

TEMPLATE 2: HR STRATEGY - ACTION PLAN

Name Organisation under review: **Université Jean Moulin Lyon 3 France**

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

<http://www.univ-lyon3.fr>

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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	R2 + R3 + R4: 538.8 FTE R1: 613 (number)
Of whom are international (i.e. foreign nationality)	R2 + R3 + R4: 47 FTE R1: 248 (number)
Of whom are externally funded (i.e. for whom the organisation is host organisation)	13 (number of contracts during the year 2013)
Of whom are women	R2 + R3 + R4: 272 FTE R1: 300 (number)
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	R3 + R4: 452.8 FTE
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	R2: 65 FTE
Of whom are stage R1 = in most organisations corresponding with doctoral level	R1: 613 (number)
Total number of students (if relevant)	29,174 (number)
Total number of staff (including management, administrative, teaching and research staff)	666.2 FTE
RESEARCH FUNDING (figures for most recent fiscal year)	€
Total annual organisational budget	109,370,969 euros
Annual organisational direct government funding (designated for research)	French Ministry of Higher Education & Research: 25,140,946 euros operations and investment
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	707,394 euros
Annual funding from private, non-government sources, designated for research	646,199 euros
ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)	

Université Lyon 3 was created on 26 July 1973 and adopted the name Université Jean Moulin on 21 September 1973.

Situated in the heart of Lyon and Bourg en Bresse, it provides learning and research opportunities in Humanities and Social Sciences.

A member of the Université de Lyon, it welcomes more than 29,000 students including 613 doctoral students and almost 5,700 international students.

It offers a wide range of courses, including 52 Master's degrees and 36 PhD programmes.

[Université Lyon 3 courses offered](#)

Research is central to the institution's strategy. With seven doctoral schools and 19 research units, it develops interdisciplinary research connected to the major issues facing society: **Urban Issues, Environment, General Health, Entrepreneurship and Innovation, Interculturality and Internationalisation, Religion and Society.**

Almost 700 associate and full professors, more than 2,000 part-time teaching staff and 700 administrative staff work in four faculties and two institutes: Law, Languages, Literature and Civilisations, Philosophy, the Institute of Business Administration (IAE Lyon) and the University Institute of Technology (IUT).

Université Jean Moulin Lyon 3 is a member of the Université de Lyon Community of Universities and Institutions (COMUE), which obtained the Excellence Initiative label (IDEX) in February 2017. The Université de Lyon is known as an international centre of academic excellence.

2. NARRATIVE

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

Four **working groups** were established, corresponding to the thematic headings of the Charter and Code: Ethical and Professional aspects; Recruitment; Working Conditions and Social Security; and Training and Development. To reflect the R1 to R4 researcher population, the groups were composed of doctoral students (with or without doctoral contracts), temporary university lecturers, postdoctoral researchers, associate professors, full professors and administrative staff. Each group examined one of the thematic headings, performing an internal analysis of the institution's strengths and weakness with respect to the principles of the Charter and Code. The results of their work are presented in this overview.

STRENGTHS:

Introduction of procedures and tools to promote:

1. Ethical principles and best practices in scientific research and dissemination:

Training doctoral students in ethical principles and research best practices is a key priority: all doctoral students (and their supervisors) are required to sign the Université de Lyon's Doctoral Charter, which incorporates the principles of the Charter and Code of Conduct. The institution has

also committed to a thorough process for combating plagiarism via actions that aim to prevent and raise awareness of plagiarism and by the systematic verification of theses. On another level, in order to strengthen the dissemination of scientific publications, researchers are strongly encouraged to systematically file all of their publications in an open access archive. Support and training courses are offered to all researchers on this topic.

