

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

Name of organisation under review: [Université de Montpellier](#)  
Organisation's contact details: [Mr. Philippe Augé, President](#)  
[163 rue Broussonnet, 34090 Montpellier, France](#)  
HRS4R Project manager: [Nathalie Modjeska \(nathalie.modjeska@umontpellier.fr\)](#)  
Web-link to published version of organisation's HR Strategy and Action plan: ...  
<http://www.umontpellier.fr/university-of-montpellier/research/hr-excellence-in-research/> ...  
Web-link to organizational recruitment policy (OTM-R principles): ...  
<http://www.umontpellier.fr/university-of-montpellier/research/hr-excellence-in-research/>



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# 1 ORGANISATIONAL INFORMATION

## 1.1 Key figures

<b>STAFF &amp; STUDENTS</b>	<b>Full-time Equivalent</b>
<i>Total Researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research</i>	<i>*2,620</i>
<i>Of whom are international (i.e. foreign nationality)</i>	<i>*271</i>
<i>Of whom are externally funded (i.e. For whom the organisation is host organisation)</i>	<i>*N/A</i>
<i>Of whom are women</i>	<i>*1,055</i>
<i>Of whom are stage R3 or R4 = researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor</i>	<i>*1,700</i>
<i>Of whom are stage R2 = in most organisations corresponding to postdoctoral level</i>	<i>*387</i>
<i>Of whom are stage R1 = in most organisations corresponding to doctoral level</i>	<i>*533 (under employment contract with UM)</i>
<i>Total number of students (if relevant)</i>	<i>46,300</i>
<i>Total number of staff (including management, administrative, teaching and research staff)</i>	<i>*2,770</i>
<b>RESEARCH FUNDING (figures for most recent fiscal year)</b>	<b>€ 184.5 M</b>
<i>Total annual organisational budget</i>	<i>€ 440 M</i>
<i>Annual organisational direct government funding (block funding, used for teaching, research, infrastructure, ...)</i>	<i>€ 120 M</i>
<i>Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations - including EU funding)</i>	<i>€ 53.3 M</i>
<i>Annual funding from private, non-government sources, designated for research</i>	<i>€ 11.2 M</i>

## 1.2 Organisation's profile

<b>ORGANISATIONAL PROFILE</b>
<p>Created in January 2015, University of Montpellier (UM) is the result of the merge between Montpellier Universities 1 and 2. It encompasses 16 schools (organized into two main complementary domains: "Science, Technology and Health" and "Law, Economics and Management") and 77 research units regrouped into 9 Scientific departments, which aim to address the challenges of today's evolving world.</p> <p>Acknowledged in worldwide university rankings, UM currently ranks 6th among French universities and welcomes 46,300 students (of whom 16% are foreign), with 1,750 PhD students (of whom 40% are foreign) and 4,600 staff dedicated to research.</p> <p>For full details, visit our website: <a href="http://www.umontpellier.fr/university-of-montpellier/">http://www.umontpellier.fr/university-of-montpellier/</a></p>

## 2 DESCRIPTION

### 2.1 The merge process

The merge process was carried out over several months and finalized in September 2015. After an internal staff mobility phase, it resulted in a new organizational chart for the institution (cf. Attachment 1, Organizational chart p. 28). From an administrative point of view, UM is comprised of 16 departments and 5 university services, organized around 5 large themes: Research, Education, Campus Life, Transversal Departments and Property.

In 2016, the University pursued its structuring effort by regrouping its schools, research units and doctoral schools into 9 scientific departments in charge of coordinating research and of strengthening research-education ties for specific thematic domains.

The merging process had some impact on the implementation of HRS4R at UM. While the initial structuring effort delayed the implementation of certain aspects of the HR strategy for research by a few months, the merge-induced internal standardizing process allowed to initiate new methods and processes and helped unroll the initial HRS4R plan almost entirely.

The achievement of many actions greatly participated to the institution's alignment with numerous principles<sup>1</sup>, such as: **Principle 2 – Ethical Principles** which benefited from the *generalization of Thesis Assessment Committees* for doctoral students and the implementation of a *Charter for Scientific Integrity*; an *anti-plagiarism software* was made widely available which improved **Principle 3 – Professional Responsibility**; **Principle 6 – Responsibility** was enhanced via the *deployment of a digital Time-sheet management tool* for research projects that require financial reporting, and the *staff increase in the Financial Department* with extra employees recruited for project financial monitoring and reporting; the adoption of a unique and common *Charter for Publication Signature*, the inauguration of a digital resource center for students and Research Professors, the publishing of a *general public-oriented popularization magazine (LUM)* all contributed to **Principle 8 – Dissemination and exploitation of results**.

### 2.2 UM strategic commitments

Over the period, University of Montpellier continued its efforts in implementing its institutional strategy which strives to: ensure transparency and equity, particularly in the recruitment process for Research Professors/Assistant-Professors; implement a constructive social dialog between all university stakeholders; and improve staff well-being in the workplace.

In this area, the **Campus Life Department** contributed extensively to **Principle 24 – Working conditions**: the “Handiversité” office strives to expand the procedure for accompanying disabled staff via a *pluri-annual Disability Master Plan*, comprised of 73 actions.

The “Quality of Life in the Workplace” office developed numerous activities destined to improve staff well-being in the workplace: access to confidential individual coaching services and/or psychological counseling sessions; free of charge relaxation, sophrology, Gi Gong workshops or massage sessions.

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<sup>1</sup> Cf. List of all 40 principles of the European Charter for Researchers and of the Code of conduct for the recruitment of researchers in Attachment 2, p. 29.

