UNIVERSITÉ DE TECHNOLOGIE DE COMPIÈGNE

UTC

Human Resources Strategy for Research

HR EXCELLENCE IN RESEARCH

Renewal phase

Internal review

(Updated March 2023)

December 2021

utc

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:

https://www.utc.fr/en/utc/utc-at-a-glance/an-innovative-model/european-charter-for-researchers/

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

https://www.utc.fr/en/utc/utc-at-a-glance/an-innovative-model/european-charter-for-researchers/

SUBMISSION DATE TO THE EUROPEAN COMMISSION: 8 FEBRUARY 2022

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1. Organisational Information

STAFF & STUDENTS	FTE
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research	(1st January 2021, in our 8 research units) 133 + 261 PhD candidates for the academic year 2020/2021 ⇨ **394** (+ 37 FTE administrative and technical research staff)
Of whom are international (i.e. foreign nationality)	166.4 (42%)
Of whom are externally funded (i.e. for whom the organisation is host organisation)	205.5 (52%)
Of whom are women	124.1 (31%)
Of whom are stage R3 or R4[1] = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	112.7 (29%)
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	18.6 (5%)
Of whom are stage R1 = in most organisations corresponding with doctoral level	261.7 (67%)
Total number of students (if relevant)	**4,449** (academic year 2020/2021)
Total number of staff (including management, administrative, teaching and research staff)	**735.8** (1st January 2021)
RESEARCH FUNDING (figures for most recent fiscal year=2020)	**€**
Total annual organisational budget	**62,196,644.87**
Annual organisational direct government funding (block funding, used for teaching, research, infrastructure,…)	48,197,477
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	3,643,505.12
Annual funding from private, non-government sources, designated for research	(from consolidated budget, subsidiary) 294,413.60
ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)	
UTC was the first university in France (as opposed to an école, which has a different admissions framework) to award the qualification of engineer. 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. UTC hosts 4,500 students including 260 PhD candidates and has a research staff of 290. See http://www.utc.fr/	

2. STRENGTHS AND WEAKNESSES OF CURRENT PRACTICE (NARRATIVE)

Ethical and professional aspects:

Strengths

Strengthen research freedom
3 actions completed out of 4:
- 1. Formalise what it means to belong to a research
- 2. Clarify the definition of a contributor/creator in a research unit's scientific programme
- 4. Educate people about ethics

These will have a lasting impact within the University, in relation to the general framework of reference and the training offered to staff.

Support and assist researchers' partnership activities
TOGETHER is an application developed in-house for managing research projects of all types.
- 22-26. Assisting research projects

Disseminate the results of research
- 29-31. Giving the University Library a more professional role

Better support was given to researchers with a view to increasing the visibility of their publications (using the HAL-UTC portal, answering questions, creating training workshops in response to needs, raising awareness and answering questions about editors' rules, etc.)
- 32-33. Harmonising the acquisition and dissemination of research results

The HAL-UTC portal is used for depositing publications in open access.
The Communications Division assisted all the research units to in redesigning their web sites and creating and disseminating videos and virtual tours.

Improve the way newcomers are received
- 9-11. Making UTC more accessible to new researchers

A Welcome Day is held for new arrivals twice yearly (in the spring and the autumn) to help them know who is who and how things work at UTC.
All new arrivals are also given the link to the online kit that was created for their guidance.

Cultivate a stimulating work environment
- 12-13. Clarifying the framework for working conditions

A framework for standardizing the internal regulations of the different research units was established. Information that researchers will need in their research work (legal, health and safety, etc.) is now available in all the research units.
- 14. Transparency of the employment contract

A version in English of the employment contract (for PhD candidates, researchers, and temporary academic staff) is provided for reference to all non-French-speaking new arrivals.

<u>Weaknesses</u>
Strengthen research freedom
1 action incomplete:
• 3. Set up a working group on Ethics and Technological Culture piloted by UTC's Scientific Committee
Difficulty of engaging the research community in relation to these issues, in particular because of the diversity of the scientific fields and of the practices to be put in place or further developed.
Difficulty of designating personnel to take charge of this theme.
Improve the way newcomers are received
• 8. Have all newcomers sign a charter
The idea of having all new arrivals sign a charter reminding them of their duties in relation to conflicts of interest and the confidentiality of data was in the end considered irrelevant. Instead, improving the induction of newcomers will be carried over to the new action plan, with researchers being offered assistance in their various activities.
Disseminate the results of research
• 32-33. Harmonising the acquisition and dissemination of research results
This is a key topic in the new action plan.

Remarks

The COVID-19 pandemic in 2020 and 2021 meant that welcome days for new personnel and training courses were cancelled, and a number of research-related events had to take place online. This changed the way that staff, trainees and scientists from outside the University interacted with each other.
Regarding open science, UTC was able to provide support for publishing in open access (including via the HAL-UTC portal open archive, by adopting the Sorbonne University Charter on free access to publications, and through assistance provided by the University Library). Support in relation to open data now needs to be put in place. A list of recommendations was drafted by a Sorbonne University Alliance working group in which UTC played an active role.

Recruitment and selection:

<u>Strengths</u>
Make good recruitment practices systematic
• 5. Publish all job vacancies on EURAXESS
Employment vacancies for researchers are now published on EURAXESS.
• 6. Formalise all information to be included when publishing a job vacancy
All recruitment procedures are formalized and accessible via the University's intranet site. The Human Resources Division's recruitment section is in charge of all recruitment for the university, whatever the category of personnel, with the exception of doctoral candidates, whose recruitment is in the hands of the Doctoral School.
<u>Weaknesses</u>
Make good recruitment practices systematic
• 7. Formalise a process for providing feedback to all applicants

Formalising a process for providing feedback to all applicants will be carried over to the new action plan.

Remarks
The COVID-19 crisis adversely affected the recruitment of new staff: research projects were put on hold (because research could not be carried out in the labs, equipment was unavailable, and travel both in and outside France was at times impossible) and a number of recruitments were delayed pending more favourable conditions for welcoming and training new staff.

Working conditions:

<u>Strengths</u>

Create new opportunities
Training and mobility tools:
- 17-18. Exchange information about potential training sessions and mobility tools (for incoming and outgoing personnel) and provide support to applicants

The development of mobility tools will be carried over to the new action plan.

Support and assist researchers' partnership activities
- 28. Encourage researchers to help develop a European research network

An incentive drive, *UTC recherche mobilité*, designed to extend researchers' global reach and to encourage outward mobility, was launched by the Research Division in 2018 and has been renewed annually since then. Seventeen awards have been made to researchers. In 2019 a second incentive drive was launched to help and encourage researchers set up and participate in collaborative projects. So far, six awards have been made. These two initiatives will be continued in the new action plan.

Other initiatives are currently being devised to carry this action further, namely a delineation of thematic groups and institutional networks in Europe, and a delineation of research collaborations (according to research projects, articles published, and researchers' missions).

<u>Weaknesses</u>

Cultivate a stimulating work environment
3 actions out of 5 are incomplete:
- 19-21. Implement an information portal for researchers; create a service for the follow-up of post-doctoral fellows in the Doctoral School; develop ways to give PhD candidates a higher monthly income

A lack of human resources meant that the first two actions could not be carried out.
A mechanism accessible to all doctoral candidates has not yet been formulated. This will be carried over to the new action plan.

Support and assist researchers' partnership activities
- 27. Create the possibility of a sabbatical leave for research

This was approved in principle by the Scientific Advisory Committee, but a regulatory risk has prevented its implementation.

Remarks

In 2019 the Scientific Advisory Committee approved a procedure enabling non-tenured academic staff to be considered as category A personnel (from 2019 for doctoral examination panels, and from 2021 for university elections).

In 2020 an analysis of psychosocial risks was carried out at UTC by an independent consultancy, which gave rise to a proposal for an action plan.

These two developments, which did not feature in UTC's original HRS4R application, have influenced the drafting of the new action plan, with regard to formalising a framework for managing non-tenured academic staff, and to actions relating to the quality of life at work.

In addition, UTC has drawn up a disability blueprint, which has also influenced the new action plan.

Some instances of mobility deriving from mobility incentive drives have been postponed as a consequence of the COVID-19 pandemic.

Training and development:

Strengths

Cultivate a stimulating work environment
Establishment of a training plan that is scalable according to requirements:
   • 15. Set up a training session for managers
A training session specific to managers is included in the University's training plan.

Weaknesses

Cultivate a stimulating work environment
Training for thesis supervisors needs to be developed and extended to cover all aspects of doctoral supervision:
   • 16. Set up an Annual Day for PhD supervisors
A framework needs to be established, and the action carried over to the new action plan.

Remarks

The COVID-19 crisis meant an abrupt switch to distance learning. For most UTC academics (who have the status of *enseignant-chercheur*), teaching accounts for 50% of workload, and the sudden imposition of distance learning required a considerable effort on their part in terms of time and changes in their teaching methodology.

Doctoral candidates also suffered, since vocational training courses were cancelled, and training through research in the lab was interrupted (because labs were closed).

Have any of the priorities for the short- and medium term changed?

UTC drew up a multi-year **disability blueprint** for 2018-2020, in compliance with a new French law (no. 2013-660 of 22 July 2013). The disability blueprint sought to improve how disability is addressed at UTC and to establish this imperative as a cross-sectoral theme among the University's strategic objectives. The disability blueprint's 4 axes covered:

- 1 – welcoming and supporting students with disabilities
- 2 – education and research
- 3 – an HR policy that benefits students with disabilities
- 4 – accessibility

Two members of the HRS4R project group worked on the second of these axes, which was concerned with bringing greater consistency and transparency to education and research on disability, by developing innovations in teaching and new programmes of research, and by giving support to initiatives addressing disability issues. This axis will continue to be part of a new disability blueprint, currently being drafted.

A drive aimed at mitigating **psychosocial risks** among staff was launched in 2019. Following a diagnostic phase carried out by a consultancy firm and involving UTC personnel, an action plan was established with 3 axes, namely:

- Understanding how organisations in general, and UTC in particular, function
- Defining the role of supervision at UTC and providing support to supervisors
- Improving communication inside the University and strengthening a sense of community

The 2022-2024 HRS4R action plan will place an emphasis on training for managers, which will be put in place to help mitigate psychosocial risks and improve quality of life at work.

