *Recruitment policy*

In view of the several changes of personnel at senior management level in 2017, the Director of Internal services has proposed the following two-stage agenda: global blueprint in 2019, and drafting of an HR strategy in 2020 (to be approved by the university bodies in 2021).

II – Advertising and application phase

a) Advertising of vacancies

⇒ *recruitment of contractual and tenured personnel other than by competitive examination, and not including the recruitment of PhD candidates:*

Any position that is being recruited for must have a **job profile** that is drawn up as follows:

- for engineers, technicians and administrative staff (tenured or under contract, permanent or temporary), the job profile is drawn up jointly by the line manager and the HR recruitment section
- for full-time researchers under contract, the job profile is drawn up jointly by the project head and the HR recruitment section
- for academic personnel (tenured or under contract), the job profile is drawn up jointly by the research unit and the teaching department, subject to initial approval by the functional directors and to an opinion by the Scientific Committee and the Studies and Student Life Committee, and then to approval by a subcommission of the University Supervisory Board, the process being monitored throughout by the HR recruitment section

Regarding the **advertising** of vacancies:

- all vacancies are displayed on UTC's institutional website, under the heading *Recrutement*
- vacancies for contractual positions are advertised by the French Employment Office and the *APEC* agency (concerned with executive recruitment)
- vacancies for researchers (in the broad sense, including academic personnel, full-time researchers, and engineers supporting research) are also published on the Euraxess platform
- vacancies for technical staff are published on the French interministerial public sector job exchange website *BIEP* (which advertises public sector employment vacancies, internships and apprenticeships at state and local authority level, as well as in public hospitals)
- depending on the budget of the recruiting entity (the HR recruitment section does not have a budget for paid advertising), vacancies may be advertised on specialised sites, in other institutions, etc.

When a vacancy is advertised, the following **information** is included:

- candidate profile sought
- place of work
- mode of recruitment, type of contract, duration of contract, anticipated starting date
- experience
- gross monthly salary
- workload
- mission
- principal activities
- qualification required
- work environment and context
- the *scientific contact*, when recruiting researchers
- the *administrative contact* in the HR recruitment section

Researchers may be recruited from outside, from institutional or industrial partners, or from inside the university: finding the best possible person for the job is an integral part of furthering UTC's development, reputation and internationalisation.

⇒ *recruitment of PhD candidates:*

All proposed thesis topics are listed on UTC's institutional website under the *École doctorale* heading, and in some cases they are also listed on the ABG website (*Association Bernard Gregory*, an organisation promoting the career development of PhD holders) and on Euraxess.

b) A simpler administrative procedure for applicants

⇒ *recruitment of contractual and tenured personnel other than by competitive examination, and not including the recruitment of PhD candidates:*

To reduce the administrative burden and make communication easier, applicants may submit their CVs and letters of motivation

- either via one of the dedicated recruitment platforms on the UTC website; for example, if applying for a position as a full-time researcher, the appropriate recruitment platform is <https://candidature.utc.fr/chercheur>
- or by emailing them to the specified contact

Supporting documents (ID, degree certificates, criminal record, etc.) will only be requested after a candidate has been selected in order to complete the recruitment phase and draw up the contract or finalise the appointment.

⇒ *recruitment of tenured personnel by competitive examination:*

There is a centralised procedure for institutions throughout France.

Applications are submitted via the dedicated platform on the UTC website (as indicated by the description of the vacancy on the *Galaxie* platform, accessed via the website of the French government ministry responsible for research and higher education): <https://candidature.utc.fr/mcpr/>

The supporting documents that need to be submitted are set out in ministerial decrees.

⇒ *recruitment of PhD candidates:*

Applicants fill in application forms online and transmit supporting documents by email (or via the postal service).

c) Acknowledgement of receipt, provision of additional information

⇒ *recruitment of contractual and tenured personnel other than by competitive examination, and not including the recruitment of PhD candidates:*

If applicants have questions, they should contact the HR recruitment section (email addresses and telephone numbers can be found at the web address where applications are submitted).

Once an application is submitted the applicant receives a password for accessing his or her application and providing/uploading additional information.

⇒ *recruitment of PhD candidates:*

Applicants receive a mail containing instructions for providing additional information, together with the contact details of the person at the Doctoral School that any questions may be addressed to.

