

## TEMPLATE 3: INTERNAL REVIEW (Self-assessment)

Name Organisation under review:

**University of Franche-Comté**

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

<http://www.univ-fcomte.fr/atouts-institutionnels/hr-excellence-research#.WuityCNyUk>

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

<http://www.univ-fcomte.fr/atouts-institutionnels/hr-excellence-research#.WuityCNyUk>

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# 1. Organisational Information

<b>STAFF &amp; STUDENTS</b>	<b>FTE</b>
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research	1 745
Of whom are international (i.e. foreign nationality)	536
Of whom are externally funded (i.e. for whom the organisation is host organisation)	N/A
Of whom are women	668
Of whom are stage R3 or R4 <sup>1</sup> = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	
Of whom are stage R1 = in most organisations corresponding with doctoral level	654
Total number of students (if relevant)	23 690
Total number of staff (including management, administrative, teaching and research staff)	2 463
<b>RESEARCH FUNDING (figures for most recent fiscal year)</b>	<b>M€</b>
Total annual organisational budget	209 M€
Annual organisational direct government funding (block funding, used for teaching, research, infrastructure...)	49.2 M€
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	11 M€
Annual funding from private, non-government sources, designated for research	1.9 M€
<b>ORGANISATIONAL PROFILE</b> (a very brief description of your organisation, max. 100 words)	
<p>The University of Franche-Comté (UFC) is a human-sized multidisciplinary institution (23,690 students, of whom more than 10 % are of foreign nationality, and 2,463 staff members) and is located in 5 cities all over Franche-Comté.</p> <p>All major disciplinary fields are taught: basic and applied sciences, health, technology, arts, humanities, languages, language sciences and linguistics, social sciences, sports sciences, law, economics and management.</p> <p>The UFC has 23 research units including 17 host teams, 6 units labeled by a renowned research institution such as the CNRS and INSERM, as well as 4 federative research structures.</p> <p>Following the sending of the letter of commitment in February 2016 and the document presenting the Human Resources Strategy for Research at the University of Franche Comté, it obtained the "HR Excellence in Research" label on May 17th. 2016.</p>	

<sup>1</sup> [http://ec.europa.eu/euraxess/pdf/research\\_policies/Towards\\_a\\_European\\_Framework\\_for\\_Research\\_Careers\\_final.pdf](http://ec.europa.eu/euraxess/pdf/research_policies/Towards_a_European_Framework_for_Research_Careers_final.pdf)

## 2. Narrative

Since 2012, the University of Franche-Comté has strengthened its links with other institutions in Franche-Comté and Bourgogne. The UFC, as one of the founding member of the federation of higher education institutions in this region, the so-called 'communauté d'universités et d'établissements Université Bourgogne-Franche-Comté' (COMUE UBFC) actively participates in the missions of a public service of proximity and quality, to the increase of the national and international visibility of the higher education and research as well as the socio-economic and cultural development of the new Greater Bourgogne Franche-Comté region. The implementation of this territorial strategy is necessarily accompanied by internal developments, some of which have already been noted, such as the creation of five collegiums whose initial objective is to strengthen the research-training link. They are spread over 5 scientific domains. Each Collegium President relies on an executive board and an administrative board to carry out transversal actions. As of 2017, they have been integrated into the employment campaign process, which has helped to improve the transparency of recruitment. The implementation of the HRS4R approach at the University of Franche Comté also makes it possible to initiate and support the transformations and the strategic ways of development of the institution.

The strategic commitments of the UFC as part of its settlement project aim to define an ambitious trajectory towards a university of excellence by:

1) An international influence based on high-level research (Project I-SITE). The I-SITE project recognizes the quality of scientific teams, shows the ability of these teams to work together using multidisciplinary approaches. This true recognition is expressed in three main areas of excellence:

- ❖ advanced materials, waves and intelligent systems,
- ❖ environment, territories, and food for a sustainable quality of life
- ❖ integrated health and individualized care.

One of the other international development axes, given our geographical position, concerns cooperation on research and training topics with our close neighbor: Switzerland.

2) A training policy oriented towards the professionalization of the courses which has been the subject of important developments by the implementation of tools based on an internal quality assurance reference system allowing training courses that fully respond to obtain a label. The University of Franche-Comté thus displays the ambition to combine excellence in research and excellence in training while respecting its multidisciplinary. It thus contributes to the achievement of the objective set by Europe and France of developing a knowledge and innovation economy, while fully responding to its social role and being a major player in training throughout life. Thus, the introduction of Cursus Master in Engineering (CMI) allows students enrolled in this course to fully benefit from the research and training potential of our laboratories.

3) Enhanced attractiveness by ensuring transparency and equity in particular in the recruitment processes of teacher-researchers, by promoting social dialogue between the different actors of the university community and by contributing to improve the quality of life at work of the staff.

However, a difficulty is worth noting. Indeed, a project submitted on behalf of the COMUE can not claim the HR label of the UFC even if it is, in fact, worn by a team from the University of Franche-Comté. The UFC will promote and disseminate the HRS4R approach to other member institutions of the COMUE. In addition, coordination will have to be carried out with research organizations labeled partners (CNRS, INSERM) to bring coherence to the different action plans.

The HRS4R approach enriches and is enriched by the implementation of the strategic objectives that the University of Franche-Comté has set for an integrated approach to development and sustainability.

As an example, the action plan defined at the beginning of the labeling changes, in particular, by defining two new actions that are part of the continuity of the process:

- on the one hand, the OTM-R analysis led the UFC to consider setting up a new action (II-12.1) concerning quality control of recruitment procedures;
- on the other hand, it seems useful to provide for additional action (I-7.4) concerning data security, since, even if it is the same principle of the European Charter for the researchers to which the I-7.1, I-7.2 and I-7.3 actions correspond, the scope of the action and the actors involved are not the same.

As part of the project-based management of the HR approach, other actions may be undertaken in the future depending on the remarks and requests made by the boards of the UFC and the HRS4R's monitoring committee in the future.

## 3. Actions

### 3.1 Progress of actions

After being awarded, a steering committee called “Monitoring Committee” was set up to monitor and validate the progress of the selected actions and promote the HRS4R approach in the UFC. The work of this committee, which meets once or twice a year, is prepared by a technical committee called “Support Unit”. It meets regularly to support those responsible for actions, centralize information useful for monitoring actions and inform the Monitoring Committee (20 meetings of the Support Unit between the beginning of July 2016 and the end of September 2018).

All planned actions are committed with an overall achievement rate of 59% at mid-term. Nine actions are fully realized. Fifteen actions have a completion rate of between 50 and 90%. The fifteen actions currently under implementation (less than 50%) mainly concern development actions which, by their nature, involve a heavy investment and are part of the total duration of the five years.

The UFC's Human Resources Strategy has led to the restructuring of departments for greater efficiency. Thus, the combination of Research and of the Promotion of Research Departments in a single Direction of Research and Promotion of Research, or the attachment of the lawyers responsible for the valorisation of scientific research to the general and institutional Legal Affairs Department, has improved the quality of the service offered and done and to advance a number of procedures but has also led to readjustments with impacts on some actions.

