

LABEL HRS4R

HUMAN RESOURCES STRATEGY FOR RESEARCHERS

Process review : work of the WGs and action plan



CAC 28 JUNE 2023/ CSAE JUNE 29, 2023 / BOARD OF DIRECTORS JULY 11TH, 2023

The application process

- Suggest an institution-wide reflection on issues concerning the researchers' career, activities and ecosystem.
- Initiate a continuous improvement process based on the needs and suggestions of researchers.
- Maintain eligibility to respond to calls for proposals, particularly from the European Union; prepare for future evaluations by the High Council for the evaluation of Research and Higher Education (**HCERES**)
- Join the 697 European institutions holding the label, including 59 French institutions (CNRS, INSERM, INRAE, 32 universities).

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- **Stage 1: Presentation of the procedure and consultation with relevant bodies** (January to June 2022).
 - **Stage 2: Consultation with researchers** for preliminary assessment (July to September 2022); feedback webinar (December 5, 2022)
 - **Stage 3: formation of 4 thematic working groups** (comprising volunteers, COPIL members, and business experts) for **self-assessment and suggestions for development, aimed at drafting an action plan** (January to April 2023).
 - **Stage 4: Consultation with researchers** to prioritise the suggested actions (June 2023)
 - **Stage 5: Presentation of the draft action plan to governing bodies** (Jun to -July 2023)
 - **Stage 6: Submission of the application file** (July 2023)



HRS4R LABEL University of Caen Normandie - Organization chart



Coordination committee

Defines the project structure (methodology, planning), liaises with the authorities, and ensures consistency with the university's strategy.

- Lamri Adoui, Président of the University of Caen Normandie
- Elodie Saillant-Maraghni, **Vice-President** of the Board of Directors in charge of Human Resources
- Eric Leroy du Cardonnoy, Vice-Président for Research
- Annie-Claude Gaumont, Vice-Président for Research
- Christophe Rochais, Vice-président delegate for international Development
- Loïc Le Pluart, Professor, (R4), Vice-président delegate for Partnership Research
- Géraldine Bodet, Director General of Services
- Sébastien Lefilliatre, Director of Human Resources
- Radia Rezki-Malek, Deputy Director of Human Resources
- Aurélie Ménard, Director of research and innovation
- Linda Ortholan, Director of Communications
- Véronique Lefilliatre-Cavey HRS4R project manager

Steering committee(COPIL)

Proposes the strategy; oversees the smooth running of the process, leads the approach, provide guidance, validates the draft action plan before presentation to the establishment's governing bodies.

- Lamri Adoui, Professor (R4), Président of the University of Caen Normandie
- Elodie Saillant-Maraghni, Professor, (R4), **Vice-President** of the Board of Directors in charge of Human Resources
- Eric Leroy du Cardonnoy, Professor (R4), Vice-président for Research
- Annie-Claude Gaumont, Professor (R4), Vice-présidente for Research
- Loïc Le Pluart, Professor, (R4), Vice-président delegate for Partnership Research
- Christophe Rochais, Professor (R4), Vice-président delegate for International Development
- Géraldine Bodet, Director General of Services
- Christophe Rosenberger, Professor (R4), Director of the GREYC, ST division
- Alexandra Merle, Professor (R4), Deputy Director of ERLIS, SHS division - directrice ED 558 HMPL (Histoire, Mémoire, Patrimoine, Langage)
- Céline Zatylny-Gaudin, Lecturer (R3), Vice director ofBOREA, BIZSE division
- Yohann Bréard, Lecturer HDR (R3), Director of Carré international, EC au CRISMAT, ST
- Gabriel de Bruyn, Lecturer (R3), research unit HISTEME, SHS division
- Benoît Haelewyn, Research Engineer (R2), Director du GIP CYCERON, BIZSE division
- Gaëtane Blaizot, IGH INSERM (R2), Strategic and Management Director, IR BB&@c
- François Legay, Research Engineer (R2), Board member, service unit CIREVE, SHS division
- Valentin Miclon, Post-doctoral researcher (R2), CRAHAM, SHS division
- Edwige Orange, TECH (R1), Research Committee, UFR des Sciences, ST division
- Laetitia Birée, TECH (R1), member of CSAE, Direction de la prévention
- Emmanuel Buteau, Project engineer (R1), Euraxess coordinator, Carré international
- Sarah Porcher, Doctoral Student, ICRéJ, Faculty of Law, AES and public administration
- Céline GEORGES, RH Manager, CNRS
- Vincent Arnoux, Deputy Director of Research and International Cooperation, INSA Rouen Normandie
- Sébastien Lefilliatre, Director of Human Resources
- Radia Rezki-Malek, Deputy director of Human Resources
- Aurélie Ménard, Director of Research and Innovation
- Linda Ortholan, Director of Communications
- Véronique Lefilliatre-Cavey, HRS4R project manager

Operational Committee (COMOP)

Operational implementation of the COPIL directives, coordination of the process, interface between the COPIL and the working groups, development of a questionnaire for research actors; Development of the action plan based on working groups' proposal.

- Eric Leroy du Cardonnoy, Vice-Président for research
- Elodie Saillant-Maraghni, **Vice-President** of the Board of Directors in charge of Human Resources
- Christophe Rochais, Vice-président delegate for International Development
- Loïc Le Pluart, , Vice-président delegate for Partnership Research
- Géraldine Bodet, Director General of Services
- Sébastien Lefilliatre, , Director of Human Resources
- Radia Rezki-Malek, Deputy Director of Human Resources
- Aurélie Ménard, Director of Ressearch and Innovation
- Véronique Lefilliatre-Cavey, HRS4R project manager

Thematic Working groups

Analyze the results of the questionnaire sent out to research actors, draw up a self-diagnosis, and suggest improvements in order to formulate the action plan.