Open science is a topical issue of great interest, both in France (as evidenced by the 2016 *Loi pour une République numérique*) and in the wider EU. Open science concerns free access to publications and to research data but not only. Open access is one of the points in France's *Plan National pour la science ouverte* established in July 2018 by the government ministry with responsibility for higher education and research and updated in 2021, and also, at the European level, in *Plan S,* an initiative launched in September 2018.

In 2018, as part of the movement for open science, UTC opened a HAL portal for archiving review articles available in open access. It is an open archive, set up with the assistance of the University library, which is involved in raising awareness among UTC's scientific community and providing concrete guidance and training in relation to depositing papers. This was one of the actions featuring in the 2016-2021 HRS4R action plan.

UTC adopted the Sorbonne University Charter on free access to publications at a meeting of its Scientific Advisory Committee on 24 January 2020.

UTC is striving to observe the principle of open research data, and this will be reflected in the 2022-2024 action plan.

The COVID-19 crisis impacted ways of working from spring 2020 onwards, and in particular it led to an extensive switch to **teleworking**. This meant learning new ways of working together, remotely for much of the time, in order to continue to support the actions relating to the recruitment, career development and work of researchers.

Have any of the circumstances in which your organisation operates, changed and as such have had an impact on your HR strategy ?

Since the self-assessment done in 2018, the UTC Director resigned (2020) and was replaced by a new Director (2021), and both the Director of Services and the Director of Human Resources resigned in 2021. **Support by the UTC management** for the HRS4R programme has always been renewed when a new UTC Director has taken over, but each time this happens the (permanent) project group needs to make the case for HRS4R and to inform and motivate the new management team.

The strict coronavirus **lockdown** in the spring of 2020 had an impact on the duration of theses, with their funding being extended. The way that funders responded in the face of this unprecedented situation showed that it was possible to find additional resources.

The fact that most staff were not physically on-site, and that teaching staff had to devote much of their time and energy to adapting their courses for distance learning, inevitably had a negative impact on some cross-sectoral projects, including on HRS4R actions.

Are any strategic decisions under way that may influence the action plan?

In October 2021 it was decided at a meeting of the UTC supervisory board to formulate a strategy, over the coming year, with respect to **sustainable development and social responsibility**, in the wake of the various discussions and consultations with students and with teaching and research personnel on the subject of sustainable engineering that had been taking place since 2019. The new action plan includes a section on sustainable development and social responsibility.

In June 2021, in compliance with a new French law (no. 2019-828 of 6 August 2019) relating to public administration that makes it compulsory to draw up and implement a multi-year gender equality action plan at work, the UTC supervisory board adopted a **gender equality action plan** with 4 points as follows:

- Examine, prevent, and where necessary remedy pay gaps
- Ensure equality of access to all corps, grades, and posts
- Make it easier for staff to juggle working life and family life
- Combat discrimination, acts of violence, bullying, and sexual harassment

The new HRS4R action plan includes several actions relating to the gender equality action plan.

Since 2018 UTC has been a member of the **Sorbonne University Alliance** (an alliance that grew out of the COMUE[2] community, which had itself emerged from the PRES[3] research and higher education cluster, whose original members have been collaborating closely since 2012). Sorbonne University obtained the HR excellence in research award in June 2021. Our closeness, and especially the fact that the UTC Doctoral School is part of the Sorbonne University Doctoral College, makes for synergies, including in our actions relating to HRS4R, and for close collaborations between us.

The draft of the action plan was approved in the autumn of 2021 prior to our HRS4R renewal application, which happened to coincide with **university elections** and consequently the revitalization of all UTC's decision-making

bodies. This has meant that the new elected representatives quickly have to grips with the subject with a view to approving the project.

3. ACTIONS

In this section we report the achievements of the 2016-2021 action plan, then present the action plan proposed for 2022-2024. Some actions are carried over directly from the old action plan to the new.

Here is a summary of how far the HRS4R 2016-2021 targets were met:

Implementation of Action Plan HRS4R 2016-2021
by area of action - October 2021

Area of action	completed	in progress	unimplemented
Strengthen research freedom	75%	25%	
Make good recruitment practices systematic	67%	33%	
Improve the way newcomers are received	75%	25%	
Cultivate a stimulating work environment	60%	10%	30%
Support and assist researchers' partnership activities	57%	29%	14%
Disseminate the results of research	100%		

Implementation of Action Plan HRS4R 2016-2021
October 2021

completed 70% — in progress 18% — unimplemented 12%

Fulfillment status of Action Plan HRS4R 2016-2021

	Action	Gap Principle(s)	Timing	Responsible Unit	Indicator(s) / Target	Current status (2021)	Remarks

Strengthen research freedom

	Action	Gap Principle(s)	Timing	Responsible Unit	Indicator(s) / Target	Current status (2021)	Remarks
1	**Formalize a concept of belonging to a research unit**	1	2016	Research Division + Human Resources Division	A reference document was drafted, approved by the UTC Supervisory Board, and distributed to research unit personnel: 1.	Completed	
2	**Clarify the definition a contributor/ creator to a research unit scientific programme**	1	2016	Research Division	A reference document was produced in consultation with the research units and UTC's Scientific Advisory Committee: 1.	Completed	
3	**Set up a working group piloted by UTC's Scientific Committee on Ethics and Technological culture**	2	2021	Scientific Advisory Committee	Number of discussions in CS: 2 (2017 and 2018). Appointment of a referent for scientific integrity: 1.	In progress: the incoming elected representatives on the Committee will decide how the project will be pursued.	
4	**Educate about Ethics (including Plagiarism)**	2	2017	Research Division + Doctoral School	Course of 11 lectures on research ethics and scientific integrity: in 2017-2018 (and still accessible). Number of trainees: 240 PhD candidates. Training for a teacher for scientific integrity: 1 in 2018. Training course on scientific integrity (PhD candidates): 18 PhD candidates in 2019 and 2021 (2020: sanitary crisis). Information for all researchers on scientific integrity: 2 in 2019.	Completed	Continuity in 2022-2024 action plan => Training to research ethics and scientific integrity

	Action	Gap Principle(s)	Timing	Responsible Unit	Indicator(s) / Target	Current status (2021)	Remarks

Make good recruitment practices systematic

	Action	Gap Principle(s)	Timing	Responsible Unit	Indicator(s) / Target	Current status (2021)	Remarks
5	**Publish all job vacancies on EURAXESS**	13	2018	Human Resources Division	All job vacancies for non-tenured researchers published on *Euraxess*: since 2018.	Completed	
6	**Formalize all information required for the publication of a vacancy (job offer)**	13	2018	Human Resources Division	A memo containing a checklist: 2018.	Completed	
7	**Formalize a process for a report to each candidate / applicant**	15		Human Resources Division	Drafting of a template	In progress: drafting of a template	Continuity in 2022-2024 action plan => Formalise a process for providing feedback to all applicants

Improve the way newcomers are received

	Action	Gap Principle(s)	Timing	Responsible Unit	Indicator(s) / Target	Current status (2021)	Remarks
8	**Make sign a charter to all newcomers: confidentiality, conflicts of interests**	2		Human Resources Division	Drafting of a charter	In progress: drafting of a charter	Continuity in 2022-2024 action plan => Improve the way newcomers are received
9	**Write a guide for newcomers (in French and in English)**	10	2021	Human Resources Division	Multilingual guide made available to future arrivals to help prepare their move to UTC/France/Compiegne: done in 2021. *"Bienvenue en France"* accreditation: since 2020. French as a Foreign Language (FFL) Centre of Excellence: since 2020. Erasmus+ Charter 2021-2027.	Completed	Continuity in 2022-2024 action plan => Improve the way newcomers are received
10	**Organise a welcome day for newcomers in the Research Unit (Research Unit, HR)**	7	2018	Human Resources Division	Number of participants as a percentage of invitees: 29% in Oct. 2018, 70% in April 2019, 61% in Oct. 2019, 52% in April 2021 and 74% in Oct. 2021. The Welcome Days scheduled for April and November 2020 were cancelled because of coronavirus lockdowns.	Completed	
11	**Clarify the writing of agreements for guest researchers**	3	2018	Research Division	Drafting of an incoming procedure approved by Management Committee and distributed in December 2018.	Completed	

	Action	Gap Principle(s)	Timing	Responsible Unit	Indicator(s) / Target	Current status (2021)	Remarks
	Cultivate a stimulating work environment						
12	**Write a frame for the standardization of Research Units' internal regulation**	4	2018	Internal Services Division	Drafting of a template to be used in the formulation of internal regulations: 2018.	Completed	
13	**Transfer a copy of each Research Unit's internal regulation to the DGS**	4	2017	Internal Services Division	Number of internal regulations documents deposited with Director of Internal Services: 8 (i.e. all UTC research units).	Completed	
14	**Complete the work contract (+ English version for information as an Annex)**	3	2021	Human Resources Division	Translation of the employment contract into English (as an annex to French version): done. Drafting of a special clause relating to intellectual property: to be done.	Completed	
15	**Set up a training session for managers**	37, 38, 40	2017	Human Resources Division	Number of managers who attended a training session: 13 in 2017, 26 in 2018. Training session offered again in 2022. Number of supervisors who attended the supervision training session: 8 in 2018, 7 in 2019, 7 in 2020, 9 in 2021.	Completed	
16	**Set up an Annual Day for PhD supervisors**	36, 37		Doctoral School	Drafting a framework. Number of annual days.	In progress: drafting a framework	Continuity in 2022-2024 action plan => Set up an Annual Day for PhD supervisors
17	**Communicate about potential training sessions**	38, 3	2017	Human Resources Division	Training programme approved each year by the UTC Supervisory Board and open to all UTC personnel. Number of researchers who attended a training session: 128 in 2017, 128 in 2018, 103 in 2019 et 68 in 2020.	Completed	
18	**Communicate about the instruments for mobility (incoming/outcoming) and support the applicants**	29	2018	Research Division + Human Resources Division	Drafting of templates for each mobility scheme: 2 existing templates for outgoing mobility. Number of researchers given support (incoming/outgoing): Outgoing: 2017 = 6 PhD candidates, 2018 = 6, 2019 = 3, 2020 = 2. Outgoing: 2018 = 6 researchers. *Visiting Researcher* incoming mobility scheme: approved by the Scientific Advisory Committee in 2020.	Completed	Carried over to the 2022-2024 action plan => Communicate about possibilities for mobility (geographical, between research themes, between sectors

