



Final document for submission HRS4R

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TEMPLATE 1 – GAP ANALYSIS – PROCESS

Case number: **2020FR494698**

Name Organisation under review: Université Grenoble Alpes (UGA)

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Process

The HRS4R process must engage all management departments directly or indirectly responsible for researchers' HR-issues. These will typically include the Vice-Rector for Research, the Head of Personnel and other administrative staff members. In addition, the HRS4R strategy must consult its stakeholders and involve a representative community of researchers ranging from first stages, recognized, established and leading researchers (R1 to R4), as well as appoint a Committee overseeing the process and a Working Group responsible for implementing the process.

Please provide the name, the position and the management line / department of the people who are directly or indirectly engaged in the HRS4R process in your organisation:

Name	Position	Steering Committee	Working group	Management line / Department
Ms. Adèle Abdallah	Ph.D. student		X	Doctoral College, School of Law
Dr. Elise Belaidi	Senior Lecturer	X		UGA Medical School - HP2 laboratory, Inserm (French national institute for biomedical research)
Mr. Thierry Bontems	Steering and Strategy Adviser, PACTE - Social Sciences Research Centre	X		CNRS (French national research centre)
Dr. Hélène Casalta	Research and International Departments		X	Grenoble School of Architecture
Prof. Hervé Courtois	Professor and Vice-Rector, Research, UGA		X	UGA UFR Faculty of Physics, Engineering, Earth Sciences, Environment, Mechanics + Institut Néel (Condensed matter physics laboratory)

Ms. Laurence Delpérié	Ph.D. students' elected representative		X	Doctoral College, Department of Sociolinguistics
Ms. Catherine Desplanques	Vice Director, Human Resources Department		X	UGA Human Resources Department
Mr. Cédric Di Tofano Orlando	Director, Research Department		X	G-INP Institute of Engineering and Management, Research Department
Dr. Yann Échinard	Senior Lecturer, Vice-Rector, Social Responsibility		X	UGA Faculty of Economics
Prof. Denis Jongmans	Professor and Director, Doctoral College		X	G-INP Institute of Engineering and Management and Doctoral College
Ms. Nathalie Janin	Executive Director		X	Doctoral College
Ms. Lucie Jiraskova,	HRS4R Project manager	X		UGA Human Resources Department
Ms. Carole Kada,	General manager, Human Resources Department		X	UGA Human Resources Department
Prof. Ioannis Parissis	Professor and Vice-Rector, Human Resources		X	G-INP Institute of Engineering and Management
Mr. Emmanuel Pasturel	Director		X	G-INP Institute of Engineering and Management Human Resources Department
Dr. Christophe Picard	Senior Lecturer	X		G-INP Institute of Engineering and Management
Prof. Christophe Ribuo	Professor and Vice-Rector for Human Resources		X	UGA Medical School
Prof. Karine Samuel	Professor and Vice-Rector, International Relations		X	G-INP Institute of Engineering and Management
Prof. Sabine Saurugger	Professor and Director		X	Grenoble Institute of Political Studies ("Sciences Po Grenoble")
Dr. Natacha Seigneuret	Director, Federative Research Structure on Territories	X		UGA Institute of Urban Planning and Geography
Mr Nicolas Vernet	Ph.D. students' elected representative		X	Grenoble School of Architecture
Ms Yveline Vogier	Human Resources coordinator	X		G-INP Institute of Engineering and Management

Dr. Marie Wozniak	Senior Researcher and Director		X	School of Architecture
Dr. Olivier Zerbib	Senior Lecturer	X		UGA Faculty of Human and Social Sciences, Sociology Department

Your organisation must consult its stakeholders and involve a representative community of researchers ranging from R1 to R4¹, as well as appoint a Committee overseeing the process and a Working Group responsible for the implementation of the HRS4R process.

*The term 'Human Resources' is used **in the largest possible sense**, to include all researchers (Frascati definition: Proposed Standard Practice for Surveys on Research and Experimental Development, Frascati Manual, OECD, 2002) disregarding the profile, career 'level', type of contract etc.*

Provide information on how the above groups were involved in the GAP-analysis:

Stakeholder group	Consultation format	Contributions
Steering committee	Quarterly meetings	Gave strategic direction. Supported the team management.
Working group	Weekly meetings	Ensured delivery of the project

Please describe how the Committee overseeing the process was appointed:

The HRS4R initiative at UGA was initially requested in 2019 by the Vice-Rectors of Human Resources in the institutions as they were preparing the future merger of all the institutions in January 2020 to become the new UGA "Université Grenoble Alpes". ("Vice-Rectors" are known as Vice-Presidents at UGA). The HRS4R was perceived as an important set of tools and methods to design the global strategy for researchers in UGA, in the spirit of the European approach. Thus, the Vice-Rectors suggested the establishment of a Committee representing all the institutions that would merge: UGA,

Grenoble-INP, School of Architecture and School of Political Studies. The Vice-Rectors identified a project manager to coordinate the whole project. See above the detailed functions of each member of the Steering committee.

The committee, in its role as a validation body, met on a quarterly basis. Its main missions were to validate the global methodology, the gap analysis and the action plan. The committee ensured the coherence of the HRS4R initiatives and proposed actions with the existing committees and on-going work in different fields at the University. The two Vice-Rectors responsible for the HRS4R project regularly kept the UGA President and the decision-making authorities informed about the progress of the project. The Vice-Rectors of Research and Human Resources (who are all senior researchers and professors) and their executive directors were invited to join the steering committee representing the diversity of actors from different fields and perspectives in all institutions. Representatives of Ph.D. students were also invited to join the committee to make a link with the Ph.D. population on the themes to be analysed. In order to get beyond the research and human resources dimensions and include all the departments dealing with researchers' concerns, the UGA Vice-Rectors of International Relations and of Social and Environmental Responsibility were part of the steering committee.

The steering committee set up a project team composed of researchers to carry out the project. This group was given the task of bringing together the research community and identifying gaps between the institution's practices and the principles of the Charter and the Code, identifying possible actions and prioritising them. The project group proposed a global project methodology and ran workshops. (For more details, see next section.) The diagnosis and propositions for actions were presented to the steering committee, to the academic community through a public meeting and later on via video-conferences (due to the COVID lockdown) to different executive and scientific committees, which include union representatives. These committees discussed and validated the gap analysis and action plan. The steering committee will continue its engagement in the project as all the members will be part of the implementation committee designated to monitor the project's progress and the execution of the action plan.

Working Groups and people directly or indirectly engaged in the HRS4R process at UGA:

Working group (Ethics focus) composed of researchers and research support staff	Workshops	Elaborated the Gap analysis and Action plan suggestions
Working group (Working conditions focus) composed of researchers and research support staff	Workshops	Elaborated the Gap analysis and Action plan suggestions
Working group (Recruitment focus) composed of researchers and research support staff	Workshops	Elaborated the Gap analysis (plus OTM-R) and Action plan suggestions <i>OTM-R = Open, Transparent, Merit-based Recruitment</i>
Working group (Training focus) composed of researchers and research support staff	Workshops	Elaborated the Gap analysis and Action plan suggestions
Public meeting with scientific and administrative community	Plenary session	Discussed and drew up recommendations for the Action Plan
Individual expert: Ms. Natasha Wilcke, G-INP IIM President of Ethics & Deontology committee	Individual interviews	Provided data and analysed the feedback from researchers on the Gap analysis. Suggested additional actions in the field of Ethics and Deontology
Individual expert: Ms. Lucie Albaret, Open science coordinator, UGA Library	Individual interviews	Idem in the field of Open Science
Individual expert: Prof. Lise Dumasy, President of Couperin, French open science consortium	Individual interviews	Idem in the field of Open Science
Individual experts: Prof. Christophe Ribuot and Prof. Ioannis Parissis, UGA and G-INP IIM Vice-Rectors for Human Resources	Individual interviews	Idem in the field of OTM-R

Individual expert: Prof. Karine Samuel, Professor and Vice- Rector for International Relations	Individual interviews	Idem in the field of Internationalisation
Individual expert: Dr. Yann Echinard, UGA Senior Lecturer, Vice- Rector, Social Responsibility	Individual interviews	Idem in the field of Gender equality and social responsibility
Individual expert: Ms. Violette Zecchi, UGA Diversity and gender equality manager	Individual interviews	Idem in the field of Gender equality

Please describe how the Working Groups responsible for the implementation of the HRS4R was appointed

In order to involve researchers in the entire project and to carry out all the work by and for researchers according to their needs, the steering committee set up one executive Project team composed of researchers to carry out the project. This Project team was composed of the project manager, five researchers, two Ph.D. students and 2 mission heads. The project manager coordinated the overall project. The Project team organised several working meetings with researchers from all over the University to identify gaps and actions. A total of 50 researchers participated in these meetings. The meetings were run using the main themes of the Charter and Code (Ethical and Professional Aspects, Recruitment, Working Conditions and Training) and aimed to compare the principles with the reality on the ground in UGA. More information about the implication of the researchers and their involvement is detailed below. Instead of conducting a survey, the project team also organised a plenary session with scientific staff to obtain feedback on the final gap analysis and proposed action plan.

