TEMPLATE 4: ACTION PLAN

Case number:

Name Organisation under review:

Organisation's contact details: .

1. ORGANISATIONAL INFORMATION

*Please provide a limited number of key figures for your organisation. Figures marked * are compulsory.*

STAFF & STUDENTS	FTE
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research	*1 215*
Of whom are international (i.e. foreign nationality)	*139*
Of whom are externally funded (i.e. for whom the organisation is host organisation)	*126*
Of whom are women	*499*
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	*862*
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	*85*
Of whom are stage R1 = in most organisations corresponding with doctoral level	***826***
Total number of students (if relevant)	***30271***
Total number of staff (including management, administrative, teaching and research staff)	***2722***
RESEARCH FUNDING (figures for most recent fiscal year)	€
Total annual organisational budget	***265 385 153***
Annual organisational direct government funding (designated for research)	*64 072 746.19*
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations - including EU funding)	*16 459 912.69*
Annual funding from private, non-government sources, designated for research	*3 251 135.53*
ORGANISATIONAL PROFILE *(a very brief description of your organisation, max. 100 words)*	

The University of Caen Normandy, founded in 1432, is one of the oldest universities in Europe. Although it was destroyed during the 2nd World War, it was subsequently completely rebuilt. The University of Caen Normandie is a member of the Normandie Université community, which includes various universities and institutions. It is located in 3 departments: Calvados, Manche, and Orne. The university spans across 11 campuses, with six in the Caen area and five in Alençon, Cherbourg-en-Cotentin, Lisieux, Saint-Lô, and Vire. With over 30,000 students, it is a multidisciplinary university. The university is home to 4 graduate schools and 41 laboratories, 21 of which are accredited by major organisations such as CNRS, INRAE, INSERM, and CEA. Scientific activity is based on 3 federating clusters that foster scientific collaboration and resource sharing: the Integrative Biology, Imaging, Health, and Environment cluster (BI2SE), the Human and Social Sciences cluster (SHS), and

the Science and Technology cluster (ST). These clusters receive support from grouping structures and technical platforms, the majority of which are accredited.

2. STRENGTHS AND WEAKNESSES OF THE CURRENT PRACTICE

Please provide an overview of the organisation in terms of the current strengths and weaknesses of the current practice under the four thematic headings of the Charter and Code at your organisation.

Thematic heading of the Charter and Code	STRENGTHS and WEAKNESSES
Ethical and professional aspects	Researchers enjoy a high degree of independence and freedom of expression: 92% of lecturer-researchers state that they feel free to choose their research directions and are autonomous in their research work, even though some mention obstacles such as funding, external calls for tenders, and external evaluations.
	In the area of ethics, the university has decided to establish a local research ethics committee (CLER) at the institutional level. While researchers are acquainted with the main principles of ethics, professional conduct, and scientific integrity, they are not very familiar with the rules for their implementation or the existing texts and mechanisms. Only 23% are familiar with the French Charter of Ethics for Research Professions, 16% have sought assistance from the Data Protection Officer (GDPR), and 23% are aware of the existence of the Scientific Integrity Officer (RIS). Additionally, only 53% reported having a data retention methodology. Support measures are required to enhance awareness in these areas.
	Researchers are aware of the need to effectively manage funding, but the regulations can be complex. The university has established a dedicated platform for research contract management, but there is a need for improvements to enhance the service provided to researchers.
	In terms of health and safety at work, the university has a prevention department and a staff medical service. Moreover, more than 77% of the researchers believe that they follow safe working practices regarding risk prevention. However, only 60% were familiar with the occupational health and safety register.
	Open science is supported by the COMUE, and the university adopted its open science charter in July 2022. Its policy is based on a campus-wide approach that involves multiple departments, promoting both open data and open access. While over 77% of researchers express their