III – Selection and evaluation phase

a) Recruitment panels

For any recruitment the university will appoint a recruitment panel (that is also sometimes referred to as a “selection committee” in the case of tenured academic staff, and as a recruitment “jury” for tenured engineers, technicians and administrative staff). This panel is responsible for ensuring that applicants are treated equally and that there is no unfair discrimination of any kind in the selection process.

Members of the panel are bound by a duty of impartiality, objectivity and neutrality.

⇒ *recruitment of academic personnel:*

A recruitment panel or “selection committee” is appointed for the recruitment of tenured academic personnel (see Decree No 84-431 of 6 June 1984 setting out statutory provisions applicable to academics and in particular to Professors and Associate Professors). A selection committee also gives a positive or negative opinion on the recruitment of certain academic personnel employed under contract.

A selection committee is not an enduring entity, but it is appointed when there is an academic vacancy to be filled.

The regulations require that when a selection committee is appointed, more than half of its members are specialists in the relevant discipline.

In addition, a selection committee must have at least 40% female and 40% male members, and there must be at least two women and two men.

The regulations relating to the appointment and composition of selection committees can be consulted via UTC’s digital workspace:

<http://interne.utc.fr/d-r-h/recrutement/article/comites-de-selection>

For academic personnel under contract, a recruitment panel will also be appointed, but with somewhat different regulations and procedures, described here:

http://interne.utc.fr/IMG/pdf/chercheur_contractuel_processus_recrutement.pdf

⇒ *recruitment of “technical” research personnel under contract:*

For every recruitment of this type an ad hoc recruitment panel is appointed:

http://interne.utc.fr/IMG/pdf/biatss_titulaire_processus_recrutement.pdf

http://interne.utc.fr/IMG/pdf/biatss_contractuel_permanent_processus_recrutement.pdf

⇒ *recruitment of PhD candidates:*

All candidates are interviewed by an ad hoc panel including members from outside the discipline, thesis topic, and research unit concerned, and in some cases representatives of the Doctoral School and the Human Resources Division.

Irrespective of the type of personnel, the composition of a recruitment panel will reflect the following criteria:

- professional competence and personal aptitudes
- gender balance
- the inclusion of members from outside the recruiting entity
- in no circumstances will a recruitment panel have fewer than three members

The Human Resources Division organises a training session for conducting recruitment interviews, open to all UTC personnel who may potentially be part of a recruitment panel.

b) Selection and interview

⇒ *recruitment of tenured personnel by competitive examination:*

The panel examines all applications that have been submitted and that meet the regulatory requirements.

The candidates deemed eligible are then interviewed by the panel.

⇒ *recruitment of personnel under contract (other than PhD candidates):*

All applications are examined by the HR recruitment section and by the recruiting entity.

A shortlist is drawn up of the applicants who appear to best meet the requirements of the vacant position, and these applicants are then interviewed by the recruitment panel, either face to face or via an audio/video link, according to applicants’ availability.

⇒ *recruitment of PhD candidates:*

The panel interviews applicants who have been preselected by the thesis supervisor on the basis of their scientific profile and their knowledge.

Interviews can take place face to face or via an audio/video link, according to applicants' availability.

c) Recognising the merit and potential of applicants

⇒ *recruitment of contractual personnel and tenured personnel by competitive examination:*

The qualifications required are specified in the recruitment notice or the job profile.

⇒ *recruitment of PhD candidates:*

In addition, a number of questions for reflection are published on the UTC Doctoral School's website, designed to provide some useful pointers to potential PhD candidates before they attend an interview

IV – Appointment phase

a) Providing feedback

⇒ *recruitment of tenured personnel by competitive examination:*

Candidates' marks are communicated to them once the competition is over.

Candidates may also ask to see their examination paper, where applicable.

In the case of academic personnel, disappointed candidates who ask to know why their application was unsuccessful are informed of the reasons.

⇒ *recruitment of personnel under contract (other than PhD candidates):*

All applicants are informed via an email whether their application was successful or unsuccessful and, where applicable, how highly they were ranked in relation to other applicants.

⇒ *recruitment of PhD candidates*

In the week following their interview all applicants are sent a letter informing them whether their application was successful or unsuccessful and, where applicable, informing them how highly they were ranked in relation to other applicants.