	Action	Gap Principle(s)	Timing	Responsible Unit	Indicator(s) / Target	Current status (2021)	Remarks
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**	7, 28, 29, 30, 38, 39		Research Division	Set up an information portal.	Unimplemented	Lack of human resources
20	**Create a service for the follow-up of Post-doctoral fellows in the Doctoral School**	28		Doctoral School	Set up a follow-up division.	Unimplemented	Lack of human resources
21	**Develop tools for the improvement of PhD candidates' salary treatment**	22, 26		Research Division + Doctoral School + Human Resources Division	Average salary for PhD candidates in 2018: 1,500€ net per month. No change. To do: find new funding sources.	Unimplemented	Hard to set up a device intended for all PhD candidates. Carried over to the 2022-2024 action plan => Develop ways to give PhD candidates a higher monthly income

Support and assist researchers' partnership activities

	Action	Gap Principle(s)	Timing	Responsible Unit	Indicator(s) / Target	Current status (2021)	Remarks
22	**Each Researcher contacts his/her Project Officer at PIPATT (DR) before/during/after a research project**	4, 5	2019	Research Division	Number of contacts made as a proportion of the number of projects registered in the database: 100%	Completed	
23	**Each Researcher records his/ her Proposal to a Call into the Research Database**	4	2019	Research Division	Priority given to contacts made directly with industry and to contracts warranting permanent staff, for the time being.	Completed	
24	**Organize an internal kick-off meeting for each Research Project (DR, researcher, DAF, DRH)**	6, 4, 8	2017	Research Division	Number of internal kick-off meetings as a proportion of the total number of projects (per year) (or where a sheet has been provided outlining the key points): 100 %	Completed	
25	**Write a UTC guide for Intellectual Property**	31	2018	Research Division	Guide or information sheets on intellectual property	In progress: documentation and information sheets relating to specific cases encountered in practice, as requested by researchers; existing guides will be made available via the intranet – a section has been created for this in the digital	Carried over to the 2022-2024 action plan => Produce a UTC guide on intellectual property - reformulation of this action in terms of specific cases and information sheets

	Action	Gap Principle(s)	Timing	Responsible Unit	Indicator(s) / Target	Current status (2021)	Remarks
26	**Organise twice a year a Contracts Committee (DR, DAF)**	6	2017	Research Division	An annual meeting for each research unit with the Finance Division	Exists in another form	The Finance Division meets yearly with each research unit, and a comprehensive list is filled out jointly by the Research Division and the Finance Division
27	**Create the possibility of a sabbatical leave for research**	24	2017	Research Division		Unimplemented	Principle validated by the Scientific Committee in 2017 but remaining legal risk.
28	**Encourage / incite the participation to the development of the European Research network**	29	2018	Research Division	In progress: Charting the different research groups in Europe according to their research area, along with the different institutional networks (still being defined). Charting collaborative research ventures (on the basis of research projects, published articles and researchers' assignments) underway. Launch in 2018, followed by an annual relaunch, of *UTC Recherche Mobilité*, an incentivisation by the Research Division in relation to researcher outreach through outgoing mobility, with 17 awards made since the launch in 2018. Launch in 2019 of the second incentive action to encourage the setting up of coordinated research projects (6 awards made since 2019), with the aim of intensifying participation by researchers from UTC and thereby strengthening their influence within their field.	Completed	

Action	Gap Principle(s)	Timing	Responsible Unit	Indicator(s) / Target	Current status (2021)	Remarks

Diffuser les résultats de la recherche

	Action	Gap Principle(s)	Timing	Responsible Unit	Indicator(s) / Target	Current status (2021)	Remarks
29	**Implementation of an institutional archive (database) for publications/articles**	5, 8	2018	BUTC	HAL UTC portal for Open Access put in place at UTC in 2018	Completed	
30	**Organize training sessions to use the institutional archive**	5, 8, 9	2019	BUTC	Training sessions in 2019: 8-10 sessions totalling 13½ hours – 27 researchers attended. Training sessions in 2020: two 1½-hour customised videoconferencing sessions to know how many researchers attended). Training in 2021 (data available only up to the summer): 4 workshops totalling 6 hours – 8 researchers attended.	Completed	
31	**Release and respect the rules of embargo for publications**	9	2021	BUTC	Production of documentation detailing embargo rules (accessible via a dedicated section in the digital workspace) – subsequently revised, with a fact sheet on possible tools.	Completed	
32	**Define a single Database and record each publication/ article in it**	8	2018	BUTC	Setting up of a single database. Number of publications / articles recorded: 110 (since July 2018) / on average 450 per year.	Completed	
33	**Support Researchers to communicate via the website of the Research Unit / the Research Team/ the Researcher**	9	2019	Research Division + Communication Division	The Communication Division assisted all research units in redesigning their websites and in creating videos and virtual tours.	Completed	

Action Plan HRS4R 2022-2024

			Action	Gap Principle(s)	Timing	Responsible Unit	Indicator(s) / Target	Current status (2021)	Remarks	
Ethical and professional aspects	Research ethics, scientific integrity	1	**Educate people about research ethics and scientific integrity Host and/or organise a conference / symposium / workshop on research ethics and scientific integrity** Training given to a scientific integrity educator and implementation of Ethics workshops for researchers	1,2, 7, 8, 9	2023 - S2 and 2024-S2	a researcher + Doctoral School	Number of Ethics workshops for researchers Number of conference/workshop organised about Ethics and Scientific Integrity Number of participants	Cycle of 11 lectures on research ethics and scientific integrity: in 2017-2018 (and still available on line). Number of participants: 240 PhD candidates. Training given to a scientific integrity educator: 1 in 2018. Training course on scientific integrity (PhD candidates): 18 PhD candidates in 2019 and 2021 (2020: restrictions due to the pandemic). Information forum on scientific integrity for all researchers: 2 in 2019.	Carried over from the 2016-2021 action plan, point 4 – Educate people about ethics (including plagiarism)	Communication / Development
		2	**Adopt the French National Charter for Research Integrity**	2	2022 - S2	Research Division	Adoption by the University's supervisory board of the French National Charter for Research Integrity: yes/no.			Development
		3	**Specify the roles of UTC referents** Specify the roles and the referral mechanisms for the UTC referents for ethics, scientific integrity, and data protection (DPO). Communicate internally on the appointment, roles, and referral mechanisms for the UTC referents for ethics and scientific integrity.	3, 4	2023 – S1	Scientific Advisory Committee (roles) and Internal Services Division (procedures)	Number of contacts / subjects treated by each referent Number of presentation done by referents (welcome days for students and for the staff…)	The referents have been appointed by the UTC management		Communication
		4	**Integrate technology and sustainable development Raise awareness.** Embed sustainable development issues in research	3, 9	2024 - S1	Research division	Number of assessments			Development

			Action	Gap Principle(s)	Timing	Responsible Unit	Indicator(s) / Target	Current status (2021)	Remarks	
Ethical and professional aspects	Open Science	5	**Raise awareness in relation to open science** Communicate internally on the appointment and the role of the open science referent. **Give guidance in implementing open access:** Continue to teach researchers how to deposit publications on HAL / Inform and communicate about the open access policy via the digital workspace (intranet) **Give guidance in implementing open data:** Raise awareness and inform about changes in the rules in relation to opening up data / Define an open data strategy for UTC	7,8,9, 32	2023-S1	Research Division	How many researchers/PhD candidates who enrolled for Sorbonne University's open science MOOC. How many awareness-raising initiatives in relation to open science (presentations, flyers, etc.). How many training sessions and number of researchers trained How many training sessions on managing data How many researchers given training about the Data Management Plan	An open science section was added to the digital workspace in the first semester of 2021		Development/ Formalisation
	Support and assist researchers' partnership activities	6	**Produce a UTC guide on intellectual property** Production of documentation and information sheets relating to specific cases encountered in practice, as requested by researchers Existing guides will be posted on the intranet	3, 31,32	2023-S1	Research Division	Guide produced – regularly updated		Carried over from the 2016-2021 action plan, point 25 – Produce a UTC guide on intellectual property	==Extended==
		7	**Give guidance in seeking funding for research projects**	5	2023-S2	Research Division	Communicate about the monitoring tool. - Chart the different funding possibilities - Communicate about incoming/outgoing mobility schemes (also features in *Career development*) How many workshops / how many researchers trained - Charting done - Corresponding section put in place			Communication

			Action	Gap Principle(s)	Timing	Responsible Unit	Indicator(s) / Target	Current status (2021)	Remarks	
Ethical and professional aspects	Support and assist researchers' partnership activities	8	**Give guidance in relation to the valorisation of research**	3, 4, 5, 6,32	2024-S1	Research Division	Give training in relation to intellectual property via information sheets and recreational workshops - Teach PhD candidates about the valorisation of their thesis project (course organised by the Doctoral School) - Draw up a blueprint jointly with valorisation / technology transfer / intellectual property stakeholders both inside the University and outside (regional, national and European levels) - Improve communications about the SATT LUTECH technology transfer acceleration company and its various tasks / roles / areas of intervention at UTC - Raise awareness, communicate, and provide training workshops in the use of the TOGETHER application - How many training sessions / how many researchers trained - How many PhD candidates trained - Blueprint drafted - Memo about SATT LUTECH - How many TOGETHER training sessions / how many researchers trained - How many projects given assistance			Development
		9	**Give guidance in evaluating and positioning research at UTC, to help meet the needs of research units, of authors, and of the University**	2, 11, 23	2023-S2	BUTC	How many bibliometric reports produced			Communication
	Formalisation	10	**Give guidance in relation to patent and trademark search**	5, 6	2022-S2	BUTC	How many requests and reports produced			Formalisation

