

Human Resources Strategy for Research at Université de Technologie de Compiègne

Implementing the *European Charter for Researchers* and
the *Code of Conduct for the Recruitment of Researchers*

May 2016

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the *Code of Conduct for the Recruitment of Researchers*
at Université de Technologie de Compiègne, France**

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1 Preamble

1.1 European guidelines

In the wake of the Council of the European Union's resolution of November 10 2003 relative to the careers of researchers in the European Research Area, the Commission produced two sets of guidelines.

The **European Charter for Researchers** and the **Code of Conduct for the Recruitment of Researchers** (referred to jointly as the *Charter & Code*) were published by the European Commission in 2005, to help attract the best researchers internationally and to encourage young people to enter careers in science. The *Charter & Code* contains

- ✓ 40 guidelines for favouring the mobility and careers of researchers in the European Research Area (ERA), principally in relation to recruitment and conditions of work.
- ✓ 4 main areas:
 - Ethical principles and professional responsibilities
 - Recruitment, career development, mobility
 - Conditions of work and safety, the professional environment
 - Education and training

⇒ **UTC (Université de Technologie de Compiègne) signed the European Charter for Researchers in February 2008 and set up an in-depth review of its guidelines.**

The **Human Resources Strategy for Researchers (HRS4R)** was launched by the European Commission in 2008. The Commission has encouraged institutions of higher education in Europe to adopt this strategy, in particular via the *Marie Skłodowska-Curie actions (MSCA)*.

Since 2014, as part of the 8th EU framework programme (Horizon 2020), institutions are strongly advised, via article 32.2 (*consequences of non-compliance*) of the Grant Agreement, to implement this Strategy (HRS4R accreditation status).

UTC's HRS4R project group took part in the European Commission's Info Day in October 2015.

⇒ **In June 2015 UTC put in place a process for driving the implementation of HRS4R, with the stated aim of obtaining the recognised *HR Excellence for Research* label.**

1.2 French guidelines

To assist institutions of higher education in implementing the *Charter & Code*, in September 2015 the French Ministry of Education, Higher Education and Research, together with the *Conférence des Présidents d'Université* (CPU) and the *Agence de Mutualisation des Universités et Établissements* (AMUE), published the list of laws and statutes relating to the 40 guidelines in the *Charter & Code*. This information has been included as the first two columns in UTC's GAP analysis.

In addition, the Ministry held an Info Day in November 2015, aimed at institutions in France seeking to obtain the *HR Excellence for Research* label. UTC's HRS4R project group took part in this Info Day.

In France, many of the issues surrounding the work and careers of researchers are covered by laws and statutes.

- the recruitment of academics and (tenured) research engineers, both of whom are public employees, is managed at a country-wide level
- all academics and research engineers are officially assigned to a particular institution
- there is a statutory division of the working hours of academics, with 50% being devoted to teaching activities and 50% to research activities
- pay rises and promotions for public employees take place according to nationally defined scales of grades and salaries
- public employees fall into three categories (A, B and C), with researchers (in the broad sense) belonging to category A
- in France there is an academic qualification above the doctorate, namely the *accreditation to direct research* (HDR), which recognises a person's suitability to supervise doctoral theses
- an official status exists for temporary academic staff (someone with this status is known as an *ATER*); it is a status that allows those who have obtained their doctorate to gain one or two years' experience of teaching and research, to prepare them for a possible career in academia

Since 1 January 2010 UTC has been one of the institutions in France that have some degree of autonomy as defined by the Act of August 2007 (LRU) that concerned the freedoms and responsibilities of universities in relation to the management of their budget and human resources.

2 Measures taken with a view to obtaining the European *HR Excellence for Research* label

2.1 Local context

Université de Technologie de Compiègne (UTC) is a public institution of a scientific, cultural and professional nature (EPSCP) and is unusual in the French higher education system insofar as its vocation, as laid out in its statutes, combines that of a public university with that of a top-flight French engineering school.

UTC is a founder member of the *Sorbonne Universités COMUE* group (a “community” of institutions established by Act No 2013-660 of 22 July 2013).

UTC awards the following academic qualifications

- Qualified Engineer 3600 students / 750 awarded each year
- Master’s Degree 380 students / 150 awarded each year
- Doctorate 330 students / 70 awarded each year

UTC also prepares students for vocational qualifications through vocational training

UTC has a staff of 1032, with the breakdown as follows:

- 399 administrative and technical personnel (tenured or under contract)
- 633 academic personnel and research engineers (tenured or under contract)

A breakdown of personnel within UTC’s different research units is given in the Annexes. The organisational structure of UTC and its different divisions are also to be found in the Annexes.