#### 3.1.1 Actions with a high achievement rate

The UFC continues its work for researchers as shown by the completion of certain actions (achievement rate of at least 90%) in the different items :

##### I. Ethical and professional aspects

- Inform researchers at early stage of their research in order to prevent them from spreading information without a confidentiality agreement and to encourage such behaviour among Phd students (it is planned to publish a guidebook in english with the Charter and the Code in annex)
- Appoint an Intellectual Property officer in charge of increasing researchers' awareness on Intellectual Property
- Make documentation on research law available
- Include a training module on the fight against discrimination in a managers training session (directors of faculties, research units, chief officers)
- Appoint an officer responsible for disabled persons
- Implement a group working on quality to accompany teaching staff

##### II. Recruitment

- Systematically translate into English job descriptions with a special attention to job requirements
- Formalize an annual meeting with all the recruitment committees' presidents in order to explain all operational modalities
- Add to the annual guidance letter sent from the UFC president to the members of recruitment committees, the following wider criteria

### III. Working conditions and social security

- Increase the accessibility rate of premises up to 80% by 2020
- Make sure that the status of elected representative is validated by the board of administration
- Integrate in the formation plan of accompanying staff for the writing of dossiers and researchers selection interviews
- Improve the knowledge of the alert procedure with a communication action directed towards all staff members

The sustained efforts in implementing these actions have allowed the university community to become more aware of the current and operational UFC devices and available for anyone. The constant improvement of recruitment procedures with, among other things, the publication of job descriptions in English, answered to a strong expectation from the laboratories.

Staff, sensitive to ethical issues, can also find an answer to this concern through the implementation of the action « Include a training module on the fight against discrimination in a managers training session ».

These two actions also meet the two principles considered important by more than 60% of the 1,139 respondents to the survey conducted as part of this mid-term self-assessment (see Attachment 5.5).

#### 3.1.2 Actions to be strengthened

The action plan has undergone some changes (listed in the life sheets of the actions, see Attachment 5.3) :

- Some actions are modified to improve their efficiency: Widen the use of Research Units logbooks, implement an internal process describing the ways one can call the Law Office and for information the legal process.
- On the other hand, the creation of Collegiums and their recent integration into the HRS4R Monitoring Committee, by modifying certain procedures or chains of responsibility, could have effects on some actions in progress.

Some actions have been reprogrammed :

- Either because of the complexity of their implementation : harmonize research units internal rules, create strict security regime areas within research units classified as sensitive, increase research units directors' awareness on the need to following-up agreements, formalize a process for outgoing mobility outside the Erasmus + program, training in gender equality.
- Or because of internal restructurations : the combination of the Promotion of Research Department and Research Department in a single Department of Research and Promotion of Research, or the attachment of legal Counsel in Intellectual property and transfer of technology lawyers to the general legal affairs department.

However, the goal of completion in 2020 is maintained.

In detail, 11 actions require additional effort to achieve the expected goal:

#### I. Ethical and professional aspects

- Increase research units directors' awareness on the need to following-up agreements (deadlines and documentary proofs to be given)

We must take the opportunity of a plenary meeting where all the directors of the laboratory are together for a better reach of the information (board of collegiums in this case, whose implementation was delayed).

- Formalize with « safety data sheets » requirements from CHSCT on research projects presenting significant risks

A list of significant risks is being drafted and will be submitted for validation by the CHSCT. This list is a prerequisite to implement this action.

- Write down significant risks in risk assessment forms

Out of 111 work units, about 50 have not updated their unique document. A reminder will be made by the Vice-President in charge of Human Resources and Social Dialogue.

- Increase the visibility and access to researchers production within the OPEN ACCESS archives

The costs related to the publication of scientific production in OPEN ACCESS are often perceived as a brake by the laboratories. Nevertheless, the SCD (Common service of documentation) department will carry out a census of the publications that may be concerned by the OPEN ACCESS and get closer to the laboratories at the origin of the publications.

- Write components for « Science in society » projects

The delay in implementation is due in particular to a difficulty in bringing together the members in charge of this action. A meeting of the working group is scheduled on October 4, 2018.

### **III. Working conditions and social security**

- Elaborate and communicate information related to the different structures enabling students to re-focus or deepen their research activities

As this action was perceived as redundant with action I-5.2, the action leader proposed to change the title and to reconcile with the information available to the Ministry on mobility devices (and not reorientation).

- Increase jury members' awareness on the stereotypes issue with the making of a video (Interreg project)

Technical difficulties are causing the delay in this deliverable. Nevertheless, the action is maintained because the video has to be produced as part of the Interreg project.

- Select and train certain staff members within the research units to accompany the development of researchers careers

The action requires a reorganization in its content: career development is a mission that is the exclusive responsibility of HRD. On the other hand, personalized support for newcomers could usefully be put in place within the laboratories.

- Draw up a guidebook for all academic staff presenting all possible working time arrangements in order to accommodate research activities and family and private life

An internal guide is being written but is not sufficiently advanced. On the other hand, all documents relating to statutory possibilities exist and are sent to all new staff.

- Implement an internal process describing the ways one can call the Law Office and for information the legal process

This action is undergoing a complete reorganization both in its title and in its implementation because the Legal Affairs Department is not the only body subject to referral. This also concerns, above all, the CHSCT, the HRD, the scientific integrity referent (appointed in 2018) as well as the medico-psycho-social service.

#### **IV. Training**

- Create a training pack for Researchers and Research Units Directors (to increase awareness on intellectual property, funding of research...)

The restructuring of the Legal Affairs Department and the recruitment by competition of posts within this Department have had the effect of delaying the identification of the staff who will benefit from the training of the certificate of intellectual property leader.

#### **3.1.3 Summary of actions**

The actions are presented below in a table which takes into account the planned amendments and developments in the context of the self-assessment. This table specifies the timeline, the department in charge and the indicator of progress. It is based on the design of the self-assessment tool ("Gap analysis"), namely:

- I – Ethical and professional aspects (items 1 to 11)
- II – Recruitment (items 12 to 21)
- III – Working conditions and social security (items 22 to 35)
- IV – Training (items 36 to 40)