In order to reach out to the widest possible community, a large communication campaign to participate in HRS4R work and join the working groups was designed and relayed through a wide variety of different University communication supports such as websites, newsletters, events and during committee sessions and other meetings in all departments of the University. Specific invitations were extended to union representatives to participate in this work and speak for a large number of the employees. Researchers were involved in the working groups on a voluntary basis. The invitation to join the working groups was also transmitted by the President to the entire research community, demonstrating the strongest possible commitment to this initiative by top management.

Thanks to the large communication campaign, the final group of researchers who participated in the work represented quite fairly the diversity of the different categories of researchers (R4, R3, R2, R1) and also research support staff. All the researchers interested in joining the working groups were accepted. There was, however, a low level of participation by post-doctoral researchers, despite a specific and personalised

communication to this category of the research population. In addition, the huge workload that all researchers are facing had an impact on their availability to join the working groups. In fact, concerning the implication of wider community, it is important to take into account that the suggested dates of the meetings often did not match with the diverse agenda and teaching commitments of researchers. Nevertheless, and thanks to the keen interest to become involved in this project, a total of 50 researchers participated in several meetings analysing the gaps between the principles in the four previously mentioned main themes of Charter and Code and their actual experience in Grenoble.

Moreover, to enrich the gap analysis produced by the working groups, members of the project team conducted interviews with experts in the European Commission's priority areas such as recruitment, open science, ethics and gender equality. During the expert interviews conducted by the members of the project team, the need for collaborative work without subjective analysis was very much kept in mind, in order to have a distanced approach. Workshops were also organised with researchers and relevant stakeholders to identify the potential actions and prioritise them.

The methodology used during the workshop sessions was largely inspired by the methods demonstrated to the project manager during the HR Master Class training at Liège University. The working group and project manager also followed webinars organised by University College, Cork and Liège University.

Several surveys are organised every year concerning the working conditions at the University. Every two years, the UGA launches a Quality of Work-Life survey developed by an independent agency. The main purpose of this survey is to measure and evaluate the level of satisfaction at work of all the staff. The report brings a detailed analysis of how working conditions, job satisfaction and work-life balance are perceived by executive bodies, researchers, tutors and administrative staff. In 2019, 39.89 % of personnel in total replied to this survey, including 37% of tutor-researchers of whom 40 % have team coordination or other responsibilities. The report reaches significant conclusions serving as a main indicator for development of further policies and procedures in the matter of work-life balance. Moreover, every five years, all the constituent bodies and laboratories run internal evaluations for HCERES - The High Council for the Evaluation of Research and Higher Education. HCERES is the independent administrative authority responsible for evaluating all higher education and research structures. These reports support the

process of improving the quality of higher education and research of the University. Having enough quantitative data through these surveys, it was decided not to conduct yet another survey in this initial stage of HRS4R application but to launch eventually one rather at the self-assessment phase. Thus, as described above, the process of consultation with the entire research community was therefore achieved by meeting with researchers during the plenary session. It was considered to be more appropriate to work face-to-face in order to grasp the particular characteristics of each constituent body of the University during direct exchanges, rather than through a written survey. The HRS4R steering committee validated the actions that were afterwards discussed again in front of different steering committees and decision-making bodies. These several bodies, composed of researchers and administrative staff, have also validated the gap analysis and the action plan.

TEMPLATE 2 – GAP ANALYSIS – OVERVIEW

GAP ANALYSIS

The Charter and Code provides the basis for the Gap analysis. In order to aid cohesion, the 40 articles have been renumbered under the following headings. Please provide the outcome of your organisation’s GAP analysis below. If your organisation currently does not fully meet the criteria, please list whether national or organisational legislation may be limiting the Charter’s implementation, initiatives that have already been taken to improve the situation or new proposals that could remedy the current situation.

European Charter for Researchers and Code of Conduct for the Recruitment of Researchers: GAP analysis overview			
Status: to what extent does this organisation meet the following principles?	Implementation: ++ = fully implemented +/- = almost but not fully implemented -/+ = partially implemented -- = insufficiently implemented	In case of --, -/+, or +/-, please indicate the actual “gap” between the principle and the current practice in your organisation. If relevant, list any national/regional legislation or organisational regulation currently impeding implementation	Initiatives undertaken and / or suggestions for improvement:
Ethical and Professional Aspects			
1. Research freedom	+/-	Research freedom is a recognised principle under French law. Tutor-researchers and researchers enjoy independence and freedom of expression in the exercise of their functions. However, research freedom is often constrained by priorities given in the financing of research, which restricts total liberty for experienced and young researchers alike. What is more, doctoral students do not have total freedom, given the learning dimension of their status.	cf. Actions Principles 1.1. and 1.2. (Ethical principles)
2. Ethical principles	-/+	Most constituent bodies have ethics committees including, amongst other members, an ethics/deontology expert. These committees focus their actions on 2 major themes: 1) ethics and scientific integrity and 2) deontology.	Proposal for immediate action: 1.1. Set up UGA Ethics and Deontology Committee: Identify the composition, nominations of members, its role and missions. Create an interactive training module

		<p>The Ethics and Deontology Committee of G-INP Institute of Engineering and Management is structured around 3 aspects, defined by the principles of the inter-relationship between the establishment and 1) society, 2) the students and 3) its staff (researchers, tutors and administrative personnel).</p> <p>The UGA Ethics Committee for Research (CERGA) has been set up to promote and organise discussion on scientific and technological progress; on the social and societal impact of research and on the respect for an individual's when setting experimental research.</p> <p>Nevertheless, the lack of knowledge about these committees needs to be corrected.</p>	<p>about deontology for all personnel and a module on scientific integrity for researchers. Inform personnel about this Committee and that of G-INP IIM</p> <p>1.2 Revise the Doctoral Charter, taking into account ethical aspects and values; define the application of doctoral values and write up the Rules of Procedure of the Doctoral College (CED)</p>
3. Professional responsibility	+/-	<p>Plagiarism and the protection of intellectual property are carefully monitored. All the measures inherent in setting up the necessary protection for and guarantee of liberty and integrity in the research sector are available, accessible and guaranteed by both French legislation and national, university and sectoral rules. The <u>Compilatio</u> software is available for all doctoral students as well as for all proposed courses.</p>	<p>Possible future action:</p> <p>Review the <u>Compilatio</u> anti-plagiarism software (still fit-for-purpose)</p> <p>Encourage its use, publicise its existence and how to use</p>
4. Professional attitude	-/+	<p>While information exists and is clear, there is little knowledge of the strategic objectives concerning the research environment as well as the financing mechanisms available within the various disciplines. Better communication is a necessary objective for the establishment.</p>	<p>See https://www.univ-grenoble-alpes.fr/research/</p>
5. Contractual and legal obligations	+/-	<p>National, sectoral and institutional rules are very detailed and known by the majority of researchers. Research and work contracts set out the obligations in relation to research, training and work.</p> <p>Nevertheless, for certain types of contract (especially fixed-term) the rights and obligations are not fully understood by administrators, researchers and the employees on contract themselves,</p>	<p>Possible future action:</p> <p>Publicise yearly and set up proper training that draws the attention of a specific target audience to the rules in order to reduce the gap</p>

		which complicates the application of the rules.	
6. Accountability	+/-	<p>French law requires healthy and transparent financial management. The Administrative Council is the guarantor when voting its budget, while ensuring transparency. Rules are, therefore, known and financial constraints respected.</p> <p>However, better-targeted communication is required to clarify procedures and steps to guarantee the responsible engagement of researchers.</p>	<p>Proposal for immediate action:</p> <p>1.4. Ensure that information on project funding is accessible and that the procedure is respected by the relevant services</p>
7. Good practice in research	+/-	<p>Legal texts foresee the participation of researchers in the elaboration of statutory rules, particularly concerning the Technical Committees (CT) and the Hygiene, Security and Working Conditions Committees (CHSCT). The role of the "Risk Prevention" Service is to advise management about drawing up prevention policies. However, various different approaches have been noted, depending on the discipline concerned, resulting in a divergence of application of this principle.</p>	<p>Possible future action:</p> <p>After identifying needs according to discipline, the procedures should be harmonised</p>
8. Dissemination, exploitation of results	+/-	<p>Services to commercialise or otherwise to better use the results of research findings exist in the institutes that each have their own procedures and internal rules. In order to improve even further, these very active services in support of research could be closer to the ground and cooperate in establishing procedures and common approaches.</p> <p>https://www.univ-grenoble-alpes.fr/research/innovation-and-technology-transfer/innovation-and-technology-transfer-621461.kjsp</p>	<p>Proposal for immediate action:</p> <p>1.3. Set up a Service Unit for Knowledge Transfer (Valorisation)</p>
9. Public engagement	+/-	<p>Initiatives in the field of scientific, technological and industrial culture are the responsibility of the Cultural Service sections and the Scientific and Technological Culture service, both at the centralised level and in the constituent bodies of the UGA. While much work is done on science communication, it remains restricted to a targeted audience and, on the whole, by individual scientific</p>	<p>Proposal for immediate action:</p> <p>3.2. Elaborate strategy to increase awareness of scientific results</p>