	intention to make their research accessible through open access, only 45% are aware of the requirements imposed by funding bodies. Therefore, the university must continue implementing the action plan defined in 2022 to further enhance researchers' dedication to open science. The university supports researchers in developing and disseminating their research, either directly through the Department of Research and Innovation (DRI) or by delegating its authority to 3 external entities affiliated with the COMUE. Additionally, the university has appointed a Vice President for partnership research. The university is highly dedicated to its societal commitment. The University was among the pioneering institutions to receive the Science with and for Society (SAPS) label from the French Ministry of Higher Education and Research. A budget of €870,000 has been allocated for the label over a span of 3 years. The university is presently implementing its action plan, which includes initiatives such as the launch of a "mediation" master's degree, an international symposium in 2023, and the SAPS festival, among others. The university has implemented several measures to address discrimination and promote equality, including a multi-year disability plan, a gender equality plan, and measures to combat sexual and gender-based violence. While over 70% of respondents to the HRS4R consultation believe that the university respects diversity, there is a certain lack of awareness regarding the existing mechanisms. Researchers are evaluated by both the CNU and the institution. The HRS4R self-assessment revealed that the assessment criteria are not always well-known, and the participation of researchers in the engineering and technical, research, and training staff (ITRF) categories was not always recognised.
Recruitment and selection	The recruitment and selection procedures for open positions at the Université de Caen Normandie adhere to the applicable legislation and regulations. They are based on the decrees governing the employment bodies of civil servants within the institution, as well as those governing the recruitment of contract staff. This adherence to standards ensures that procedures are genuinely secure. However, this database is inadequate as it is not sufficiently accessible to all those responsible for recruitment. Similarly, candidates are not well acquainted with it. Therefore, there is a need to initiate efforts in formalising it. The formalisation process will outline the necessary application requirements and provide channels for appeal or obtaining

	information in case of application rejection. Successful applicants will receive clear and personalised information regarding their rights, duties, and obligations. The development of a framework document for contract staff will address some of these requirements. Additionally, the university will make efforts to implement the new status for post-doctoral students (Decree 2021-1450). In the case of permanent staff, measures should be taken to ensure that selection boards and/or committees are fully aware of their expected responsibilities.
	Similarly, these juries and/or selection committees will need to be professionalised through training and awareness-raising initiatives. The University should provide them with standardised evaluation grids to facilitate decision-making among the interviewed candidates, as well as to use a shared grid to objectively assess the skills or career aspects required for the open position.
	To achieve this, the University will establish various training courses and working groups to ensure that the formalisation and standardisation procedures are widely shared. Additionally, consideration will be given to using digital tools to enhance these processes, such as dedicated applications, webinars, newsletters, etc.
	Generally speaking, although the mobility demonstrated by candidates is taken into consideration during the recruitment process, it is not formalised. This is why all procedures related to staff recruitment at the Université de Caen Normandie, which will be formalised, will include a dedicated framework for considering mobility. Mobility will also be a factor in staff promotions.
	Finally, while positions are published on EURAXESS, they are not consistently published in English. The university should enhance these two aspects.
	Regarding post-doctoral appointments, the university is lagging behind in implementing decree 2021-1450. Currently, several post-doctoral fellows are being recruited for IGR positions. The university needs to define the status of young researchers and clearly differentiate the responsibilities between an IGE/IGR (engineer/research engineer) from those of a CDD-lecturer-researcher (fixed-term contract).
Working conditions	The Université de Caen Normandie is committed to creating a working environment that is both suitable and fulfilling for its staff. The self-assessment carried out revealed a high level of satisfaction among researchers with the equipment, infrastructure, and resources provided by the University.

	The Université de Caen Normandie is committed to complying with regulations related to the working conditions of its staff. It has several departments dedicated to prevention, particularly in the areas of health and safety, as well as a social action department. Each component and department has its own Occupational Risk Assessment document (DUERP). Its purpose is to prevent risks to the health and safety of staff working at the university.