## I – Ethical and professional aspects (items 1 to 11)

Item	Number	Action	Type	Deadline	Responsible	Current status
1. Research freedom	I-1	Forward the Charter and the Code and/or the summary written by the UFC to all researchers and academic staff	C	Q3 2016	VP for Research/ DRV / Dir Labos	Action achieved at 70 %
2. Ethical principles	I-2	Forward the 2015 French National Charter for Research Integrity to staff working in research (researchers, Phd and postdoc students, and administrative staff)	C	Q3 2016	VP for Research/ DRV / Dir Labos	Action achieved at 70 %
3. Professional responsibility	I-3.1	Inform researchers at early stage of their research in order to prevent them from spreading information without a confidentiality agreement and to encourage such behaviour among Phd students (it is planned to publish a guidebook in english with the Charter and the Code in annex)	C	Q3 2017	DAJ	Action achieved at 100 %
	I-3.2	Appoint an Intellectual Property officer in charge of increasing researchers' awareness on Intellectual Property	D	Q3 2016	VP for Research/ DAJ	Action achieved at 100 %
	I-3.3	Make documentation on research law available	C	Q3 2017	DRV / DAJ	Action achieved at 90 %
4. Professional attitude	I-4.1	Increase research units directors' awareness on the need to following-up agreements (deadlines and documentary proofs to be given)	C	Q2 2017	SAIC	On-going action postponed to Q2 2018
	I-4.2	See IV-38				
5. Contractual and legal obligations	I-5.1	Harmonize research units internal rules	F	Q2 2018	DAJ	Action achieved at 50 % and postponed to Q2 2019
	I-5.2	Better inform researchers on the possibilities of knowledge transfer from public to private sectors	C	Q3 2017	DRH	Action achieved at 80 % and postponed to Q4 2018
	I-5.3	Draw up complete and suitable instructions for patenting	F	Q2 2017	DAJ	Action achieved at 50 % and postponed to Q2 2018
	I-5.4	See I-3				
6. Accountability	I-6	See I-2				
7. Good practice in research	I-7.1	Formalize with « safety data sheets » requirements from CHSCT on research projects presenting significant risks	F	Q1 2018	CHSCT	On-going action postponed to Q2 2019
	I-7.2	Write down significant risks in risk assessment forms	F	Q1 2018	Dir Labos	Action achieved at 50 % and postponed to Q2 2019
	I-7.3	Create strict security regime areas within research units classified as sensitive	D	Q4 2016	President of the UFC	Action achieved at 50 % and postponed to Q2 2018
	I-7.4	Set-up data protection devices (RGPD)	D	Q4 2019	DPD (on-going appointment)	New action
8. Dissemination and exploitation of results	I-8.1	Increase the visibility and access to researchers production within the OPEN ACCESS archives	F	Q3 2017	DRV	On-going action postponed to Q1 2019
	I-8.2	See I-3				

9. Public engagement	I-9	Write components for « Science in society » projects	F	Q4 2017	Sciences, arts and culture office	On-going action and postponed to Q4 2019
10. Non discrimination	I-10.1	Include a training module on the fight against discrimination in a managers training session (directors of faculties, research units, chief officers)	D	Q3 2016	DRH	Action achieved at 100 %
	I-10.2	Appoint an officer responsible for disabled persons	D	Q3 2016	President of the UFC	Action achieved at 100 %
11. Avaluation / Appraisal systems	I-11.1	Implement a group working on quality to accompany teaching staff	D	Q3 2016	VP for Research/ VP for Education	Action achieved at 100 %
	I-11.2	Associate collegiums to the assessment process and follow-up of research, teaching and promotion activities	D	Q1 2017	VP recherche	Action achieved at 40 % and postponed to Q1 2018

## II – Recruitment (items 12 to 21)

Item	Number	Action	Type	Deadline	Responsible	Current Status
12. Recruitment	II-12.1	Set-up a quality control of recruitment process	D	Q4 2019	DRH	New action
13. Recruitment (Code)	II-13.1	Systematically translate into English job descriptions with a special attention to job requirements	F	Q4 2017	DRH	Action achieved at 90 %
	II-13.2	Wider spread permanent and temporary jobs offers (PAST, ATER, Engineers)	D	Q4 2017	DRH	Action achieved at 75 % and postponed to Q4 2018
14. Selection (Code)	II-14	Formalize an annual meeting with all the recruitment committees' presidents in order to explain all operational modalities	F	Q3 2016	DRH	Action achieved at 100 %
15. Transparency (Code)	II-15					
16. Judging merit (Code)	II-16	Add to the annual guidance letter sent from the UFC president to the members of recruitment committees, the following wider criteria : - knowledge transfer ; - innovation ; - dissemination and promotion activities ; - multidimensional careers.	F	Q3 2016	DRH	Action achieved at 100 %
17. Variations in the chronological order of CVs (Code)	II-17	See II-16				
18. Recognition of mobility experience	II-18.1	Formalize a process for outgoing mobility outside the Erasmus + program	F	Q3 2017	DRIF	Action achieved at 30 % and postponed to Q3 2018
	II-18.2	Formalize a welcome process for foreign researchers (funding, arrival...) through the EURAXESS Services Center	F	Q3 2017	DRV	Action achieved at 30 % and postponed to Q3 2018
	II-18.3	See II-16				
19. Recognition of qualifications (code)	II-19					
20. Seniority (Code)	II-20					
21. Postdoctoral appointments (Code)	II-21					

### III – Working conditions and social security (items 22 to 35)

Item	Number	Action	Type	Deadline	Responsible	Current status
22. Recognition of the profession	III-22					
23. Research environment	III-23	Set up with the CHSCT a list of staff members particularly exposed to risks	F	Q2 2018	DRH/prevention doctor	Action achieved at 30 % and postponed to Q2 2019
24. Working conditions	III-24.1	Draw up a guidebook for all academic staff presenting all possible working time arrangements in order to accommodate research activities and family and private life	F	Q2 2018	DRH	On-going action and postponed to Q1 2019
	III-24.2	Increase the accessibility rate of premises up to 80% by 2020	D	Q2 2018	DPI	Action achieved at 95 %
	III-24.3	Make sure that the status of elected representative is validated by the board of administration	F	Q3 2016	VP RH	Action achieved at 100 %
	III-24.4	Elaborate and communicate information related to the different structures enabling students to re-focus or deepen their research activities (research leaves, periods reserved to develop new research interests, CNRS research periods...)	C	Q4 2017	DRH	Action achieved at 80 % and postponed to Q4 2018
25. Stability and permanence of employment	III-25					
26. Funding and salaries	III-26	See III-29				
27. Gender balance	III-27.1	Increase jury members' awareness on the stereotypes issue with the making of a video (Interreg project)	C	Q2 2018	DRH	Action achieved at 20 %
	III-27.2	Integrate the equality dimension in the training plan: training sessions on recruitment / training sessions on management	D	Q4 2017	DRH	Action achieved at 50 % and postponed to Q4 2018
	III-27.3	Integrate in the formation plan of accompanying staff for the writing of dossiers and researchers selection interviews	D	Q3 2017	DRH	Action achieved at 100 %
28. Career development	III-28	Select and train certain staff members within the research units to accompany the development of researchers careers	D	Q2 2018	DRH	On-going and amended action (see life sheet)
29. Value of mobility	III-29	Make sure that all foreign researchers recruited by the university are affiliated to social security and, if needed, to register at the nearest social security centre with the help of a partnership between the Human Resources Office and the EURAXESS Office	D	Q1 2017	DRH/ DRV	Action achieved at 80 % and postponed to Q2 2018
30. Access to career advice	III-30					
31. Intellectual Property Rights	III-31	See I-3.2				
32. Co-authorship	III-32.1	Communicate using international documents on the ethics of coauthorship	C	Q2 2017	DRV / Communication office	Action achieved at 50 %
	III-32.2	Widen the use of Research Units logbooks	D	Q2 2018	DAJ	Action achieved at 50 % and amended (see life sheet)
33. Teaching	III-33					