		<p>field. Training doctoral students in this matter and acknowledgement of its importance by senior researchers is not sufficiently developed.</p> <p>https://www.univ-grenoble-alpes.fr/local-engagement/science-and-society/science-and-society-621464.kjsp?RH=2320611992758370</p>	
10. Non-discrimination	-/+	<p>Relevant articles in French legislation relating to rights and obligations of civil servants forbid any discrimination between civil servants on the grounds of their political, philosophical or religious opinions, union activities, their origin, their gender, their sexual orientation or identity, their age, their family name, their state of health, their physical appearance, their handicap or their membership (actual or supposed) to an ethnic group or race. UGA values diversity of talent and promotes access to knowledge and employment to everyone without any discrimination.</p> <p>The anti-discrimination group in place at UGA is preparing a preventative action plan and proposes an advisory service for doctoral students who consider themselves a victim of discrimination. While these measures and rules exist, an independent observer of practices at local level is needed. The implementation of the rules and practice could, in certain circumstances at the present time, have a discriminatory effect.</p> <p>The specific actions are proposed for asylum seekers, cf. <u>Social commitments</u>.</p>	<p>Proposal for immediate action:</p> <p>1.5. Develop actions of Psycho-social Risks Unit 4.2. Improve exchange of knowledge between the different services involved in monitoring and protecting against discrimination and bullying 4.9. Strengthen and ensure procedures linked to non-discrimination are widely known</p>
11. Evaluation / appraisal systems	+/-	<p>At the national level, following the career of researchers is the role of the National Council for Universities (CNU). Evaluation is carried out on the basis of the scientific record, the teaching record and posts of collective responsibility assumed. Nevertheless, it appears that – depending on the sections – the weight given to each function engenders an imbalance. Thus, it would appear to be very important to evaluate tutor-</p>	<p>Proposal for immediate action:</p> <p>cf. Actions Principle 28</p>

		<p>researchers and to give career advice, considering all the tasks inherent to their function.</p> <p>Individual monitoring committees (CSI) for each thesis exist and the rules stipulate that a CSI must have met by the end of the 2nd year of the thesis. Nonetheless, it appears that an earlier and more regular review would be appropriate in order to meet the requirements of the principle for monitoring doctoral students.</p>	
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Recruitment and Selection

12. Recruitment	+/-	<p>Tutor-researchers are recruited and assessed by their peers.</p> <p>Jury composition is open and voted by the Select Academic Council (CACR), which checks that the composition guarantees the independence of the jury. Applying the statutory decree relative to tutor-researchers, the jury (called the "Selection Committee") must be composed in an equal manner between men and women (a minimum of 40% of each gender), of a minimum of specialists in the discipline, a minimum of tutor-researchers as well as researchers unattached to the establishment (decree 84-431)</p> <p>Complementary principles have been adopted by the UGA CACR to strengthen the independence of juries and to reduce the practice of purely internal recruitment or bias in favour of locally known candidates.</p> <p>Finally, the National Ethics Committee has adopted recommendations concerning the withdrawal of jury members who have collaborated academically or who have had personal links with any candidate. The CACR systematically questions Selection Committee presidents at the end of each recruitment campaign about the respect of these ethical rules.</p> <p>A yearly information session for jury presidents is also organised by the university in order to inform them of the procedural methods for recruitment and to</p>	<p>Proposal for immediate action:</p> <p>2.3. Create web site for all research career paths with recruitment aspects, working conditions, career development (selection criteria, transparency) and draw up job profiles (main missions and subsidiary tasks) with links to offers of employment for researchers and tutor-researchers</p> <p>Possible future action:</p> <p>Before starting the recruitment process, disseminate the male/female ratio of all jury members in relation to each corps (professorial and lecturer posts).</p> <p>New initiatives to strengthen: systematic awareness by Selection Committee presidents about recruitment bias by viewing a video on non-biased recruitment; obligatory distribution of this video to all members of the Selection Committees and discussion by the jury of issues raised, prior to the selection of candidates and the interviews</p> <p>For posts of researchers on contract: create a simple web-</p>
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		<p>remind them of their obligations concerning non-discrimination and ethics.</p> <p>All recruitment offers for tutor-researchers (who are civil servants) are published on the "GALAXIE" ministerial portal and Euraxess and give details of the job profile, the application procedures, the schedule as well as all necessary web-links.</p> <p>In addition, the establishment recruits 2 other categories of contractual researchers (at R2/R3 level):</p> <ul style="list-style-type: none"> - ATERs ("<i>Attachés Temporaires d'Enseignement et de Recherche</i>"), chosen after simplified offers adopted by the UGA CACR - Post-doctoral students (R2 level or experienced researchers at R3 level). For this category, the establishment strongly encourages, without making obligatory, publication of the offer on the UGA internet site. <p>Research priorities in the laboratories are published on the websites of the doctoral schools and/or on the "ADUM" site (French IT tool for administrative and pedagogical management of doctoral students) with the job profile and required skills, a description of the research issues involved, the theme(s), the objective(s), the financing and its duration. Candidates can also apply with their own project as long as they have a thesis supervisor (especially in the Humanities and Social Sciences). Announcement of the competition, its procedures, schedule, selection criteria etc. is made on the College of Doctoral Schools (CED) site (7ED/13). Selection Committee composition is not given. Depending on the doctoral school, candidates may be pre-selected by the laboratories which set up a ranking system that is submitted to the doctoral school. At the present time, diverse procedures are in operation in the various doctoral schools.</p>	<p>tool to draw up and publish a job offer, giving details of the missions, expected profile and contract length - this publication to become an obligation before each recruitment campaign</p> <p>Develop internal training course on recruitment bias (male/female; diversity of experience; etc.) for a wide public: thesis supervisors, heads of scientific projects, unit directors, etc.</p> <p>Improve job profiles (more clarity and coherence) through awareness-raising and training of unit and constituent body management</p>
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		The establishment pays particular attention to gender equality when appointing Select Committee presidents.	
13. Recruitment (Code)	-/+	Idem 12	<p>Proposal for immediate action:</p> <p>4.3. Encourage collaborative dynamic to produce “A Guide to Good Practice for Recruitment” (selection criteria, transparency) and to draw up job profiles (main missions and subsidiary tasks)</p> <p>3.3. Publish employment offers systematically on Euraxess</p> <p>2.7. Consolidate HR skills in the units and knowledge about career paths for tutors and researchers in the HR services.</p> <p>Develop a network for exchange of good practice, as well as concerning supervision.</p> <p>Consider awareness-raising and/or training in the laboratories in order to spread knowledge about procedures and guarantee their application.</p> <p>Possible future action:</p> <p>Establish a traceable “workflow” for drawing up job profiles so that the history of changes/discussions can be consulted when finalised</p>
14. Selection (Code)	-/+	<p>French law determines the composition of Selection Committees, which must be made up of at least 40% of members of each gender. Selection Committee members must guarantee their impartiality in order to participate in the committees.</p> <p>The National Charter of Deontology for Research Professions (<i>“La Charte nationale de déontologie des métiers de</i></p>	<p>Proposal for immediate action:</p> <p>2.2. Ensure Selection Committee members are equipped + aware of all aspects to carry out ethical recruitment</p> <p>Possible future action:</p> <p>If needs are identified in certain fields, provide advice to</p>

		<p><i>la recherche</i>”) signed by the universities is the French offshoot of The European Charter for Researchers.</p> <p>The rules of the composition and operation of committees are clear and publicised. Nevertheless, some decisions are subject to debate. This could be explained by a lack of recruitment training for the Selection Committee members.</p> <p>Interdisciplinarity, as recommended by the national model, is not sufficiently encouraged, in spite of the establishment’s choice</p> <ul style="list-style-type: none"> • to publish the job profiles from time to time on the sites of several CNU sections and many laboratories • to put the internal job offers in the context of “Cross-disciplinary” projects for the recruitment of doctoral students and researchers on contract in order to develop research interfaces. 	<p>constituent bodies and laboratories concerning interdisciplinary job profiles</p>
15. Transparency (Code)	+/-	<p>The appointment of jury members and the operation of selection committees for the recruitment of researchers are defined in law. At UGA, the Select Academic Council is the body responsible both for examining individual cases related to recruitment for posts and for the career development of tutor-researchers.</p> <p>The selection criteria and the application details are published. However, contact with all candidates after the interview stage is not systematic.</p> <p>The strict legal framework of the selection process, in order to preserve the confidentiality of discussion, forbids members of the jury (at the risk of legal action) to give feedback to candidates. Nonetheless, a candidate has access to the written notes of the Selection Committee concerning their own application. No possible complementary action is identified in this section of the notes.</p>	<p>cf. Actions Principles 12 and 13 (Recruitment)</p>
16. Judging merit (Code)	+/-	<p>Work evaluation criteria exist such as promotions, PEDRs (“Prime</p>	<p>Proposal for immediate action:</p>