Working Group 1

Thème : Ethical and professional aspects

- Leader : Eric Leroy du Cardonnoy
- Research stakeholders (R1 à R4)
- Member of COPIL HRS4R
- Subject matter experts of the theme

Working Group 2

Thème : Recruitment and selection

- Leader : Elodie Saillant-Maraghni/DRH
- Research stakeholders(R1 à R4)
- Member of COPIL HRS4R
- Subject matter experts of the theme

Working Group 3

Thème : Organization and Working conditions (prevention, health, safety / disability, non-discrimination, / support for research)

- Leader : Loïc Le Pluart
- Research stakeholders(R1 à R4)
- Member of COPIL HRS4R
- Subject matter experts of the theme

Working Group 4

Theme: Training, professional mobility, career development, supervision

- Leader : Christophe Rochais
- Research stakeholders(R1 à R4)
- Member of COPIL HRS4R
- Subject matter experts of the theme

Subject Matter Experts and Theme Resources

Technical expertise and advisory role on Charter and CodeMatters

Working groups : Assessment and suggestions

WG1: Ethics, deontology, scientific integrity, professional attitude and responsibility, open science, public engagement

WG2: Recruitment

WG3: Organisation and working conditions

WG4: Career development, training, mobility, supervision



WG 1: Ethics, professional conduct, scientific integrity, protection (GDPR) and security of research data (art 1-1 to 1-7; 3-31 and 3-32)

Strengths

- Advisers (RIS, ethics officer, DPO, RSSI and CSSI) or bodies (Local Research Ethics Committee).
- Signing of the national code of conduct for research professions in 2017.
- Some awareness-raising initiatives (RIS, DPO, RSSI).

Weaknesses

- Referral agents who are poorly identified and rarely solicited.
- Coordination between referral agents is still insufficient.
- A little-known national charter
- Complex regulations that are difficult to understand
- Limited awareness-raising tools

Suggestions

- Offer **awareness-raising** on ethics, scientific integrity, and professional conduct **at the Master's level**.
- Propose **cross-disciplinary awareness-raising initiatives** (scientific integrity, data protection and security, open science, etc.) **within research structures**.
- **Provide guidelines** (guidelines for the director of a research structure, guidelines for Teachers/Researchers « EC » and guidelines for administrative staff « BIATSS » assigned to research).
- Offer **training modules tailored to** research on ethics, scientific integrity, professional conduct, the GDPR, etc.
- Provide **tools** (videos, practical information sheets, checklists).
- Promote the use of **laboratory notebooks** (where applicable).
- **Disseminate the French research ethics charter** and translate it from French to English.

- Open science

- An open science referent, with active involvement from two services (PUC, SCD); the MRSH is also actively engaged.
- A well-structured strategy already exists at the UNICAEN and COMUE levels, (entities, action plan, charter).
- Support is provided for both aspects of Open Science (publications, research data).

- Engagement with society

- The SAPS label (awarded in 2021) and a comprehensive four-pronged strategy
- A deputy Vice-President responsible for culture and the interface between science and society; SAPS unit integrated into the university's cultural action department.
- Partnership with the Dôme.

Weaknesses

- Open science:** A "lack of awareness" regarding the existence and role of the open science advisor and the support that the PUC and SCD can offer.
- **SAPS:** communication and dissemination efforts need to be expanded.

Suggestions

- **Open Science:** Implement the Open Science action plan.
- Promote the openness of scientific **publications via the diamond route**.
- Provide systematic support to project initiators** in meeting the open science requirements stipulated by funding bodies.
- Assist researchers in the development of data management plans (**DMPs**).
- Enhance the training options** for open science.
- Establish a **centralised access point** for research data at the institutional level.
- **Engagement with society**
- Implement the SAPS plan.
- Promote the university's research services to socio-economic partners.

WG2: Recruitment of EC

Strengths

- **Recruitment of tenured teachers/researchers:**
 - Recruitment procedures are highly regulated, and the university complies with the rules.
 - Several awareness-raising initiatives are in place for COSs (Committees for the selection of Professors) and juries.
 - Targeted communication during recruitment campaigns.
- **Recruitment of contract teachers/researchers :**
 - The recruitment of ATERs (temporary teaching and research assistants) and other teacher contract staff is regulated.
 - Internal calls for proposals are made to attract young researchers from abroad or with international experience.

Weaknesses

- **Tenured researchers:**
 - Processes that are sometimes challenging to understand.
 - Support for juries and COS could be enhanced.
 - Communication needs improvement (selection criteria, candidate feedback, etc.)
- **Contractual researchers:** lack of comprehensive approach, with delays in implementing certain regulations..

Suggestions

- **Recruitment of tenured researchers: improving transparency**
 - Enhance communication regarding the recruitment process for tenured researchers to increase transparency in recruitment.
 - Publish recruitment procedures and practices in electronic format (+ English translation).
 - Clarify the organisation and roles of ACSs (Academic Career Services).
 - Propose an evaluation grid (MCF/PR) to each COS section.
- Enhance awareness-raising initiatives for selection boards and COSs (addressing issues such as discrimination, CV disparities, recognition of mobility experience, merit assessment).
- **Recruitment of contract teachers: establish a Contract Staff Working Group (Teacher/administrative staff)** to develop recommendations regarding the recruitment and career advancement procedures for contract staff.

Open recruitment processes (administrative staff / teachers)

Strengths

- Recruitment of administrative staff (BIATSS)

- Targeted communication for each campaign.
- Precise job descriptions.
- Support for internal candidates (preparation for competitions) + preparation for oral examinations.

- Expanding the recruitment processes

- Vacancies (BIATSS) published on various websites.
- Permanent teacher positions published on Galaxie.

Weaknesses

- **Recruitment of permanent BIATSS:** processes that can sometimes be complicated to understand.

Contract BIATSS recruitment: a process with little structure and transparency → heterogeneity of practices.