2.2 Workgroups

UTC’s progress towards obtaining the *HR Excellence for Research* label is being conducted by three workgroups.

- **HRS4R Project Group**

Comprising:

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

This project group was set up by UTC management, to harness its members’ knowledge and skills, as well as a cross-sectional view of UTC’s activity. The group has expertise in the legal, financial and administrative aspects of human resource management, in the creation and management of research projects, in the development of research at the European and international levels, and in managing the Doctoral School and the Scientific Committee.

This group has the task of organising the joint reflection on the different aspects, and of implementing the project.

- Steering Committee (COPIL)

Comprising:

- the Director of Human Resources
- the Director of Research
- the Director of the Doctoral School
- the Director of International Relations
- the Director of Internal Services
- the HRS4R Project Group

This group has the following tasks:

1. Assessing an initial SWOT analysis (produced by the HRS4R Project Group), that is to say an analysis of the strengths, weaknesses, opportunities and threats inherent in UTC's current situation
2. Completing this initial analysis with a thorough examination of the 40 points in the GAP analysis
3. Defining a certain number of actions to be carried out in pursuance of the agreed objectives
4. Having its findings and recommendations approved by the UTC's Supervisory Board (CA) (and also by its Scientific Committee and Technical Committee)
5. Approving the publication of its findings and recommendations on UTC's institutional website, and their transmission to the European Commission in the context of UTC's application for HRS4R accreditation

- Consultative Panel

This group is a panel of academics and researchers belonging to a variety of categories: Associate Professor (*Maître de Conférences* and *Professeur Agrégé*), Professor, CNRS researcher, contractual member of the academic staff, Emeritus Professor, Research Engineer, Post-Doc, and doctoral student.

15 individuals were invited and, 8 took part in the two consultative meetings.

The goals of the consultation were

- to review the initial propositions for action: pertinence, interest, UTC specifics, user feedback, etc.
- to review the propositions regarding indicators for monitoring progress

These consultations helped to pinpoint the challenges from the multiple perspectives of researchers, as well as their aspirations regarding better support for their research and for their careers.

UTC invested 1.5 staff-months (23 meetings with a total of 20 participants) in putting together its project to be submitted to the European Commission. This work, carried out over one year, did not involve recruiting any additional staff, but used human resources already present at UTC. UTC employs 633 researchers (in the broad sense) in its research units, and is quite a small institution in relation to other French universities.

2.3 Method

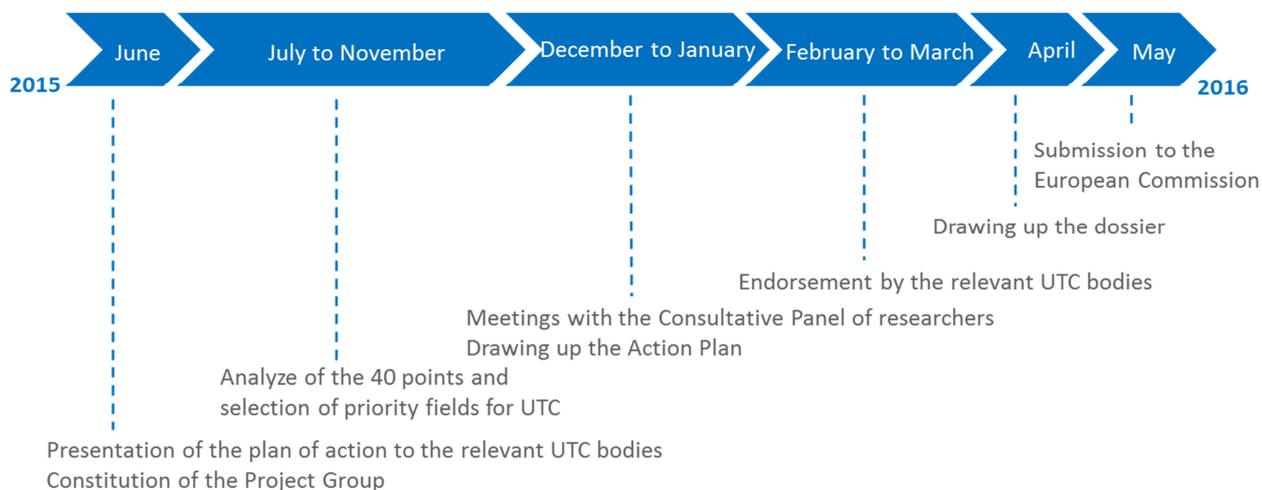
The drive to implement HRS4R, firmly underway at UTC, is also a quality process, which will reinforce UTC's human resources (HR) policy, and which we hope will develop and publicise our particular character and our particular appeal within the European Research Area.