		<p>d'Encadrement Doctoral et de Recherche” - bonuses for doctoral supervision and/or research), qualifications, CNU section evaluations. CNU sections distribute recommendations for the attention of relevant candidates to help them prepare and structure their applications. They also send recommendations to the tutor-researchers and to their universities on the individual career perspectives of those tutor-researchers who accept to transmit their application during the evaluation campaigns by the CNU (every tutor-researcher is free to decide whether or not to submit their application).</p> <p>The Vice-Rector and the Director General of Human Resources interview personally every tutor-researcher for whom the CNU has sent a career development path and discuss the identified needs. With the agreement of the tutor-researcher, discussions are also held within the relevant teaching/research constituent body.</p> <p>The excellence of academic publications is over-valued to the detriment of other skills. For example, neither collaborative work nor pedagogical practice is considered highly in these procedures.</p> <p>The CACR has adopted promotion criteria for tutor-researchers, which have been published. All the opinions expressed on their own application are communicated to each candidate. Detailed results are published after each campaign.</p>	<p>1.6. Propose a mentoring scheme to help prepare applications for CRCTs (leave to concentrate on a research project or in order to change disciplinary focus), bonuses, etc. and put in place - on an experimental basis - workshops for researchers to exchange about their career path, their skills and aspirations in order to help them advance</p>
<p>17. Variations in the chronological order of CVs (Code)</p>	<p>-/+</p>	<p>Tutor-researchers have the possibility to exercise their profession and organise their work in a simultaneous or successive fashion. They also have the right to work in collaboration with public and private institutions and laboratories in order to contribute to the development of specific applications. These different elements of their career path can be considered both during recruitment and promotion campaigns.</p>	<p>Proposal for immediate action:</p> <p>4.1. Create indicator(s) to measure how much a diverse career path is considered during recruitment</p>

		<p>The establishment is very open to career paths that include international mobility as well as acknowledging previous work experience in non-public organisations. Such factors are partially taken into account when determining starting salaries after recruitment, in application of the decree relative to a tutor-researcher's ranking on the pay scale.</p> <p>However, UGA has no specific set of recommendations concerning these questions.</p> <p>For doctoral students, recruitment criteria based on skills tend increasingly to be given more weight.</p>	
18. Recognition of mobility experience (Code)	+/-	<p>Mobility options are available to tutor-researchers via secondment, delegation or temporary transfer. International mobility is often a function of career length and is highly valued.</p> <p>Interdisciplinary mobility is acknowledged to be more difficult to organise. Nevertheless, there is an official procedure for a tutor-researcher to take a 6-month to a year break from teaching in order to change disciplinary focus.</p>	<p>Proposal for immediate action:</p> <p>2.4. Establish Advisory Service to mount mobility plans for departing personnel equivalent to the International Students & Scholars Office – ISSO – for students</p>
19. Recognition of qualifications (Code)	-/+	<p>Depending on the type of competition, different levels of qualification and diplomas are required. Candidates must prove that they possess all the specific skills necessary for the proposed post. Qualifications are recognised through such factors as increase in grade, competitions giving access to a higher rank, certification to supervise research, PEDRs (bonuses).</p> <p>However, compatibility of skills with the requirements of the post is not always respected. For example, taking the level of “soft skills” into account at all stages of a career and in the choice of task allocation needs to be improved.</p>	<p>Possible future action:</p> <p>Develop a culture that lists missions/necessary skills for academic functions (team manager, unit head, constituent body leader)</p> <p>Encourage more management training for tutor-researchers and researchers in management positions</p> <p>Develop skills among jury members, drawing attention to “soft skills” (ability to work in teams, to calm tensions, to establish a clear professional framework, to be transparent about allocation of resources, to behave ethically and to be respectful of the diversity of team members)</p>

			<p>Produce a Provisional Management Plan for Jobs and Skills</p> <p>Encourage better appreciation of and advice for candidates coming from other countries (unfamiliar with French “codes” re: qualifications, contacts, ...)</p>
20. Seniority (Code)	-/+	<p>Validation of professional achievements is recognised by a specific mechanism in France but (already highly qualified) tutor-researchers are not so much concerned.</p> <p>Promotion is based on 3 aspects of a career: research, teaching and collective responsibilities as well as on peer evaluation - often seen by tutor-researchers as prioritising publications or the research aspect to the detriment of other factors especially that of teaching.</p>	<p>Possible future action:</p> <p>Improve knowledge about the characteristics of applications from promoted candidates and the selection criteria: publication of detailed results</p> <p>Encourage career discussions to help disappointed candidates understand measures that would assist in their career development</p> <p>Train recruiters in identification of criteria concerning:</p> <ul style="list-style-type: none"> • Scientific quality other than publications • Pedagogical quality and content of training experience • Complexity and weight of collective responsibilities and resulting contribution to the establishment
21. Postdoctoral appointments (Code)	+/-	<p>National regulations foresee recognition of doctoral studies as a professional experience for some competitions.</p> <p>Recruitment procedures are well defined for researchers post-Ph.D. (ATER). There is also a contract for Young Researchers detailing recruitment procedures (length of contract, salary, etc.) in an administrative regulation that was debated with the social partners and adopted by the elected bodies of the establishment (in which tutor-researchers and researchers are represented). This regulation is published on the</p>	<p>Proposal for immediate action:</p> <p>4.6. Advise on and devise safeguards for career paths of researchers on contract</p> <p>Possible future action:</p> <p>Improve information for counsellors about academic careers and the possibilities of post-doctoral contracts.</p>

		<p>University's intranet site.</p> <p>Nonetheless, the longer-term perspectives and accompaniment in career management remain little developed.</p> <p>UGA has created an Advisory Service for Professional Career Track Development, where 3 trained counsellors receive tutor-researchers or other personnel (BIATSS*) on an individual basis, when contacted. This possibility remains little known and used by tutor-researchers.</p> <p>A specific Advisory Service for doctoral students has been developed by the Doctoral College.</p> <p>A counsellor from the national Employment Agency ("<i>Pôle Emploi</i>"), whose missions are financed by UGA, also helps those who ask for assistance in looking for work.</p> <p>(*BIATSS = librarians, engineers, administrators, technical staff, social and health workers)</p>	<p>Raise more awareness among all doctoral and post-doctoral supervisors about their mentoring responsibilities</p>
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Working Conditions and Social Security

22. Recognition of the profession	-/+	<p>Recognition of the profession of "doctoral student" is not a given in all domains and does not start systematically from the 1st year of the thesis. Certain doctoral students do not possess a doctoral contract.</p> <p>During internal and national surveys, tutor-researchers have expressed a lack of recognition that, according to them, is shown by the low level of pay in relation to other civil servants with the same level of studies; an increase in workload constraints unaccompanied by social recognition of their profession; a highly competitive job that encourages individualistic behaviour, sometimes to the detriment of those striving for a collective approach; a lack of recognition either by direct colleagues or by their establishment (difficulty, in particular, to reach the university professor corps).</p>	<p>Proposal for immediate action:</p> <p>2.6. Give equal value to teaching and implication of tutor-researchers in pedagogical and collective responsibilities vis-à-vis research (when considering promotion, bonuses and requests for changes in service obligations)</p> <p>Possible future action:</p> <p>Develop added-value measures to encourage cooperation and mutual professional help</p>
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		In addition, research support staff do not always feel their contribution is acknowledged.	
23. Research environment	-/+	<p>Very variable depending on the field. There is a contrast between laboratories that have cutting-edge technical equipment so that they are at the forefront of world research and those that lack some basic equipment and appropriate space to guarantee quality work.</p> <p>Committees of Hygiene, Security and Work conditions (CHSCTs) survey the health and security at work of all University employees.</p> <p>Conditions of collaborative work and the ability to sound out colleagues are not always satisfactory because of the lack of informal places to gather in certain collective workplaces. This lack of convivial areas hinders the feeling of well-being at work.</p> <p>Strong feelings exist about the weight of administrative procedures, often associated with the demand for regular research project reports as well as for provision of individual and group statistics and amount of supporting documents, leading to need for more dematerialised procedures.</p>	<p>For immediate action:</p> <p>4.7. Start to prepare long-term plan for agreeable and convivial common spaces to improve quality of life at work (work spaces, meeting places, access to green spaces, quality of buildings, rooms to nap, etc.)</p> <p>Possible future action:</p> <p>Unit directors to share details of resource distribution among researchers (to be circulated to all laboratories); recommendations to encourage development of transparent, equitable policies and cooperation</p> <p>Analyse distribution of resources by laboratory (to be published); provide all necessary tools to tutor-researchers</p> <p>Harmonise survey forms and reduce amount of (often repetitive) data collection by laboratories and training bodies.</p>
24. Working conditions	-/+	<p>Idem 23</p> <p>The working time of civil servants is flexible, with the possibility of tele-working.</p> <p>Separation between private and professional life is not sufficiently considered.</p> <p>The growing demand for eco-responsibility is not reflected in the policies of the University.</p> <p>UGA's Overall Action Plan ("<i>schéma directeur</i>") fixes the commitments to take into account the situations of those</p>	<p>For immediate action:</p> <p>3.4. Establish guidelines to reconcile professional and private life</p> <p>Possible future action:</p> <p>Reduce number of hours through:</p> <ul style="list-style-type: none"> Adaptation of training offer with respect to the