- Enhancing transparency in recruitment processes

- Recruitment of individuals subject to the employment obligation (BOE) below the legal threshold of 6%.
- Limited publications on Euraxess.

Suggestions

- Enhance the transparency of BIATSS recruitment

- **Publish** recruitment procedures and practices (for both permanent and contract staff) in **electronic format**.
- Promote the inclusion of **more diverse selection panels** to ensure a variety of approaches to recruitment.
- **Make jury composition orders public** (for BIATSS on contract or vacant posts).

Conduct awareness-raising initiatives for all selection boards (discrimination, CV disparities, recognition of mobility experience, merit assessment, etc.), irrespective of the type of recruitment (permanent or contract).

- Expanding the openness of recruitment processes

- Establish a **digital platform** for the recruitment of contract staff.
- Conduct an institution-wide **review of the recruitment of individuals eligible for mandatory employment benefits** (disability, invalidity).
- **Post job vacancies on Euraxess.**

Strengths

- Overall satisfaction of researchers with the equipment, infrastructure, and resources provided to them.
- A high-performance, integrated information system

Weaknesses

- Expression of a need for increased interoperability of information systems (both internally and between supervisory authorities).
- Support for research structures considered inadequate, especially in terms of their response to calls for proposals.

Suggestions

- Enhance the service offerings of the DRI (Direction for Research and Innovation) to provide better support to the research community in relation to various calls for projects (both national and European) and the promotion of research activities.
- Create **guidelines** (guidelines for research structure directors, a guide for EC, a guide for BIATSS assigned to research) containing all the information related to research.
- **Consolidate IT support** for research structures.
- **Provide better information about** the opportunities offered by the university's **information system**.
- **Restructure the Research intranet and internet** to better align with the needs of researchers.
- **Simplify access to « institutional" tools** for external researchers to facilitate collaboration (double accounts).
- **Enhance the functionality of OSCAR** (research contract management platform).

WG3: Health and safety at work (Article 1-7)

Strengths

- A delegated vice-presidency responsible for sports, health, and quality of life.
- Dedicated services for workplace prevention and occupational health.
- Initiatives for health and safety training.
- Prevention assistants (PAs) are available in most research structures.
- Implementation of RSST (Risk Assessment for Health and Safety) and DUERP (Single Document for Risk Assessment and prevention) in research structures. Training of new recruits by the PAs.

Weaknesses

- Varying levels of knowledge about procedures and legal requirements within the teams.
- The significance attributed to the proper maintenance of the RSST and DUERP, as well as to the role of the prevention assistant, differs from one research structure to another.
- Challenges in understanding occupational Health and safety risks in the field of SHS (Social and Human Science).

Suggestions

- Appoint a **prevention assistant (PA)** in all research structures and strengthen the PA network.
- **Redefine the role and responsibilities** of the prevention assistant (PA) and enhance the recognition of this role.
- Create a **shared « repository » of risks** for all research structures.
- Recommend that research structures **present (1/year) the DUERP and the RSST** at a laboratory meeting/general assembly (GA) once a year.
- Raise awareness among research structures about the legal obligation to **annually update the DUERP, enabling them to** contribute to it.
- Translate** all regulatory documents relating to workplace health and safety **into English** .



WG3: Working conditions - Quality of life at work (article 3-24)

Teaching (3-33)

Strengths

- Working conditions

- Flexible working conditions (flexitime, teleworking, sabbatical leave, etc.).
- Maternity leave coverage / Support for parenthood (e.g.children facilities, lactation rooms in specific services, etc.)
- Awareness campaigns on the right to disconnect.

- Education

- One-third reduction in teaching workload for new faculty members (EC)
- Mandatory training courses for new hires/ training in the use of new tools.

Weaknesses

- Working conditions

- For ECs, this represents a family/work imbalance and difficulty in dedicating time to research during working hours.
- Expression of a lack of recognition for the work done by ECs.
- Some young colleagues experience isolation.

- Education

- Voluntary training; no systematic professional development.
- The responsibilities of ECs are not clearly defined and vary from one department to another.

Suggestions

- Working conditions

- Undertake a **review of available measures** to enhance the recognition of staff (particularly EC) and to better reward each individual's work.
- Collaborate with research organisations to address **the isolation experienced by** young researchers (PhD students, post-docs).
- Develop a **Quality of Life and Working Conditions (QLWC) plan** to facilitate the balance between personal and professional life.

- Education

- Continue efforts to **streamline educational** processes in order to clarify roles and responsibilities (including those between EC and BIATSS), and enhance efficiency.
- Implement a **mentoring programme** for newly hired teachers (with mentor training) on a voluntary basis.



WG3: Non-discrimination (1-10) - Gender balance (3-27) - Disability (3-24)

Strengths

- Equality
- Multi-year gender equality plan (since 2019).
- Vice-presidency and Equality Committee.
- Control system for Sexual and Gender-based Violence (VSS) (as of 2022).
- Non-discrimination.
- Positive perception of staff and fair treatment by the university .
- **Disability and BOE (employment obligation)**
- Designation of a disability correspondent in the HR department.
- Staff awareness campaigns (Duoday, etc.)

Weaknesses

- **Equality :**
- Only 25% PU positions held by women.
- Gender imbalance in management positions (faculties, services).
- Lack of indicators for supervising doctoral theses.
- **Non-Discrimination :**
- Staff's lack of familiarity with existing programmes.
- Absence of a designated contact person to address discrimination.
- **Disability and BOE :**
- No agreement with the FIPHFP (Fund for the Insetion of Disabled Persons in the Public Service).
- Few ECs have been declared

Suggestions

- **Equality**
- **Promote both** men and women to take on greater responsibilities.
- **Define representative gender balance goals at** all levels (doctoral schools, services, etc.) when updating the comparative situation report.
- Use **repyramidage** to make progress towards achieving gender balance among Pus by 2025.
- Update and expand the equality charter => **to become the diversity** charter.
- Non-discrimination
- Consider **extending the** VSS helpline to cover issues of harassment and discrimination.
- **Disability and employment obligation beneficiaries**
- **Develop** a new disability master plan.
- **Establish a contract** with FIPHFP.
- **Increase awareness among ECs** about disabilities and procedures for workplace accommodations.