		Action	Gap Principle(s)	Timing	Responsible Unit	Indicator(s) / Target	Current status (2021)	Remarks	
Recruitment and selection	Extended	11	**Formalise a process for providing feedback to all applicants** Drafting of a HR summary sheet by the HR Direction	15, 16, 34	2024-S1	Human Resources Division	Number of feedbacks to the candidates	Summary sheet for interviewing prospective PhD candidates: since 2020	Carried over from the 2016-2021 action plan, point 7 - Formalise a process for providing feedback to all applicants	Extended
	Development	12	**Offer one or more training courses for prospective recruiters on stereotypes and non-discrimination in the recruitment process**	10, 14, 16	2022-S2	Human Resources Division	How many training sessions offered How many people trained			Development
	Development	13	**Improve the way newcomers are received** Have two colleagues, one each from the Human Resources and International Relations divisions, working in partnership to answer questions from foreign researchers wishing to apply for positions at UTC. Help staff members in completing administrative procedures. Handbook for receiving newcomers to the lab.	7	2023-S2	Human Resources Division	Number of staff supported into their application	Multilingual guide made available to future arrivals to help prepare their move to UTC/France/Compiegne: done in 2021. *"Bienvenue en France"* accreditation: since 2020. French as a Foreign Language (FFL) Centre of Excellence: since 2020. Erasmus+ Charter 2021-2027.	Carried over from the 2016-2021 action plan, point 8 - Have all newcomers sign a charter: confidentiality, conflicts of interests *and* point 9 - Produce a guide for newcomers (in French and in English)	Development
	Development	14	**Optimise the management of non-tenured personnel** Establish a framework for the management of non-tenured academic staff.	26	2022-S1	Human Resources Division	A guide created			Development

			Action	Gap Principle(s)	Timing	Responsible Unit	Indicator(s) / Target	Current status (2021)	Remarks	
Working conditions	Career advancement	15	**Track the careers of young researchers**	30, 17, 18, 19, 21	2022-S2	Research Division + Education division	Number of researchers followed	Currently: scrutiny after 2 years by two elected UTC committees, and then after 5 years to take stock in relation to a 10-year time horizon.		Formalisation
		16	**Communicate about visiting professors** Internally (recognising the exp. of mobility) and externally.	29	2022-S2	Research Division + Communication Division	How many visiting professors hosted. How many articles written			Communication
		17	**Give guidance to research fellows and academic personnel in relation to their orientation and career advancement** Support and assist staff wishing to engineer a career transition	28, 30, 17, 18, 19, 20, 25, 35	2022-S1	Human Resources Division	Number of projects supported			Development
		18	**Provide mentoring for young researchers and academic personnel** Mentoring of young academic staff by their more experienced peers. Mentoring by the UTC Innovation Foundation.	30, 33	2023-S2	A researcher	Number of researchers mentored Number of mentors			Development

			Action	Gap Principle(s)	Timing	Responsible Unit	Indicator(s) / Target	Current status (2021)	Remarks	
Working conditions	Support for researchers	19	**Communicate about possibilities for mobility (geographical, between research themes, between sectors)** Communication about the various mobility schemes (at the UTC level, the level of the administrative region, the national level, and internationally). Communication about research leave.	29	2023-S2	Research Division + Human Resources Division	Number of researchers supported by a mobility action	Drafting of templates for each mobility scheme: 2 existing templates for outgoing mobility. Number of researchers given support (incoming/outgoing): Outgoing: 2017 = 6 PhD candidates, 2018 = 6, 2019 = 3, 2020 = 2 (WIP). Outgoing: 2018 = 6 researchers. *Visiting Researcher* incoming mobility scheme: approved by the Scientific Advisory Committee in 2020.		Formalisation / Communication
		20	**Develop ways to give PhD candidates a higher monthly income**	22, 26	2024 - S1	Research Division + Human Resources Division + Doctoral School	Average salary for PhD candidates per academic year	Average salary for PhD candidates in 2018: €1,500 net per month. This has not changed.	Carried over from the 2016-2021 action plan, point 21 - Develop ways to give PhD candidates a higher monthly income	==Extended==
		21	**Make more forms and administrative documents available in English** Have forms and administrative documents translated into English. Make these documents in English available via the UTC website and digital workspace.	10	2024-S1	Human Resources Division	Number of documents in English Number of procedures translated into English			Formalisation
		22	**Make more information on Human Resources topics accessible via the digital workspace** Bring up to date the Human Resources information and documents that are already posted (concerning different categories of personnel, careers, competitive recruitment procedures, training courses on offer inside and outside UTC, etc.). Add new sections.	28, 30	2022-S2	Human Resources Division	Number of articles published in Actu UTC per subject Number of communication (welcome days, bodies…)			Communication

			Action	Gap Principle(s)	Timing	Responsible Unit	Indicator(s) / Target	Current status (2021)	Remarks	
Working conditions	Non-discrimination	Communication/ Development	**Communicate about UTC's strategy in relation to disability and about the relevant contact persons** Nominate members of teaching staff as disability contacts for students pursuing the different curricula. Communicate and raise awareness about the self-training tool on digital accessibility (developed by the Teaching Support Cell)	10	2023-S1	Disability referents + Preventive medicine+ Teaching Support Cell	How many requests for adapting work stations. Number of actions about the disability Number of staff trained Number of staff aware of digital accessibility			Communication/ Development
			Set up a steering committee for equality and diversity Communicate about the appointment, role, and referral mechanisms for the equality referent. Update of the Gender Equality Plan (GEP) Monitor the consistency and interlinkage between policies relating to employment equality, disability, and all forms of discrimination.	10,27, 34	2022-S2	Human Resources Division	Number of procedures with the equality referent Dissemination of the updated GEP Number of communication actions about the GEP			Development
		Development	**Raise awareness of possible unconscious biases and stereotypes on the part of personnel involved in recruitment interviews, supervisors, and members of the committee for equality and diversity** Help combat stereotypes, prejudices, and discriminatory speech and attitudes Train staff to conduct recruitment interviews	10	2022-S2	Human Resources Division + Communication Division	Number of awareness-raising activities Number of staff informed and trained			Development

Note: the row numbers 23, 24, 25 appear in an Action-number column to the left of the Action text.

	Development		Set up a training course aimed at personnel involved in the recruitment of non-tenured researchers (research engineers, PhD candidates, post-doctoral fellows, non-tenured academic staff): Human Resources Division, Doctoral School, research units, academic staff.						Development
	Development	26	**Set up training courses for all UTC supervisors, staff, and students, to help combat discrimination and sexual and gender-based violence** Raise awareness of and prevent abusive behaviour	10	2022-S2	Human Resources Division + Communication Division + Education Division	Number of awareness-raising activities Number of staff informed		Development
Working conditions	Quality of life at work, Psychosocial risks	27	**Help people to know their work environment better** Organise group events in formal and informal settings to bring people from different laboratories together and to encourage exchanges and collaborations	23, 24	2023 - S2	HRS4R Project Group + Communication division	Number of events organized Number of participants		Development
		28	**Balance people's professional and personal lives** Work in partnership with Compiègne nurseries and Compiègne municipal administration Extend teleworking	24	2023 - S1	Human Resources Division	Number of contacts and collaborations developed Number of staff in teleworking		Development

			Action	Gap Principle(s)	Timing	Responsible Unit	Indicator(s) / Target	Current status (2021)	Remarks	
Training and development	Extended	29	**Set up an Annual Day for PhD supervisors** Establishing a framework. Annual Day for PhD supervisors around research themes.	36, 37, 40	2022 - S1	Doctoral School	Number of participants per year		Carried over from the 2016-2021 action plan, point 16 - Set up an Annual Day for PhD supervisors	Extended
	Development	30	**Extend training possibilities for academic staff and researchers** Set up a working group to identify needs in relation to personalised training for academic staff and researchers. Include a range of training courses aimed at academic staff and researchers: management, project management, intellectual property, research funding, etc. Include a range of training courses aimed at directors of research units and team leaders	38	2023-S2	Human Resources Division + Research Division + research units	Number of participants in the working group Number of courses proposed Number of participants per training courses			Development
	Development	31	**Offer courses taught through the medium of English** Offer more courses taught in English for the benefit of non-Francophones (non-tenured researchers, PhD candidates).	38, 39	2023 - S1	Human Resources Division + Doctoral School	Number of courses offered in English Number of participants per course			Development
	Development	32	**Extend scientific teaching at the PhD level** Offer more scientific teaching at the PhD level by academic staff and targeting PhD candidates, post-doctoral fellows and masters students.	39	2023 - S1	A researcher per research unit	Number of courses offered Number of participants per course			Development
	Development	33	**Offer courses in innovation and entrepreneurship** Offer courses in innovation and entrepreneurship aimed at all researchers.	37, 38	2024 - S1	Direction for socio-economic partnership and entreperneurship	Number of courses offered Number of participants per course			Development

Comments on the implementation of the OTM-R principles:

When Université de Technologie de Compiègne (UTC) embarked on the HR Excellence for Research award 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.

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.

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.

Any position that is being recruited for must have a corresponding job profile.

Vacancies are posted on the UTC website under the heading *Recrutement* and on the French government's *Place de l'Emploi Public (PEP)* website. Any vacancy of 12 months or more must remain posted for a duration of not less than one month. Vacancies for non-tenured personnel are also published 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. Depending on the budget of the recruiting entity, vacancies may be advertised on specialised sites, in other institutions, etc.

Applications are uploaded online via UTC's dedicated recruitment platform.

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.

In the case of non-tenured staff, as part of the action plan, a mechanism needs to be established for making feedback available for applicants who were not offered a position after being interviewed. This will mean that at their request they can be informed of the strengths and weaknesses of their application in relation to the position that they were seeking. A formalised and transparent process for handling appeals also needs to be set up.

See the OTM-R checklist and OTM-R review (Annex 5.4).

The UTC OTM-R policy is published on the UTC website on the HRS4R page.