34. Complain / appeals	III-34.1	Improve the knowledge of the alert procedure with a communication action directed towards all staff members	C	Q1 2017	CHSCT/ DRH	Action achieved at 90 % and postponed to Q4 2017
	III-34.2	Implement an internal process describing the ways one can call the Law Office and for information the legal process	F	Q2 2018	DRH/ DAJ	On-going and amended action (see life sheet)
35. Participation in decision-making bodies	III-35	See I-11.2				

## IV – Training (items 36 to 40)

Item	Number	Action	Type	Deadline	Responsible	Current status
36. Relation with supervisors	IV-36					
37. Supervision and managerial duties	IV-37	See IV-38				
38. Continuing Professional Development	IV-38	Create a training pack for Researchers and Research Units Directors (to increase awareness on intellectual property, funding of research...)	D	Q2 2018	DRH / DRV	Action achieved at 10 % and postponed to Q4 2018
39. Access to research training and continuous development	IV-39					
40. Supervision	IV-40					

### Key to abbreviations used in the tables above:

**ATER** = Attaché temporaire d'enseignement et de recherche / Research and Teaching Temporary Attaché

**CHSCT** = Comité d'hygiène, de sécurité et des conditions de travail/ Health, Safety and Working Conditions Committee

**CNRS** = Centre national de la recherche scientifique / National Center for Scientific Research

**DAJ** = Direction des affaires juridiques / Legal Affairs Department

**DIR Labos** = Directeur de laboratoires / Research Units Directors

**DPD** = Délégué à la protection des données / Data Protection Officer

**DPI** = Direction patrimoine immobilier / Public Property Department

**DRH** = Direction des ressources humaines / Human Resources Department

**PAST** = Professeur assistant/ Part-time Assistant Professor

**UFC** = Université de Franche-Comté (Besançon) / University of Franche-Comté (Besançon)

**SAIC** = Service d'activités industrielles et commerciales / Commercial and Industrial Activities Office

**VP for Education** = Vice-président formation et vie étudiante / Vice-President for Education and Student Life

**VP for Research** = Vice-président recherche / Vice-president for Research

**VP HR** = Vice-président ressources humaines / Vice-President for Human Resources

**ZRR** = Zone à régime restrictif / Strict Security Regime Area

### Three types of actions:

**C** = Internal **Communication** to better promote current practices.

**F** = **Formalization** of existing practices.

**D** = **Development** of new internal rules and/or practices.

### 3.2 L'OTM-R

The University of Franche-Comté has integrated the HRS4R approach into its overall settlement strategy before the European Commission strengthens the "Excellence in Research" application process by integrating the OTM-R principles.

As part of the interim report, the institution conducted a self-assessment of the Open, Transparent and Merit Based Recruitment (OTM-R) process. The assessment carried out takes into account the employment campaigns since obtaining the HRS4R label. The results of this self-assessment (Attachment 5.6) are positive:

Type of answers	Frequency of answers	% compared to 23 items	
YES completely	15	65,2 %	} 91,2 %
YES substantially	6	26,0 %	
YES partially	1	4,4 %	} 8,8 %
NO	1	4,4 %	

Indeed, 91.2% of the answers are considered as respecting by a large majority the principles of the OTM-R. Statistical monitoring of job campaigns and recruitments has been conducted for two years and the UFC is committed to completing it with an annual self-assessment of the 23 items of the OTM-R process.

The areas of improvement relate mainly to quality control and monitoring the achievement of the objectives of the OTM-R approach. The improvement report revolves around the following:

- Build an image of excellence that also relies on the recruitment process by giving guarantees to the candidates that the OTM-R principles are respected.
- Propose a clear and precise orientation of the strategic choices related to the recruitments.
- Involve the staff more on the administrative aspect until the recruitment commission and the the arrival of the new employee.
- Set up a process guaranteeing a service of quality throughout the recruitment process.
- Strengthen the level of performance through a process of continuous improvement.

This is why the UFC has added an additional development to the initial action plan that provides the implementation of a quality approach for all recruitment processes.

## 4. Implementation

- How have you prepared the internal review? How have you involved the research community, your main stakeholders, in the implementation process?

The University of Franche-Comté has set up, as soon as the label has been received, measures that contribute to the preparation of the internal review :

- o Set up of a life sheet (for each action) that lists the various changes (responsible department, goal, indicator, modification of the environment).
- o Use of an electronic document management tool to track the progress of the project with using a naming plan.
- o Participation of the members of the monitoring committee, for validation, in meetings for monitoring and updating actions.
- o Conducting a survey to evaluate the progress of the project.
- o Implementation of an internal audit to assess the consistency of the interim report with the progress of the project.

**Synthesis of the UFC internal audit on the HRS4R approach carried out by Véronique Freyburger, Head of Quality Support System, and Fabrice Lallemand, teacher-researcher, former Vice-President in charge of Human Resources and Social Dialogue and HRS4R Project Manager until July 2016**

The internal audit of the HRS4R approach based on the various elements filed on the Nuxeo platform and interviews with the Vice President Human Resources and some members of the support unit have established the following findings:

The HRS4R approach enjoys strong political porting. It is the subject of strategic commitments included in the settlement project. Good dynamics and regularity in the implementation and monitoring of the actions included in the action plan are impelled by the steering committee and the support unit who are the guarantors. The monitoring of the progress of the actions is made possible by the life sheets and the various pieces of evidence available on the Nuxeo platform. 50% of the actions have an achievement rate between 70 and 100%, this, despite the complexity of the implementation of certain actions (harmonization of practices and procedures, set-up of restricted areas ...), some internal restructuring, and contextual changes related to the establishment of collegiums and their integration into the monitoring committee. The other actions are all in progress except for the 2 new actions identified.

### Strengths

Set up of a monitoring committee to ensure the follow-up and the validation of the actions as well as the communication of the quality approach internally and externally. This committee meets once or twice a year and gives rise to a report (see report of the monitoring committee of March 9, 2017)

Set up of a technical committee "Support Unit" meeting about once a month to support the action leaders, monitor the action plan and inform the Monitoring Committee (viewed 10 reports of the different meetings).

Use of the Nuxeo platform to optimize the monitoring of the action plan and facilitate the updating of the life sheets by the Support unit. This platform also allows consultation of the actions and their progress by the members of the monitoring committee.

“Life sheets” have been created for each action, they are updated by the support Unit as the actions progress and their validation (given the 39 life sheets).

Evidence is filed on the platform in addition to the life sheets to confirm the implementation of actions. 39 updated life sheets are listed in Nuxeo platform as well as the various elements of related evidence (sampling of evidence : guide "confidentiality agreements", guide "international mobility", appointment of an officer responsible for disabled persons and appointment of an intellectual property officer ...).

Strengthening of certain actions in order to improve their effectiveness following the identification of risks in the field concerned.

Integration of the principles and self-assessment of the Open Transparent Merit-based Recruitment (OTM-R) process by the institution (seen self-evaluation).