WG3: Redress and conflict management in the workplace (article 3-34)

Strengths

- Scientific integrity referee for intellectual property disputes.
- Sexual and gender-based violence (SGBV) programme.
- Doctoral students are supervised by a CSI (thesis supervision committee) and receive support from the EDs (Doctoral Schools) in the event of conflicts with their supervisors.
- Inclusion of OHS (Occupational Health and Safety) registers in all research structures for collecting RPS (Workplace Psychosocial Risks) .
- Enhancement of the DUERP, which now includes consideration of RPS.

Weaknesses

- Staff are not very acquainted with the option of incorporating RPSs in the Occupational Health and Safety Report.
- Researchers typically lack familiarity with conflict resolution procedures.
- Conflict resolution is one of the responsibilities of the unit manager, even though they may become involved while being not consistently trained.

Suggestions

- Establish **an independent conflict management entity** (autonomous body or extension of the VSS unit).
- **Increase awareness and offer training** in management and conflict resolution **for directors** of research structures (training programme for research structures directors).
- Expand the coverage of the VSS helpline to encompass harassment and discrimination.**
- Create a map of the different systems** and draft a framework document.

Strengths

- A recognised right to lifelong learning for all staff (contract and tenured).
- An annual training plan published each year.
- External training opportunities.
- Training for doctoral student provided by the EDs and the Comue (Community of Universities and Establishments).
- Expanded training rights for post-doctoral students (Decree 2021-1450).

Weaknesses

- A training unsuitable for research (unmet needs: project management, IS, ethics, etc.).
- There is no training programme for laboratory directors when they assume their position.
- Inadequate use of training follow-up
- Doctoral students: a negative assessment of professional integration training.

Suggestions

- Establish a "training for research missions" working group
- Implement electronic registration for in-house training courses (2023), enabling better tracking of in-house training.
- Provide training in project management, business languages, and responding to calls for projects.
- Develop a training programme for directors/deputy directors of research structures and all managers.
- Enhance the range of training programmes for the professional integration of post-doctoral and doctoral students.
- Create an orientation programme for new recruits (in Research).
- Improve communication regarding the university's training plan.



WG4: Career development for ECs and Administrative staff (articles 3-28, 3-30)

Strengths

-BIATSS career advancement/promotion

The HR Department sends or makes available all the information on competitions and professional examinations + information about meetings + support from in-house trainers.

-ECs promotion: the communication process

- The HR Department complies with regulatory obligations, sends out circulars, and keeps researchers informed.
- Communication regarding the repyramid procedure was good and effective (timely, with clear explanations).

Weaknesses

-Career advancement for Administrative staff

- Administrative staff in research structures feel disadvantaged.
- The directors of the research structures are unfamiliar with the principles of administrative staff careers and their development.

- ECs promotion

- Circulars pass through the departments and occasionally reach the Ces late.
- Reprofiling: a lack of communication regarding evaluation criteria.

Suggestions

- BIATSS career development

-Promote the involvement of administrative and support staff in laboratory research and encourage participation in collective activities.

-Support and raise awareness among research structures directors regarding career development for administrative support staff

-Enhance information provision: offer a webinar for BIATSS staff outlining the promotion criteria, explaining the management guidelines (LDG) and presenting the timetable.

- Career development for EC staff

- Develop an annual calendar for promotion periods (including circulars to distributed).
- Enhance communication regarding EC careers.



Strengths

- At the Maison de l'International, there is a Euraxess office and services dedicated to international relations.
- A Deputy VP for International Development.
- A network of international correspondents within the faculties (1 EC and 1 IAT).
- Various international destinations and programmes (Erasmus, CSIA, Erasmus grants, etc.).
- Regularly disseminated information to keep staff informed about existing programmes(Erasmus campaign, etc.).
- The AcrossEU European alliance project is coordinated by UNICAEN.

Weaknesses

- A lack of knowledge among research actors about international programmes.
- Facilities underused by ECs and BIATSS.

Suggestions

- **Participate in** departmental **meetings** to present the programmes.
- **Diversify international mobility models** to facilitate mobility (exchange pairs, French-speaking destinations, etc.)
- **Organise feedback sessions**, gather testimonials and appoint ambassadors.
- **Create a mobility open badge** or any other initiative to promote international mobility.

Strengths

- Normandie Université's Doctoral Charter defines the relationship between doctoral students and their supervisors.
- Each Doctoral school (ED) limits the number of doctoral students per thesis director to ensure proper supervision.
- An individual monitoring committee (CSI) is established for each doctoral student.
- Within the research structures, roles are defined, and individuals can refer to one another, particularly for administrative matters.

Weaknesses

- Challenges faced by young researchers in identifying pertinent information and support services.
- The institution does not provide mentoring for young researchers.

Suggestions

- Create an induction programme (customised for the research environment) for new researchers.
- Propose awareness-raising initiatives for all supervisors (directors/assistant directors or assistant directors of research structures, thesis directors) regarding management, supervision, etc.
- Establish a tutoring/mentoring programme for new "researchers" (on a voluntary basis).
- Compile a list of supervision practices and organise an institution-wide discussion on the nature of supervision.

Implementing the Action Plan

- **The « entities » involved:**

- A steering committee: ensuring the smooth progress of the process/ providing arbitration.
- An operational monitoring committee: coordinating action plans/ ensuring the plan is implemented.
- Project leaders: responsible for the successful execution of the projects entrusted to them.

- **Implementation tracking:**

- Presentation to the steering committee: 2/year.
- Presentation at the Research Unit Directors' Meeting: 1/year
- Presentation to the CSAE (institutional social action committee), the Board, and the Board of Directors: 1/year.