To ensure the absence of any form of discrimination, the university has established a vice-presidency responsible for equality. Additionally, it has implemented a dedicated hotline for reporting sexual and gender-based violence, and added an equality commission to its governing bodies to ensure the maintenance of balanced representation at all levels. Finally, to ensure the effective integration of knowledge transmission through teaching with research activities, the university has implemented service adaptations and mandatory teaching training for new recruits. Additionally, the university offers a teaching innovation support service to facilitate the professional development of its teacher-researchers.

Despite this, efforts must be made to ensure that staff fully use all the services and procedures available to them in order to enhance their working conditions. This includes understanding the roles and functions of each person in the management of administrative tasks, leveraging the possibilities offered by the information system, embracing flexibility in working conditions, supporting individuals with disabilities, and implementing initiatives to support parenthood). In addition, the Research and Innovation Department is undergoing reorganisation to offer researchers optimal support, especially in responding to regional, national, and European calls for proposals. Finally, the university aims to develop a plan for preventing psycho-social risks, which will be integrated into the DUERP of each work unit within the institution. Similarly, initiatives to promote workplace well-being will be developed collaboratively with staff, encompassing both providing information about existing resources (social action, access to sports and cultural activities, daycare availability, etc.) and the development of new projects (such as fostering work-life balance and implementing measures to support parenthood). |
| Training and development | The relationship between doctoral students and their supervisors is defined by the doctoral charter (particularly article 4). Doctoral students are supervised by their thesis director, who must hold a research management degree (HDR). Additionally, doctoral students receive support from an individual monitoring committee consisting of researchers not directly involved in the student's work, which assists them throughout their thesis. In case of conflicts between a doctoral |

	student and their thesis supervisor, the Doctoral School (ED) can initiate a mediation process to find a resolution. Furthermore, the ED imposes limits on the number of doctoral students per thesis director to ensure adequate supervision for each student.
	There is currently no formal mentorship program in place for newly appointed lecturers, although some research units have informal mentoring arrangements. The university is interested in piloting a formalised mentoring program, and is considering implementing a peer-mentoring system specifically for researchers in the engineering and technical, research, and training (ITRF) fields.
	Staff training and development are significant challenges in continuously improving the research conducted by the institution. This process should be supported by multi-year training plans that align with the institution's objectives, outlined in their mission statement, as well as with the goals of the research units.
	The University aims to enhance its selection of courses and registration procedures, with particular emphasis on evaluating staff training programs. Although trainees currently provide feedback on all training courses, the use of this feedback is not currently deemed satisfactory.
	Similarly, the University needs to equip itself with tools to manage its training activities, so that it has a comprehensive overview of them and can potentially revise its policies by adapting them as closely as possible to the needs of its staff.

3. ACTIONS

The Action Plan and HRS4R strategy must be published on an easily accessible location of the organisation's website.

<u>Please provide the web link to the organisation's HR Strategy dedicated webpage(s):</u>

*URL: https://www.unicaen.fr/universite/axes-strategiques-et-grands-projets/vers-une-labellisation-hrs4r/

Please fill in a sum up list of all individual actions to be undertaken in your organisation's HRS4R to address the weaknesses or strengths identified in the Gap-Analysis:

Proposed ACTIONS	GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
Free text -100 words max	Retrieved from the GAP Analysis			
See excel spreadsheet: document 4-01				

The establishment of an Open Recruitment Policy is a key element in the HRS4R strategy. Please also indicate how your organisation will use the Open, Transparent and Merit-Based Recruitment Toolkit and how you intend to implement/are implementing the principles of Open, Transparent and Merit-Based Recruitment. Although there may be some overlap with a range of actions listed above, please provide a short commentary demonstrating this implementation. If the case, please make the link between the OTM-R checklist and the overall action plan.

When recruiting researchers and teacher-researchers, the University of Caen Normandy promotes the principles of openness, transparency and selection methods based on merit and scientific excellence.