The HRS4R Project Group proceeded as follows:

1. It analysed the 40 points in the GAP analysis using data previously collected since 2008, the different points being assigned to different members of the group in accordance with their particular knowledge and skills.
2. It set up and carried out the SWOT analysis.
3. It organised an exchange of ideas and opposing points of view with the Steering Committee.
4. It held two meetings with the Consultative Panel of researchers.
5. It drew up a plan of action subdivided into a number of points with reference to the *Charter & Code*, with propositions concerning persons to be involved, a timetable, and indicators for monitoring progress.
6. It presented the plan of action for endorsement by the relevant UTC bodies.

2.4 Calendar

UTC's efforts in pursuance of HRS4R accreditation were spread over a year:



The different steps are as follows

- **Compliance analysis (strengths/weaknesses)** => June through December 2015
- **Drawing up the plan of action** => January through March 2016
- **Application for recognition** => May 2016
- **Auto-evaluation** => 2 years after accreditation
- **Assessment by peers** => 4 years after accreditation

3 Results of the internal assessment

3.1 SWOT analysis

An initial SWOT analysis, that is to say an analysis of the strengths, weaknesses, opportunities and threats in relation to human resources at UTC, was carried out prior to the GAP analysis.

STRENGTHS	<p style="text-align: center;">UTC's small size facilitates communication between support services and with researchers</p> <p>Research environment</p> <ul style="list-style-type: none"> • Solid technological research, researchers of renown • Prevalence of joint research projects, UTEAM project management subsidiary • Multidisciplinary doctoral school, established dialogue • Satisfactory percentage of women directors <p>Recruitment</p> <ul style="list-style-type: none"> • Robust, transparent recruitment policy • Pay parity • Guide for new arrivals • All recruitments involve a selection committee • Mobility between industry and academia: contractual academic staff recruited from industry <p>Vocational training and career paths</p> <ul style="list-style-type: none"> • Proactive training policy • Training programme reviewed and adjusted every year • Policy of diversity of activities: academics as consultants, etc. 	<p style="text-align: center;">A small university close to Paris</p> <p>Research environment</p> <ul style="list-style-type: none"> • Visibility of UTC research internationally • UTC website weak with respect to research • Institutional website has little or no descriptive content in English • Lack of a uniform approach in the recruitment of researchers by different UTC laboratories <p>Recruitment</p> <ul style="list-style-type: none"> • Contractualisation of research, ossification of human resources <p>Vocational training and career paths</p> <ul style="list-style-type: none"> • Geographic mobility 	WEAKNESSES
OPPORTUNITIES	<p style="text-align: center;">Good environment and quality of life in Compiègne</p> <p style="text-align: center;">Outreach of the Sorbonne Universités COMUE group</p> <p>Research environment</p> <ul style="list-style-type: none"> • Integration in the world of industry • Utilising academic skills: consulting, creation of businesses • Enhancing outreach within the European Research Area and internationally <p>Recruitment</p> <ul style="list-style-type: none"> • Courses in French (as a foreign language) • Ensuring that all applications are replied to • All job offers for contractual staff in English and French and published on Euraxess <p>Vocational training and career paths</p> <ul style="list-style-type: none"> • Creating training programmes and workshops at the request of the different divisions and departments • Catalogue of accessible training courses • Publicising the 1/6^{ème} de mission / doctoral contract • Making individual training plans available to all • Cross-sectional skills 	<p style="text-align: center;">Reorganisation of regional government: reduced visibility of institutions in the defunct Picardie region between Paris and Nord</p> <p>Research environment</p> <ul style="list-style-type: none"> • Visibility of research • Openness of the sciences to society <p>Recruitment</p> <ul style="list-style-type: none"> • Difficulty of attracting women to certain disciplines <p>Vocational training and career paths</p> <ul style="list-style-type: none"> • Offers of bonuses and better conditions by other universities and research institutions tempting our researchers away • 'Drain' of researchers 	THREATS

By analysing the SWOT matrix we were able to highlight areas where we need to concentrate our efforts, points where we need to seize opportunities, issues where we need to overcome our weaknesses, and others where we must anticipate potential threats.

Through its current practices and through the HRS4R project, UTC is seeking to meet the requirements of OTM-R (Open, Transparent, Merit-based Recruitment).