- **Involvement of researchers in the process :**

- Representation on the COPIL and other institutional committees.
- Communication actions targeting researchers: updating the HRS4R website at least 3 times a year; publishing information on flagship actions (Trait d'union or other formats).
- Information booth at the annual general meeting of laboratories (request made to DUs).
- Mid-term consultation (before the interim evaluation by the European Commission) of researchers: gathering perceptions and identifying "new" areas for improvement.



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 necessary arbitrations.

- 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 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, President of the Board, in charge of HR
- Eric Leroy du Cardonnoy, Vice President for Research
- Géraldine Bodet, Director of Services
- Sébastien Lefilliatre, Human Resources Director
- 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)

Action leaders

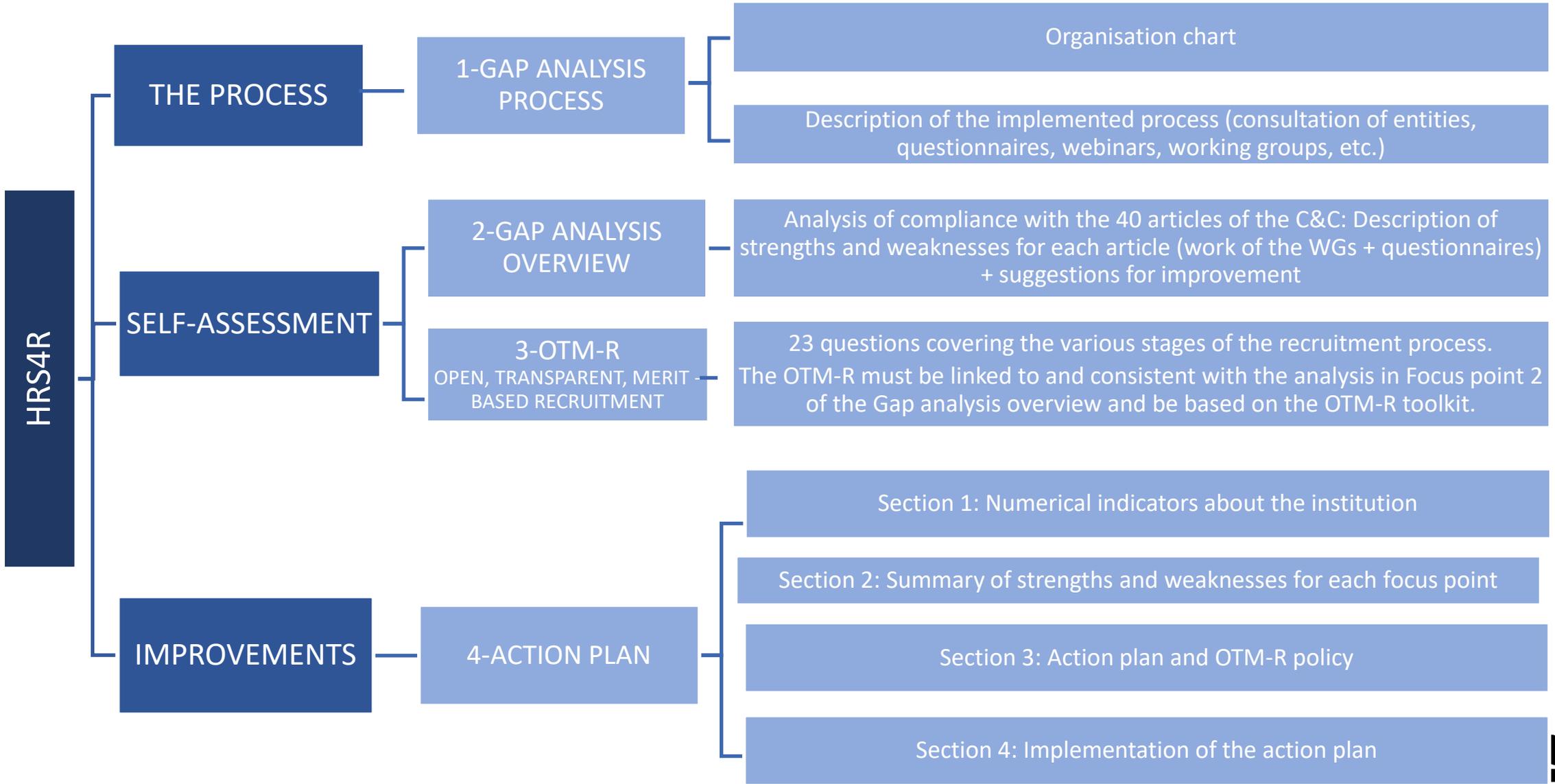
Ensure that the action(s) entrusted to them are executed. Alert the monitoring committee to any encountered difficulties.

Subject matter experts and theme resources

Technical expertise and advisory role



An overview of the HRS4R application file



Thank you for your attention

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

APPENDICES: European Charter for Researchers and Code of Conduct for the Recruitment of Researchers



Charter & Code: the 40 principles according to the HRS4R classification

Axe 1 : Ethical and professional aspects

- 1.1 Research freedom
- 1.2 Ethical principles
- 1.3 Professional responsibility
- 1.4 Professional attitude
- 1.5 Contractual and legal obligations
- 1.6 Accountability
- 1.7 Good practices in research
- 1.8 Dissemination, exploitation of results
- 1.9 Public engagement
- 1.10 Non-discrimination
- 1.11 Evaluation/appraisal systems

Axe 2 : Recruitment and selection

- 2.12 Recruitment (principles)
- 2.13 Recruitment (procedure)
- 2.14 Selection
- 2.15 Transparency
- 2.16 Judging merit
- 2.17 Variation in the chronological order of CVs
- 2.18 Recognition of mobility experience
- 2.19 Recognition of qualifications
- 2.20 Seniority
- 2.21 Post-doctoral appointment