Future enhancement:

In the case of recruitment to contractual positions a feedback process needs to be put in place whereby applicants who are not offered the position after an interview can ask to know the strengths and weaknesses of their application in relation to the job profile.

b) Complaints procedure

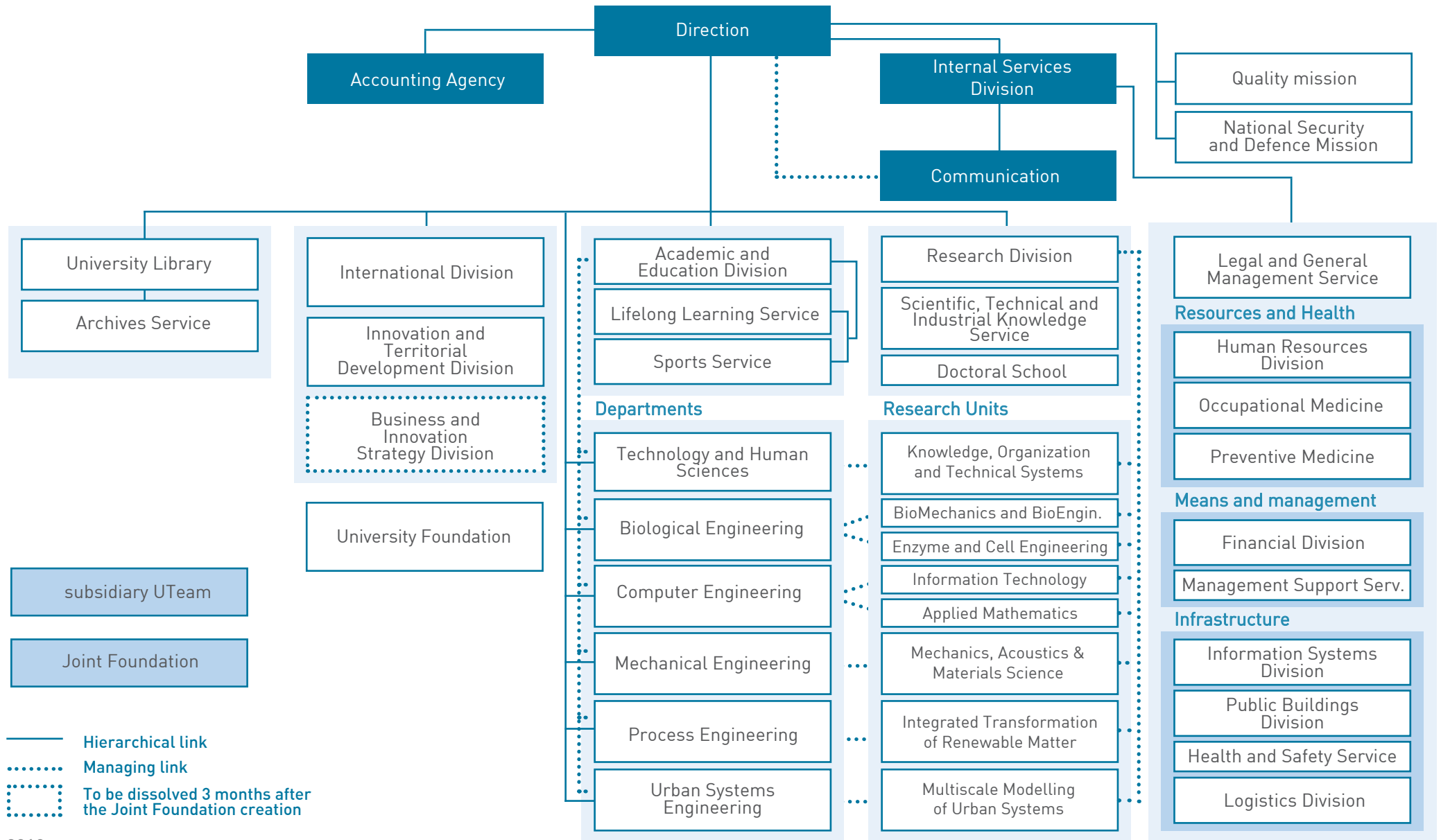
UTC currently has no formalised internal procedure for dealing with possible complaints by applicants.

Future enhancement:

In the case of recruitment to contractual positions, a procedure for dealing with complaints needs to be formalised and made known.