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In 2015, an external provider was commissioned by UM to carry out a survey on psycho-social risks (PSR). This operation resulted in the elaboration and implementation of a psycho-social risks (PSR) prevention procedure via a *“Monitoring and PSR Commission”* which is comprised of a pluri-disciplinary team. The deployment of digital tools (Zimbra e-collaborative suite) as well as free-of-charge access for UM staff to sports activities within the university contributed to improving working conditions. With regards to **Principle 10 – Non-discrimination**, the following events are worth noting: the designation of a reference contact person for the *“Struggle against racism and antisemitism”*, the signature by UM (first university in France) of a *Charter for Lesbian, Gay, Bisexual and Transgender people*, or yet the implementation of an *identification procedure for internal documents requiring a translation into English*.

### 2.3 Towards a thematic university of excellence

As a result of a competitive Call for Projects within the framework of the French government Investments for the Future program, UM obtained the I-SITE certification (Initiative-Science-Innovation-Territory-Economy) for its MUSE project in February 2017. Coordinated by UM, MUSE is an ambitious project which gathers 19 partners and seeks to create **a thematic research-intensive university** internationally recognized for its impact in **agriculture, environment and health**.

Thanks to a substantial endowment (€ 17M subsidies annually), MUSE comprises many novel devices, particularly in the Human Resources area, including the introduction of *tenure-track positions, attractive packages* for high potential researchers, *awards to reward education and innovation*, and the *development of on-line courses for researchers and Research Professors/Assistant-professors*. Starting in Q2 2017, the project is destined to become stable and ongoing after a 2-year probation period.

### 3 ACTIONS

#### 3.1 Review of achievements against the initial action plan

In January 2015, avenues for improvement foreseen in the HR strategy for research comprised a total of 42 actions to be achieved over the 2015-2018 period.

Upon review of the state of implementation of UM's HR strategy for Research, it can be seen that between March 2015 and March 2017:

- **40 actions** out of 42 initially planned actions have been achieved (in whole or partially), totaling a completion rate of **96%**;
- **4 actions**, not initially planned, yet contributing to the institution's alignment with the C&C principles, have been achieved; they are reported below (cf. green cells in section 3.2.2) and bring up to 46 the total number of monitored actions over the period.

#### 3.2 Actions follow-up table

In the process of conducting the internal review, a subdivision of achieved actions into tasks was performed. 95 sub-tasks have been identified and present the following state of progress:

- 67 Achieved sub-tasks (Achieved status)
- 18 On-going sub-tasks (On-Going status)
- 10 To be completed sub-tasks (To Be Achieved status)

The rate of total completion for these items is **71%**.

Once achieved, actions become permanent and durable internal procedures or policies. They are monitored and sometimes expanded to new areas. The subdivision of actions called for the introduction of a new phase type (Expansion phase) represented by a blue arrow in the Follow-up table (cf. Attachment 3, Follow-up table, p. 30).

##### 3.2.1 Actions foreseen in the initial action plan (42)

Action No.	Action title	Timeline	Department in charge	Indicator(s) / Target(s)	Current status (Achieved; On-Going; To Be Achieved)
R-1	Request for Acknowledgment by EC	Q1 2015	UM	HR Excellence award received	Achieved (Q1 2015)
I-1	Research freedom Attach Charter and Code to engagement letters of research unit Directors and Doctoral School Directors	Q1 2015	DRED	4 presentations internally (Research council, 28 Sept 2015; Academic council, 20 March 2015 ; Unit Directors meeting 01 Nov 2015 and 09 April 2016)	Achieved (Q4 2015) Internal communication on HRS4R and C&C
I-2.1	Ethical Principles Extend the use of Internal rules and regulations to all research units, and offer assistance in writing them for further harmonization	Q1 2015	DRED	Internal Regulations (IR) voted by the Research Commission; # validated IR	To Be Achieved: (Target Q4 2017) Definition of IR framework for approval by Research Commission
I-2.2	Ethical Principles Extend the use of Thesis Assessment	Q2 2016	DRED	# Thesis Assessment Committees/year:	1. Achieved: (Q1 2015) Individual

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	Committees to all Doctoral schools			560  # signed training plan/year	Thesis assessment committee made compulsory by decree of 25 May 2016; 2. <b>To be achieved:</b> signature of a Training plan for PhD students (target Q3 2017)
I-2.3	<b>Ethical Principles</b> Suggestion to create an Ethics committee for consultation	Q4 2015	DRED	1. Implementation of a Scientific Integrity Charter (SI): Voted in General Assembly on 30 January 2017 and designation of a SI contact person at UM 2. creation of ad hoc commission	1. <b>Achieved</b> (Q1 2017)  2. <b>On-Going</b> (target Q2 2017)
I-3.1	<b>Professional Responsibility</b> Encourage doctoral students to adopt this attitude (production of a guidebook, with C&C as annexes, is programmed, including an English version)	Q1 2016	DRED	1. # signed thesis charter with reference to C&C  2. On-line publication of documents on intranet (ENT) and PhD platform (ADUM)  3. # training sessions offered by ED and doctoral college # PhD students attending training sessions	1. <b>On-Going</b> (target Q3 2017) (reference to IS Charter, C&C in docs for PhD registration) 2. <b>On-Going</b> (target Q4 2017) on-line publication of the C&C and IS Charter on ENT 3. <b>On-Going</b> (target Q4 2017) = courses on Professional responsibility via Doctoral Schools and Doctoral College
I-3.2	<b>Professional Responsibility</b> Increase researchers' awareness with regards to plagiarism and self-plagiarism (convey this message early as part of the curriculum)	Q3 2015	DFE	- Charter for examination (penalties in case of plagiarism).  - Implementation of COMPILATIO software  - use rate of COMPILATIO by thesis directors - # detected cases	1. <b>Achieved</b> (Q1 2015) An examination charter refers to penalties in case of plagiarism (L&M levels) 2. <b>Achieved</b> The university is equipped with an anti-plagiarism software (COMPILATIO) made available to students and teaching staff (Q1 2015). 3. <b>On-Going</b> deployment for PhD students (Q4 2017). 4. <b>Achieved</b> Plagiarism mentioned