4. IMPLEMENTATION

General overview of the implementation process:

UTC's drive for continued HRS4R improvement was launched in 2015 at the initiative of the then Director of Human and Resource and the Research Director, and since that time it has enjoyed the support of successive UTC directors.

From the start, a cross-sectional steering committee has been responsible for overseeing the action plan, which has enabled the different entities concerned (Human Resources Division, Research Division, and Doctoral School) to work together in examining the various issues raised by UTC stakeholders (employees, PhD candidates and researchers in the different research units) and in devising specific ways to address them. This has also furthered a better mutual understanding of how other entities operate, meaning that actions can be better analysed from different and complementary perspectives.

The 2022-2024 action plan will be led by a **project group** comprising Dr Stéphanie Rossard (in charge of European and international partnerships within UTC's Research Division) together with Aurélie Germonprez from the Human Resources Division. Having people who are performing other duties at the same time (10% of working hours are devoted to the HRS4R project) means that they remain firmly in contact with realities on the ground.

Two or three times each year the project group reports to the **steering committee** on progress made in relation to the action plan. The steering committee is made up of the Director of Human Resources, the Research Director, the Director of the Doctoral School, the Director of International Relations, the Director of Internal Services, and the members of the project group itself. The examination of progress made and obstacles gives rise to exchanges of information both upwards and downwards within the organisational hierarchy.

The project group regularly reports on progress to UTC's different **representative bodies** (the Supervisory Board, the Scientific Advisory Committee, and the Technical Committee) and to the Management Committee. This allows these advisory or decision-making bodies to assess any movements in the action plan's various monitoring indicators, and to prioritise certain actions over others in line with the university's strategic objectives.

Within the context of the HRS4R award, UTC also strives to coordinate its actions with those undertaken by France's CNRS research agency, which received its award in 2017. CNRS oversees several of UTC's research units, and employs 11% of its research personnel.

Internal communications with researchers will be extended in their scope and intensity. Information sessions will take place regularly in laboratories, information materials will be circulated for display and

dissemination, and an overview of the project's progress will be made available via UTC's website and digital workspace.

How have you prepared the internal review?

Between 2019 and 2021 there were forty 2-hour meetings of the HRS4R project group (three members), and the steering committee (eight members) met on five occasions for 1½ hours each time. These meetings were for reporting on individual actions (the responsibility for implementing each action having been entrusted to a particular member of the project group), for coordinating on joint actions, and for alerting the UTC management to obstacles hindering the implementation of any actions.

The HRS4R project group also consulted with colleagues in the administrative sections, with academic personnel involved in research projects, and with thesis supervisors, about the ways in which practices are changing over time.

The HRS4R project group drew up an action plan for 2022-2024 after having created a questionnaire targeting every category of research personnel at UTC (February 2021) and analysing the responses. A panel of researchers was also consulted (April 2021): the project group gave a status report on the 2016-2021 action plan and asked for suggestions regarding improvements and proposals for actions.

The status of the 2016-2021 plan and the proposal for a new action plan were presented in detail to the UTC Management Committee, largely made up of research personnel. Suggestions put forward at this presentation gave rise to certain modifications and improvements.

Finally, the self-assessment report was approved by the Technical Committee, the Scientific Advisory Committee and the Supervisory Board (these bodies are composed mainly of research personnel, whether elected representatives or operations directors, the other members being administrative personnel, students, and figures from outside UTC).

The HRS4R project group has continued to monitor the progress of the other action plans being undertaken at UTC, in particular the disability blueprint.

How have you involved the research community, your main stakeholders, in the implementation process?

A consultative panel, representative of the different categories of researchers at UTC, has been convened at various points in the HRS4R project since 2016. The initial action plan was presented to all the research units. The 2016-2021 action plan centred around improvements of a "technical" nature to certain administrative processes, namely the recruitment of researchers, and the administrative support given to them in their research work. As a result, processes have become better formalised, more clearly defined, and more concerted, but these improvements have not necessarily been apparent to researchers themselves, whose work situation in their own eyes remains simply what they would consider to be "normal". The new 2022-2024 action plan seeks to involve researchers more directly in the actions designed to benefit them. Therefore, unlike in the previous plan, each of whose actions was led by a member of the HRS4R project, in the 2022-2024 plan certain actions will have a researcher as their contact person.

The strategy employed up to now, that is to say seeking the view of a panel representative of the different categories of researchers and doing a survey among the UTC research community, will continue to be used to monitor awareness of the HRS4R award within the institution and to prepare future action plans.

Internal communications targeting researchers will be intensified in order that the whole community comes to recognise the continuing improvements that HR award brings.

How will the implementation committee and/or steering group regularly oversee progress?

Since 2016 the HRS4R project group has been monitoring and driving forward the actions featuring in the action plan, ensuring that they are implemented and proceeding as intended. The members of the group, each of whom is in charge of managing a certain number of actions, meet regularly to monitor progress (in terms of indicators, key milestones, etc.), organise joint actions (such as communication), make regular presentations to UTC bodies and to the steering committee, and so on. The project group will be meeting once a month.

A generic email address has been created to allow all UTC personnel to communicate with the HRS4R project group in relation to any subject, question, or request concerning HRS4R.

The steering committee meets for times a year. Meetings are occasions for reviewing progress achieved in actions and objectives, submitting documents to UTC bodies for their approval, and giving the green light for posting information on the UTC website. Minutes of these meetings are recorded and are available to the project group.

There will be twice-yearly meetings with the Management Committee and an annual meeting with representative bodies (Technical Committee, Supervisory Board, and Scientific Advisory Committee) to review the progress of actions in the action plan. Here, possible delays and adjustments in actions may be discussed according to UTC's strategic objectives.

A plenary session will also take place once a year to present the state of progress to the whole UTC research community.

The consultative panel representing the different categories of researchers meets at each key step in the HRS4R process (self-assessment, creation of the action plan, etc.). The aim is to increase the involvement of this panel by making it a monitoring committee. Meetings of the panel have given rise to proposals for new actions.

The status report on the 2016-2021 plan and the new 2022-2024 plan, the result of a collective effort, were first presented to the Management Committee (July 2021), approved by the Technical Committee (November 2021), presented to the Scientific Advisory Committee (December 2021) and approved by the Supervisory Board (December 2021). These documents will very shortly be available on the UTC website in French and in English.

The methodology used between 2016 and 2021 for collaboration and synchronisation of effort between the various stakeholders will continue to be used for the 2022-2024 plan.

Is there any alignment of organisational policies with the HRS4R? For example, is the HRS4R recognized in the organisation's research strategy, overarching HR policy?

UTC signed the Charter and Code in 2008. Its commitment to upholding the principles set out in these documents led to UTC's becoming the fifth French institution, and the first engineering school, to be awarded HRS4R award.

Some key areas in UTC's guiding strategy are reflected in its HRS4R strategy.

Issues of gender and equality (actions 12, 15, 24, 25 and 26 in the new HRS4R action plan) are being addressed at the level of the institution: UTC carried out an assessment of these issues and put in place a plan of action in 2021. An equality referent was also appointed. The relevant document is available online.

Link: https://www.utc.fr/wp-content/uploads/sites/28/2021/12/planegalitehf-web.pdf

This equality initiative at UTC is in line with the requirements of the "Gender Equality Plan", part of the new *Horizon Europe* programme.

UTC has also been addressing **issues of disability** (actions 23 in the 2022-2024 action plan) for several years. A disability blueprint was adopted in March 2018, outlining actions for improving the support given to students and staff with disabilities. The blueprint is in the process of being revised for the following period. The HRS4R action plan builds on this disability blueprint and engages those charged with

implementing it. UTC's policy in relation to disability is a crucial part of its responsibility to society as a whole.

An **open, transparent, merit-based recruitment policy** (OTM-R) is completely integrated into

UTC's human resources policy. All vacancies to be filled are published, and recruitment panels are put in place for all recruitments.

HRS4R is a recognized part of UTC's research strategy, which seeks to raise UTC's profile on the international stage, in particular by attracting applicants of a high calibre. The HRS4R project and award are a key element in this strategy. As an example, one central aspect is extending and intensifying the outreach of UTC and its researchers, and since 2018 the Research Division has been seeking to do this by incentivising mobility by UTC researchers, and by supporting those seeking to coordinate collaborative projects with other institutions and research networks (action 28 in the 2016-2021 action plan). This action will be carried over to the new action plan.

The HRS4R project is an integral part of overall HR policy, and of UTC's 2022-2025 HR project, to be presented to the various bodies early in 2022.

The project group has responded to a large number of requests (via discussions, telephone calls, visits, videoconferencing, round tables, and interviews for articles), as described in Annex 5.6.

How is your organisation ensuring that the proposed actions are also being implemented?
The action plan, formulated following a survey involving research personnel and meetings with a consultative panel, was presented to the different representative bodies (elected by and representative of all categories of personnel), and to the Management Committee, who approved the action plan and gave the green light for its implementation. The presentation to the Technical Committee gave rise to a wide discussion on the actions. The Scientific Advisory Committee and the Supervisory Board approve the plan as it stands. Actions will be overseen by the relevant leading players with the support of UTC management, and the managers in the project group will ensure that progress is being made. Regular progress reports to the steering committee mean that progress continues to be monitored and that adjustments and/or shifts in direction can be made where required. These actions reflect UTC's strategic objectives, and therefore correspond to expectation on the part of the UTC community that have been approved by the university management.

How are you monitoring progress?

The action plan contains quantitative and qualitative indicators, defined when the plan was created, and approved by representative bodies and UTC management.

There is a dashboard for monitoring the progress of the different actions. What is now required is an implementation schedule identifying milestones in their realisation. Monitoring will call for a regular meeting with the manager of each action.

The project group measures progress by filling in these indicators, and in order to compute quantitative indicators it will continue to work with the unit that monitors a certain number of quantitative indicators at UTC (the *Pôle Pilotage*). With more and more tasks being done online, relevant numbers (numbers of applications for posts, numbers of publications, etc.) are becoming easier to obtain. Qualitative indicators come from a variety of sources, according to the type of information concerned.

This dashboard will also continue to feature a record of the different meetings and presentations in relation to each action, as well as indicators of overall progress. Consequently, points raised by the project group, by the steering committee, by representative bodies, at the general assemblies of the different research units, and so on, are visible via the dashboard.