V - Exceptions

Exceptions to the processes and rules described above may be made only in order to retain, reinstate, or extend the employment of an existing researcher, or for the purposes of positive discrimination. Whenever such exceptions are made, the process must be transparent, justified, and documented. In no circumstances may exceptions be made in relation to an applicant's qualification and suitability for the job profile.



5.5. Memberships of:

- **HRS4R Project Group**
- **Steering Committee (COPIL)**
- **UTC bodies**
- **Consultative Panel**

HRS4R Project Group

- Lydia Vignolle-Dupré (Human Resources Division), Responsible of the Remuneration Unit
- Marion Kaczowski (Research Division / Doctoral School), Administrative Head of Doctoral and Academic units
- Dr Stéphanie Rossard (Research Division / Project Management unit), Head of European and international research Affairs (advisor for strategy, pre and post-award Officer for European and international projects)

Steering Committee (COPIL)

- Ludovic Martin, Director of Human Resources
- Prof. Marie-Christine Ho Ba Tho, Director of Research
- Prof. Christine Prelle, Director of the Doctoral School
- Cornelia Marin, Director of International Relations
- Nathalie Van Schoor, Director of Internal Services
- the HRS4R Project Group

The UTC bodies

University Advisory Board

The UTC University Advisory Board is composed of 28 members:

- 14 external members comprising representatives from regional or local authorities, from social and economic sectors concerned by UTC's activities, from the French ministry for research and technology, from trade unions and employers' organisations, and qualified individuals chosen for their specialist knowledge of science and industry or for their technical know-how.
- 14 elected members: 8 researchers, 3 administration and technical staff, 3 students (engineer, master or PhD candidate) (+3 replacements).

Scientific Committee

The UTC Scientific Committee is composed of 23 members:

- 14 elected members, representative of UTC staff: researcher (10), research engineer, technician, administration staff
- 3 elected PhD candidates (+ 3 replacements)
- 6 individuals with knowledge of the scientific, industrial and socioeconomic sectors

Studies and Student Life Committee

The UTC Studies and Student Life Committee is composed of 26 members:

- 11 elected academic staff: teachers or researchers
- 11 elected students: engineer, master or PhD candidate
- 3 elected administrative and technical staff: engineer or technician
- 4 external members representing educational establishments from which UTC recruits students, and representing the commercial and industrial community

Doctoral School Committee

The UTC Doctoral School Committee is composed of 20 members:

- a. The external members of the Doctoral School Committee are individuals with knowledge of the scientific, industrial and socioeconomic sectors, together with representatives from the administrative Region: 4 individuals, all of whom have a PhD.
- b. The internal members are 16 persons:
 - 10 researchers
 - 2 representatives for administrative and technical staff
 - 4 elected PhD candidates (+ 4 replacements).

Technical Committee

The Technical Committee comprises 10 members elected by UTC staff (+ 10 replacements). The members are either researchers or research engineers or engineers.

Management Committee

The Management Committee is composed of different UTC officials, all of whom are either researchers or research engineers or engineers. The Director of UTC is chairing the Management Committee.

a. 7 members:

- 6 Directors of department
- Director of internal services division

b. 24 standing guests:

- Directors of management divisions
- Directors of operative divisions
- Directors of research units

Consultative Panel (2018)

- Prof. Bérangère Avasse-Bihan, Professor, Laboratory Enzym and Cell Biology (GEC), UMR CNRS 7025
- Dr Aude Cordin, Associate Professor, Laboratory GEC, UMR CNRS 7025
- Dr Frédéric Delbecq, ESCOM Associate Professor, Laboratory of Integrated Transformation of Renewable Matter (TIMR), EA 4297
- Nicolas Grandmaison, PhD candidate, Laboratory of Biomechanics and Bioengineering (BMBI), UMR CNRS 7338
- Dr Jérémy Laforêt, CNRS research engineer, Laboratory BMBI, UMR CNRS 7338
- Prof. Frédéric Lamarque, Professor, Laboratory of Mechanics (ROBERVAL), UMR CNRS 7337
- Dr Stéphane Octave, research engineer, Laboratory GEC, UMR CNRS 7025
- Prof. Isabelle Pezron, Professor, Director of Laboratory TIMR, EA 4297
- Dr Anne-Virginie Salsac, CNRS researcher, Laboratory BMBI, UMR CNRS 7338, ERC Consolidator Grant (Grant Agreement number: 772191 — MultiphysMicroCaps — ERC-2017-COG).