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					in the SI Charter (Q1 2017).
I-5.1	<b>Contractual and legal obligations</b> Communicate to researchers on the advantage in exchanging Intellectual Property and patent information with the Contract and Valorisation office of the Innovation and Partnerships Department	Q2 2015	DIPA	1. # laboratory visits (2) 2. Publication of article on Intranet and Internet	1. <b>Achieved</b> (Q3 2015) 2. <b>On-Going</b> (target Q2 2017)
I-5.2	<b>Contractual and legal obligations</b> Develop an Information System for the collection and sharing of IP data	Q4 2016	DIPA	1. and 2. Implementation of a tracking system for scientific production and publication within the framework of the Research Information System  3. For PhD: use of STEP and STAR software (# declared PhD topics: 1,000) and signature of a contract for the dissemination of theses via SUDOC tool (430 published theses via SUDOC in 2015)	1. <b>On-Going</b> Pre-study to the deployment of a tracking system for scientific production and publication (target Q4 2017) 2. <b>To Be Achieved</b> upcoming deployment (target Q3 2018) 3. <b>Achieved</b> (Q1 2015)
I-6.1	<b>Accountability</b> Extend the use of logbooks to all researchers in experimental scientific fields	Q1 2015	DIPA	Number of distributed logbooks/year: 735 in 2015, 695 in 2016 (total 1,430)	1. <b>Achieved</b> (Q1 2015)
I-6.2	<b>Accountability</b> Continue efforts undertaken to secure financial management of fundings for research	Q4 2015	DIPA	1. Deployment of computerized Time-sheet management tool (SINCHRO 01 July 2016) >100 users, 60 projects 2. Strengthening of Research Support office in the Financial Department (+ 2 new FTE). 3. Use of credits endowed by UM Research Commission (94,5% consumption rate of endowments in 2015) and Call-for-Projects (2015-2016 review to come)	1. <b>Achieved</b> (Q3 2016)  2. <b>Achieved</b> (Q2 2016)  3. <b>On-Going</b> (Q2 2017)
I-7.1	<b>Good practice in research</b> Promote notions of ethics and good	Q4 2015	DFE	1. Reminder in the Examination	1. <b>Achieved</b> (Q1 2015)

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	practice in research within schools and departments (by incorporating it into undergraduate students' curricula, and as a requirement course for doctoral students)			procedure; courses on initiation to research are foreseen in the course offer for Master's students 2. PhD level: training courses offered by Collège Doctoral (88 participants) on methods, tools/ research activity) & specific training sessions (# agents trained on animal experimentation: 40)	2. <b>Achieved</b> (Q1 2015)
I-7.2	<b>Good practice in research</b> Promote the role of occupational medicine to the research community	Q1 2015	SCMPPS	1. Annual training master plan for Hygiene et Sécurité (40 agents trained in 2016); 7 laboratory visits in 2015, 8 in 2016; 13 visited workstations in 2015 and 56 in 2016; communication tools (flyer currently being developed, H&S Welcome Booklet for new comers)	1. <b>Achieved</b> (Q1 2015)
I-8.1	<b>Dissemination and exploitation of results</b> Via an internal note, remind researchers on their duties (observation of regulations, ethical principles, training obligation, supervision, result dissemination, security, IP protection).	Q1 2015	DIPA	1. Publication on Intranet of revised framework of note relating to C&C 2. Participation of inventors in exploitation 3. signature of a Thesis charter between the PhD student, the Thesis supervisor, Research Unit director, and the Doctoral School director (# of signed theses: 425/year) 4. signature of a training plan with a mention on valorisation (# signed training plans)	1. <b>On-Going</b> (target Q2 2017) 2. <b>Achieved</b> (Q2 2016) 3. <b>Achieved</b> (Q1 2015) 4. <b>On-Going</b> (target Q3 2017)
I-8.2	<b>Dissemination and exploitation of</b>	Q1 2015	DIPA	1. Mention is made	1. <b>Achieved</b> (Q1



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	<b>results</b> Include a clause making the referencing and use of university logo mandatory in results dissemination and publication			in endowment letter of UM funding for Call-for-Projects (# Call-for-Projects fundings: 42 in 2015-16) 2. adoption of a Charter for the Signature of Publications (4,100 UM publication/year; # symposiums: 160 in 2015-16)	2015)  2. <b>Achieved</b> (Q4 2016)
I-9.1	<b>Public engagement</b> Invite scientists to share and communicate on the science popularization efforts they undertake (leveraging the institution's website, the digital resource center under construction, museums, ...)	Q1 2015	SCOM	# conferences for the general public selected by UM Research Commission: 114 (2015-16) # symposiums funded by UM Research Commission: 3/year # artistic residency: 1/year # experts: regularly updated pool of experts, 150 contacts early 2017 12 doctoral students registered for "My thesis in 180 sec"	1. <b>Achieved</b> (Q1 2015) >Symposiums and conferences for the general public (i.e., "Les jeudis de l'UM") > cultural events > UM exhibitions > Open doors Days > Artist-in-residence on UM campuses > Creation of dissemination tools > Creation of an experts database (2016) > Internet Agenda > Dissemination actions carried out by doctoral students or via the Research Commission > 15K/year in financial support to Génopolys
I-9.2	<b>Public engagement</b> Promote researchers and teaching staff engagement (via press releases, general public conferences)	Q1 2015	SCOM	# Internet: on line publication of about 50 articles/year # Forum: 7 issues/year, circulated to 4,600 staff at UM # LUM: 3 issues/year (6,000 circ.) + on line publications in digital format #Photo library: 7,000 items #press: 60 press releases/year, 45 articles/month (average) of which 37% on research	1. <b>Achieved</b> (Q1 2015) > Website (feature stories for the general public) > Internal magazine(Forum) > External magazine (LUM) > Creation of a photo library (2016) > Press relations > Social networks (facebook, twitter, instagram, ...) > Audiovisual production (production of training, institutional, campus life presentation videos)
I-9.3	<b>Public engagement</b>	Q1 2015	SCOM	# network: 2	1. <b>Achieved</b> (Q1 2015)