The national regulatory framework, as shown in the two leftmost columns in the GAP analysis, provides an overall response to the objectives and constraints formulated in the *Charter & Code*.

UTC's internal assessment, mediated by the GAP analysis, shows that most of the points have already been addressed by ongoing actions undertaken by UTC, some of which are at an advanced stage. For example, regarding researchers visiting from overseas:

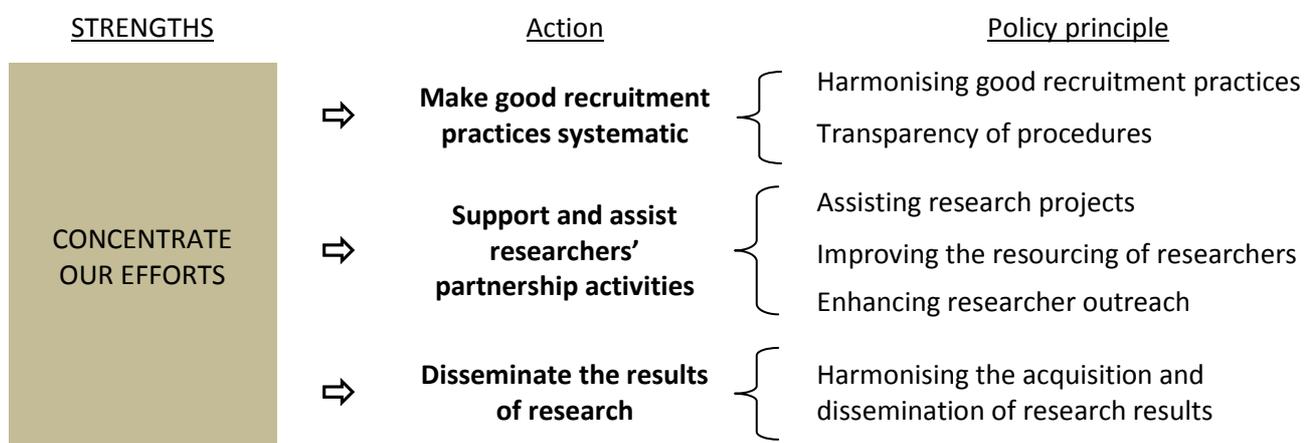
- UTC's Research Division provides support to UTC researchers who wish to play host to colleagues from overseas
- The *Sorbonne Universités COMUE* group offers financial assistance via a specific provision
- UTC's Human Resources Division manages administrative and contractual aspects
- UTC's International Relations Division takes charge of the logistics of the visit

UTC strives to relieve researchers of as many administrative worries as possible, clearing the administrative path so that researchers can devote themselves to their research.

The questions about Gender and Ethics are treated by the French Law. A new Law (2016-483) on April 20th, 2016 relative to the **moral code and the rights and duties of the civil servants** was produced to complete the legal official documents already applied on these questions. This new Law aims at dedicating in the right of the public service certain values already considered by the jurisprudence (neutrality, impartiality, etc) as well as to strengthen powers and the fields of competences of the Research Ethics Committee.

3.2 Improvements and prospects for improvement

The internal assessment embodied in the GAP and SWOT analyses highlights certain areas where there is room for improvement in relation to the *Charter & Code*.



<u>OPPORTUNITIES</u>		<u>Action</u>	<u>Policy principle</u>
MAKE THE MOST OF OPPORTUNITÉS	⇒	Make good recruitment practices systematic	Enlarging the recruitment pool
	⇒	Support and assist researchers' partnership activities	Improving the resourcing of researchers Enhancing researcher outreach
	⇒	Cultivate a stimulating work environment	Creating new opportunities
<u>WEAKNESSES</u>		<u>Action</u>	<u>Policy principle</u>
OVERCOME OUR WEAKNESSES	⇒	Strengthen research freedom	Incorporating contributions by individuals into a group venture Making it possible to contribute to the group venture in a variety of ways
	⇒	Improve the way visitors are received	Making UTC more accessible to new researchers Explaining how we can better get along with each other in the UTC community Raising awareness in relation to ethical issues
	⇒	Cultivate a stimulating work environment	Clarifying the framework for working condition Developing cross-sectional skills
<u>THREATS</u>		<u>Action</u>	<u>Policy principle</u>
ANTICIPATE THREATS	⇒	Disseminate the results of research	Giving the University Library a more professional role
	⇒	Cultivate a stimulating work environment	Clarifying the framework for working conditions Developing cross-sectional skills Enhancing researcher outreach