- + OTM-R

Axe 3 : Working condition

- 3.22 Recognition of the profession
- 3.23 Research environment
- 3.24 Working conditions
- 3.25 Stability and permanence of employment
- 3.26 Funding and Salaries
- 3.27 Gender balance
- 3.28 Career Development
- 3.29 Value of mobility
- 3.30 Access to career advice
- 3.31 Intellectual Property Rights
- 3.32 Co-authorship
- 3.33 Teaching
- 3.34 Complaints/ appeals
- 3.35 Participation in decision-making bodies

Axe 4 : Training and development

- 4.36 Relation with Supervisors
- 4.37 Supervision and managerial duties
- 4-38 Continuing Professional Development
- 4.39 Access to research training and continuous development
- 4.40 Supervision



C&C Based on the Gap analysis overview

Focus Point 1 Ethical and professional aspects

1-1 Research Freedom

Researchers should focus their research for the good of mankind and for expanding the frontiers of scientific knowledge, while enjoying the freedom of thought and expression, and the freedom to identify methods by which problems are solved, according to recognised ethical principles and practices.

Researchers should, however, recognise the limitations to this freedom that could arise as a result of particular research circumstances (including supervision/guidance/management) or operational constraints, e.g. for budgetary or infrastructural reasons or, especially in the industrial sector, for reasons of intellectual property protection. Such limitations should not, however, contravene recognised ethical principles and practices, to which researchers have to adhere.

1-2 Ethical principles

Researchers should adhere to the recognised ethical practices and fundamental ethical principles appropriate to their discipline(s) as well as to ethical standards as documented in the different national, sectoral or institutional Codes of Ethics.





C&C Based on the Gap analysis overview

Focus point 1 Ethical and professional aspects

1-3 Professional responsibility

Researchers should make every effort to ensure that their research is relevant to society and does not duplicate research previously carried out elsewhere.

They must avoid plagiarism of any kind and abide by the principle of intellectual property and joint data ownership in the case of research carried out in collaboration with a supervisor(s) and/or other researchers. The need to validate new observations by showing that experiments are reproducible should not be interpreted as plagiarism, provided that the data to be confirmed are explicitly quoted.

Researchers should ensure, if any aspect of their work is delegated, that the person to whom it is delegated has the competence to carry it out.

1-4 Professional attitude

Researchers should be familiar with the strategic goals governing their research environment and funding mechanisms, and should seek all necessary approvals before starting their research or accessing the resources provided.

They should inform their employers, funders or supervisor when their research project is delayed, redefined or completed, or give notice if it is to be terminated earlier or suspended for whatever reason.



1-5 Contractual and legal obligations

Researchers at all levels must be familiar with the national, sectoral or institutional regulations governing training and/or working conditions. This includes Intellectual Property Rights regulations, and the requirements and conditions of any sponsor or funders, independently of the nature of their contract. Researchers should adhere to such regulations by delivering the required results (e.g. thesis, publications, patents, reports, new products development, etc) as set out in the terms and conditions of the contract or equivalent document.

1-6 Accountability

Researchers need to be aware that they are accountable towards their employers, funders or other related public or private bodies as well as, on more ethical grounds, towards society as a whole. In particular, researchers funded by public funds are also accountable for the efficient use of taxpayers' money. Consequently, they should adhere to the principles of sound, transparent and efficient financial management and cooperate with any authorised audits of their research, whether undertaken by their employers/funders or by ethics committees.

Methods of collection and analysis, the outputs and, where applicable, details of the data should be open to internal and external scrutiny, whenever necessary and as requested by the appropriate authorities.



C&C Based on the Gap analysis overview

Focus point 1 Ethical and professional aspects

1-7 Good practice in research

Researchers should at all times adopt safe working practices, in line with national legislation, including taking the necessary precautions for health and safety and for recovery from information technology disasters, e.g. by preparing proper back-up strategies. They should also be familiar with the current national legal requirements regarding data protection and confidentiality protection requirements, and undertake the necessary steps to fulfil them at all times.

1-8 Dissemination, exploitation of results

All researchers should ensure, in compliance with their contractual arrangements, that the results of their research are disseminated and exploited, e.g. communicated, transferred into other research settings or, if appropriate, commercialised. Senior researchers, in particular, are expected to take a lead in ensuring that research is fruitful and that results are either exploited commercially or made accessible to the public (or both) whenever the opportunity arises.





C&C Based on the Gap analysis overview

Focus point 1 Ethical and professional aspects

1-9 Public engagement

Researchers should ensure that their research activities are made known to society at large in such a way that they can be understood by non-specialists, thereby improving the public's understanding of science. Direct engagement with the public will help researchers to better understand public interest in priorities for science and technology and also the public's concerns.

1-10 Non-discrimination

Employers and/or funders of researchers will not discriminate against researchers in any way on the basis of gender, age, ethnic, national or social origin, religion or belief, sexual orientation, language, disability, political opinion, social or economic condition.





C&C Based on the Gap analysis overview

Focus point 1: Ethical and professional aspects

1-11 Evaluation / appraisal systems

Employers and/or funders should introduce for all researchers, including senior researchers, evaluation/appraisal systems for assessing their professional performance on a regular basis and in a transparent manner by an independent (and, in the case of senior researchers, preferably international) committee.

Such evaluation and appraisal procedures should take due account of their overall research creativity and research results, e.g. publications, patents, management of research, teaching/lecturing, supervision, mentoring, national or international collaboration, administrative duties, public awareness activities and mobility, and should be taken into consideration in the context of career progression..





C&C Based on the Gap analysis overview

Focus point 2: Recruitment

2-12 Recruitment (principles)

Employers and/or funders should ensure that the entry and admission standards for researchers, particularly at the beginning of their careers, are clearly specified and should also facilitate access for disadvantaged groups or for researchers returning to a research career, including teachers (of any level) returning to a research career.