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	Develop partnerships between the university and/or research units and clubs or associations to facilitate dissemination of knowledge			meetings/year, joint dissemination list #campus mag: dissemination via www.campusmag-lr.tv + Youtube (as of early 2017: 354 videos, 124,056 viewings)	> Network of UM communication contact persons: management, organization of annual meetings, deployment of shared tools > Partnerships with universities, research institutions (COMUE, Campus Mag = Internet TV channel > Partnerships with cultural institutions, City of Montpellier, museums, Agora des savoirs, La Panacée contemporary cultural center: exhibitions, participation of scientists, ...
I-10.1	<b>Non-discrimination</b> Offer an English-language version of administrative documents and forms	Q3 2015	DRI	Publication of job vacancies (10 post doc/year); collection of English-language responses to Call-for-projects (12 in 2015; 23 en 2016). 4/6 doctoral school websites; >50% research units' websites; certificates on PhD successful completion 26/year (on demand) 2. Procedure to identify internal documents that require a translation towards English. (List of identified documents)	1. <i>On-Going</i> (target Q4 2017) for documents relating to PhD studies registration  2. <i>Achieved</i> (Q3 2016)
I-10.2	<b>Non-discrimination</b> Create a referent list of university staff with language skills	Q2 2015	DRH	List of staff who master a foreign language (Names - contact information and RH office in charge of the staff file) 1 - identify the staff members in common services and central administration who benefited from English-language	1. <i>Achieved</i> (Q4 2016)

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				<p>training courses</p> <p>2 - Query on job description data requiring specific language skills</p> <p>3 - survey via email on all language skills</p>	<p>2. <b>On-Going</b> (target Q3 2017)</p> <p>3. <b>To Be Achieved</b> (target Q1 2018)</p>
I-11	<b>Evaluation/Appraisal Systems</b> Make course evaluation systematic	Q4 2015	DFE	<p>1. # responding students (data non available yet)</p> <p>2. For Doctoral students: 69 structures assessed by French high authority for Research and HCERES; # thesis assessment committees/year: 560 # assessed curricula (5/6 Doctoral Schools practice assessment)</p> <p>3. Questionnaires response rate</p> <p>4. # offered curricula, # trained supervisors</p>	<p>1. <b>Achieved</b> (Q4 2016) implementation of a course evaluation process per level (undergraduate, other diplomas M&amp;D); per specialty/path of study; per institutional main theme: Organization of studies; logistical conditions; teaching methods; digital services for students; and links to professional environment</p> <p>2. <b>Achieved</b> (Q1 2015) assessment of research units that host doctoral students; quality policy via thesis assessment committees and training of supervisors (by external trainers) (target Q1 2017)</p> <p>3. <b>Achieved</b> activities and curricula assessment via doctoral students survey (Q1 2015)</p> <p>4. <b>To Be Achieved</b> training of supervisors (by external trainers) (target Q2 2018)</p>
II-12	<b>Recruitment</b> Establish specific guidelines for the recruitment of non-permanent researchers (i.e., post-docs)	Q3 2015	DRH	<p>1. Validation of Guidelines for the recruitment of BIATS (General Assembly of 06 July 2015)</p> <p>2. Amendment to Guidelines to include publication of vacant positions on Euraxess jobs</p>	<p>1. <b>Achieved</b> (Q3 2015) Guidelines for the recruitment of BIATS, detailing recruitment conditions and salary grids</p> <p>2. <b>To Be Achieved</b> (target Q2 2017)</p>

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				portal	
II-13.1	<b>Recruitment (Code)</b> Refer to the Charter and Code in the Vade-Mecum for recruitment at UM	Q1 2014	DRH	1. reference added in vade mecum relating to selection committee guidelines	1. <span style="color: #FFA500;">On-Going</span> (target Q2 2017)
II-13.2	<b>Recruitment (Code)</b> Publish job announcements on Euraxess, in addition to systematic publication of job openings on the university website already in place	Q1 2015	DRH	1. <a href="mailto:drh-euro-recrut@umontpellier.fr">drh-euro-recrut@umontpellier.fr</a> # published vacancies on Euraxess: 31	1. <span style="color: #008000;">Achieved</span> (Q4 2015) process created (dedicated generic email address)
II-13.3	<b>Recruitment (Code)</b> Enforce the respect of official timeframe between job opening publication and date of recruitment	Q1 2015	DRH	Review of posting duration for 2015/2016 recruitment campaign: publication average duration 1.5 month (post doc: 1 month)	1. <span style="color: #008000;">Achieved</span> (Q1 2017)
II-15.1	<b>Transparency (Code)</b> Remind candidates about their right to ask and receive feedback on the strengths and weaknesses of their application.	Q1 2015	DRH	1. Mention added in the job announcement on the right to ask and receive feedback on the strengths and weaknesses of an application upon candidate's request (# published vacancies: about 500; % non-filled vacancies: 9%)	1. <span style="color: #008000;">Achieved</span> (Q1 2017)
II-16	<b>Judging merit (Code)</b> Write a guideline document to emphasize the need, when dealing with recruitment, bonus, and promotion of staff, to take into account all of the researchers' missions (management of teams, projects, research units; sectorial and geographical mobility; acting as supervisor and/or mentor; teaching)	Q4 2015	DRH	1. Amendment to « Job description, bonus and promotion guidelines » 2. Production and online publication on intranet of a guide for the Post-doc recruitment along with selection criteria 3. Adoption of guidelines relating to Hourly Framework for Research; dissemination to Research Unit Directors (RUD): RUD meeting 13 July 2016 + publication on intranet. Bonus for Research Supervision (PEDR =	1. <span style="color: #008000;">Achieved</span> (Q1 2015)  2. <span style="color: #FFA500;">On-Going</span> (Q4 2017)  3. <span style="color: #008000;">Achieved</span> (Q2 2016)