2. Respect for equality and researchers' well-being:

The institution's annual social balance sheet has presented indicators split by gender since 2007 and a Gender Equality Charter was adopted by the Board of Governors in 2015. A "Gender Equality" Officer has been appointed and the scope of her role has been widened to "equalities". The University participates in gender research and is a partner of a French Scientific Interest Group called "The Gender Institute" (*Institut du Genre*). The institution is finalising its disability roadmap and is developing assistance and support mechanisms for students and staff with disabilities. It has appointed a Disability Adviser and offers training courses to staff, such as "diversity and fighting discrimination". To manage and prevent situations of workplace malaise, the institution created a Social Monitoring Unit in 2014, which is responsible for handling such situations. In 2015, the institution also carried out a staff-wide survey of psychosocial risks.

Finally, in order to welcome foreign researchers and their families under the best conditions, Université Lyon 3 makes use of the Université de Lyon's "Espace ULYS" service, which is part of the European EURAXESS network.

Implementation of the OTM-R principles for balanced recruitment:

French national legislation, which is robust, exhaustive and very close to the principles of OTM-R, provides the framework for the institution's policies and guarantees equal access to public employment. The University in fact goes beyond these national obligations, for example by systematically using paperless recruitment tools and by widely publicising vacancies in order to ensure transparency. The panels of experts, composed of associate and full professors elected by discipline, form a pool of specialised and legitimate recruiters. The selection juries propose evaluation grids to help jury members issue objective opinions. The institution's recruitment policy combines a search for excellence with the professional integration of researchers who have recently been awarded their PhD, whilst also balancing internal and external recruitment.

We note that postdoctoral Humanities and Social Sciences appointments are expanding in the University.

A proactive local policy to reinforce working conditions:

The institution has implemented local measures that strengthen the already ambitious French national legislation.

These measures (for example the Research Support Agreement or "CVR") enable researchers to adapt their working time to their professional projects. In addition to associate and full professors being represented on all of the institution's bodies, these researchers are also included in local working groups and committees. The University favours the recruitment of permanent civil service staff (tenured) by open competition. The creation of associate, full professor and engineering positions aims to address the lack of trained personnel affecting the institution. A multi-year investment plan, financed by our University, aims to provide researchers with a better digital working environment. The "Lyon Cité Campus" plan, a major project to restructure and modernise the Université de Lyon's property assets, includes works that will in due course bring benefits to all users and staff. Committed to offering its researchers satisfactory working conditions, the University has recently recruited (not without difficulty against a backdrop of national shortage) a preventative medicine doctor, who consults onsite at the institution.

Training and support for all researchers:

New legislative provisions provide a more concrete framework for doctoral students' training: the training agreements specify the individual training objectives of each doctoral student and are signed by the doctoral student, the thesis supervisor and the research laboratory director. Individual thesis monitoring committees provide a forum where doctoral students can freely express their opinions on how their thesis is progressing. To further contribute to the professional training of its doctoral

students, the institution uses an annual call for proposals to offer teams of doctoral students the opportunity to design and undertake an original research project.

The institution proposes many training courses and pays particular attention to researchers' training and support needs:

- A variety of assistance and incentive mechanisms allow them to focus on research: sabbaticals for research or thematic conversions, or being hosted by another research unit to perform a specific research project, for example;
- Trained and specialised personnel are available to support researchers if they want assistance setting up their submissions for calls for proposals;
- Internal funds for seed funding new research projects may be granted after selection; and
- The professionalisation process for research laboratory administrative staff has been rolled out, with the organisation of a training programme for "research laboratory managers".

WEAKNESSES AND AVENUES FOR IMPROVEMENT:

Ethical and professional aspects: The institution needs to raise researchers' awareness of their professional responsibility and professionalise research laboratory management teams. In addition, publishing and commercialising research results, activities integral to the role of researcher, should be supported.

Recruitment and mobility: Because it is difficult to evaluate atypical profiles, the institution sometimes favours local recruitment (although "endo-recruitment" is on a par with other French universities specialising in Humanities and Social Sciences), potentially depriving itself of different and rewarding profiles and leading it to overvalue traditional academic career paths. Regarding contractual researchers, their recruitment is a complex process, which may discourage both the recruiting research laboratories and potential candidates.