3.3 Publicity and visibility

Following an endorsement by the Steering Committee and the other relevant UTC bodies of the present document, together with the GAP analyses, the SWOT analysis and the plan of action, UTC has given its full approval to the process. The plan of action is published on the page where UTC initially stated its commitment to gaining *HR Excellence for Research* accreditation.

www.utc.fr/recherche/charte-europeenne-du-chercheur.html (in French)

www.utc.fr/en/research/charte-europeenne-du-chercheur.html (in English)

4 UTC's plan of action for HRS4R, 2016-2019

4.1 Human resources strategy for research at UTC

UTC's SWOT analysis identified six spheres of action that englobe our proposed measures for improvements, to be implemented over the next four years (2016-2019).

- ✓ **Strengthen research freedom**
- ✓ **Make good recruitment practices systematic**
- ✓ **Improve the way visitors are received**
- ✓ **Cultivate a stimulating work environment**
- ✓ **Support and assist researchers' partnership activities**
- ✓ **Disseminate the results of research**

These actions will bring UTC into compliance with the guidelines of the *Charter & Code* and be part of our ongoing drive to make UTC a better place.

The 33 specific points for improvement arise directly from the actions and policy principles set out in the plan of action. Each one has a corresponding point identified in the *Charter & Code*, in four main areas, namely Ethical principles and professional responsibilities; Recruitment, career development, mobility; Conditions of work and safety, the professional environment; and Education and training.

4.2 UTC plan of action

The divisions and departments concerned will be charged with implementing the plan of action, each with its own coordinator appointed to oversee the whole operation.

The steering committee will meet regularly to keep track of progress on the different actions, on the basis of a report produced by each of the coordinators. Where necessary, deviations from the initial plan will be corrected and implementation schedules adjusted.

Université de Technologie de Compiègne is committed since 2010 into the access and rights to skills and the widened responsibilities. Moreover, UTC is more autonomous regarding Human Resources management.

UTC develops its Human Resources Strategy by leaning on a controlled and diversified recruitment, on the development of competences of personnel and on the follow-up of individual careers, coherent with the principles of the "European Charter of the Researchers" and the "Code of conduct of recruitment of Researchers".

The HR Excellence award will strengthen UTC in this dynamics and will enhance its influence and visibility on the national, European and international level.