How will you measure progress (indicators) in view of the next assessment?

A quality initiative like HRS4R requires the collection of reliable numeric data based on simple metrics. Indicators must be rigorously defined, such that their values can be obtained via a dashboard at a given time (for annual reviews, and subsequently for the renewal of the award).

With a view to renewing our award, by monitoring the various indicators we were able to create a tracking table for optimising outcomes, in terms of actions completed, actions in progress, and actions "abandoned". It also helped us to define new actions in the wake of the initial action plan.

Outcomes are assessed in relation to the Gantt Chart defined at the outset.

For the next period, each action, characterized by quantitative and qualitative indicators, will be reviewed regularly by the steering committee, and annually by the representative bodies. These regular reviews will highlight actions in need of attention and give rise to summary reports.

A mechanism might be put in place for an annual dissemination of an overall review of progress of the action plan.

How do you expect to prepare for the external review?

The project group will make the preparations for the external review, with the aid of members of the steering committee.

The steering committee will be meeting more often during the first half of 2022 in order to coordinate the external review, regarding not only the substance of the review (that is to say, the progress of the action plan, although implementation of the plan is subject to regular reviews, meaning that its progress can be followed more or less in real time), but also the organisation of the assessors' visit.

A schedule will be drawn up in preparation.

Information about the award renewal application and the forthcoming visit by the expert assessors will be communicated within the university through presentations to representative bodies, via the digital workspace, and in campus newsletters.

Internal communications will be intensified as the time of the review approaches, to raise the profile of the award among the community. Even though researchers are generally aware of the various actions and appreciate improvements in their work conditions and the simplification of procedures, not all of them make the link with the HRS4R action plan that is at the root of all this.

Additional remarks/comments about the proposed implementation process

The COVID-19 crisis impacted the daily life of UTC from the spring of 2020 onwards, as regards both teaching and research. Practices had to be adapted to allow the teaching of students to continue, to allow staff to work from home, and to maintain links with other organisations.

UTC personnel received a great deal of support. An "anti-covid" cell was put in place, and the university went to considerable lengths to make working from home possible: IT equipment was made available as needed, with a VPN connection at the disposal of all concerned. The safety of agents working on-site was a priority, with the distribution of masks and hand sanitizers, and all staff observing the usual protective measures. A generic email address was set up for coronavirus-related communications.

The return to the workplace was phased in according to a schedule drawn up in 2020. Lectures and meetings were organised remotely wherever possible.

Research continued to be carried out. An internal "AMI-COVID19" call for projects was rapidly created in 2020 to further research relating to COVID-19, and eight projects received funding. The Research Division produced a memo entitled "What you need to do about your European project that is delayed because of the lockdown".

The employment contracts of some research personnel (PhD candidates and researchers) were extended by a few months (either via additional funding from the ministry or via UTC's own funds) so that work delayed because of the spring 2020 lockdown could be completed.

UTC was able to bounce back from the pandemic and adapt to new circumstances, which is an illustration of its ability to maintain favourable work conditions and a stimulating environment for its personnel. Favourable working conditions and a stimulating environment are at the heart of the HRS4R project.

5. APPENDIX

5.1. Glossary

5.2. Structural organisation of UTC

5.3. Membership of:
- HRS4R Project Group
- Steering Committee (COPIL)
- UTC bodies
- Consultative panel

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

5.5. Analysis of the survey relating to the research environment at UTC

5.6. Summary table about external interventions by UTC on HRS4R

5.7. Principles of the European Charter for Researchers and of the Code of Conduct for the Recruitment of Researchers

5.1. Glossary

BUTC	UTC University library
CA	University Supervisory Board
CNRS	French National Center for Scientific Research
COPIL	Steering Committee (for HRS4R)
CS	Scientific Advisory Committee
CT	Technical Committee
DGS	Internal Services Division
DR	Research Division
DRH	Human Resources Division
DRI	International Relations Division
ED	Doctoral School
ENT	UTC's Digital Workspace
MESRI	French ministry for higher education, research and innovation
OA	Open Access
RPS	Psychosocial risks
QVT	Quality of life at work
SU	Sorbonne University
UTC	Université de technologie de Compiègne

5.2. Structural organisation of UTC

UNIVERSITÉ DE TECHNOLOGIE DE COMPIÈGNE

UTC

Directeur
Christophe Guy

Directrice adjointe
Claire Rossi

Agent comptable
Patrick Grimont

Directeur général des services
Jean Pieri

Directrice de la communication
Odile Wachter

Mission sécurité défense
Olivier Gapenne
FSD

Conseillère de prévention
Carolina Lacome

Déléguée à la protection des données
Rafia Berenguier

Mission qualité
Jean-Marc Picard

Ressources et santé

Service des affaires générales et juridiques
Antoine Seidel
Responsable

Direction des ressources humaines
Lydia Vignolle-Dupré
Directrice

Service de la médecine de prévention
Claude Delavière
Médecin

Service universitaire de médecine préventive
Alice Hoogendoorn
Médecin

Moyens et pilotage

Direction des affaires financières
Philippe Musidlak
Directeur

Pôle assistance au pilotage
Guillaume Remy
Responsable

Infrastructure

Direction des systèmes d'information
Harry Claisse
Directeur

Direction du patrimoine immobilier
Stéphanie Chemery
Directrice

Service hygiène et sécurité
Carolina Lacome
Responsable

Service logistique et sûreté
Guillaume Hervet
Responsable

Direction à la recherche
Marie-Christine Ho Ba Tho
Directrice

Service culture scientifique, technique et industrielle
Karim El Kirat-Chatel
Responsable

École doctorale
Christine Prelle
Directrice

Unités de recherche

COSTECH - UPR 2223
François-Xavier Guchet
Directeur

BMBI - UMR 7338
Cécile Legallais
Directrice

GEC - UMR 7025
Karsten Haupt
Directeur

HEUDIASYC - UMR 7253
Philippe Bonnifait
Directeur

LMAC - EA 2222
Salim Bouzebda
Directeur

ROBERVAL
Jérôme Favergeon
Directeur

TIMR
Isabelle Pezron
Directrice

AVENUES - EA 7284
Manuela Sechilariu
Directrice

Direction formation et pédagogie
Etienne Arnoult
Directeur

Service de la formation continue
François Velu
Directeur

Service universitaire des activités physiques et sportives
Arnaud Vannicatte
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Michaël Vicente
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Cornélia Marin
Directrice

Société filiale de l'UTC
SA Uteam
Samuel Veillerette
Directeur

uteam
groupe utc

Direction innovation et développement durable et territorial
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Fondation partenariale
« UTC pour l'innovation »
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5.3. Membership

- HRS4R Project Group

Dr Stéphanie Rossard, Responsible of European and International Affairs, Research Division
Aurélie Germonprez from the Human Resources Division

- Steering Committee (COPIL)

Lydia Vignolle-Dupré, Director of Human Resources
Pr Marie-Christine Ho Ba Tho, Director of Research
Pr Christine Prelle, Director of the Doctoral School
Dr Joanna Daaboul, Director of International Relations
Jean Piéri, Director of Internal Services
The HRS4R Project Group

- 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 higher education, research and innovation, 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 research engineers/ technician/administration staff, 3 students (+ 3 replacements).

Scientific Committee

The UTC Scientific Committee is composed of 23 members:
- 14 elected members, representative of UTC staff: researcher, 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 32 members:
- 12 elected academic staff: teachers or researchers,
- 12 elected students: engineer, master or PhD candidate,
- 4 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:
- 4 external members with knowledge of the scientific, industrial and socioeconomic sectors, all of whom have a PhD.
- 16 internal members: 10 researchers, 2 representatives for administrative and technical staff, 4 elected PhD candidates (+ 4 replacements).

<u>Technical Committee</u>

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

<u>Management Committee</u>

The Management Committee is composed of 7 members: 6 researchers being head of departments and the Director of Internal Services Division.

23 persons are permanent guests (directors of research units, Directors of management divisions, Directors of operative divisions): half of them being researchers.

- <u>Consultative panel</u>

This group is a panel of academics and researchers belonging to a variety of categories: Associate Professor, Full Professor, CNRS researcher, contractual member of the academic staff, Research Engineer, PhD candidate. 10 persons took part in the meeting on 8 April 2021:

- Dr Audrey Bertauld-Drelich, Associate Professor, Laboratory of Integrated Transformation of Renewable Matter (TIMR)
- Thomas Binet, PhD candidate, Laboratory of Enzyme and Cell Engineering (GEC)
- Dr Matthieu Bricogne-Cuignières, Contractual Associate Professor, Laboratory of Mechanics (ROBERVAL)
- Dr Joanna Daaboul, Associate Professor, Laboratory ROBERVAL
- Dr Franck Davoine, CNRS Researcher, Laboratory of Heuristics and Diagnostics of Complex Systems (Heudiasyc)
- Pr Benoît Eynard, Professor, Laboratory ROBERVAL
- Laurine Lemaire, PhD candidate, Laboratory GEC
- Dr Stéphane Octave, Research Engineer, Laboratory GEC
- Pr Isabelle Pezron, Professor, Laboratory TIMR
- Olivia Reaney, PhD candidate, Laboratory of Knowledge, Organization and Technical Systems (Costech)