The organisation of teaching departments does not facilitate mobility, which researchers often perceive as a risk since they have no guarantee of going back to their previous teaching hours on their return.

Working conditions:

- Discussions between researchers on the scientific work in progress are rare, which may lead researchers to experience feelings of isolation. The 2015 survey of psychosocial risks also highlighted this phenomenon. Despite this, the Social Monitoring Unit introduced by the institution is very rarely used by researchers.
- New associate and full professors do not benefit from reduced teaching loads, and the option to modify their teaching hours is very rarely used. In addition, the University does not clearly express a willingness to help researchers reconcile family and professional life.
- Although the institution's recruitment bodies respect gender equality, actual recruitment does not always achieve this. There is a small pay gap between men and women, caused by delays in career progression.
- Guest researchers have problems accessing the institution's different resources.

Training and support: Researchers, in particular thesis supervisors and research laboratory directors, have little training on the administrative and legal developments affecting their environment. We also note that they often self-train rather than using the training courses proposed by the institution. The professionalism of administrative and research laboratory staff needs to be improved.

Doctoral students' success is sometimes affected by insufficient monitoring of their work: thesis supervisors often have a large number of students to supervise. Access to research tools is complicated for certain researchers because of the diversity of their statuses and because they have insufficient knowledge of thesis funding methods.

To conclude, we note that researchers do not make optimum use of the measures implemented for their benefit – training and support mechanisms in particular. Several hypotheses may explain this

conclusion: communication can sometimes be ill-adapted and researchers have an incomplete understanding of the regulatory environment, reference texts and social policies.

The action plan includes information-communication actions that involve producing, distributing and explaining support materials. This is the case for recruitment procedures, which are difficult to understand. The institution will continue its efforts to deliver existing training courses or to introduce new ones. Similarly, the support offered to researchers, both individually or collectively, needs to be strengthened.

This observation is addressed in the action plan, which attempts to resolve weaknesses by making significant progress in the relevant areas and by planning to better communicate the institution's strengths so that all researchers can benefit from them.

3. ACTIONS

Please provide a list of all actions to be undertaken in this HR strategy. The list must be accompanied by an extended version in which the actions are described in more detail. The overview must contain at least the following headings: Title action – timing – Responsible Unit – Indicator(s) / Target(s).

The university has prepared a human resources strategy that aims to improve its researchers' working conditions. This involves realistic actions that will be developed as a priority over the next three years, on account of their feasibility and because they are acceptable to the university community. The principle of subsidiarity was used to prepare this action plan. The actions retained are the result of the work of the researchers themselves: suggestions made in the working groups, expectations communicated in the survey of the full researcher population, and proposals stemming from the discussion of presentations given to the Technical Committee, the Academic Council, the Research Commission and the Board of Governors. The action plan was validated by the governing bodies before obtaining the approval of the various decision-making bodies (unanimous vote of the Board of Governors on 24 October 2017).

It is clear from the different actions retained that a key priority for the institution is communication with its researchers, in terms of both the measures already in place and the different actions that will gradually be put into practice. It will be necessary to focus on training, not only by using existing training resources but also by preparing the new training courses expected by researchers. Finally, the support provided to researchers, both individually and collectively, needs to be strengthened to enable them to carry out their activities in the best conditions possible.