		<p>suffering from a disability, to promote their recruitment and their continuing employability and to identify actions to be taken in this regard. A special advisor has been recruited to accompany tutor-researchers in these initiatives, to cope with their needs and particular arrangements linked to preventative medicine as well as to inform them of their rights.</p>	<p>establishment's pedagogical potential.</p> <ul style="list-style-type: none"> • Better distribution of tutor-researcher and tutor posts between the constituent bodies. <p>Reduce time devoted to applying to Calls for Projects by restoring the balance of allocations to laboratories between recurrent funding and project funding.</p> <p>Encourage more rotation in management positions in units and constituent bodies.</p> <p>Raise more awareness among supervisors about respect for private life, especially for tutor-researchers returning from maternity or parental leave and for parents of young children.</p> <p>Ensure proper application of and respect for the Charter on Emails (to be revised and improved).</p> <p>Adopt Charter on Time Management</p>
25. Stability and permanence of employment	-/+	<p>In France, statutory permanent employment is the standard. However, the increase in short- and mid-term insecure posts is becoming more and more evident. The University disposes of more and more project contracts whose length is determined by the financing of the project. These practices have consequences on employment stability.</p>	<p>Possible future action:</p> <p>Publish statistics on professional integration of doctoral students. To be used to develop advisory service on post-doctoral career paths. Systematic HR interview for employees who remain without a permanent UGA post 3 years after their thesis</p>

26. Funding and salaries	-/+	<p>The principal remuneration of tutor-researchers is statutory and increases periodically in relation to the length of service.</p> <p>For those on research contracts, a remuneration grid based on the level of diploma and professional experience has been voted by the UGA Administrative Council.</p> <p>Nevertheless, in some fields, doctoral students do not possess a work contract, leading to a wide diversity between different disciplines.</p> <p>Financing by Calls for Projects leads to considerable divergence in financial resources between units.</p>	<p>For immediate action:</p> <p>4.8. Survey doctoral students, based on reliable data - quantification of precarity underway (T1) and guarantee of a minimum income for doctoral students to carry out thesis work (T2)</p> <p>Possible future action:</p> <p>Identify ways to increase number of those on contract in the total population of doctoral students</p> <p>Guarantee transparency and equity of criteria for internal resource allocation between laboratories</p> <p>For further examination:</p> <ul style="list-style-type: none"> • Transparency of permanent financing • Restoration of balance between recurrent and project funding
27. Gender balance	+/-	<p>At the national level, male/female equality is identified as a priority. Regulations ensure this equality in the different University commissions and committees. UGA has chosen this theme as a priority in order to establish a real balance between women and men. Conferences and press bulletins are regularly organised by the Service responsible for this matter. UGA is also an active member of the Gender Institute (a scientific group, bringing together 30 institutional partners).</p> <p>The University has already launched many initiatives and, to consolidate these, an action plan is currently being prepared to promote female/male equality.</p>	<p>For immediate action:</p> <p>3.1. Draw up action plan for Female/Male equality + training for all research personnel and students about F/M professional equality issues and unconscious bias linked to gender stereotyping (creation of an optional unit of transversal training)</p>
28. Career development	-/-	<p>In France, half of promotions come from a national body, the CNU, composed exclusively of tutor-researchers and the other from the universities on the proposition of the CACR, again composed</p>	<p>For immediate action:</p> <p>2.1.1. Propose optional career interviews for tutor-researchers</p>

		<p>exclusively of tutor-researchers, elected by tutor-researchers.</p> <p>Tutor-researchers can, in the course of their career, ask to be freed from their teaching duties for a period of 6 months to 1 year on full pay, either to concentrate on a research project or in order to change disciplinary focus (CRCT = “Congés pour Recherches ou Conversions Thématiques”) or to create a teaching programme (CPP = “<i>Construction d’un Projet Pédagogique</i>”)</p> <p>At UGA, a Career Management Service offers individual advice and suitable accompaniment for professional development to those tutor-researchers who request it.</p>	<p>2.1.2. Clarify role of the individual monitoring committees (CSI) from Year 1 of a thesis</p> <p>Possible future action:</p> <p>Better disseminate knowledge among tutor-researchers of advisory services for professional career paths and career management as well as information about relevant training courses</p>
29. Value of mobility	-/+	<p>Different options are in place to facilitate the mobility, including international, of researchers: Secondment; delegation; mobility to the private sector; leave for research or change in research focus.</p> <p>Interdisciplinary mobility is rarer and is not seen as worthwhile or even possible by certain tutor-researchers.</p> <p>Setting up interdisciplinary projects is seen as more difficult in spite of internal Project Calls in the framework of IDEX (= “Initiatives D’Excellence” – State financing since 2011) funding, such as the Cross Disciplinary Program (CDP).</p>	<p>Proposal for immediate action:</p> <p>2.5. Give English tuition and cultural awareness training to all staff, with priority for personnel in contact with international partners</p> <p>4.4. Set up advisory service for staff (tutors, doctoral students and administrative personnel) re: international/intersectoral mobility - assistance in organisation + search for replacement, information about local promotion process, easing of re-integration</p>
30. Access to career advice	-/+	<p>Services are in place to give careers advice, whereas no individual career interviews take place unless requested.</p>	<p>Proposal for immediate action:</p> <p>cf. Actions Principles 28 and 39</p>
31. Intellectual Property Rights	+/+	<p>Much information and a wide variety of rules and conventions exist concerning questions of intellectual property rights. Various services and advisory services are offered to researchers.</p>	
32. Co-authorship	+/+	<p>Clear procedures have been identified in different documents to monitor research methods.</p>	

33. Teaching	-/+	<p>In view of the multitude of job profiles of existing tutors, the situations vary considerably and the number of supplementary hours worked (over and above the statutory service required) very much depends on the discipline concerned.</p> <p>Doctoral students can tutor 64 hours per year. Tutor-researchers must supply 192 hours of teaching. New recruits have a dispensation of 32 teaching hours the 1st year in addition to a further 64 hours to be taken during the first 2 years.</p> <p>Implication in tutoring counts for little in career development.</p> <p>Accepting responsibilities is recognised in the framework of the service benchmarks adopted by the UGA Administrative Council.</p>	<p>Possible future action:</p> <p>Encourage rotation of pedagogical management duties.</p> <p>Advertise and develop projects for pedagogical leave</p> <p>Acknowledge value of implication in teaching developments more highly for career considerations</p> <p>Revise Teaching Service Standards after a survey of Good Practice and a review of the coherence of the whole volume of service dispensation for research, teaching and collective responsibilities</p>
34. Complaints/ appeals	-/+	<p>Different structures for prevention and counselling have been identified. A procedure is in place to gather information and to treat psycho-social risk alerts as well as alerts about sexist and / or sexual violence. Mediators have been appointed in some constituent bodies. These mechanisms were discussed with the social partners and adopted by the social dialogue bodies.</p> <p>A specific procedure for treating alerts from doctoral students has been put in place by the College of Doctoral Schools. Ethics committees are consulted on such questions in some of the constituent bodies.</p> <p>However, these structures remain insufficiently well-known by researchers, particularly those on contracts who are unaware of the option to complain and obtain redress. The ethical principles of the University are not displayed.</p>	cf. Actions Principles 2 and 10
35. Participation in decision-making bodies	+/+	All the staff are represented in all decision-making bodies of the establishment: Administrative Council, Technical Committee, CHSCT, Academic Council and Select Academic Council.	

Training and Development			
36. Relation with supervisors	-/+	<p>Thesis Monitoring Committees are in place and meet at the end of the 2nd year of the thesis. UGA also offers training to thesis supervisors on the ethics of and mentoring for a thesis.</p> <p>Certain laboratories take interesting initiatives and propose a third person as mediator in the event of tension with the direct supervisor.</p> <p>The Doctoral College and the University have a training for thesis supervisors and an alert system re: inappropriate behaviour.</p> <p>Such alerts and psycho-social risk enquiries highlight the considerable amount of progress in the quality of doctoral student support during thesis.</p>	<p>Possible future action:</p> <p>Conduct a study on psycho-social risk (RPS) factors among doctoral students and establishment of a preventative monitoring service</p>
37. Supervision and managerial duties	-/+	<p>Even though thesis supervisors and directors of the constituent bodies and laboratories have the opportunity to train in the accompaniment of doctoral students, managerial practices are different and no measures are taken to guarantee that this supervision is carried out following professional standards, as defined by the University.</p>	<p>cf. Actions Principle 28</p>
38. Continuing Professional Development	+/-	<p>A Continuous Training service offers further training, which is refreshed on an annual basis. All staff are notified by email of the training on offer.</p>	<p>Proposal for immediate action:</p> <p>4.5. Discuss how to acknowledge extracurricular activities of doctoral students (outside of writing their thesis e.g. tutoring, civic engagement)</p>
39. Access to research training and continuous development	-/+	<p>idem 38 Training exists but does not always meet the expectations of researchers.</p>	<p>Proposal for immediate action:</p> <p>2.8. Help career development with targeted training courses, tailor-made (as close as possible to needs) i.e. customised training courses and not those taken from a training catalogue</p>
40. Supervision	-/+	<p>idem 36 and 37</p>	<p>cf. Actions Principles 28 and 16</p>

TEMPLATE 3 – OTM-R CHECKLIST

A specific self-assessment checklist is provided for Open, Transparent and Merit-Based Recruitment (OTM-R). Please report on the status of achievement, also detail on the indicators and the form of measurement used.