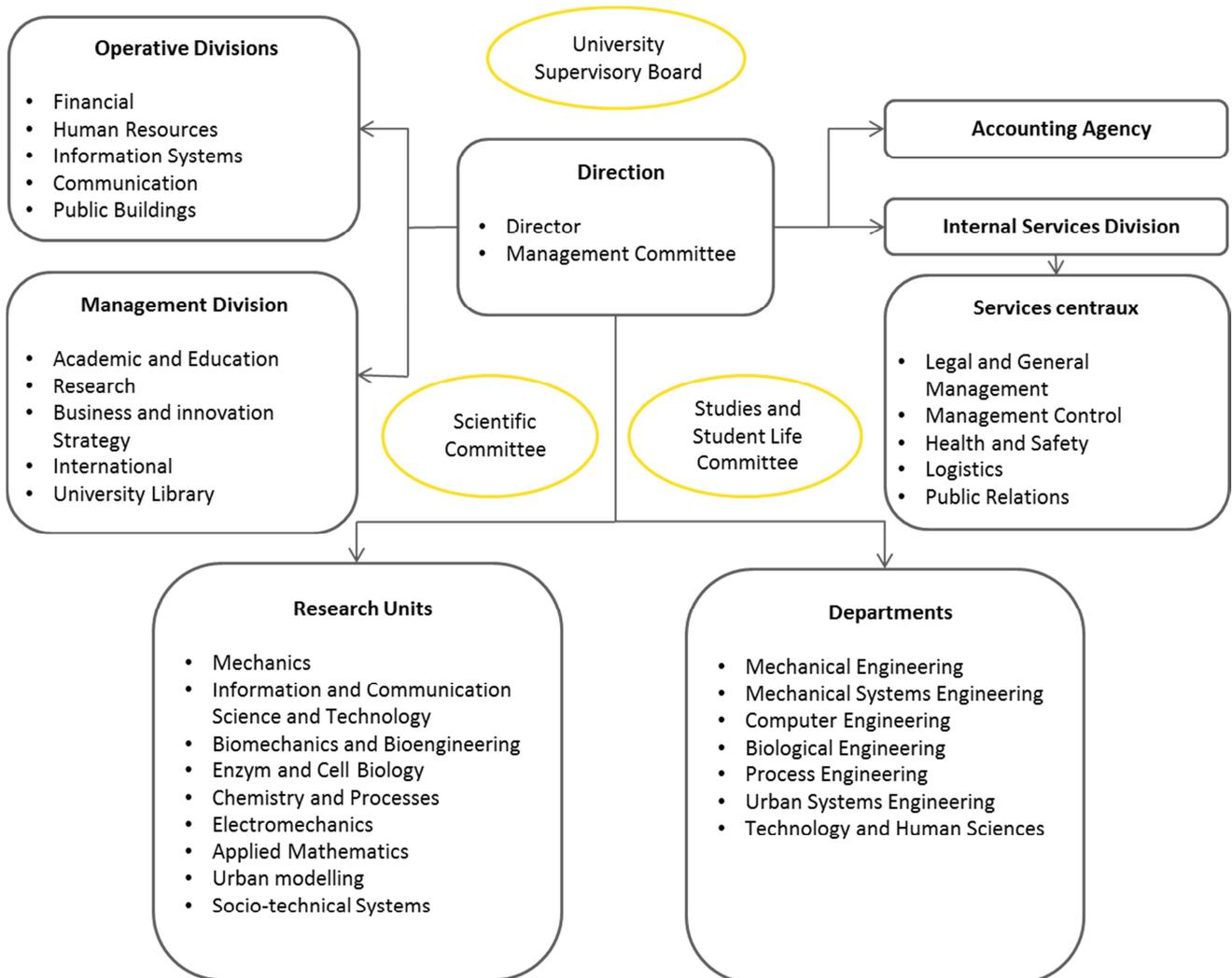
Action	Principle of the action	Practical Actions	C&C targeted Points	2016		2017		2018		2019		Involved Services / Divisions	Indicators of Implementation/ Follow-up
				First Semester	Second Semester								
Strengthen research freedom	Incorporating contributions by individuals into a group venture	Formalize a concept of belonging to a research unit	1									DRH DR CS Research Units	Realised / in progress / unimplemented
	Making it possible to contribute to the group venture in a variety of ways	Clarify the definition a contributor/ creator to a research unit scientific programme	1									DRH DR CS Research Units	Realised / in progress / unimplemented
	Raising awareness in relation to ethical issues	Set up a working group piloted by UTC's Scientific Committee on Ethics and Technological culture		2								CS DR	Number of meetings Number of InfoActions in CS
		Inform about Ethics (including Plagiarism)		2									Master ED BUTC DSI
Make good recruitment practices systematic	Enlarging the recruitment pool	Publish all job offers (vacancies) on EURAXESS	13									DRH ED DR/PIPATT	Ratio number vacancies published on Euraxess / total number vacancies (per year)
	Harmonising good recruitment practices	Formalize all information required for the publication of a vacancy (job offer)	13									DRH ED	Writing of a note with a checklist
	Transparency of procedures	Formalize a process for a report to each candidate / applicant	15									DRH Research Units	Writing of a template (for a summary of the interview for each candidate)
Improve the way visitors are received	Making UTC more accessible to new researchers	Make sign a charter to all newcomers: confidentiality, conflicts of interests	2									DR DRH Health&Safety Manager	Writing of a Charter
	Explaining how we can better get along with each other in the UTC community	Write a guide for newcomers (in French and in English)	10									DRH DRI CAP Health&Safety Manager DR ED	Writing of a Guide
		Organise a welcome day for newcomers in the Research Unit (Research Unit, DRH)	7									DRH Research Units ED	Realised / in progress / unimplemented Ratio nb participants / nb invited ones
		Clarify the writing of agreements for guest researchers	3									DR DGS ED	Writing of a template