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				prime à l'encadrement doctoral et de recherche) and leaves of absence for Research or Thematic reorientation (CRCT = Congés pour Recherche et Conversion Thématiques) (discharge of 2,113 hours granted to 70 Professors/ researchers for 2016-17 school year)	
II-18.2	<b>Recognition of mobility experience</b> Post testimonies on line (university website)	Q3 2015	DRI	1. Number (5) & list of posted testimonies (2)  2. Deployment of Moveon 4 tool	1. <b>Achieved</b> (Q3 2016) Posting of testimonies on EC portal (Mobility Tool)  2. <b>Achieved</b> (Q1 2016) Acquisition and deployment of a management and coordination tool for International Relations dept. (mobilities, actions, cooperation)
III-23.1	<b>Research environment</b> Allocate appropriate funds to renovate buildings and comply with safety requirements	Q3 2015	DPI	1. 2015: € 1,625M and 2016: € 1,943M 2. +14,500 sq.m in 2015-2016 3. pro 3 D projects, bunker renovation Total UM area: 492,000 sq. m SHON	1. <b>Achieved</b> (Q1 2015) Budget allocated to research buildings (maintenance) 2. <b>Achieved</b> (Q2 2016) newly created area 3. <b>Achieved</b> (Q1 2017)
III-24	<b>Working conditions</b> Further develop the support system that has been implemented for students and staff (including disabled ones)	Q1 2015	DVC	- # doctoral or post-doc contracts with state acknowledged disability status (RQTH = reconnaissance qualité de travailleur handicapé): 1 in 2015; 3 in 2016 - 2015-16 recruitment rate: 30% <b>Well-being</b> In 2015: 3 types of workshops offered for 157 participants on 1 site; response	1. <b>Achieved</b> (Q3 2016) implementation of a multi-annual Disability Master Plan (43 actions) 2. <b>Achieved</b> (Q1 2015) leave of absence for Research or Thematic reorientation (CRCT = Congés pour Recherche et Conversion Thématiques) 3. <b>Achieved</b> (Q1 2015) creation of the office of Quality of life in the workplace (with a "Well-being in the

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Action No.	Action title	Timeline	Department in charge	Indicator(s) / Target(s)	Current status (Achieved; On-Going; To Be Achieved)
				<p>rate to satisfaction questionnaire = approx. 70%</p> <p>In 2016: 4 types of workshops offered for 466 participants on 3 sites</p> <p>Response rate to satisfaction questionnaire = approx. 60%</p> <p><b>Culture</b></p> <p>85 events in 2015, and 92 in 2016</p> <p>Implementation of a HR/Welcoming structure for researchers</p>	<p>workplace" team and Women/Men Equality" team);</p> <p>4. <b>Achieved</b> (Q1 2015) Participation in national prevention campaigns</p> <p>5. <b>Achieved</b> (Q3 2016) psycho-social risks management and prevention procedure at UM</p> <p>6. <b>Achieved</b> (Q3 2016) social benefits extended to staff family members</p> <p>7. <b>To Be Achieved</b> additional financial support for staff transportation within the framework of administrative ranking examinations (target Q3 2017)</p> <p>8. <b>To Be Achieved</b> The research and HR information system master plan includes the implementation of a HR/Welcoming structure for researchers (target Q4 2017)</p>
III-25	<p><b>Stability and permanence of employment</b></p> <p>Try and get tenure-positions for non-permanent staff to compete for, via ranking exams</p>	Q3 2015	DRH	<p>1. # recruited Assistant-professors (in 2015-16) : 73 (# researchers/staff on non-fixed term employment contract (Contrat à Durée Indéterminée = CDI): 57 (2015, 2016)</p> <p>2. # "Sauvadet" tenured-positions: 13 positions filled in 2015-2016 out of a total of 60 tenure-position job campaign (representing 22% of open permanent positions)</p>	<p>1. <b>Achieved</b> (Q1 2015) change of status for 2nd degree teachers (PRAG) to Assistant-professors; UM guidelines include possibility of non-fixed term employment contract (CDI) for top category (Cat A) researchers</p> <p>2. <b>Achieved</b> "Sauvadet" decree for reserved tenured-position extended for 2 years in 2016 (Q2 2016)</p>
III-27	<p><b>Gender balance</b></p> <p>Centralize and follow-up on indicators</p>	Q3 2015	DPIL	<p>Research staff: 42% female vs 58% male in 2015 (doctoral students</p>	<b>Achieved</b> (Q3 2015)