The gap analysis and evaluation conducted using the OTM-R checklist identify areas for improvement that must be implemented to make these principles clearer and more effective, especially for young researchers (R1 and R2). The action plan sets out a number of measures to achieve the desired objectives.

A working group dedicated to the recruitment and career development of contract staff (Thematic16/action 45) will be responsible for formulating proposals. Once validated, these proposals will be consolidated in a framework document that will provide visibility on recruitment processes, especially for young researchers (R2). It will also help clarify the prospects for their professional development.

This document will be accompanied by the implementation of a digital recruitment platform (Thematic17/Action 46). This tool will allow for the securing of procedures, ensuring traceability of operations, and providing quantified indicators for applications and selection stages.

Additionally, the recruitment of civil servant researchers (primarily R3 and R4) is conducted through national, digital procedures and tools (GALAXIE).

The University of Caen Normandie will publish information sheets on the different types of recruitment (Thematic18/ actions 47 to 49), which will provide better information to both internal and external applicants. The publication of juries will be expanded to recruitments for which it has

not yet been implemented (action 20). These actions will help improve the transparency of the process. The training program for research unit directors (Thematic 7/ action 20) will also contribute to better understanding.

The new disability master plan (Thematic 7/ action 20) is expected to facilitate a review of measures aimed at encouraging the recruitment of individuals falling under the employment obligation (Thematic 23 / action 55). The Gender Equality Plan and the drafting of a Diversity Charter (Thematic 28 / action 67) will serve as tools in combating discriminatory bias.

Advertising and applications

Job offers for lecturers (R3) and university professors (R4) are already posted on EURAXESS via Galaxie. The university intends to publish more offers on EURAXESS (thematic 24/action 56) and on other appropriate platforms. Procedure sheets (thematic18/ actions 47-48) and the framework document for contract staff (thematic16/action 45) will encourage the provision of information concerning working conditions, selection criteria, and career development prospects in calls for applications. These various elements will gradually be made available in a bilingual French-English version. The widespread use of electronic applications (thematic17/action 46) will simplify the application process. These various actions will help attract the best national and international candidates.

Selection and assessment

The selection committees (COS) for university professors and lecturers are constituted in compliance with French regulations, ensuring a more equitable representation between genders and the participation of members from outside the institution. The procedures for appointing COS members will be defined within the institution (thematic 21/action 53). Additionally, the composition of the COS for contract staff will be better defined (thematic16/ action 45) and more widely publicised (thematic 20/ actions 51-52). Evaluation criteria will be proposed (thematic 22/ action 54), with particular attention paid to the diversity and quality of academic and professional backgrounds.

The university will provide systematic training for members of the selection committees, particularly on cognitive biases, preventing discrimination, and considering mobility and differences in applicants' backgrounds (thematic19/ action 50).

Appointment

The GALAXIE tool and the upcoming dematerialisation tool (thematic17/ action 46) will enable applicants to be informed about the recruitment outcome at the end of the process.

Candidates who are not successful and request it can receive information about their application for lecturers and university professor positions. This possibility will be extended to other recruitment processes.

Overall assessment of the OTM-R policy

The various planned actions will gradually introduce monitoring indicators. In the medium term, these indicators will help evaluate the effectiveness of the University's recruitment policy and the various measures taken.

They also provide the basis for formalising the guidelines of the University's OTM-R recruitment policy.

If your organisation already has a recruitment strategy which implements the principles of Open, Transparent and Merit-Based Recruitment, please provide the web link where this strategy can be found on your organisation's website:

URL:

4. IMPLEMENTATION

General overview of the expected implementation process:

The proposed action plan contains 39 thematic broken down into 98 actions, the majority of which will be implemented or completed between September 2023 and December 2025 (see action plan). To ensure the implementation of these actions, the University of Caen Normandy will rely on an HRS4R steering committee, an operational monitoring committee, and action sponsors.