Action	Principle of the action	Practical Actions	C&C targeted Points	2016		2017		2018		2019		Involved Services / Divisions	Indicators of Implementation/ Follow-up	
				First Semester	Second Semester	First Semester	Second Semester	First Semester	Second Semester	First Semester	Second Semester			
Cultivate a stimulating work environment	Clarifying the framework for working conditions	Write a frame for the standardization of Research Units' internal regulation	4									DGS/SAGJ Research Units	Writing of a template for the internal rules to be considered	
		Transfer a copy of each Research Unit's internal regulation to the DGS	4									Research Units	Number of Internal Rules Guide transferred to DGS	
		Complete the work contract (+ English version for information as an Annex)	3									DRH DR DGS	Writing of a special clause of Intellectual Property/ Translation of the employment Contract into English (annex to French version)	
	Developing cross-sectional skills	Set up a training session for managers	37,38,40									DRH	Realised / in progress / unimplemented Nb of managers who followed the whole training session	
		Set up an Annual Day for PhD supervisors	36, 37									ED	Realised / in progress / unimplemented Nb PhD supervisors participated	
	Creating new opportunities	Communicate about potential training sessions	28,3									DRH	Realised / in progress / unimplemented Nb researchers trained / year	
		Communicate about the instruments for mobility (incoming/outcoming) and support the applicants	29									DRH ED DR DRI	Writing of a descriptive short note per instrument Number of researchers supported (incoming/outcoming)	
		Implement an Information portal for Researchers: opportunities, Research funding calls, mobilities, training sessions, PEDR, links and contracts with CNRS (for Joint Research Units), etc	7, 28, 29, 30, 38, 39										DR/PIPATT DRH DRI Research Units/Researchers DSI Communication Division	Realised / in progress / unimplemented Nb visits of the portal Number of downloadings
		Create a service for the follow-up of Post-doctoral fellows in the Doctoral School	28									ED DRH/ DRI/	Realised / in progress / unimplemented	
		Develop tools for the improvement of PhD candidates' salary treatment	22, 26										ED DSEI DRH/ DR/PIPATT	Average salary for PhD students (all PhD students and PhD employed by UTC)

Action	Principle of the action	Practical Actions	C&C targeted Points	2016		2017		2018		2019		Involved Services / Divisions	Indicators of Implementation/ Follow-up
				First Semester	Second Semester								
Support and assist researchers' partnership activities	Assisting research projects	Each Researcher contacts his/her Project Officer at PIPATT (DR) before/during/after a research project	4, 5									Research Units DR/PIPATT	Ratio number of contacts/ nb of projects recorderd into the Database
		Each Researcher records his/ her Proposal to a Call into the Research Database	4									Research Units DR/PIPATT	Number of projects recorderd into the Database
		Organize a internal kick-off meeting for each Research Project (DR, researcher, DAF, DRH)	6, 4, 8									DR/PIPATT Research Units/Researchers DAF DRH	Realised / in progress / unimplemented Nb internal kick-off meeetings/ nb total projects (per year)
		Write a UTC guide for Intellectual Property	31									DR	Realised / in progress / unimplemented
		Organise twice a year a Contracts Committee (DR, DAF)	6									DR/PIPATT DAF Research Units/Head of Units	Realised / in progress / unimplemented Nb meetings per year
	Improving the resourcing of researchers	Create the possibility of a sabbatical leave for research	24								DR DRH DFP DAF DGS	Realised / in progress / unimplemented Nb Researchers with sabbatical leave	
	Enhancing researcher outreach	Encourage / incite the participation to the development of the European Research network	29								DR DRI ED	Nb Researchers involved in a Network, a Project, etc. Nb European Projets	
Disseminate the results of research	Giving the University Library a more professional role	Implementation of an institutional archive (database) for publications/articles	5, 8									DR BUTC Research Units	Realised / in progress / unimplemented
		Organize training sessions to use the institutional archive	5, 8, 9								Nb training sessions Nb persons trained		
		Release and respect the rules of embargo for publications	9								Writing of a note with rules Nb contacts BUTC about embargo rules		
	Harmonising the acquisition and dissemination of research results	Define a single Database and record each publication/ article in it	8								Implementation of single Database Nb publications / articles recorderd		
	Support Researchers to communicate via the website of the Research Unit / the Research Team/ the Researcher	9									Communication Division DR Research Units		