OTM-R checklist for organisations					
	Open	Trans- parent	Merit- based	Answer: ++ Yes, completely +/- Yes, substantially -/+ Yes, partially -- No	*Suggested indicators (or form of measurement)
OTM-R system					
1. Have we published a version of our OTM-R policy online (in the national language and in English)?	X	X	X	-/+	Open Recruitment Policy published on website
2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?	X	X	X	-/+	Date of latest update on website
3. Is everyone involved in the process sufficiently trained in the area of OTM-R?	X	X	X	-/+	Existence of training programmes for OTM-R Number of personnel following training in OTM-R
4. Do we make (sufficient) use of e-recruitment tools?	X	X		+/-	Web-based tool for all the stages in the recruitment process
5. Do we have a quality control system for OTM-R in place?	X	X	X	-/-	Existing quality system (annual social audit)
6. Does our current OTM-R policy encourage external candidates to apply?	X	X	X	-/+	Trend in the share of applicants from outside the organisation Survey about the UGA application process +

					motivations to apply
7. Is our current OTM-R policy in line with policies to attract researchers from abroad?	x	x	x	-/+	Trend in the share of applicants from abroad
8. Is our current OTM-R policy in line with policies to attract underrepresented groups?	x	x	x	-/+	Trend in the share of applicants among underrepresented groups (especially women)
9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?	x	x	x	-/+	Trend in the share of applicants from outside the organisation Survey about the UGA application process + motivations to apply
10. Do we have means to monitor whether the most suitable researchers apply?				-/+	Select Academic Council (CACR) report Acceptance rate of offers by the first-ranked candidate
Advertising and application phase					
11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?	x	x		-/+	Rate of consultation of the guidelines
12. Do we include in the job advertisement references/links to all the elements foreseen in the relevant section of the toolkit?	x	x		-/+	Link to the OTM-R web site
13. Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience?	x	x		+/-	The share of job adverts posted on EURAXESS Trend in the share of applicants

					recruited from outside the organisation/abroad
14. Do we make use of other job advertising tools?	x	x		+/-	Publication rate on "Galaxie" for recognised researchers and for tutor-researchers On-site publication rate UGA/G-INP/IEP and other BIATSS platforms Existence of dematerialised and simplified procedures
15. Do we keep the administrative burden to a minimum for the candidate?	x			+/-	Existence of dematerialised and simplified procedures
Selection and evaluation phase					
16. Do we have clear rules governing the appointment of selection committees?		x	x	+/-	Updated rules on web site
17. Do we have clear rules concerning the composition of selection committees?		x	x	-/+	Written guidelines
18. Are the committees sufficiently gender-balanced?		x	x	-/+	Ratio women/men in the panel
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	-/+	Written guidelines
Appointment phase					
20. Do we inform all applicants at the end of the selection process?		x		+/-	Publication of results
21. Do we provide adequate feedback to interviewees?		x		+/-	Written guidelines

22. Do we have an appropriate complaints mechanism in place?		x		+/-	Statistics on complaints
Overall assessment					
23. Do we have a system in place to assess whether OTM-R delivers on its objectives?				-/-	Annual review of HR recruitment policies

TEMPLATE 4: ACTION PLAN

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	3714
Of whom are international (i.e. foreign nationality)	1027
Of whom are externally funded (i.e. for whom the organisation is host organisation)	607
Of whom are women	1477
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	1997
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	533
Of whom are stage R1 = in most organisations corresponding with doctoral level	2858
Total number of students (if relevant)	62113
Total number of staff (including management, administrative, teaching and research staff)	7686
RESEARCH FUNDING (figures for most recent fiscal year)	€
Total annual organisational budget	130 786 260
Annual organisational direct government funding (designated for research)	67 070 715
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	40 610 147
Annual funding from private, non-government sources, designated for research	12 537 639
ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 1000 words)	
<p>The “Université Grenoble Alpes” (UGA), created in January 2020, is a brand-new University. Its foundation stems from the merger of the former “Université Grenoble Alpes” and three of the most prestigious higher education and research institutions in Grenoble: Grenoble-INP Institute of Engineering and Management; “Sciences Po” Grenoble - School of Political Studies; ENSAG – Grenoble School of Architecture. The UGA is a major player in higher education and research in France and its curricula cover the following fields: Science, technology and health; Human and social sciences: Arts and letters, languages, linguistics and communication; Political studies; Architecture.</p>	

The main campuses of the UGA are in the Grenoble area, with about 60,000 students, including 9,000 international students. The other campus is located in Valence, with around 10,000 students.

The overall number of employees is 7,686 of whom 3714 are researchers. Of these researchers, 2857 are in the former UGA, 628 are in the Institute of Engineering and Management School; 147 are in the Grenoble School of Architecture and 82 in the School of Political Studies. The Doctoral College at UGA is a unique institution caring for and assisting 2858 doctoral students who are registered in one of 13 different Doctoral schools offering research training courses in all kinds of disciplines, both fundamental and applied.

From January 2020, the UGA defines the policy and unique global strategy, including human resources strategy for all the institutions. This strategy is applied in each institution. Nonetheless, the institutions of the UGA have a certain degree of autonomy in that they manage their employees and have their own budget.

Since January 2020, transdisciplinary research projects and study programmes across all institutions are coordinated by UGA, thus contributing hugely to the visibility of the University at the international level. The institutions composing UGA ranks each year in the Top 100-250 group of the best world universities in all major international rankings and is in the Top 10 of French higher education institutions. Students interested in research-based programmes can take advantage of the expertise in more than 100 research departments, working with top scientists in all fields. The UGA is the second-most award-winning site in France in terms of honours from the European Research Council (ERC), the French National Centre for Scientific Research (CNRS) and the French Ministerial Institute for elite researchers (IUF). Most research units are linked to national institutions such as the CNRS, the National Institute for health and scientific and technological research (Inserm) or the National Institute for Agronomic Research (INRA). The quality of research as well as the synergies between the laboratories shared with the national research centres as the French Alternative Energies and Atomic Energy Commission (CEA); the CNRS; Inserm; the National Institute for Research in Digital Science and Technology (Inria); the National Research Institute for Agriculture, Food and Environment (Inrae); the Public hospital Grenoble Alpes (CHU) and the Development Research Institute (IRD) laid the foundation for the recognition of UGA as an Excellence Initiative (IDEX). Thanks to the strong ties between the University, schools, national research organisations and socio-economic actors, the Excellence Initiative label "IDEX Université Grenoble Alpes: world-class innovation

university” was awarded to UGA by the French government, a label restricted to a dozen universities in France.

The UGA became engaged in the HRS4R process to consolidate its global human resources strategy and involved researchers from each institution in order to identify the particular needs and actions to implement. Although the institutions that make up UGA do not have the same culture and are of different sizes, the HRS4R project is a federative one in which all the institutions enter with the same commitment. The gap analysis run by researchers from different institutional backgrounds and fields allowed the differences of all the institutions to be taken into account. Moreover, special collaborative work with the University Vice-Rector for Territorial development in Valence was undertaken to ensure that the identified gaps and implemented action plan will benefit the Valence research community as well.

To recognize the uniqueness of UGA’s approach to HRS4R, it is worth noticing that Grenoble’s tradition of scientific and technological innovation, based on an ecosystem linking the university, research centres and industry, has given rise to a strong collaboration between these major partners. Today, the UGA and Grenoble are recognised worldwide for expertise in digital and nano-technology, artificial intelligence, geosciences and health innovation among others. Grenoble is also a city of social and cultural innovation. Whether in reaction to or in conjunction with industrial and technological change, it has seen the emergence of solidarity initiatives in various social circles (provident and workers’ societies, mutual societies, the embryos of what would later become the French health and social security system); education (popular education, family planning); culture (tourism, popular theatre, public reading, scientific and technical mediation) and politics (resistance movements, libertarian and / or environmental activism, etc.)

When reflecting on the UGA approach to HRS4R strategy, the city’s local and territorial situation cannot be under-estimated. Due to its geographical location, surrounded by tall mountain chains, the Grenoble metropolis is confronted with acute environmental problems (pollution, climate disruption, increased temperature amplitude and other ecological risks). However, the metropolis is also characterised by the importance it attaches to outdoor, sporting and cultural activities. These elements are markers of the Grenoble area. They are main factors in the attractiveness of the UGA. Thus, it guides the concerns of the research staff, who are also citizens of the region and who are particularly sensitive to the themes of societal transitions and sustainable development. Consequently, the researchers involved in the project suggested to integrate the UGA in the HRS4R approach on

the one hand within the framework of management by goals, based on these territorial markers and, on the other hand, on the strategy of the UGA, as affirmed in the founding text of the university:

- Principle of collaborative work - upgrading of collective work
- Interconnection / mutual enrichment of training - research activities
- Outreach: the citizens' university
- Employee recognition

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 organization.