Employers and/or funders of researchers should adhere to the principles set out in the Code of Conduct for the Recruitment of Researchers when appointing or recruiting researchers.

2-13 Recruitment (procedure)

Employers and/or funders should establish recruitment procedures which are open, efficient, transparent, supportive and internationally comparable, as tailored to the type of positions advertised.

Advertisements should give a broad description of knowledge and competencies required, and should not be so specialised as to discourage suitable applicants. Employers should include a description of the working conditions and entitlements, including career development prospects. Moreover, the time allowed between the advertisement of the vacancy or the call for applications and the deadline for reply should be realistic.





C&C Based on the Gap analysis overview

Focus point 2: Recruitment

2-14 Selection

Selection committees should bring together diverse expertise and competences and should have an adequate gender balance and, where appropriate and feasible, include members from different sectors (public and private) and disciplines, including from other countries and with relevant experience to assess the candidate. Whenever possible, a wide range of selection practices should be used, such as external expert assessment and face-to-face interviews. Members of selection panels should be adequately trained.

2-15 Transparency

Candidates should be informed, prior to the selection, about the recruitment process and the selection criteria, the number of available positions and the career development prospects. They should also be informed after the selection process about the strengths and weaknesses of their applications.





C&C Based on the Gap analysis overview

Focus point 2: Recruitment

2-16 Judging merit

The selection process should take into consideration the whole range of experience **15** of the candidates. While focusing on their overall potential as researchers, their creativity and level of independence should also be considered.

This means that merit should be judged qualitatively as well as quantitatively, focusing on outstanding results within a diversified career path and not only on the number of publications. Consequently, the importance of bibliometric indices should be properly balanced within a wider range of evaluation criteria, such as teaching, supervision, teamwork, knowledge transfer, management of research and innovation and public awareness activities. For candidates from an industrial background, particular attention should be paid to any contributions to patents, development or inventions.

2-17 Variations in the chronological order of curriculum vitae

Career breaks or variations in the chronological order of CVs should not be penalised, but regarded as an evolution of a career, and consequently, as a potentially valuable contribution to the professional development of researchers towards a multidimensional career track. Candidates should therefore be allowed to submit evidence-based CVs, reflecting a representative array of achievements and qualifications appropriate to the post for which application is being made.





C&C Based on the Gap analysis overview

Focus point 2: Recruitment

2-18 Recognition of mobility experience

Any mobility experience, e.g. a stay in another country/region or in another research setting (public or private) or a change from one discipline or sector to another, whether as part of the initial research training or at a later stage of the research career, or virtual mobility experience, should be considered as a valuable contribution to the professional development of a researcher.

2-19 Recognition of qualifications

Employers and/or funders should provide for appropriate assessment and evaluation of the academic and professional qualifications, including nonformal qualifications, of all researchers, in particular within the context of international and professional mobility. They should inform themselves and gain a full understanding of rules, procedures and standards governing the recognition of such qualifications and, consequently, explore existing national law, conventions and specific rules on the recognition of these qualifications through all available channels.





C&C Based on the Gap analysis overview

Focus point 2: Recruitment

2-20 Seniority

The levels of qualifications required should be in line with the needs of the position and not be set as a barrier to entry. Recognition and evaluation of qualifications should focus on judging the achievements of the person rather than his/her circumstances or the reputation of the institution where the qualifications were gained. As professional qualifications may be gained at an early stage of a long career, the pattern of lifelong professional development should also be recognised.

2-21 Postdoctoral appointments

Clear rules and explicit guidelines for the recruitment and appointment of postdoctoral researchers, including the maximum duration and the objectives of such appointments, should be established by the institutions appointing postdoctoral researchers. Such guidelines should take into account time spent in prior postdoctoral appointments at other institutions and take into consideration that the postdoctoral status should be transitional, with the primary purpose of providing additional professional development opportunities for a research career in the context of longterm career prospects.





C&C Based on the Gap analysis overview

Focus point 3: Working conditions and safety

3-22 Recognition of the profession

All researchers engaged in a research career should be recognised as professionals and be treated accordingly. This should commence at the beginning of their careers, namely at postgraduate level, and should include all levels, regardless of their classification at national level (e.g. employee, postgraduate student, doctoral candidate, postdoctoral fellow, civil servants).

3-23 Research environment

Employers and/or funders of researchers should ensure that the most stimulating research or research training environment is created which offers appropriate equipment, facilities and opportunities, including for remote collaboration over research networks, and that the national or sectoral regulations concerning health and safety in research are observed. Funders should ensure that adequate resources are provided in support of the agreed work programme.





C&C Based on the Gap analysis overview

Focus point 3: Working conditions and safety

3-24 Working conditions

Employers and/or funders should ensure that the working conditions for researchers, including for disabled researchers, provide where appropriate the flexibility deemed essential for successful research performance in accordance with existing national legislation and with national or sectoral collective-bargaining agreements. They should aim to provide working conditions which allow both women and men researchers to combine family and work, children and career ⁹. Particular attention should be paid, *inter alia*, to flexible working hours, part-time working, tele-working and sabbatical leave, as well as to the necessary financial and administrative provisions governing such arrangements.

3-25 Stability and permanence of employment

Employers and/or funders should ensure that the performance of researchers is not undermined by instability of employment contracts, and should therefore commit themselves as far as possible to improving the stability of employment conditions for researchers, thus implementing and abiding by the principles and terms laid down in the EU Directive on Fixed-Term Work.





C&C Based on the Gap analysis overview

Focus point 3: Working conditions and safety

3-26 Funding and salaries

Employers and/or funders of researchers should ensure that researchers enjoy fair and attractive conditions of funding and/or salaries with adequate and equitable social security provisions (including sickness and parental benefits, pension rights and unemployment benefits) in accordance with existing national legislation and with national or sectoral collective bargaining agreements. This must include researchers at all career stages including early-stage researchers, commensurate with their legal status, performance and level of qualifications and/or responsibilities.