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Action No.	Action title	Timeline	Department in charge	Indicator(s) / Target(s)	Current status (Achieved; On-Going; To Be Achieved)
				2015-16: 46,5 F vs. 53,5 M)	
III-28	<b>Career Development</b> Increase researchers' awareness on the training program specifically designed for them (skill management, Massive Open Online Courses, Individual Right to Training, sabbatical leave)	Q1 2015	DRH	1. Number of courses targeted for researchers: 16 # participants to these courses in 2015-2016 : 247	1. <b>Achieved</b> (Q1 2015) Existing circulation list for all staff and school or research unit (researchers + institutional list) via HR reference staff
III-30	<b>Access to career advice</b> Encourage researchers to consult the institution's 'Mobility, Orientation and Career' office	Q1 2015	DRH	1. Publication on intranet of HR organizational chart 2. 3 Professor and/or researcher consultations (1 in 2015 and 2 in 2016); 77 PhD students attended a professional orientation course provided by Doctoral schools 3. Article on intranet (ENT)	1. <b>Achieved</b> (Q1 2015) Identify stakeholders to be contacted 2. <b>Achieved</b> (Q3 2016) Career interviews, professional advancement 3. <b>Achieved</b> (Q1 2017) Article on intranet (ENT)
III-31	<b>Intellectual property rights</b> Guidebook on IP good practice to be produced	Q3 2015	DIPA	1. Production and dissemination of a guidebook on IP  2. Deployment of an Information System for consolidated, shared, monitored management approach of research contracts and call-for-projects	1. <b>On-Going</b> Collection of information on existing guides (Réseau Curie, H2020 IP Guide"... ) for internal use and dissemination (target Q4 2017) 2. <b>On-Going</b> Achieve a consolidated, shared, monitored management approach of research contracts and call-for-projects; optimize management and monitoring of the portfolio (Q4 2018)
III-32	<b>Co-authorship</b> Target value creation potential and activity among researchers	Q2 2015	DRED	% of publications resulting from European collaboration: 30.6%, and international: 50.1% in 2016 (OST data)	1. <b>Achieved</b> (Q1 2015)
III-33	<b>Teaching</b> Propose more training seminars on teaching techniques for research professors and assistant professors	Q3 2015	DRH	1. # courses on Teaching techniques: 14 # new courses offered since 2015 (MOOC) 2. # participants to	1. <b>Achieved</b> (Q1 2015) map out organized Teaching techniques courses 2. <b>Achieved</b> (Q1 2015) actions carried out by the SUN , (service des

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Action No.	Action title	Timeline	Department in charge	Indicator(s) / Target(s)	Current status (Achieved; On-Going; To Be Achieved)
				Teaching techniques courses: 378 7 TICE workshops organized	usagers du numérique of the DSIN = Office for Digital tools users): Organization of training courses for professor/researchers ; production of a Newsletter on Digital tools Workshop organization: Parlons des TICE à l'UM
III-34.1	<b>Complains and Appeals</b> Remind the role of existing governing bodies in conflict management (circulate the list of representatives at UM in case of health, moral, financial difficulties)	Q1 2015	DVC	1. # mediations for doctoral students/year: 12  2. # treated individual cases: 12	1. <b>Achieved</b> Specific mediation procedure for doctoral students + Scientific Integrity commission (Q1 2017) 2. <b>Achieved</b> (Q4 2016) implementation of a "Monitoring and PSR" Commission within the framework of the psycho-social risks (PSR) prevention plan
III-34.2	<b>Complains and Appeals</b> Increase staff's awareness for union representation within the institution	Q1 2015	SCOM	Creation on intranet (ENT) of a page specifically dedicated to unions	1. <b>Achieved</b> (Q2 2017)
IV-40	<b>Supervision</b> Reinforce administrative means for doctoral schools	Q2 2015	DRED	1. at least 1 FTE per Doctoral school  2. # defences for HDR (Habilitation à Diriger la Recherche, "Capacity to Supervise Research): 112 in 2015-2016 3. Means dedicated by Research Commission)	1. <b>Achieved</b> (Q1 2016) strengthening of administrative means for doctoral schools 2. <b>Achieved</b> (Q1 2016) increase in HDR numbers  3. <b>On-Going</b> strengthening of training courses on Doctoral student supervision for HDR (via external providers, Q4 2017)
E1	<b>Self-assessment</b> including a survey of UM research community at +2 years	Q1 2017	UM	1. Survey carried out 2. On line publication of updated HRS4R	1. <b>Achieved</b> (Q4 2016) 2. <b>Achieved</b> (Q2 2017)
E2	<b>External assessment</b> (at + 5 years)	Q4 2019	UM	On site review	<b>To Be Achieved</b> (Q4 2019)



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### 3.2.2 Achieved actions (4), not planned initially

Since they contribute to the implementation of the C&C principles, these achieved actions were included in the action plan:

Action No.	Action title	Timeline	Department in charge	Indicator(s) / Target(s)	Current status (Achieved; On-Going; To Be Achieved)
I-10.3	<b>Non-discrimination</b> Struggle against discriminations	Q1 2015	DVC	1. Designation of a reference contact person for the "Struggle against racism and antisemitism"; implementation by the Quality of Life in the workplace Office of actions specifically related to the struggle against discriminations 2. Workshops: Springboard (boost careers of female researcher/professors) and reconciliation of family and professional lives 3. Events (15 in 2016) including Women's month, signature of LGBT charter, 'A week against homophobia' event, a week's actions and workshops against racism and anti-Semitism.	1. <b>Achieved</b> (Q3 2016)  2. <b>Achieved</b> (Q1 2015)  3. <b>Achieved</b> (Q3 2016) UM is #1 French university to sign LGBT Charter
I-10.4	<b>Non-discrimination</b> Include C&C principles into the university International Relations processes relating to foreign researchers (develop guidelines including C&C principles)		DRI	Validation of revised guidelines by institutional governing bodies	1. <b>Achieved</b> (Q1 2017)
III-23.2	<b>Research environment</b> Deployment of digital tools seeking to improve data transfer, sharing and storage	Q2 2015	DSIN	1. # Zimbra users: 34,459 Students; 5,433 staff  2. # Doc Mgt Systems (GED) users: 214 accounts  3. user accounts validation rate for researchers: 81%	1. <b>Achieved</b> (Q2 2015) Deployment of Zimbra e-collaborative suite (email, shared calendar)  2. <b>On-Going</b> deployment of a Doc. Mgt System (GED) tool (Q2 2018)  3. <b>To Be Achieved</b> (Q3 2017) deployment of a range of digital services
III-29	<b>Value of mobility</b> Information on/promotion of bridges	Q1 2015	DIPA	# researchers under scientific	1. <b>Achieved</b> (Q1 2015)