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

	Open	Transparent	Merit-based	Answer: Yes completely/Yes substantially/ Yes partially/No	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	https://www.utc.fr/en/utc/utc-at-a-glance/an-innovative-model/european-charter-for-researchers/
2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?	x	x	x	Yes Completely	All the recruitment procedures are on-line into a UTC guide for recruitment
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 (16 people) and the Doctoral School (5 people) have occurred.
4. Do we make (sufficient) use of e-recruitment tools?	x	x		Yes completely	E-recruitment tools: UTC recrute, SENORITA (ministerial), GALAXIE (ministerial), insitutional LinkedIn, "Place de l'emploi public", "Pôle emploi" (these two sites are in French for all staff), INDEED, APEC (French site for researchers and senior managers)
5. Do we have a quality control system for OTM-R in place?	x	x	x	Yes partially	It is not formalized. A new Direction/division (Direction for monitoring and continuous improvement) will be operational for monitoring OTM-R.
6. Does our current OTM-R policy encourage external candidates to apply?	x	x	x	Yes substantially	On 31 December 2020, 47% researchers under contract and 33% tenured researchers are foreigners.
7. Is our current OTM-R policy in line with policies to attract researchers from abroad?	x	x	x	Yes partially	On 31 December 2020, 47% researchers under contract and 33% tenured researchers are not French nationals.
8. Is our current OTM-R policy in line with policies to attract underrepresented groups?	x	x	x	Yes partially	On 31 December 2020, 37% of non-tenured researchers and 6% of tenured researchers 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	Link to the OTM-R policy and GEP, and disability blueprint: HRS4R page on the UTC website

				Answer: Yes completely/Yes substantially/ Yes partially/No	Suggested indicators (or form of measurement)
10. Do we have means to monitor whether the most suitable researchers apply?				Yes substantially	A e-tool is dedicated for recruitment and there is a OTM-R policy taken into account by the committees for recruitment

	Open	Transparent	Merit-based	Answer: Yes completely/Yes substantially/ Yes partially/No	Suggested indicators (or form of measurement)
Advertising and application phase					
11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?	x	x		Yes completely	These guidelines are available on the intranet
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	the fields following the job description and euraxess items are filled in.
13. Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience?	x	x		Yes completely	For incumbents, the UTC publishes on the Galaxie ministerial website, which automatically switches job vacancies to the EURAXESS website UTC publishes
14. Do we make use of other job advertising tools?	x	x		Yes substantially	Yes : UTC recrute, SENORITA (ministerial), GALAXIE (ministerial), insitutional LinkedIn, "Place de l'emploi public", "Pôle emploi" (these two sites are in French for all staff), INDEED, APEC (French site for researchers and senior managers).
15. Do we keep the administrative burden to a minimum for the candidate? [see Chapter 4.4.1b]	x			Yes substantially	Applications are submitted on the dedicated UTC platforms according to the type of application.
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 substantially	
21. Do we provide adequate feedback to interviewees?		x		Yes partially	
22. Do we have an appropriate complaints mechanism in place?		x		Yes partially	For tenured personnel. Work in progress for other types of recruitment
Overall assessment					
23. Do we have a system in place to assess whether OTM-R delivers on its objectives?				Yes partially	Done by the Steering Committee.

UTC OTM-R review

When Université de technologie de Compiègne embarked on the HR Excellence for Research award 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 Advisory 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 - <u>Exceptions</u>

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.

Appendix 1: The survey

Research environment at UTC - 'HR Excellence in Research Award'

Dear colleague,

We would appreciate it if you could take the time to respond to this **survey that concerns research personnel in the various UTC laboratories and at Interact (UniLasalle)**.
As the **HRS4R (Human Resources Strategy for Researchers)** project team we are interested in getting your feedback on what it is like to be a researcher at UTC. A new action plan is being drawn up, and it is essential that this corresponds to what people actually need, which is why your input is so important. This action plan will also form the basis for UTC's application to renew its European HRS4R award.

Filling out this questionnaire should take you around 20 minutes. It is divided into five sections corresponding to the areas covered by the **European Charter for Researchers** and **Code of Conduct for the Recruitment of Researchers.** Not all questions will be relevant to your particular situation. The final question in each section invites you to add any observations or remarks that you might have.

The actions that UTC is able to take in order to address any deficiencies highlighted in your responses will be determined by how many of you respond and on the extent of the information that you provide.

If you would like to get in touch with us directly, you can email us at hrs4r@utc.fr.
Thank you for your involvement.
The HRS4R project team: Lydia Vignolle-Dupré (Human Resources Division), Stéphanie Rossard (Research Division), Marion Kaczkowski (Doctoral School)

This survey is anonymous.
The record of your survey responses does not contain any identifying information about you, unless a specific survey question explicitly asked for it.
If you used an identifying token to access this survey, please rest assured that this token will not be stored together with your responses. It is managed in a separate database and will only be updated to indicate whether you did (or did not) complete this survey. There is no way of matching identification tokens with survey responses.

Use of personal data:
This survey is intended to give us a picture of what UTC personnel think about their research environment. For the renewal of our award, the HRS4R project team and steering committee are drawing up a new action plan to address the needs that UTC researchers have expressed.

The responses that you provide will remain accessible to the UTC HRS4R project team for 2 years before being deleted. The UTC HRS4R steering committee will have access to aggregated results only.

The information collected will not include your name, and LimeSurvey will operate in anonymous mode. However, the survey cannot claim to be *anonymous* as defined by the European GDPR, since cross-referencing the various elements of data that you provide (status, employer, lab, length of service, etc.) might allow you to be identified.

The legal basis for this processing is consent. If your responses in the *Your own situation* section of the questionnaire allow you to be reliably identified, the GDPR gives you the right to withdraw your consent, as well as rights of access, correction and deletion in relation to your personal data, and the right to restrict how these data are processed. You may choose to exercise these rights by contacting us at hrs4r@utc.fr.

After contacting us, if you consider that your rights are not being respected, you can alert the UTC data protection officer (dpo@utc.fr) and lodge a complaint with CNIL, the French data protection authority.

☐ To continue please first accept our survey data policy.

Survey :
An asterisk (*) indicates that a response is required.

Your own situation

*You are:	female
	male
*What is the nature of your contract?	tenured civil servant
	temporary on fixed-term contract
	temporary on permanent contract
	grant holder (not salaried)
*Who is your employer?	UTC
	CNRS
	ESCOM
	UniLaSalle
	no employer (e.g.: grant holder)
	other
*Which position do you occupy?	associate professor
	full professor
	chargé de recherche
	directeur de recherche
	enseignant-chercheur
	PRAG
	PAST
	ATER
	PhD student
	post-doctoral researcher
	research engineer
	ingénieur d'études
	assistant ingénieur
	technician
	secretary
Which research unit do you belong to?	choix dans une liste des 8 UR de l'UTC + Interact UniLaSalle + « autre »
*How long have you been at UTC?	less than 2 years
	between 2 and 5 years
	between 5 and 10 years
	more than 10 years

(as for the following questions, the answer « no answer » is ticked by default)

UTC's HRS4R – Human Resources Strategy for Researchers Award

Are you familiar with any of the following? *check **yes** or **no** in each case*	the Code of Conduct for the Recruitment of Researchers
	the European Charter for Researchers
	UTC's HRS4R award
	the HRS4R logo

Ethics, scientific integrity, research deontology

Do you feel sufficiently informed when it comes to ethics, deontology and scientific integrity in research?	yes, completely yes, but I'd like to know more no
Did you take part in either of Catherine Teissier's presentations aimed at raising awareness about scientific integrity (8 March or 7 June 2019)?	yes no
Do you know the name of UTC's referent for deontology?	yes no
Do you know the name of UTC's referent for scientific integrity?	yes no
Do you use UTC's anti-plagiarism software?	yes, often yes, sometimes no
If you are a PhD candidate: Have you attended a course on research ethics and scientific integrity (a course of lectures given at Sorbonne University, a course by Emanuele Clarizio, or another course)?	yes no
If so, which one did you attend?	*champ libre*
Do you have any suggestions or observations regarding this section (ethics, scientific integrity, research deontology)?	*champ libre*

Professional attitude, institutional environment

Do you think that UTC provides you with sufficient support in establishing your research grant agreement?	yes yes, but I'd like even more support no not concerned
Are you familiar with the *TOGETHER* research project management platform?	yes no not concerned
If so, do you use *TOGETHER*?	yes no
If you know about *TOGETHER* but you don't use it, why not?	*champ libre*
Do you feel sufficiently informed about your scientific and financial responsibilities relating to your research agreements?	yes yes, but I'd like to be even better informed no not concerned
Do you feel sufficiently informed (by UTC or your peers) about open access and data protection?	yes yes, but I'd like to be even better informed no
Do you apply Open Access?	yes yes, sometimes no
If not, why not?	*champ libre*
Are you familiar with the Sorbonne University Charter on free access to publications, adopted by UTC in 2020?	yes no
Do you use UTC's HAL portal?	yes yes, sometimes no, because I don't want to no, because I didn't know it exists
Do you use Open Data?	yes no
If not, why not?	*champ libre*

Do you feel sufficiently supported by UTC in your research activities regarding the valorisation and the transfer of research results?	yes yes, but I'd like even more support no
Do you know the name of the referent for your research unit within the Research Office?	yes no
Are you familiar with SATT LUTECH and its functions?	yes yes, a little no
Do you feel sufficiently informed about intellectual property (for your research contracts, for your patents, etc)?	yes yes, but I'd like to be even better informed no
Do you feel sufficiently informed about copyright (for your publications, for software that you develop, for your doctoral thesis, etc)?	yes yes, but I'd like to be even better informed no
Do you have any suggestions or observations regarding this section (professional responsibility, support provided by UTC for your research, good practices in research, dissemination and exploitation of results, Open Science, public engagement, intellectual property)?	*champ libre*

Recruitment

Are you (or have you been) responsible for the recruitment of permanent or contractual staff in your research activities at UTC (main researcher on a project, thesis supervisor, departmental head, etc)?	yes no

If yes:

The following questions are mainly about the recruitment of contractual staff in you research activities. You are concerned only if you replied yes to the previous question.