3-27 Gender balance

Employers and/or funders should aim for a representative gender balance at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of an equal opportunity policy at recruitment and at the subsequent career stages without, however, taking precedence over quality and competence criteria. To ensure equal treatment, selection and evaluation committees should have an adequate gender balance.





C&C Based on the Gap analysis overview

Focus point 3: Working conditions and safety

3-28 Career development

Employers and/or funders of researchers should draw up, preferably within the framework of their human resources management, a specific career development strategy for researchers at all stages of their career, regardless of their contractual situation, including for researchers on fixed-term contracts. It should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers, thus motivating them and contributing to reducing any insecurity in their professional future. All researchers should be made familiar with such provisions and arrangements.

3-29 Value of mobility

Employers and/or funders must recognise the value of geographical, intersectoral, inter- and trans-disciplinary and virtual mobility as well as mobility between the public and private sector as an important means of enhancing scientific knowledge and professional development at any stage of a researcher's career. Consequently, they should build such options into the specific career development strategy and fully value and acknowledge any mobility experience within their career progression/appraisal system. This also requires that the necessary administrative instruments be put in place to allow the portability of both grants and social security provisions, in accordance with national legislation.





C&C Based on the Gap analysis overview

Focus point 3: Working conditions and safety

3-30 Access to career advice

Employers and/or funders should ensure that career advice and job placement assistance, either in the institutions concerned, or through collaboration with other structures, is offered to researchers at all stages of their careers, regardless of their contractual situation.

3-31 Intellectual property rights

Employers and/or funders should ensure that researchers at all career stages reap the benefits of the exploitation (if any) of their R&D results through legal protection and, in particular, through appropriate protection of Intellectual Property Rights, including copyrights.

Policies and practices should specify what rights belong to researchers and/or, where applicable, to their employers or other parties, including external commercial or industrial organisations, as possibly provided for under specific collaboration agreements or other types of agreement.





C&C Based on the Gap analysis overview

Focus point 3: Working conditions and safety

3-32 Co-authorship

Co-authorship should be viewed positively by institutions when evaluating staff, as evidence of a constructive approach to the conduct of research. Employers and/or funders should therefore develop strategies, practices and procedures to provide researchers, including those at the beginning of their research careers, with the necessary framework conditions so that they can enjoy the right to be recognised and listed and/or quoted, in the context of their actual contributions, as co-authors of papers, patents, etc, or to publish their own research results independently from their supervisor(s).

3-33 Teaching

Teaching is an essential means for the structuring and dissemination of knowledge and should therefore be considered a valuable option within the researchers' career paths. However, teaching responsibilities should not be excessive and should not prevent researchers, particularly at the beginning of their careers, from carrying out their research activities.

Employers and/or funders should ensure that teaching duties are adequately remunerated and taken into account in the evaluation/appraisal systems, and that time devoted by senior members of staff to the training of early stage researchers should be counted as part of their teaching commitment. Suitable training should be provided for teaching and coaching activities as part of the professional development of researchers.





C&C Based on the Gap analysis overview

Focus point 3: Working conditions and safety

3-34 Complaints / appeals

Employers and/or funders of researchers should establish, in compliance with national rules and regulations, appropriate procedures, possibly in the form of an impartial (ombudsman-type) person to deal with complaints/ appeals of researchers, including those concerning conflicts between supervisor(s) and early-stage researchers. Such procedures should provide all research staff with confidential and informal assistance in resolving work-related conflicts, disputes and grievances, with the aim of promoting fair and equitable treatment within the institution and improving the overall quality of the working environment.

3-35 Participation in decision-making bodies

Employers and/or funders of researchers should recognise it as wholly legitimate, and indeed desirable, that researchers be represented in the relevant information, consultation and decision-making bodies of the institutions for which they work, so as to protect and promote their individual and collective interests as professionals and to actively contribute to the workings of the institution.





C&C Based on the Gap analysis overview

Focus point 4: Training and development

4-36 Relation with supervisor

Researchers in their training phase should establish a structured and regular relationship with their supervisor(s) and faculty/departmental representative(s) so as to take full advantage of their relationship with them.

This includes keeping records of all work progress and research findings, obtaining feedback by means of reports and seminars, applying such feedback and working in accordance with agreed schedules, milestones, deliverables and/or research outputs.

4-37 Supervision and managerial duties

Senior researchers should devote particular attention to their multi-faceted role as supervisors, mentors, career advisors, leaders, project coordinators, managers or science communicators. They should perform these tasks to the highest professional standards. With regard to their role as supervisors or mentors of researchers, senior researchers should build up a constructive and positive relationship with the early-stage researchers, in order to set the conditions for efficient transfer of knowledge and for the further successful development of the researchers' careers.





C&C Based on the Gap analysis overview

Focus point 4: Training and development

4-38 Continuing professional development

Researchers at all career stages should seek to continually improve themselves by regularly updating and expanding their skills and competencies. This may be achieved by a variety of means including, but not restricted to, formal training, workshops, conferences and e-learning.

4-39 Access to research training and continuous development

Employers and/or funders should ensure that all researchers at any stage of their career, regardless of their contractual situation, are given the opportunity for professional development and for improving their employability through access to measures for the continuing development of skills and competencies. Such measures should be regularly assessed for their accessibility, take-up and effectiveness in improving competencies, skills and employability.





C&C Based on the Gap analysis overview

Focus point 4: Training and development

4-40 Supervision

Employers and/or funders should ensure that a person is clearly identified to whom early-stage researchers can refer for the performance of their professional duties, and should inform the researchers accordingly. Such arrangements should clearly define that the proposed supervisors are sufficiently expert in supervising research, have the time, knowledge, experience, expertise and commitment to be able to offer the research trainee appropriate support and provide for the necessary progress and review procedures, as well as the necessary feedback mechanisms.