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<i>Action No.</i>	<i>Action title</i>	<i>Timeline</i>	<i>Department in charge</i>	<i>Indicator(s) / Target(s)</i>	<i>Current status</i> (Achieved; On-Going; To Be Achieved)
	for researchers between private and public sectors			participation with a private company : 5 proposals for scientific participation (concours scientifique) submitted to the French national Ethics committee (2015-16)	

### 3.2.3 Updated action plan for the 2017-2019 period

**6 new actions** are added to the action plan for the 2017-2019 period. Their definition is based on the demands of the newly strengthened HRS4R<sup>2</sup> process (OTM-R section), the institution's global strategy (in particular the MUSE project) and the results of the internal survey on C&C principles (cf. section 4.1.2 of this document) which revealed new avenues of improvement on a number of C&C principles for UM, precisely for principles 13, 15, 16, 23, 25, 26, 28, 33, 37, 38, and 39.

The 6 newly added actions take these results into account:

- Action II-13.4 addresses principles 13, 15 and 16;
- Action III-23 addresses principles 23 and 26;
- Action III-26.1 addresses principle 26;
- Action III-26.2 addresses principle 26;
- Action III-33.2 addresses principle 33;
- Action IV-39 addresses principles 38 and 39.

The updated action plan is comprised of 33 sub-tasks to be completed within the next 3 years (cf. Attachment 9, Updated Action Plan p. 47).

<sup>2</sup> Effective 1 January 2017, the European Commission strengthened its HRS4R process which made it mandatory to include a module on Open Transparent Merit-based Recruitment (OTM-R), and modified the duration of the award cycles, evolving from 2+2 years to 2+3 years for the initial award granting phase, and to 3 years for subsequent award renewals.

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Action No.	Action title	Timeline	Department in charge	Indicator(s) / Target(s)	Current status (Achieved; On-Going; To Be Achieved)
II-13.4	<b>Recruitment (Code)</b> Include the OTM-R check list into the institution's HR guidelines to ensure Open, Transparent, Merit-based recruitments	Q2 2018	DRH	Publication of UM completed OTM-R check list on website	To Be Achieved (target Q2 2018)
III-23.3	<b>Research Environment</b> Attractive package for high-potential post-docs and acknowledged researchers (MUSE project)	Q2 2018	DRH	# allotted packages	To Be Achieved (target Q2 2018)
III-26.1	<b>Funding and Salaries</b> Introduction of tenure-track positions for high-potential young assistant professors/researchers (MUSE project)	Q2 2018	DRH	# Tenure-track recruitments	To Be Achieved (target Q2 2018)
III-26.2	<b>Funding and Salaries</b> Granting of 2 annual awards: "Inspiring Educator" and "Leading Innovator" awards (MUSE project)	Q2 2018	DRH	# competing candidates	To Be Achieved (target Q2 2018)
III-33.2	<b>Teaching</b> Introduction of a "Researcher-Professor" status to acknowledge the contribution to training of national Research Organizations' research staff	Q2 2018	DRH	# researchers seeking this status	To Be Achieved (target Q2 2018)
IV-39	<b>Access to research training and continuous development</b> Digitizing training modules via open data, open access, MOOCs, SPOCs (MUSE project)	Q3 2018	DRH	# digitized training modules # participants to digitalized training modules	To Be Achieved (target Q3 2018)

### 3.3 Implementation of an Open Recruitment policy

The UM HR strategy for research, which resulted in the "HR Excellence in Research" award granting, was elaborated prior to the publication of the European Commission's recommendation to implement an Open, Transparent, Merit-based Recruitment (OTM-R) policy. A strengthened HRS4R process came into effect on 1 January 2017, making the OTM-R process mandatory in the long-term.

At UM, the checklist template was translated into French for internal use. The institution proceeded with its **OTM-R self-assessment** (Q1 2017). The outcome of UM's OTM-R review is deemed positive by 87% with 20/23 responses receiving an answer that is considered positive: *Yes, completely*; *Yes, Yes, substantially* (cf. Attachment 4, OTM-R review, p. 33).

Details of obtained results out of 23 questions

	No	Yes, partially	Yes substantially	Yes	Yes, completely	Total
Response type	1	2	4	7	9	23

3 responses, categorized by "No" or "Yes, partially", are considered less satisfactory and present some room for improvement (13%). They correspond to parts of the questionnaire that deal with OTM-R policy, recently introduced at UM. It is estimated that, in the future, this aspect can only be

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improved based on the facts that: (1) the recruitment policy currently in place at UM already matches most OTM-R checklist requirements, and (2) that a new action (Action II-13.4) relating to implementing OTM-R principles is added on this matter in the updated action plan.

UM durably embeds an OTM-R policy in its HR strategy for research and is committed to carry out this OTM-R review every year in order to monitor progress achieved in this area.