### Weaknesses

The identification of an HRS4R referent in each laboratory would allow a relay with the support unit and the monitoring committee and facilitate communication and coordination of the implementation of actions.

These referents would also make it possible to avoid a shortening of the commitment and the dynamics of the members of the support Unit and to perpetuate the process.

Strengthening internal and external communication would enable staff and partners to better understand the issues involved in this labeling.

- Do you have an implementation committee and/or steering group regularly overseeing progress?

Following the awarding of the label, the institution has set up a tracking tool composed of a monitoring committee and a support unit to assist those responsible for actions (see Attachment 5.3):

- The monitoring is composed of representatives from the university community and UFC management and department leaders. It meets once or twice a year to follow and validate the main stages of the project's progress, formulate opinions and recommendations and contribute to the dissemination of the label in the institution. During autumn 2018, each collegium is asked to appoint a representative who will be part of the monitoring committee.
  - The support unit is composed of seven members from the UFC leadership or departments that meet several times a year. It is responsible for liaising with the department responsible for actions, coordinating the production and archiving of documents concerning the label and helping to promote the HRS4R approach and the Human Resources Strategy for research in the institution.
- 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?

The UFC HRS4R strategy was integrated into the institution's research policy and presented to the laboratories

A progress report is regularly made to the different bodies. This is the opportunity to discuss the approach and actions implemented.

Some of its actions are referenced in the social report produced annually and presented to the UFC bodies.

- How do you involve the research community, your main stakeholders, in the implementation process?

Members of the university are informed by a dedicated section on the institution's website and the dissemination of information relating to HRS4R by the communication department. The dedicated websection on the "HR Excellence in research" label was visited 724 times in 2017.

The president of the university made a speech about the label at the New Year's greetings ceremony in 2017. The head of the research department intervened during the welcome day for new staff on January 23, 2018 to explain the process. A member of the Support Unit exposed the UFC's approach to obtaining the "HR Excellence in research" award during the national conference of the Association of Directors of Human Resources of Higher Education which took place on May 19, 2017 in Nice.

- How is your organisation ensuring that the proposed actions are also being implemented?

During the drafting of the action plan, indicators of achievement was defined. They serve to objectify the effectiveness of the implementation of the action. The implementation of the HR label is the subject of a specific indicator proposed by the



UFC as part of the 2017-2022 institutional contract negotiated with the Ministry and which will be discuss again in 2019.

- How are you monitoring progress?

The survey conducted in the spring of 2018 shows that the knowledge of the HRS4R approach by the members of the UFC is progressing : about a third of respondents say they are aware of the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers as well as the Strategy of human Resources for research of the UFC.

The monitoring carried out shows that the action plan is progressing according to the schedule initially developed despite some reprogramming. The achievement rate is steadily increasing: 21% in 2016, 42% in 2017 and 59% in 2018.

- How do you expect to prepare for the external review?

The structuring tools proposed for the internal review will also be useful for the external review : life sheet of actions, use of an electronic document management tool with naming plan and archiving the different versions, minutes of the monitoring committees and support unit. These reports are also available in English.

*Please note that the revised HR strategy and Action Plan must also be published upon completion of the internal assessment.*

## 5. Attachments

### 5.1 UFC's Organisational chart

**To be attached**

### 5.2 Composition and operation of the monitoring committee and the support unit

#### Members of monitoring Committee as of October 1, 2018

##### **Heads of department and Administration members**

- Mr Stéphane CROVELLA, Deputy General Director of Services, Human Resources Director
- Mrs Rabia DEGACHI, General Manager of Services of UFC
- Mrs Nina GRISOT, Head of Research and Promotion of Research Department
- Mr Elouan KERGADALLAN, Head of Legal Department
- Mrs Olga KOUCHNARENKO, Vice-President for Research and Promotion of Research
- Mr Thierry LIEGEOIS, Administrative Officer of SLHS UFR
- Mr Frédéric MUYARD, Lecturer, Vice-President for training and Student Life
- Mrs Nadia ZAIDI, Head of human resources Department (BIATSS and teachers)


##### **Members of the bodies or representatives of the different scientific fields**

- Mrs Elodie BELLE, Head of Training Department
- Mr Pascal BERION, Lecturer (UMR 6049 ThéMA), member of the Research Committee
- Mrs Françoise BEVALOT, former President of the UFC
- Mrs Céline DEMOUGEOT, Professor of universities, (EA 4267 Fonctions et dysfonctions épithéliales) member of the Research Committee
- Mrs Françoise GAZELLE, Research engineer (UMR 6213 UTINAM), member of Technical Committee
- Mrs Laurence GODARD, Lecturer, Representative of collegium SJEG
- M. Maxime JACQUOT, Lecturer (UMR 6174 FEMTO-ST Institute), member of the Board of Directors, representative of collegium SF-SPI
- Mrs Argyro KARATHANOU, contractual research engineer
- Mrs Laurence MILLON, Professor of universities - hospital practitioner (UMR 6249 Chrono-environnement Laboratory), member of Research Committee
- Mr Arnaud MOULY, Lecturer (UMR 6249 Chrono-environnement Laboratory), member of the Research Committee
- Mr Denis PASCO, Professor of universities (EA 4661 ELLIADD), Director of EDUC Research Federation
- Mrs Marie-Cécile PERA, Professor of universities (UMR 6174 FEMTO-ST Institute), member of the Board of Directors
- Mr Antoine PERASSO, Lecturer (UMR 6249 Chrono-environnement Laboratory), representative of collegium SNET
- Mrs Eliane SOUDAGNE, assistant engineer, Manager of Schooling department of SLHS UFR, member of Technical Committee
- Mr Frédéric SPAGNOLI, Lecturer, Head of Italian Department, representative of collegium SHS
- Mrs Léa ZIRI, Contractual engineer, International Relations Department

### **Members of the support Unit as of October 1, 2018**

- Mr Thierry BLOND, Deputy General Director of Services for Finance, Management and quality
- Mr Stéphane CROVELLA, Deputy General Director of Services, Human Resources Director
- Mrs Florence CUNEY, in charge of Management Affairs
- Mrs Stéphanie DJERIOUJ, International mobility Assistant (Euraxess services Centre)
- Mr Thierry LIEGEOIS, Administrative Officer of SLHS UFR
- Mr François PARDO, Head of Monitoring Payroll and Internal Human Resources Control office
- Mr Éric PREDINE, Vice-President for Human Resources and Social Dialogue

### 5.3 Example of a life sheet

	Suivi: I-3.3 Mettre à disposition de la documentation sur le droit de la recherche	Label HR: 12.01.2018	Date: 12.01.2018
		Edition: V1	Page: 1/1