Thematic heading of the Charter and Code	STRENGTHS and WEAKNESSES
Ethical and professional aspects	<p>The values and intentions as expressed in the new Statutes and in the propositions of the Presidential team proved that the Ethical aspect is a fundamental component of UGA. Some constituent parts of “Université Grenoble Alpes” already have Committees for Ethics and Deontology in place. Under the new Statutes of UGA, a general Committee for Ethics and Deontology is going to be established. The training in ethics and deontology is obligatory for all doctoral students and even, to a certain extent, in the training of undergraduate and Masters students. There are also existing Charters concerning plagiarism in place for researchers and, in some constituent parts, for students. We also notice very important dissemination and exploitation of scientific results, especially because of strong links with local and international industries. The contact with the local population is maintained regularly to explain research through Open Days, links with local schools and non-profit institutions.</p>

	<p>As far as the weaknesses are concerned, we notice a confusion between deontological action “not doing something” and an ethical approach “what should be done”. This is particularly important in the light of the development of new approaches and technologies. There is no systematic training in place for post-doctoral and other researchers in ethics. In addition, the insufficient cohesive sense of ethical responsibility and professional attitude in the workplace appear to be a weakness. The staff is concerned about the limited actions concerning discrimination in the workplace, not just in recruitment and promotion. Moreover, diverse functions and responsibilities of tutor-researchers are not taken into account for promotion.</p>
<p>Recruitment and selection</p>	<p>All the job offers for tutor-researcher posts are published on the Ministerial portal “Galaxie”, in an open and transparent way. These offers are also automatically published on Euraxess, to ensure their international dissemination. Names of those serving on the recruitment panel, voted by the Select Academic Council, are announced publicly. The panel is independent, taking decisions on merit-based criteria. Regular information sessions are held for panel presidents to inform them about the rules for the recruitment process. These sessions are aimed to provide up-to-date knowledge about non-discriminatory and ethical practices. Tutor-researchers are recruited by their peers based on their qualifications, respecting the merit criteria. The central Human Resources (HR) Department also strongly insists on the publication of time-limited contract job offers aimed at researchers. All these actions contribute to the effectiveness of the recruitment process and its open, transparent and merit-based nature that is at the heart of the ethical foundation of the University.</p> <p>Nonetheless, job descriptions for post-doctoral positions are not always developed in consultation between the HR department</p>

	<p>and the laboratories. In addition, even if the presidents of the panel are trained, it is not always the case for the recruitment panel members, who may not be sufficiently informed about recruitment criteria. There is also a quite important heterogeneity of practices about publishing job offers, panel composition and recruitment procedures for researchers on time-limited contracts. In addition, mobility - especially intersectoral mobility - is not promoted enough. These themes are worth encouraging and developing.</p>
Working conditions	<p>UGA laboratories have an excellent pool of cutting-edge equipment to perform world-class research. Grenoble is home to five large international research infrastructures that share their instruments with researchers from UGA, providing research facilities to the whole scientific community and, in this way, putting them on the frontline of international research.</p> <p>The numerous internal calls for proposals in UGA are launched every year by the scientific board to promote and support trans-disciplinary and interdisciplinary research. In addition, flexible working conditions (time, place and organisation) contribute to the improvement of the physical, mental and general health of employees, as reported in the UGA annual survey. Most employees appreciate the working environment and this has positive effect on their well-being. Equality between women and men is a growing priority: many initiatives are in place or under development, contributing to the improvement of working conditions for all.</p> <p>However, tutor-researchers express a feeling of lack of recognition through the internal and national surveys. What is more, they often do not know of the opportunity to benefit from career support interviews at the local level. More specifically for Ph.D. students, different disciplines and schools take diverse</p>

	<p>approaches towards their doctoral students – for example, some students do not receive remuneration throughout their thesis.</p> <p>Regarding gender equality, a master plan will help to structure and solidify initiatives already launched to reduce existing disparities between women and men.</p> <p>Reinforced by the local context (see presentation of the UGA above), a growing demand for eco-responsibility is not reflected in the University’s policies and practices, thus pointing to the need for a methodical master plan.</p> <p>Most researchers feel that administrative procedures are very burdensome and hinder good working conditions. Moreover, support for the articulation between private and professional life does not seem to be sufficient.</p>
<p>Training and development</p>	<p>Considerable support and encouragement to adopt innovative teaching practices is provided for tutors of the UGA community by the Direction for Pedagogical Support - “DAPI” and at Grenoble-INP by “PerForm”. Both bodies propose specific teacher training and increased cooperation in the framework of the UGA can only lead to improved services.</p> <p>In order to support research development to the maximum extent, the Training and Career Unit within the HR Department of UGA provides also a variety of training courses and personal support for all personnel. The Department publishes an online training catalogue available to the entire community and updated every year. Along with this main catalogue, a variety of courses is provided by both training bodies, by the libraries and by the research departments. All training opportunities are published with accurate information and details about the courses and the registration procedures. There is also the</p>

	<p>possibility to demand specific training outside the catalogue. First Stage Researchers have a unique global training offer that is put together on the Ph.D. platform.</p> <p>To propose the best quality training and to stimulate research projects in this area, the University published several high-quality calls for proposals to develop innovative training and new teaching approaches. In addition, it is worth taking into account the availability of self-study materials for each researcher and tutor, which is a fundamental strength for the growth of the scientific and teaching community.</p> <p>As highlighted above, the access to innovative training is extensively supported by DAPI and PerForm. There is, however, a certain lack of knowledge of the professional activities of researchers and research support staff. That is why the University's aim is to develop reciprocal training to support better collaboration in knowing each other's missions, duties and obligations. A higher training budget needs to be allocated if all researchers' needs are to be met and to support the HRS4R, focusing on researchers' collective development. For matters relating to ethics and research integrity, the available training does not seem to be sufficiently broad, accessible or encouraged. The same observation could be made for English courses that are not sufficient to train the research support staff and facilitate the University's international strategy. Although the Doctoral College has its own tailored, sustainable training and career development support services, there is perhaps scope for improving some courses offered to respond more accurately to the training expectations of Ph.D. students.</p>
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3. Actions

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

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

*URL <https://www.univ-grenoble-alpes.fr/la-demarche/l-engagement-dans-la-demarche-hrs4r-691813.kjsp>

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)	Responsible Unit	Timing (at least by year's quarter / semester)	Indicator(s) / Target(s)
<p>1.1 Set up UGA Ethics and Deontology Committee: Identify the composition, nominations of members, its role and missions</p> <p>Create an interactive training module about deontology for all personnel and a module on scientific integrity for researchers</p>	1, 2, 34, 23, 39	VR Research and VR Human Resources	4 th Quarter 2021	Regular committee meetings and number of cases treated
<p>1.2 Revise the Doctoral Charter, taking into account ethical aspects and values</p> <p>Define the application of doctoral values</p> <p>Write up the Rules of Procedure of the Doctoral College (CED)</p>	1, 2, 22, 36, 37	Doctoral College	4 th Quarter 2021	Charter and internal regulations implemented and made known to doctoral students and thesis directors

1.3. Set up a Service Unit for Knowledge Transfer (Valorisation)	3, 4, 5, 6, 7, 8, 9	VR Research and Directors of Research Departments	4 th Quarter 2022	Organisational chart and missions of the service
1.4. Ensure that information on project funding is accessible and that the procedure is respected by the relevant services	26, 4, 3, 6	Research Departments	4 th Quarter 2025	Organisational chart and missions of the service Follow-up of updates and number of visits to the web pages dedicated to project funding
1.5. Develop actions at Psycho-social Risks Unit	34, 10, 24, 27	Social Environment Department	4 th Quarter 2022	Number of people trained and advised Monitoring of allocated resources Dashboard of proposed primary prevention actions
1.6. Propose a mentoring scheme	28, 37, 27, 38, 30, 11, 20, 21, 29	HR Skills Development Department, Research Department and Training VR	4 th Quarter 2025	Number of people trained and advised Evolution of the number of CRCT research leave requests, the number of requests for promotion, the number of PEDR bonuses and the number of requests for delegation
2.1.1. Propose optional career interviews for tutor-researchers 2.1.2. Clarify role of the individual monitoring committees (CSI) from Year 1 of a thesis	11, 27, 28, 29, 30, 36, 37	HR Skills Development Department and Doctoral College	4 th Quarter 2022	Number of interviews conducted Annual growth and rate of yearly progression Proportion of theses with Individual Monitoring Committee Evolution of the answers on the feeling of recognition and the transparency

				of career conditions (survey)
2.2. Monitor that Selection Committee members are equipped + aware of all aspects to carry out ethical recruiting	12, 13, 14, 15, 16, 34	Central HR Department	4 th Quarter 2022	Number of people trained Ratio of people trained / total number of people on Selection Committees
2.3. Create web site for all research career paths with recruitment aspects, working conditions, career development (selection criteria, transparency) and drawing up of job profiles	12, 13, 14, 15, 16, 27, 28, 29, 23, 24, 30	Communications Department, Central HR Department and VR Training	4 th Quarter 2025	Consultation of Dashboard
2.4. Establish Advisory Service to mount mobility plans for departing personnel	18, 19, 29, 28	International Relations Department	4 th Quarter 2022	Organigramme
2.5. Give English tuition to all staff, with priority for personnel in contact with international partners	18, 19, 38, 39	HR Department	4 th Quarter 2025	Number of people trained
2.6. Give equal value to teaching and implication of tutor-researchers in pedagogical and collective responsibilities vis-à-vis research	11, 19, 33, 22, 23, 33	HR Department	4 th Quarter 2025	Reports from panel presidents
2.7. Consolidate HR skills in the units and knowledge about career paths for tutors and researchers in the HR services	22, 23, 37, 38, 39, 40	Administrative heads of laboratories and HR Department	4 th Quarter 2022	Number of people trained Networking meetings