The HRS4R Steering Committee (with 20 members) will be composed of the VP for International Development, the VP for Partnership Research, the VP for HR, the two VPs for Research, the DGS (General Direction of Services), three directors of research laboratories (one for each division), three directors of training and research units, one director of a research platform, the director of the Carré international, one Research Engineer (R2), one post-doctoral student (R2), one doctoral student (R1), one representative of the Board of Directors, one representative of the Research Commission, and one representative of the CSAE.

It will be responsible for overseeing and supervising the smooth implementation of the action plan. It will also be responsible for any necessary arbitration. The committee will meet twice a year to review the progress of implementation and will have a regularly updated dashboard to monitor the process.

The operational monitoring committee (with 8members) will consist of the Vice-President of HR, the Vice-President of Research, the Director General of Services (DGS), the Director of Human Resources (DRH), the Director of Research and Innovation (DRI), the Director of the Steering Support, and Continuous Improvement Delegation (DAPAC), the Director of Prevention (DP), and the Director of Communications (Dircom). The operational committee may involve any experts it deems necessary.

This monitoring committee will be responsible for the operational implementation of the actions within the agreed-upon timetable and for coordinating the action sponsors. It will also be responsible for proposing consultations with the researchers prior to the mid-term evaluation. Twice a year, it will report to the COPIL on the progress of the action plan and any difficulties encountered. The Monitoring Committee will meet three times a year.

Project leaders: these are mainly department managers or people under their authority, who are responsible for carrying out the project(s) assigned to them.

Additionally, an update on the progress of the action plan will be presented once a year at the meeting of research unit directors and to the Research Committee (CR).

Staff will also be kept informed through internal communication channels (dedicated HRS4R web page, information in Trait d'Union (the university's weekly newsletter), emails sent directly to researchers).

At the end of 2 years (and before the interim evaluation), an internal consultation will be proposed to gauge researchers' perception of the actions that have been carried out, and to identify new avenues for improvement.

Make sure you also cover all the aspects highlighted in the checklist below, which you will need to describe in detail:

Checklist	*Detailed **description and duly justification**
How will the implementation committee and/or steering group regularly oversee progress?	The Monitoring Committee will meet every four months to review progress. Due to the large number of actions and sub-actions, the members of the Monitoring Committee will divide the actions they need to supervise among themselves. It is important to note that the majority of Monitoring Committee members will also be directly or indirectly responsible for improvement actions. Prior to each Monitoring Committee meeting, members will conduct interviews with project leaders to assess the situation and identify any delays, bottlenecks or difficulties. They will then update the management chart (deployment schedule and indicators), which will be presented to the Steering Committee twice a year.
How do you intend to involve the research community, your main stakeholders, in the implementation process?	The research community will be involved in a number of ways:

	-The vast majority of the HRS4R COPIL will be made up of R1 to R4 researchers. -The progress of the action plan will be reported annually to the Meeting of Research Unit Directors, composed exclusively of R3 and R4 researchers, as well as to the university's Social Administration Committee (CSAE), the Academic Council (meeting of the Research Commission and the Training and Student Life Commission) and the Board of Directors (CA). All these committees consist of elected representatives from the university's staff, the majority of whom are researchers ranging from R1 to R4 levels. -The organisation of communication actions aimed at researchers includes one dedicated page updated four times a year, regular publications covering flagship actions three or four times a year, and emails sent to research actors twice a year to present flagship achievements. -A mid-term consultation of research actors will be held to gauge researchers' perceptions of the project's progress and to identify new areas for improvement. -In addition, the directors of the research units will be invited to include an information item on the HRS4R strategy and action plan on the agenda of the annual general meetings of the research units.
How do you proceed with the alignment of organisational policies with the HRS4R? Make sure the HRS4R is recognized in the organisation's research strategy, as the overarching HR policy.	Implementing the HRS4R approach is an integral part of the university's strategy. To ensure coherence within the strategy, the HRS4R action plan integrates actions from other initiatives such as Open Science and Science with Society, along with other projects such as establishing a local research ethics committee, implementing contractual GT, securing the contractualisation with the FIPHFP, updating the equality charter, and reorganisation of the DRI. The institution will also use the actions defined as part of the HRS4R approach to structure its HR strategy for researchers (see action plan).