#### • Origine de l'indicateur

<b>Principe n°03: Responsabilité professionnelle</b>	Les chercheurs s'efforcent pleinement d'assurer que leurs travaux de recherche sont utiles à la société et ne reproduisent pas des recherches effectuées ailleurs précédemment. Ils évitent tout type de plagiat et respectent le principe de la propriété intellectuelle et de la propriété conjointe des données en cas de recherche effectuée en collaboration avec un ou plusieurs directeurs de thèse/stage et/ou d'autres chercheurs. La nécessité de valider les observations nouvelles en montrant que les expériences sont reproductibles ne devraient pas être interprétée comme du plagiat, à condition que les données à confirmer soient explicitement cités. Les chercheurs veillent à ce que, en cas de délégation d'un quelconque aspect de leur travail, le délégataire ait la compétence nécessaire.
<b>Analyse des écarts</b>	<p><b>Travaux de recherche utiles à la société:</b> De nombreux travaux de recherche sont financés sur appel à projet élaborés en fonction des besoins sociétaux ou sur demande de partenaires privés sur des problématiques permettant l'optimisation de leurs produits/services.</p> <p>La performance des unités de recherche fait également l'objet d'une évaluation globale par le haut conseil de l'évaluation de la recherche et de l'enseignement supérieur (HCERES).</p> <p>Obligation de consacrer l'intégralité de leur activité professionnelle aux tâches qui leur sont confiées.</p> <p>Pour permettre de s'en assurer, l'UFC dispose des outils suivants: cahiers de laboratoire, publications, encadrement des doctorants, fiches de temps, participation à des colloques, heures d'enseignement...</p> <p>Le cumul d'activité est autorisé sous réserve de respecter la réglementation en vigueur.</p> <p><b>Respect de la propriété collective d'une œuvre:</b> Les déclarations d'invention mentionnent nécessairement l'ensemble des auteurs/inventeurs des résultats de recherche issus d'un travail commun. Si ces auteurs/inventeurs sont employés par des personnes morales différentes, une convention de copropriété est signée, le cas échéant dans le respect du contrat encadrant la recherche commune.</p> <p><b>Délégations:</b> Autorisées par un texte législatif, réglementaire, ou un accord cadre. Le «chercheur doit veiller à ce que le délégataire ait la compétence nécessaire». Le directeur de la valorisation a délégation de signature pour le président de l'Université. Il est également chercheur et a donc la compétence nécessaire pour apprécier les contrats remis à signature par la cellule juridique.</p>
<b>Action à mener</b>	Après avoir identifié les ouvrages (concernant la PI, le droit du logiciel et la protection des données entre autres) nécessaires pour les laboratoires, une proposition d'acquisition sera faite par le SCD.
<b>Intitulé de l'action</b>	Mettre à disposition de la documentation sur le droit de la recherche

#### • Description de l'indicateur

Responsable:	Service juridique de l'UFC
Echéance:	Trimestre 3 2017
Élément:	Proposition d'acquisition d'ouvrage ad-hoc au SCD

Rédaction:			
Nom: CHEROUX Service: Direction de la recherche et de la valorisation Date: 12 janvier 2018 Visa: SCD			

	Suivi: I-3.3 Mettre à disposition de la documentation sur le droit de la recherche	Label HR	Date: 12.01.2018
		Edition: V1	Page: 1/1

préparé par	
Contact cellule	Stéphanie DJERIOU
Référents comité	Olga Kouchnarenko / Nina Grisot / Lés Ziri

**Etat d'avancement de l'action**

Réalisations	90 %
Commentaires	<p>Une première réunion entre le SCD (BU Droit – Hélène Pouilloux) et les juristes a eu lieu le 18/05/2017 à 10h00.</p> <p>Un recensement de la documentation disponible a été envoyé par le SCD ainsi qu'une proposition de panier complémentaire accompagné de son devis. Un compte-rendu de la réunion du 18/05/2017 est disponible.</p> <p>La question du financement des ouvrages supplémentaires à acquérir est soulevée mais non résolue.</p> <p>Acquisition en cours.</p> <p>Proposition d'ajouter des stickers HR excellence sur les ouvrages acquis.</p>

**Modifications techniques**

La cellule juridique du SAIC est intégrée au service juridique de l'UFC
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Rédaction		
Nom: DJERIOU Service: Direction de la recherche et de la valorisation Date: 12 janvier 2018 Visa: SCD		

## 5.4 Synthesis report on the progress of the UFC's action plan

Action	Progress (%)
<b>HRS4R Action Plan</b>	<b>59</b>
I-1 Forward the Charter and the Code to researchers	70
I-2 Forward the National Charter for Research Integrity to researchers	70
I-3.1 Inform researchers at early stage of their research on confidentiality agreements	100
I-3.2 Appoint an Intellectual Property officer	100
I-3.3 Make documentation on research law available	90
1-4.1 Increase research units directors' awareness on the need to following-up agreements	10
I-5.1 Harmonize research units internal rules	50
I-5.2 Better inform researchers on the possibilities of knowledge transfer from public to private sectors	80
I-5.3 Draw up complete and suitable instructions for patenting	50
I-7.1 Formalize with « safety data sheets » requirements from CHSCT on research projects	10
I-7.2 Write down significant risks in risk assessment forms	50
I-7.3 Create strict security regime areas	50
I-8.1 Increase the visibility and access to researchers production within OPEN ACCESS	10
I-9 Write components for « Science in society » projects	10
I-10.1 Include a training module on the fight against discrimination	100
I-10.2 Appoint an officer responsible for disabled persons	100
I-11.1 Implement a group working on quality to accompany teaching staff	100
I-11.2 Associate collegiums to the assessment process	40
II-13.1 Systematically translate into English job descriptions	90
II-13.2 Wider spread permanent and temporary jobs offers	75
II-14 Formalize an annual meeting with all the recruitment committees' presidents	100
II-16 Add to the annual guidance letter sent from the president to the members of recruitment committees wider criteria	100
II-18.1 Formalize a process for outgoing mobility outside the Erasmus + program	30
II-18.2 Formalize a welcome process for foreign researchers through the EURAXESS Services Centre	30
III-23 Set up with the CHSCT a list of staff members particularly exposed to risks	30
III-24.1 Draw up a guidebook for all academic staff presenting all possible working time arrangements	10
III-24.2 Increase the accessibility rate of premises up to 80% by 2020	95
III-24.3 Make sure that the status of elected is approved by the board of administration	100
III-24.4 Elaborate and communicate information related to the different structures enabling students to re-focus or deepen their research activities	80
III-27.1 Increase jury members' awareness on the stereotypes issue with the making of a video	20
III-27.2 Integrate the equality dimension in the training plan	50
III-27.3 Integrate in the training plan programmes giving advice for the writing of dossiers and researchers selection interviews	100
III-28 Select and train certain staff members within the research units to accompany the researchers careers	10
III-29 Make sure that all foreign researchers recruited by the university are affiliated to social security	80
III-32.1 Communicate using international documents on the ethics of co-authorship	50
III-32.2 Widen the use of Research Units logbooks	50
III-34.1 Improve the knowledge of the alert procedure	90
III-34.2 Implement an internal process describing the ways one can call the Law Office	10
IV-38 Create a training pack for Researchers and Research Units Directors	10

## 5.5 HRS4R Survey of UFC's staff

"HR Excellence in Research" is a recognition given to institutions that are committed to a continuous improvement of its recruitment practices for research. The UFC was awarded this label on May 17, 2016 after a self-analysis of the gaps between UFC practices and internal procedures and the recommendations of the European Commission.