ACTIONS	GAP ANALYSIS	TIMING	UNIT RESPONSIBLE	TARGET INDICATOR(S)
INFORM - COMMUNICATE				
1 Distribute degree and qualification equivalency grids to recruitment jury members.	19	1 st semester 2018	HR Department	Date the grids are distributed Number of grids distributed Number of recipient juries All jury members will receive the grids.
2 Circulate the Doctoral Charter	2, 28	1 st semester 2018	Research Department	Date the Charter is distributed All researchers will receive the Charter.
3 Organise regular information meetings on recruitment procedures between the panels of experts and the various departments	13	2 nd semester 2019	HR Department	Date of the 1 st meeting Total number of meetings organised Number of meetings per panel Ensure that the panels of experts meet the relevant departments at least once per year.
4 Organise periodic research seminars with researchers and administrative support departments	3, 5, 11, 22, 28, 34, 35, 36	2 nd semester 2019	Research Department	Date of the 1 st seminar Departments involved Number of meetings Number of participants Regularly bring together researchers and support departments.
5 Communicate information on <i>Espace ULYS</i> , the structure designed to support foreign researchers.	7, 29	1 st semester 2018	Research Department	Date the 1 st information is sent Number of announcements sent All researchers will be aware of this structure.
6 Communicate information on statutory mobility levers (operational and/or geographical)	18, 22, 25, 26, 29	2 nd semester 2018	HR Department	Date the intranet is updated All researchers will have access to up-to-date information on the intranet.
7 Communicate information on social policies, including those of the institution	22, 26, 34	1 st semester 2018	Department for Cultural and Social Action	Date the 1 st communication is sent Number of actions completed All personnel will have access to this information.
8 Communicate information on HR career support	4, 11, 22, 25, 26, 28, 38	1 st semester 2018	HR Department	Date the 1 st communication is sent Number of actions completed All personnel will have access to this information.
9 Explain the various public and private career opportunities available to researchers once they have been	4, 25, 28,	2 nd semester 2020	Research	Date the 1 st information is communicated Number of actions completed All enrolled doctoral students will

awarded their PhD	38		Department	know about these career opportunities.
10. Prepare a Charter and circulate it to recruiters underlining the principle of judging candidates on their merits and the implications of impartiality rules	16, 17, 20,	2 nd semester 2020	HR Department	Date the Charter is prepared Date the Charter is approved Date the Charter is distributed All jury members will make use of the Charter.
11 Formalise an Employment Charter for contractual researchers	6, 21, 22, 26, 38	2 nd semester 2020	HR Department	Date the Charter is prepared Date the Charter is approved The Charter will be validated.
12 Develop and circulate research and training on gender and discrimination	9, 10, 27	1 st semester 2020	Equality Officer	Number of training courses delivered Number of research studies initiated Number of research studies completed Courses will be delivered on gender and may generate research studies.
13 Review the current situation, particularly regarding the social balance sheet and the career paths of under-represented groups	27	2 nd semester 2020	Statistics Department	Date of the investigation Date of statistical review Statistics on the topic will be available.
14 Prepare and publish more detailed job descriptions that integrate all of the OTM-R principles	12, 15 20	1 st semester 2020	HR Department	Date the OTM-R principles are integrated Number of headings that include the principles per job description The OTM-R principles will be integrated into the published job descriptions.
15 Extend paperless recruitment	13	2 nd semester 2019	Digital Department	Date systematic paperless recruitment introduced All recruitment will be paperless.
16 Produce and circulate statistics on the different types of recruitment employed	13, 33	1 st semester 2018	Statistics Department	Date of the investigation Date the statistics are produced Date the information is circulated Statistics will be communicated on the different types of recruitment employed.
17 Implement a vade-mecum for the HDR (accreditation to supervise research) and expand it by subject area	36, 37	1 st semester 2019	Research Department	Date the general vade-mecum is prepared Date it is offered by subject area The HDR vade-mecum will be circulated.