Are there pre-defined objectives, and are formal criteria communicated to the applicant before the interview, such as in the form of a sufficiently clear and detailed job description?	yes, always yes, most of the time yes, sometimes no
Are your job offers always published internally and externally and a reasonable length of time in advance?	yes no
If not, why not?	*champ libre*
Do you use EURAXESS to publish your job offers?	yes no
If not, why not?	*champ libre*
Do you give equal consideration to academic qualifications and to acquired professional skills and experience (including experience gained in different countries or in different fields)?	yes no
Any additional comments?	*champ libre*
Is the number of publications by the applicant your main criterion in making your choice?	yes no
Do you have collective interviews for recruitment?	yes, always yes, most of the time no
Do you try to respect gender parity on your interview panel?	yes, always yes, most of the time no
Are there any recruitment experts on your interview panel?	yes, always yes, most of the time no

Do you inform applicants about the results of the selection and the strengths and weaknesses of their application?	yes, always yes, most of the time no
Do you feel sufficiently informed regarding stereotypes and non-discrimination in the recruitment process (gender, origin, religion, disability)?	yes no
Do you think that the remuneration of contractual researchers is based on objective and fair criteria relating to the skills and experience of the candidate?	yes, always yes, most of the time no
Do you think that UTC gives you enough support in the recruitment process (drafting job descriptions, publishing job offers, familiarizing you with the recruitment process, etc.)?	yes no
Do you have any suggestions or observations regarding this section (recruitment, selection, transparency, judging merit, recognition of experience)?	*champ libre*

Were you recruited by UTC within the last 10 years (whether you are still employed by UTC or not)?	yes no

If yes:

The following questions are addressed mainly to those of you who were recruited by UTC less than 10 years ago.

How did you learn about the job offer that you applied for?	UTC website *pôle Emploi* Euraxess ABG website by word of mouth (network, contact, etc.) other (please specify): *champ libre*
Were the practical details involved in making your application (dedicated platform, contacts, procedures, etc.) easy to understand and to deal with?	yes yes, to some extent no
Were you informed of the selection criteria in advance?	yes yes, to some extent no
Were you interviewed by a panel (comprising more than one person)?	yes no
If not, please specify what the selection process involved:	*champ libre*
Following the selection process, did you receive any information about the strengths and weaknesses of your application and about why you were selected?	yes yes, to some extent no
Did you receive any information (from UTC's Human Resources Division, from UTC's International Relations Division, from your colleagues, from the Compiègne municipal authority, etc.) about possibilities regarding housing or about facilities available for your partner or your children?	yes yes, to some extent no
What kind of information that you did *not* receive would you have liked to receive to make your move to Compiègne easier?	*champ libre*
Did you take part in the UTC Welcome Day for new arrivals?	yes no
If not, why not?	*champ libre*
Did you take part in the Welcome Day within your research unit?	yes no
If not, why not?	*champ libre*
Had preparations been made in advance of your arrival (an equipped office, a personal computer, etc.)?	yes yes, to some extent no
Do you know the name of your contact within UTC's Human Resources Division?	yes no

	not concerned
Do you have any suggestions or observations regarding this section (recruitment, selection, transparency, judging merit, recognition of experience)?	*champ libre*

Working conditions

Do you think that UTC provides with you with suitable conditions for conducting your research (computers, research infrastructure, equipment, lab materials, etc.)?	yes yes, to some extent no
Please identify any gaps or suggest possible improvements:	*champ libre*
Do you feel that your work environment at UTC is stimulating for your research?	yes yes, to some extent no
Please identify any gaps or suggest possible improvements:	*champ libre*
Do you personally feel sufficiently informed about your rights and working conditions (for example: annual leave, sick leave, parental leave, telework, part-time work, accumulation of activities, additional activities for contract doctoral students, etc.)?	yes, completely yes, to some extent no
Please identify any gaps or suggest possible improvements:	*champ libre*
Do you think that UTC provides adequate means to promote the geographical and/or intersectoral mobility of its researchers?	yes yes, to some extent no
Are you familiar with the following? check **yes** or **no** in each case	*Leave for Research and Thematic Conversion (CRCT)*, provided for by the French Ministry of Research and Higher Education CNRS's arrangements for secondment The European Commission's H2020 RISE (Research and Innovation Staff Exchange) programme (Marie Skłodowska Curie Actions) The European Commission H2020's IF (Individual Fellowship) programme (Marie Skłodowska Curie Actions) The Hauts-de-France Region's STaRS scheme designed to attract "*confirmed high-level researchers*", "*promising young researchers*", "*international exchanges of researchers*", and "*chairs of excellence*" The Research Mobility initiative by UTC's Research Division The Doctoral School's support scheme for periods spent abroad
Have you ever experienced discrimination in your work?	yes no
If so, what did it relate to?	gender age disability professional category political views whether or not you belonged to a union other (please specify): *champ libre*
In what circumstances?	career progression the granting of administrative, educational or scientific responsibility other (please specify): *champ libre*
Would you know who to contact if the situation arose?	yes no

If so, who is this contact?	*champ libre*
If you ever experience or are aware of a professional relationship conflict, do you know who you should contact to address this situation (or to indicate the right person to contact)?	yes no
If so, who would you contact?	*champ libre*
Do you know who is UTC's disability officer for staff?	yes no
Do you know who is UTC's disability officer for students?	yes no
Are you familiar with UTC's disability action plan?	yes no
Do you think that your teaching activities prevent you from carrying out your research activities?	yes yes, to some extent yes, but that's not the only factor no not concerned
Do you have any suggestions or observations regarding this section (working conditions, research environment, discrimination, appeals)?	*champ libre*

Training

<u>**UTC's training initiatives and action plan:**</u>

Do you take training courses organized by UTC's Human Resources Division?	several times a year occasionally never not concerned
If never, why?	*champ libre*
Do you know how to suggest or request the creation of a new course by the Human Resources Division?	yes no
What new courses would you like to see offered?	*champ libre*
Are you familiar with the courses offered to teachers by the Pedagogical Support Unit (CAP)?	yes no
Have you ever taken one of CAP's courses?	yes no not concerned
If not, why not?	*champ libre*
Have you ever taken a course on thesis supervision organized by the Doctoral School and the Human Resources Division?	yes no not concerned
If not, why not?	*champ libre*
Have you ever had mandatory training specific to your research activities (autoclave, radioactivity, laboratory containment, etc.)?	yes, more than once yes, once no not concerned
How satisfied are you with the training opportunities offered by UTC and their relevance to your activities?	very satisfied quite satisfied not very satisfied not at all satisfied no opinion not concerned
Have you taken one or more training courses offered by another organization such as CNRS, Sorbonne University, Agence de mutualisation des universités (AMUE), ANR, Haut de France Region's *Réseau Europe Recherche et Innovation (RERI)* programme, or a network relating to your professional interests or your research field?	yes no

If so, specify which training course(s) and the organization concerned:	*champ libre*

Supervision:

This section concerns not only PhD candidates, but also post-docs, engineers involved in projects, etc.

How would you characterize your relations with your thesis supervisor/ scientific manager/ team leader?	regular and structured satisfactory, but no more unsatisfactory
How would you characterize the instruction provided to and the management of the research team?	generally good satisfactory, but no more unsatisfactory
Any details that you would like to specify:	*champ libre*
Have you benefited from the sharing of knowledge, practices, and methodology by your more experienced colleagues?	yes yes, a little no
If so, in what setting (formal, informal)?	*champ libre*
Have you had a professional interview with your supervisor in the last 2 years?	yes no, but I would have liked to have one no
What sort of assessment system would you consider appropriate for your research activities and for your career development?	*champ libre*
Do you have any suggestions or observations regarding this section (continuing professional training, evaluation of research activities, career development, relationships with your supervisor)?	*champ libre*

Suggestions/proposals regarding our new HRS4R action plan
Do you have any suggestions or proposals regarding our new HRS4R action plan 2022-2024?
champ libre

At the end of the survey:
Thank you for completing this questionnaire.
If you would like more information about some of the points alluded to in the questionnaire you can download the accompanying summary document.
If you are interested in being part of a focus group putting forward and discussing ideas for a future 2022-2024 HRS4R action plan, please contact us directly at hrs4r@utc.fr

5.6. Summary table about external interventions by UTC on HRS4R

Date	Event	Organized by	Lieu	Participation	speaker
31/012017	Webconference	AMUE/CPU/MESRI	France	Presentation of the HRS4R process at UTC for the award	Stéphanie Rossard
20/06/2017	Roud table about « HR Excellence in Research » award and awards "Égalité et Diversité"	CPED / MESRI /UNS	Nice, France	Feedback of UTC	Stéphanie Rossard
11/2018	Human resources'Day of french universities : round table	DRH/MESRI	Paris, France	Feedback of UTC	Lydia Vignolle-Dupré

Date	Journal	Titre	Interviewed
02/2017	Interactions UTC	Un label européen pour les ressources humaines	Sabine Braule (director of the Human Resources Division) and Anne-Virginie Salsac (researcher)
05/2017	La lettre ANRT.asso.fr	UTC première école d'ingénieurs labellisée pour l'excellence de sa stratégie de ressources humaines	Stéphanie Rossard and Lydia Vignolle-Dupré
07/2019	Lettre interne à l'URCA	Le label HRS4R à l'UTC	Stéphanie Rossard and Marion Kaczkowski
11/2020	Campus Matin	HRS4R : au-delà d'un label, une démarche de qualité pour les chercheurs	Stéphanie Rossard and Lydia Vignolle-Dupré

The HRS4R project group has also responded to numerous requests from other French universities and engineering schools on the HRS4R project and the UTC feedback.

5.7. Principles of the European Charter for Researchers and of the Code of Conduct for the Recruitment of Researchers

I. Ethical and professional aspects

1. Research freedom
2. Ethical principles
3. Professional responsibility
4. Professional attitude
5. Contractual and legal obligations
6. Accountability
7. Good practices in research
8. Dissemination, exploitation of results
9. Public engagement
10. Non-discrimination
11. Evaluation/appraisal systems

II. Recruitment

12. Recruitment
13. Recruitment (job offering)
14. Selection
15. Transparency
16. Judging merit
17. Variations in the chronological order or CVs
18. Recognition of mobility experience
19. Recognition of qualifications
20. Seniority
21. Postdoctoral appointments

III. Working conditions and social security

22. Recognition of the profession
23. Research environment
24. Working conditions
25. Stability and permanence of employment
26. Funding and salaries
27. Gender balance
28. Career development
29. Value of mobility
30. Access to career advice
31. Intellectual property rights
32. Co-authorship
33. Teaching
34. Complaints/appeals
35. Participation in decision-making bodies

IV. Training

36. Relation with supervisors
37. Supervision and managerial duties
38. Continuing professional development
39. Access to research training and continuous development
40. Supervision