	In addition, the steering committee is made up of members of the university's management team (5 Vice-Presidents, the Director General of Services) and the operational monitoring committee is mainly made up of department directors (DRH, DRI, DP, Dircom, DAPAC), the majority of whom are responsible for implementing improvement actions.
	Finally, since the beginning of the process, a page specially dedicated to the process can be accessed on the extranet under the heading "Strategic axes and major projects", ensuring the project's visibility and its central place in the university's strategy.
How will you ensure that the proposed actions are implemented?	The operational monitoring committee will be responsible for ensuring that the actions are implemented and that the timetable is adhered to. It will maintain regular contact with the project leaders. It will report to the COPIL twice a year.
	By presenting the annual review, the organisations will also be able to monitor and ensure the implementation of the action plan.
How will you monitor progress (timeline)?	The action plan is presented in a GANTT chart (refer to document 4-01). Additionally, each action sponsor will receive a summary table of their actions, timetable, and monitoring indicators. The monitoring committee and the COPIL, at their respective levels, will be responsible for ensuring adherence to the timetable.
How will you measure progress (indicators) in view of the next assessment?	The indicators will be monitored and tracked in a dashboard, which will be presented to the COPIL every six months and to the university's governing bodies annually.
	A mid-term consultation with the research community will be conducted to assess researchers' perceptions of the project's progress and identify new areas for improvement.

Additional remarks/comments about the proposed implementation process:

(free text, 1000 words maximum)

HRS4R LABEL : implementing the action plan
Organisation Chart

Steering Committee (COPIL)
20 members

Ensures and oversees the smooth progress of the process. It is also responsible for any arbitration required.

- Elodie Saillant-Maraghni, Professor, (R4), Vice-President of the Board, in charge of HR
- Eric Leroy du Cardonnoy, Professor (R4), Vice-President for Research
- Annie-Claude Gaumont, Professor (R4), Vice-President for Research
- Christophe Rochais, Professor (R4), Vice President for International Development
- Loïc Le Pluart, Professor, (R4), Vice-President for Partnership Research
- 3 research laboratory directors (1 per division)
- 3 faculty directors
- 1 research platform manager
- Yohann Bréard, MCF HDR (R3), Director of Carré international
- 1 IGR (R2)
- 1 post-doctoral student (R2)
- 1 PhD student (R1)
- 1 representative of the Board of Directors (BD)
- 1 representative of the Research Committee (CR)
- 1 representative of the Institutional Social Action Committee (CSAE)
- Géraldine Bodet, Director General of Services

Operational monitoring Committee
(8 members)

Coordinates the action leaders and ensures the implementation of the actions outlined in the action plan are implemented. Reports the progress of the action plan and any difficulties encountered to the Steering Committee. It will also suggest a mid-term consultation with research actors.

- Elodie Saillant-Maraghni, Vice-President of the Board, in charge of HR
- Eric Leroy du Cardonnoy, Vice President for Research
- Géraldine Bodet, Director General of Services
- Sébastien Lefilliatre, Director of Human ResourcesE
- Aurélie Ménard, Director for Research and Innovation (DRI)
- Aude Houdan Fourmont, Director of Prevention
- Linda Ortholan, Director of Communications (Dircom)
- Alice Loffredo, Director of the Delegation fo Management Support and Continuous Improvement (DAPAC)

Project leaders

Ensure that the action(s) entrusted to them are executed. Alert the monitoring committee to any encountered difficulties.

Subject matter experts and theme resources

Technical expertise and advisory role