18 Prepare and circulate a vade-mecum for thesis supervisors	28, 36, 40	1 st semester 2019	Research Department (in conjunction with the Doctoral Schools)	Date the vade-mecum is prepared Date the vade-mecum is circulated The vade-mecum for thesis supervisors will be circulated.
19 Prepare and distribute procedures for welcoming visiting researchers from abroad	23, 29, 33	1 st semester 2018	International Relations Department	Date the welcome procedures are prepared Date the welcome procedures are distributed The welcome guide for foreign visiting researchers will be made available to all researchers.
TRAIN				
20 Train research laboratory managers	6, 14	1 st semester 2018	HR Department	Number of training courses proposed per year Number of managers trained All research laboratory managers will have the opportunity to receive training.
21 Offer researchers training courses on pedagogical techniques	9, 36	1 st semester 2020	HR Department	Number of training courses organised per year Number of trainees taught All doctoral students and associate and full professors will have the opportunity to receive training.
22 Train associate and full professors on research funding and its tools	5, 14, 25, 38	2 nd semester 2018	Research Department	Number of training workshops proposed per year Number of trainees taught All associate and full professors will have the opportunity to receive training.
23 Set up a working group to identify and circulate training best practices for doctoral students	34, 25, 34, 36	1 st semester 2020	Doctoral Schools in conjunction with the Research Department	Date the working group is set up Number of working group meetings Date best practice guidelines are circulated Best practice guidelines will be circulated.
24 Set up a working group to examine the procedures for requesting approval to accumulate professional activities	5	1 st semester 2019	HR Department (in conjunction with the Legal Department)	Date the working group is set up Number of working group meetings A report will be produced by the working group.

25 Define the actions required to raise researchers' awareness of open data	8	2 nd semester 2018	University Library	Date actions are determined Types of action Researchers will be made aware of open data.
26 Develop imaginative actions to raise non-discrimination awareness (drama, role-playing, etc.)	10, 27	2 nd semester 2018	Equality Officer	Number of awareness actions deployed Types of actions deployed Researchers will be made aware of non discrimination.
27 Expand use of different recruitment possibilities techniques	13, 14, 17	1 st semester 2019	Panels of Experts (in conjunction with the HR Department)	Number of candidates recruited through different techniques Researchers will be recruited using different techniques.
SUPPORT				
28 Be able to detect plagiarism during thesis preparation	3	2 nd semester 2018	Doctoral Schools (in conjunction with the Research Department)	Number of theses detected at the defence / Number of theses defended The amount of plagiarism detected in the final version of the thesis will be reduced.
29 Support trainee associate professors when they take up their posts (training, reduced workload, etc.)	4, 15	1 st semester 2020	HR Department (in conjunction with the Units)	Number of researchers receiving support Types of support proposed All trainee associate professors will be supported.
30 Propose career support to all researchers who request it	4, 10, 11, 25, 28, 29, 38	2 nd semester 2020	HR Department	Number of researchers receiving support Researchers who want assistance will be supported in their careers.
31 Appoint a Discrimination Adviser for doctoral students	10, 27	2 nd semester 2018	Equality Officer	Date the adviser is appointed Doctoral students will have an adviser.
32 Extend the support offered to doctoral students with disabilities	10	2 nd semester 2019	Discrimination Adviser for doctoral students (in conjunction with the Disability Division)	Number of new support measures Number of doctoral students with disabilities who receive support Doctoral students with disabilities will receive better support.
33 Provide greater support to assist with publication	5	2 nd semester 2020	Research Department	Date new measures are put in place Number of new measures put in place Greater support will be given to assist with publication.
34 Prepare an action plan based on the results of the survey of employees'	23, 36	1 st semester	Digital Department	Date action plan prepared Actions will be rolled out.

"uses of digital technology" conducted in 2017		2018		
35 Use the survey of psychosocial risks (time management, professional isolation, etc.)	23	2 nd semester 2019	Hygiene and Safety Department	Date action plan prepared Number of actions put in place Types of actions put in place Actions will be rolled out.
36 Appoint a Gender Equality Adviser in each unit	10, 24, 27	1 st semester 2018	Equality Officer	Date all advisers are appointed Number of advisers appointed Researchers will have access to an adviser.

As 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 your organisation already has a recruitment strategy which implements the principles of Open, Transparent and Merit-Based Recruitment, please also list the web link where this strategy can be found.

Actions concerning the implementation of the principles of Open, Transparent and Merit-Based Recruitment (OTM-R):

Implementation of the principles of Open, Transparent and Merit-Based Recruitment (OTM-R) is planned through the following types of **action**:

- **information:** organise regular information meetings between the panels of experts and the Teaching Personnel Department to improve communication on recruitment procedures; produce and circulate statistics on the different types of recruitment employed.