In order to measure the knowledge of the HRS4R approach by the staff of the UFC, a survey was launched on January 25, 2018 among the 2,500 teachers and BIATSS of the institution. A raise was made on February 8th. This survey was carried out by the Management and Monitoring department, in collaboration with the Research and Promotion of Research department. The LimeSurvey software was used to manage the online survey

The questionnaire consisted of three groups of questions :

- a first one whose aim was to assess the knowledge of the staff regarding the award, the European charter for the researchers and the code of conduct for the recruitment of researchers,
- a second, where it was asked to identify the most important items among those included in the four main groups of principles,
- a third whose objective was to decide on the interest of the strategy set up at the UFC to answer the problems of the institution.

At the end of this survey, 1,139 questionnaires are exploitable, they are treated anonymously.

### 1) The characteristics of the respondents

Regardless of the characteristic taken into account (status, gender, age or assignment component), respondents to the survey have a profile close to that of UFC staff. More than three quarters of the respondents are permanent staff, half are women and almost two-thirds are between 35 and 54 years old. More than 40% work at UFR ST (science and technology), at UFR SLHS (language, human and social sciences) or at the central services.

#### Profile of respondents by status

	Respondents to the survey	UFC Staff
Permanent Teachers	45,6	43,9
Non permanent teachers	9,1	10,9
Permanent administrative staff	32,0	29,9
Non permanent administrative staff	13,3	15,3
Together	100,0	100,0

#### Profile of respondents by gender

	Respondents to the survey	UFC Staff
Women	49,3	49,0
Men	50,7	51,0
Together	100,0	100,0

### Profil of respondents by age

	Respondents to the survey	UFC Staff
Less than 35 years	19,0	21,2
35-44 years	28,6	26,9
45-54 years	34,9	31,0
55 years and more	17,5	20,9
Together	100,0	100,0

### Profil of respondents by assignment

	Respondents to the survey	UFC Staff
UFR SLHS	13,3	13,0
UFR SJEPEG	5,4	5,2
UFR ST	19,2	19,0
UFR Santé	8,5	12,6
UPFR Sports	4,6	3,1
UFR STGI	4,9	4,6
IUT Besançon-Vesoul	6,7	6,5
IUT Belfort-Montbéliard	8,3	8,2
ISIFC	0,7	0,6
Observatoire	0,4	0,7
ESPE	5,2	4,6
SAIC	3,2	4,7
Services centraux	10,3	7,4
Formation continue	0,6	0,7
SCD	3,9	4,1
SUMPPS	0,8	0,5
CTU	0,3	0,6
CLA	3,5	3,6
Université ouverte	0,1	0,2
PUFC	0,1	0,1
Together	100,0	100,0



## 2) Knowledge of the HRS4R approach by UFC staff

Two years after obtaining the “HR Excellence in research” award, a third of the respondents (383 staff) in the survey say they have already heard about the HRS4R approach. Of these, two-thirds believe that it is a label and a logo promoting good practices in recruitment for research; 55% think it is awarded by the European Commission on the proposal of a strategic human resources plan for researchers.

To the open question "What do you think the HR award brings to institutions that own it?", 225 people gave their opinion. Nearly 43% believe that the award brings more attractiveness, more visibility, recognition and notoriety of the UFC at the European level. Four other groups of answers emerge:

- the award certifies a guarantee of quality: 17%
- the award favors obtaining European funding: 12%
- the award induces the setting up and the respect of the procedures of recruitment: 12%
- do not know : 9 %

Finally, 7% of the 225 respondents feel that the HR award does not bring anything or is only a communication effect.

Among the 1,139 respondents, 371 people are aware of the European Researcher's Charter, 314 people are aware of the Code of Conduct for the Recruitment of Researchers, and 315 are aware of the Human Resources for Research Strategy at UFC. Regardless of one of these reference documents, less than 4 out of 10 say they have consulted them.

The analysis of these data suggests continuing and strengthening the internal communication work to increase awareness of the approach and allow a better apprehension by the staff of the importance of the strategy put in place at the UFC.

**Question : « Have you heard about the HR award ? »**

	Number	%
Yes	383	33,6
No	712	62,5
No answer	44	3,9
Together	1 139	100,0

**Question : « According to you, this is ...: »**

	Yes	No	No answer	Together
This is a quality award and logo	95	288	756	1 139
This is a award and a logo of excellence	133	250	756	1 139
A award and logo promoting good recruitment practices for research	249	134	756	1 139

**Question : « What do you know about this award ? »**

	Number	%
It is awarded by the European Commission for the quality of research conducted by the institution	28	2,5
It is awarded by the European Commission for the quality of the recruitment procedures of the institution	72	6,3
It is awarded by the European Commission on the proposal of a strategy of human resources for researchers	207	18,2
No answer	832	73,0
Together	1 139	100,0

**Question : « According to you, what does the label bring to institutions holding it? »  
(As an open question, similar answers have been put together)**

	Number	%
The award brings more attractiveness, more visibility, recognition and notoriety of the UFC at the European level	96	8,4
The award certifies a guarantee of quality	38	3,3
The award makes it easier to obtain European funding	28	2,5
The award requires the institution to put in place a recruitment procedure and respect them.	27	2,4
Do not know	20	1,8
Nothing, for the moment in any case	8	0,7
A communication effect, just an image	8	0,7
No answer	914	80,2
Together	1 139	100,0

**Question : « Do you know... : »**

	Yes, but I didn't read it	Yes and I read it	No, I've never heard about it	No answer	Together
The European Charter for Researchers	299	72	690	78	1 139
The code of conduct for the recruitment of Researchers	216	98	732	93	1 139
The Human Resources Strategy for Research at the UFC	193	122	721	103	1 139

### 3) What are the priorities in the framework of HRS4R? : the point of view of the staff of UFC

The questionnaire included 4 questions relating to the interest in the principles set out in the European Charter for Researchers and the Code of Conduct for their recruitment. They referred to the 4 major items :

- Ethical and professional aspects (11 principles)
- Recruitment (10 principles)
- Working conditions and social security (14 principles)
- Training (5 principles)

For each question, staff were asked to identify the principles they consider most important for their career. Among the 1,139 respondents, 173 did not answer these questions. The percentages presented below therefore relate to 966 staff:

#### - **Ethical and professional aspects**

The 3 principles considered as the most important are:

- o Research freedom (69 %)
- o Professional responsibility (64 %)
- o Ethical principles (61 %)

The 3 principles considered as less important are :

- o Accountability (31 %)
- o Contractual and legal obligations (26 %)
- o Professional attitude (21 %)

#### - **Recruitment**

The 2 principles considered as the most important are:

- o Transparency (69 %)
- o Recruitment : job offers publication (60 %)

The 2 principles considered as less important are :

- o Recruitment : *devices to the researcher career de chercheur* (19 %)
- o Postdoctoral appointments (12 %)

#### - **Work conditions and social security**

The 3 principles considered as the most important are:

- o Work conditions : work-life balance (58 %)
- o Funding and salaries (52 %)
- o Research environment (51 %)

The 3 principles considered as less important :

- o Career advice : career development (17 %)
- o Co-authorship : deontology, log books (16 %)
- o o Complains / appeals : mediation devices (13 %)

#### - **Training**

The principle considered as the most important is:

- o Relation with supervisors (62 %)

The principles considered as less important is:

- o Continuing professional development (35 %)

The results presented above are confronted with the actions implemented at the UFC as part of its HRS4R strategy. Nine principles were deemed important by UFC staff. Most of the actions implemented meet these principles show completion rates of at least 70% in

September 2018, showing some consistency between staff expectations and the institution's human resources policy.