5 Annexes

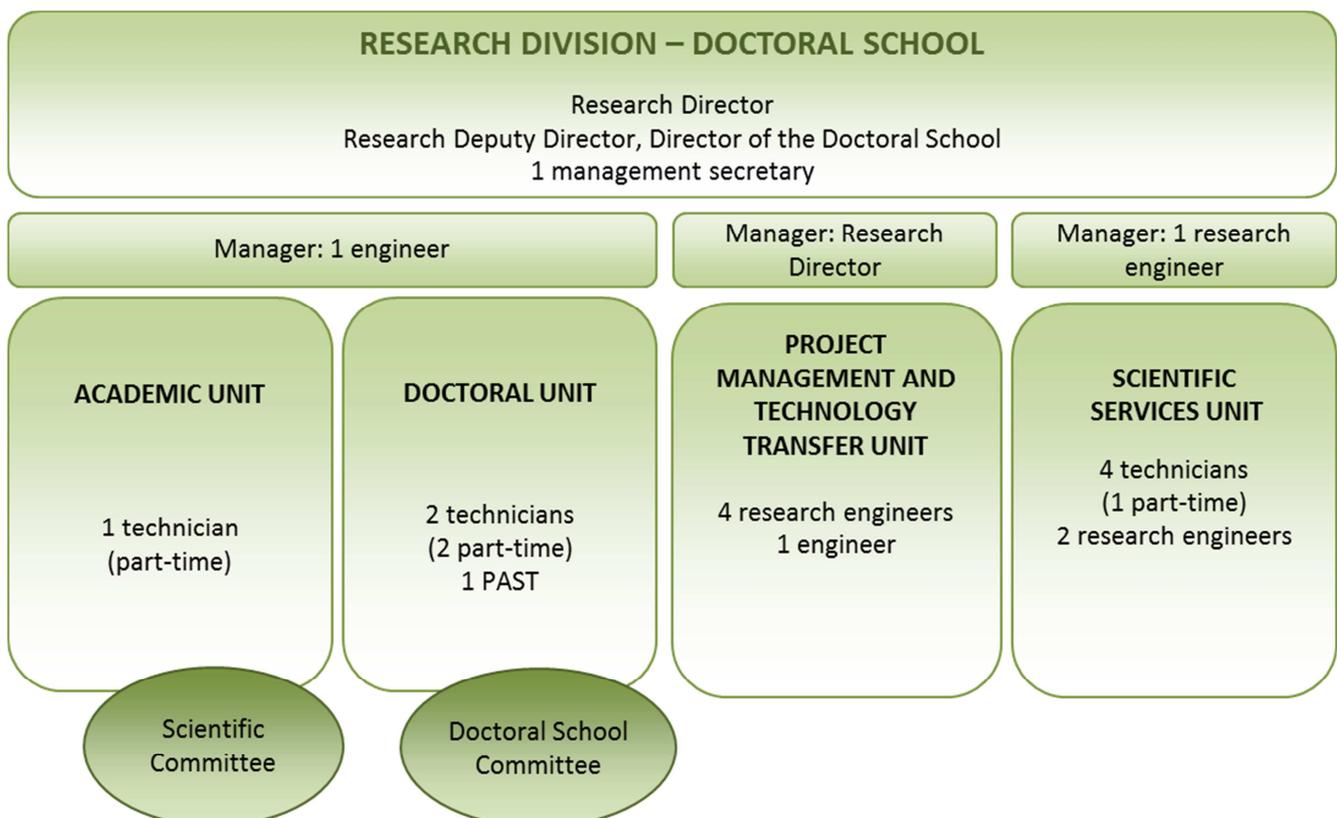
5.1 Structural organisation of UTC



5.2 Structure of UTC's Human Resources Division



5.3 Structure of UTC's Research Division



5.4 Breakdown of staff in UTC's research units

The breakdown of staff employed in UTC's various research units during the 2015-2016 academic year is as follows.

	Doctoral students	Administrative and technical staff	Research engineers	Academic staff (tenured and under contract)	Post-docs	Total
Urban modelling (AVENUES)	6	2	0	11	0	19
Electromechanics (LEC)	12	2	1	9	0	24
Applied mathematics (LMAC)	8	1	1	16	2	28
Enzyme and cell biology (GEC)	17	9	1	12	7	46
Socio-technical systems (COSTECH)	26	2	1	27	2	58
Biomechanics and bioengineering (BMBI)	35	10	4	27	11	87
Chemistry and processes (TIMR)	49	4	1	44	7	105
Information and communication science and technology (HEUDIASYC)	75	12	13	47	5	152
Mechanics (Roberval)	85	10	6	54	10	165
Total	313	52	28	247	44	684

432 of the 684 staff employed in these nine research units are on the payroll of UTC.

UTC research units websites can be accessed via www.utc.fr/recherche/les-unites-de-recherche-de-lutc.html

5.5 Glossary

BIATSS	Library, engineering, administrative, technical, service, and healthcare staff
BUTC	UTC University library
CAP	Teaching Support ell
CPU	<i>Conférence des Présidents d'Université</i>
CS	Scientific Committee
DAF	Financial Division
DGS	Internal Services Division
DR	Research Division
DRH	Human Resources Division
DSEI	Business and Innovation Strategy Division
DSI	Information Systems Division
EC	Tenured academic personnel
ECC	Academic personnel under contract
ED	Doctoral School
PAST	Part-time Associate Professor
PIPATT	Project Management and Technology Transfer Unit
UTC	<i>Université de Technologie de Compiègne</i>