- **training and support:** train members of the panels of experts on recruitment techniques (evaluation by competencies); systematically distribute foreign degree and qualification equivalency grids to recruitment jury members; complete paperless recruitment by extending it to contractual doctoral students and contractual researchers (R1 and R2).

- **continuous reflection and improvement:** prepare a Charter and circulate it to recruiters underlining the principle of judging candidates on their merits and the implications of impartiality rules; prepare and circulate an Ethics Charter for associate and full professors; formalise an Employment Charter for contractual researchers in order to harmonise practices and secure their career paths; prepare a proposed evaluation grid that includes all of the OTM-R principles (merit, non discrimination, etc.) and circulate it to recruiters (jury members, etc.); prepare and publish more detailed job descriptions (teaching responsibilities, opportunities for development, support mechanisms, etc.) integrating all of the OTM-R principles.

4. IMPLEMENTATION

Please provide an overview of the expected implementation process. You can use the following questions as a guideline in your description:

The HRS4R action plan was validated by all of the bodies that determine the institution's policies and strategy, namely the Technical Committee, the Academic Council, the Research Commission and the Board of Governors (see Schedule of meetings Appendix N° 8).

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

The Steering Team, led by the Vice President for Human Relations and Social Dialogue (R4 researcher), and comprising the Human Resources Director, the Teaching Personnel Department Head, the Research Department Head, a Human Resources Manager and the Quality Initiative Manager, will become the **Implementation Unit**, responsible for regularly coordinating the process. This implementation unit will meet every six months. The Quality Initiative Manager will ensure that the process runs smoothly.

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

The different Working Groups (Ethical and Professional aspects; Recruitment; Working Conditions and Social Security; and Training and Development) will become **Implementation Working Groups**. The R1 to R4 researchers who make up these groups will be joined by the unit directors and research laboratory directors. They will be regularly consulted on the tools to be mobilised to achieve the objectives defined in the action plan. To take account of researchers' career progression, the composition of the groups will evolve in order to ensure that researchers from levels R1 to R4 continue to be represented.

- How will your organisation ensure that the proposed actions will also be implemented?

The Strategic Committee, composed of members of the University's governing bodies, will become the **Implementation Monitoring Committee**. It will be responsible for supervising the start-up and implementation of the actions. It will certify that these actions have been completed as part of a process of continuous improvement and will ensure that actions are performed in accordance with the timetable specified in the action plan. The Quality Initiative Manager will ensure the day-to-day monitoring of actions.

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

Obtaining the “HR Excellence in Research” award is clearly defined as an objective for the institution in the multi-year contract linking it to the French Ministry of National Education, Higher Education and Research for the period 2016-2020.

In fact, the certification of excellence with respect to the recruitment of associate and full professors via the “HR Excellence in Research” award is presented as a milestone in the University’s path towards efficient and shared research. [Contrat-de-site-UDL 2016-2020](#) (page 146, in French)

- How will you monitor progress?

Each person responsible for specific actions will populate the scorecard. The Implementation Unit is responsible for monitoring and analysing the scorecard using the indicators. The Implementation Working Groups will be responsible for measuring the impact of the actions put into practice. A periodic progress update will be presented to the Implementation Monitoring Committee. The Quality Initiative Manager will ensure that information is recorded on a regular basis and that it complies with the action plan.

- How do you expect to prepare the internal and external review?

Internal and external reviews will be performed using the scorecard maintained to record and control progress.

An internal review will be performed within the University by the department responsible for process improvement, change management and quality assurance (department 3A). This independent department is run by the institution’s internal auditor.

A pre-assessment audit could be performed by the higher education public interest group *l’Agence de Mutualisation des Universités et Etablissements*. This would in essence be a “dress rehearsal” before the final review.

The internal and external process reviews will be presented in all of the boards.