### 1) HRS4R : expectations and perspectives

21% of the 1,139 respondents think that the UFC Strategy as part of the HRS4R approach will meet their recruitment expectations. The analysis of the open question "if so, why?" indicates that the integration of OTM-R principles into the action plan (transparency of recruitment procedures, wider selection criteria, gender equality, etc.) is a strong expectation. Nevertheless, some are reserved on the expected perspectives and await the implementation of actions still considered as too theoretical. Others adhere to the approach, but stress the lack of human and financial resources for the implementation of the action plan. Finally, some staff, although aware of the importance of the strategy, do not feel concerned because of their status (administrative staff).

A hundred staff (8% of respondents) are not convinced at all by the strategy of the UFC, considering it too far from the daily difficulties, comparing it to "a media noise". Some think that the HR award aims to put universities in competition with one another or even to hinder the development of research collaborations.

Despite these assumptions about the future of the UFC approach, the survey nevertheless allowed direct communication with the university population. If one in ten respondents have already consulted the reference documents, 49% plan to read them later.

**Question: « Based on your knowledge of HRS4R and the UFC Strategy, do you think it is an answer to your expectations and / or those of recruitment issues and working conditions? »**

	Number	%
Yes, partially	193	16,9
Yes, totally	47	4,1
No at all	11	8,3
No answer	805	70,7
Together	1 139	100,0

**Question: « Do you think you will take the time to consult the reference documents (European Charter for Researchers, The Code of Conduct for the Recruitment of Researchers, HumanResources Strategy for Research at UFC) ? »**

	Number	%
I've already read them	108	9,5
I will maybe read them	559	49,1
I will never read them	118	10,3
No answer	354	31,1
Together	1 139	100,0

The results of this survey are put three main conclusions forward:

- First of all, it would be necessary to reinforce the communication concerning the HRS4R approach and the strategy set up at UFC, in particular to reaffirm the institution's wish to widen the scope of the planned actions to all staff.
- Secondly, the interest in the recruitment procedures was clearly expressed by the respondents (transparency of procedures, clearer and wider selection criteria, respect for gender equality ...), integration of the principles of OTM-R in the action plan is therefore crucial.
- Finally, the realization of this survey has brought a real added value, both in terms of communication to UFC staff, and the evolution of the strategy of the institution in the coming years.

5.6 UFC's self-assessment on the implementation of an OTM-R

## Open, Transparent and Merit-based Recruitment of Researchers

# OTM-R

### Checklist for Institutions

	Open	Transparent	Merit- based	Answer: <i>Yes completely/ Yes substantially/ Yes partially/No</i>	Suggested indicators (or form of measurement)
<b>OTM-R system</b>					
1. Have we published a version of our OTM-R policy online (in the national language and in English)?	X	X	X	<b>YES substantially</b>	<a href="http://www.univ-fcomte.fr/venir-luniversite-en-tant-que-chercheur-etranger">http://www.univ-fcomte.fr/venir-luniversite-en-tant-que-chercheur-etranger</a> in several languages (see the UFC's website) The document is updated during job campaigns.
2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?	X	X	X	<b>YES completely</b>	The guide is updated at the time of the: - internal staff movements (teachers and library, engineer, administrative, technical, social and health service staff : BIATSS) in November and July of each academic year. - job campaigns in November for teachers with a secondary school degree and in April for teachers-researchers.

3. Is everyone involved in the process sufficiently trained in the area of OTM-R?	X	X	X	YES substantially	An annual meeting is organised before the recruitment campaign in order to inform the chairs of the selection committees and the directors of faculties, institutes, schools and centers about the OTM-R principles. Moreover, the administrative staff who deals with the administrative procedures regarding recruitment are informed and trained to the OTM-R principles. It is also the case for the administrative managers of faculties, institutes, schools and centers.
4. Do we make (sufficient) use of e-recruitment tools?	X	X		YES	The following WEB tools are used for the different stages of recruitment: Local tools: APRATER and APREC National tools: GALAXIE, SENORITA
5. Do we have a quality control system for OTM-R in place?	X	X	X	NO	This issue will be the subject of an additional action in the HRS4R action plan.
6. Does our current OTM-R policy encourage external candidates to apply?	X	X	X	YES	Statistical monitoring of applications and recruitments
7. Is our current OTM-R policy in line with policies to attract researchers from abroad?	X	X	X	YES	Statistical monitoring of applications and recruitments. Reserved positions for international recruitments: fellowship (10% of the total positions open to recruitment)

8. Is our current OTM-R policy in line with policies to attract underrepresented groups?	X	X	X	YES substantially	Statistical monitoring of applications and recruitments Political governance messages.
9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?	X	X	X	YES substantially	Statistical monitoring of applications and recruitments
10. Do we have means to monitor whether the most suitable researchers apply?				YES substantially	Statistical monitoring of applications and recruitments
<b>Advertising and application phase</b>					
11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?	X	X		YES	
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		OUI	Accurate job description translated into English
13. Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience?	X	X		YES substantially	Posts published on EURAXESS Statistics on applications
14. Do we make use of other job advertising tools?	X	X		YES	GALAXIE University's website Publications through the "Pôle emploi" office



15. Do we keep the administrative burden to a minimum for the candidate? [see Chapter 4.4.1 b)]	X			YES	Paperless procedures
<b>Selection and evaluation phase</b>					
16. Do we have clear rules governing the appointment of selection committees? [see Chapter 4.4.2 a)]		X	X	YES	National guide. The chairs of the selection committees are informed in writing and during a plenary meeting with the directors of faculties, institutes, schools and centres.
17. Do we have clear rules concerning the composition of selection committees?		X	X	OUI	National and local guide about the composition and functioning of the selection committees.
18. Are the committees sufficiently gender-balanced?			X	YES	Art L.952-6-1 (national education code)
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	Letter of the President of the University sent to the chairs and members of the selection committees.
<b>Appointment phase</b>					
20. Do we inform all applicants at the end of the selection process?		X		YES	GALAXIE Application

21. Do we provide adequate feedback to interviewees?		X		YES	If the applicant asks for it, there is a procedure to get a feedback
22. Do we have an appropriate complaints mechanism in place?		X		YES	Statistics on complaints
<b>Overall assessment</b>					
23. Do we have a system in place to assess whether OTM-R delivers on its objectives?				YES partially	A statistical monitoring is implemented, but it is necessary to set up a quality approach on methods and achievement of objectives. An assessment is conducted with the chairs of the selection committees about the functioning of these committees.