2.8. Help career development with targeted training courses, tailor-made (as close as possible to needs)	22, 30, 38, 39	HR Skills Development Department	4 th Quarter 2025	Number of people trained Amount of funding allocated
3.1. Draw up action plan for Female/Male equality + training for all research personnel and students about F/M professional equality issues and unconscious bias linked to gender stereotyping	10, 24, 27, 35, 38	Central HR Department	4 th Quarter 2021	Master plan dashboard By end of Master plan: Decrease in comparative inequalities for the indicators adopted in Master plan. Evolution of the F/M ratio of tutors with authorisation to lead research
3.2. Elaborate strategy to increase awareness of scientific results	8, 9	Open Science project manager, Science and Technology Communications Department and Doctoral College	4 th Quarter 2022	Number of events organised and articles published
3.3. Publish systematically employment offers on Euraxess	13	HR Recruitment Office	4 th Quarter 2025	Ratio of number of job offers published / posts offered
3.4. Establish guidelines to reconcile private and professional life.	27, 22, 24	Social Environment Department	4 th Quarter 2025	Regular staff surveys + Internal Audit (Quality of Life at Work survey ²)
4.1. Create indicator(s) to measure how much a diverse career path is considered during recruitment	17, 10, 11, 20	HR Recruitment Office	4 th Quarter 2025	Indicator(s) to measure the diversity of career paths during recruitment

4.2. Improve exchange of knowledge between the different services involved in monitoring and protecting against discrimination and bullying	10, 23, 34	Executive Management Department	4 th Quarter 2022	% of staff knowing the procedures (Quality of Life Survey)
4.3. Encourage collaborative dynamic to produce "A Guide to Good Practice for Recruitment" (selection criteria, transparency) and to draw up job profiles (main missions and subsidiary tasks)	12, 13, 14, 15, 16, 17, 18, 19, 21	HR Recruitment Office	4 th Quarter 2025	Guide made known to and used by Selection Committees (internal survey)
4.4. Set up advisory service for staff (tutors, doctoral students and administrative personnel) re: international and intersectoral mobility - assistance in organisation + search for replacement, information re: local promotion process, easing of reintegration	18, 19, 29	Executive management Department and Central HR Department.	4 th Quarter 2025	Employee opinion survey
4.5. Discuss how to acknowledge extracurricular activities of doctoral students (outside of writing their thesis e.g. tutoring, civic engagement)	19, 22, 38	Doctoral College	4 th Quarter 2021	Feasibility study report
4.6. Advise on and devise safeguards for career paths of researchers on contract	22, 25, 30	Central HR Department and Research Department	4 th Quarter 2025	Number of researchers advised / number of researchers with time-limited contracts

4.7. Start to prepare long-term plan for agreeable and convivial common spaces to improve quality of life at work	23, 24	Estate Department and President's Office	4 th Quarter 2025	Budget planning and progress
4.8. Survey of doctoral students, based on reliable data - quantification of precarity underway (T1 and guarantee of a minimum income for doctoral students to carry out thesis work (T2)	22, 25, 26	Doctoral College and Central HR Department	4 th Quarter 2025	Number of doctoral students funded / non-funded; nationality; female/ male ratio per school; resignations and dismissals; average duration of a thesis per Doctoral School
4.9. Strengthen and ensure procedures linked to non-discrimination are widely known	10, 27	Social Environment Department	4 th Quarter 2025	Internal survey on knowledge and implementation of procedures

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.

The UGA is committed to work in the field of OTM-R on four main areas via the general management of human resources:

- 1) Publication of all offers on the UGA internet and Euraxess, with attention to writing the offers with the required recruitment criteria;
- 2) systematic appointment of a Selection Committee composed of at least 2 people (if possible 1 female / 1 male), of a level at least equal to that of the post on offer and at least 1 of whom being a specialist in the field of the post;
- 3) Drawing up and circulation of a Guide of Good Practice for the attention of the Selection Committees
- 4) Training for recruiters in particular about potential recruitment biases that might be applied towards under-represented groups.

The gap analysis between practice at UGA and the principles of the Charter and the Code show that UGA totally respects the rules and principles of Open, Transparent and Merit-Based Recruitment for category R3 and R4 researchers (*established and leading researchers*). The OTM-R principles are already respected and displayed for tutor-researchers at these levels. Candidates can consult offers on Euraxess, the national website of the Ministry of Higher Education and Research and the local UGA website. The offers contain all necessary information for each post: the recruitment schedule, the application procedures (entirely online) and the composition of the Selection Committee. All the recruitment procedures are fixed by national regulations, published in a decree and communicated to all candidates, researchers and staff at the university via the Ministry website and that of the university. Offers are published respecting transparency of the procedure and giving details of the job profile, of the skills expected and of the contact staff at the university. The text also stipulates the recruitment conditions and the selection procedures. The rules on the composition of Selection Committees (number of internal / external members, specialists, F / M ratio) are published. The jury composition is published on the national site. The whole selection procedure follows national regulations and corresponds to OTM-R rules.

On the local level, the UGA Select Administrative Council examines individual questions concerning recruitment, allocation of posts and the career of tutor-researchers. *To be noted:* UGA rules about the independence of juries are stricter than the national ones.

During the Gap analysis, however, it became clear that the situation described above concerning the publication of the rules was not always true for researchers of the R1 and R2 categories (*first stage and recognised researchers*) on contract. Although rules are published in the constituent bodies, the OTM-R elements are not always stated. Procedural rules for the publication of offers for contractual posts (R1 to R4 categories) are now being drawn up. An awareness-raising campaign concerning these issues is also under discussion by Research Unit management, management of the doctoral colleges and thesis managers. It is hoped to have a detailed OTM-R policy in place by the time of the self-evaluation stage in 2022.

In conclusion, the objective is to guarantee that our recruitment procedures meet the standards set in the four main areas noted above for researchers and / or tutor-researchers from R1 to R4 level. Our R3 and R4 procedures will serve as the baseline to improve the process (communication, committee structure, non-discrimination) and the establishment of a general (training) Guide for all categories.

4. Implementation

General overview of the expected implementation process:

The Monitoring Committee will be responsible for the effective implementation of all actions. The Committee will monitor whether the actions are on track by using the implementation plan and identify corrective measures, if needed. The members of the Committee will communicate on a regular basis with the pilots of each action to support them and follow up on progress. All pilots will need to be aware of all action goals, their strategic impact and act responsibly towards this end. The Monitoring Committee will publish the progress reports on a regular basis. For effective dissemination, the Committee will organise workshops and conferences with researchers to inform them about outcomes. Actions will be adjusted in the light of feedback from researchers.

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 due justification
How will the implementation committee and / or steering group regularly oversee progress?	The Steering Committee and the Project Group will merge to become the Monitoring Committee. The main role of this Committee will be to follow-up on the progress through the monitoring framework for action implementation. This Committee will also ensure relations with the pilots, who will be in charge of implementing the actions. The Committee will meet on a regular basis (bi-annual meetings).
How do you intend to involve the research community, your main stakeholders, in the implementation process?	The involvement of the research community will be achieved through the establishment of an internal and external communication strategy in liaison with the services in charge of communication. To raise and reinforce community awareness and its adhesion, we will use the "change management tools". This will facilitate the implementation of the actions and involve the targeted groups.

	<p>The central communication department of the University will ensure the publication of progress on the institutional website. This information will be transmitted to all constituent bodies. Different workshops and seminars for the scientific community will aim to maintain a dialogue with the stakeholders concerned. The actions regarding internal and external conditions and needs in research will also be adjusted as a result of these exchanges. The members of the Monitoring Committee (mostly researchers involved in many decision-making and operational committees of the University) are committed to relay on the progress of the work to all research, decision-making and governing bodies. The members of the board of directors and laboratories and the members of the technical committee (who represent the personnel) will be informed regularly about progress.</p>
<p>How do you proceed with the alignment of organisational policies with the HRS4R? Make sure the HRS4R is recognised in the organisation's research strategy, as the overarching HR policy?</p>	<p>The HRS4R strategy is embedded in the founding text of the University Grenoble Alpes. The links to the HRS4R strategy will be made through the main charters of values and internal regulations of the University, as well as the human resources master plan.</p>
<p>How will you ensure that the proposed actions are implemented?</p>	<p>In order to guarantee the implementation of the actions planned for the project, we will use a methodology based on international quality standards, in particular by establishing a "Plan-Do-Check-Act" cycle. This methodology will allow the implementation of actions in project mode. It will maintain the dynamic of the project, perfectly in line with the University's continuous improvement approach. The project manager will organize meetings every six months with the pilots to follow up and, if necessary, adapt the working methods for the implementation of the actions.</p>
<p>How will you monitor progress (timeline)?</p>	<p>By setting up a system of progress indicators, it will be possible to monitor the project and report on its advancement. The project leader, who will be in regular contact with the pilots of the actions, will collect the data and inform the University's management by compiling annual progress reports.</p>
<p>How will you measure progress (indicators)</p>	<p>The clearly defined indicators in the action plan will be used to monitor and evaluate progress. The Committee will use these indicators to assess the extent to which actions and strategic goals have been</p>

in view of the next assessment?	fulfilled and to provide a basis for identifying strengths and weaknesses and making necessary adjustments.
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