### 4 IMPLEMENTATION

#### 4.1 Methodology

The self-assessment was carried out under the responsibility of the Vice-president in charge of Research, Mr. Jacques Mercier, who heads the Steering Committee in charge of the implementation and follow-up of HRS4R at UM. The self-assessment is based on a survey of the UM scientific community on C&C principles and on a trans-department collaborative effort to complete a mid-term internal audit on HRS4R achievements against the initial action plan.

##### 4.1.1 Steering Committee update

The Steering Committee is comprised of a strategic group and an operational group. Their composition was updated to reflect changes in the organizational chart, subsequent to the merge and the usual arrivals and departures of any organization (cf. Attachment 5, Steering Committee composition, p.38).

The **strategic group** meets from 2 to 3 times per year and provides leadership in the implementation of HRS4R. It is comprised of representatives of UM's governing boards, various department directors, and a project manager.

The **operational group** meets once per quarter; it carries out the action plan, monitors progress and reports to the project director via the project manager: it is comprised of at least one representative of each impacted UM department, namely: DRH, DRED, DRI, DFE, DVC, DIPA, DPIL, DAGI, DSIN, SCMPPS, SCOM, DPI<sup>3</sup>.

Within the framework of this self-assessment, the HRS4R operational group performed the following tasks:

- Liaise between central directions and the Vice-president in charge of Research (Executive Manager) and the Deputy General Director of Administration in charge of Human Resources, Budget, Research and Partnerships, via the project manager;
- Contribute to the completion of a review on the implementation of HRS4R via the collection and reporting of data on the state of achievement of actions, (indicators and justifications);
- Participate to meetings for the production of a self-assessment report and updated action plan.

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<sup>3</sup> Legend / translation of department acronyms

DFE = Direction des Formations et des Enseignements/*Teaching and Studies Department*

DIPA = Direction de l'Innovation et des Partenariats/*Innovation and Partnerships Department*

DRI = Direction des Relations Internationales/*International Relations Department*

DCSPH = Direction de la Culture Scientifique et du Patrimoine Historique/*Scientific Culture and Historical Heritage Department*

DRED = Direction de la Recherche et Etudes Doctorales/*Research and Doctoral Studies Department*

DPIL = Direction du Pilotage/*Steering Department*

DAF = Direction des Affaires Financières/*Financial Affairs Department*

DPI = Direction Patrimoine Immobilier/*Public Property Department*

DRH = Direction des Ressources Humaines/*Human Resources Department*

DAGI = Direction des Affaires Générales et Institutionnelles/*General and Institutional Affairs Department*

DSIN = Direction du Système d'Information et du Numérique/*Digital and Information System Department*

DVC = Direction Vie des Campus/*Campus Life Department*

SCMPPS = Service Commun de Médecine Préventive et de Promotion de la Santé/*University Service for Occupational Medicine and Health Promotion*

SCUIOIP = Service Commun Universitaire d'Information, d'Orientation et d'Insertion Professionnelle/*University Service for Information, Orientation and Professional Insertion*

SCOM = Service Communication/*Communication Department*

SCD = Service Commun de Documentation/*Documentation Department*

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### 4.1.2 Survey of UM scientific community

In line with the action relating to the mid-term self-assessment (Action E1), the university fulfilled its commitment to survey the scientific community on the principles of C&C via a questionnaire.

#### Survey specifications

An anonymously-treated questionnaire was launched (via Sphinx application) on 4 November 2016, followed up with 2 reminders - on 14 and 21 November, to UM staff categories: UM staff from research units (including all types of researchers from R1 to R4<sup>4</sup>), Doctoral schools, personnel of the research area in the main administration departments – DRED, DIPA, DRI, DCSPH.

The questionnaire was comprised of 40 questions (1 per C&C principle). For each principle, the surveyed staff was invited to indicate their opinion on 2 aspects:

- The **importance of the principle for their career**;
- Their **estimation of the degree of implementation of the principle at UM**.

**Result analysis** (for all details cf. Attachment 6, HRS4R Survey p. 39)

The surveyed population was comprised of 3,114 staff members. 888 staff responded (representing 28.5%), of which 374 answered all questions (12%). Respondents' main characteristics are as follow: 55% male, 57% professor/researchers, 70% permanent staff (civil servants).

The result analysis presented below is based **on those 374 respondents**.

- On the question relating to the “**importance of the principle for their career**”, responding staff have estimated that C&C principles are important by **78%** (unweighted average score).

5 principles are estimated as being **most important**:

- *Principle 3 – Professional responsibility (93%)*
- *Principle 10 – Non-discrimination (89%)*
- *Principle 2 – Ethical principles (89%)*
- *Principle 26 – Funding and salaries (88%)*
- *Principle 38 – Continuing professional development (88%)*

5 principles are estimated as being **less important**:

- *Principle 21 – Postdoctoral appointments (Code) (66%)*
- *Principle 30 – Access to career advice (67%)*
- *Principle 34 – Complaints/appeals (67%)*
- *Principle 11 – Evaluation/appraisal systems (69%)*
- *Principle 40 – Supervision (70%)*

- On the question relating to the “**degree of implementation at UM**”, responding staff estimated that C&C principles are implemented at UM at **55%** (unweighted average score).

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<sup>4</sup> EC researchers classification based on their experience level:

- Under 4 year of research experience = **R1-Early Stage Researcher** (PhD student)
- From 4 years of research experience = **Experienced Researcher**, with **R2-Acknowledged Researcher** (post-doc), **R3- Established Researcher** (having acquired a level of independence in his/her research domain), and **R4-Advanced Researcher** (leader in his/her research domain).

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5 principles are estimated as **most implemented**:

- Principle 10 – *Non-discrimination* (80%)
- Principle 3 – *Professional responsibility* (77%)
- Principle 2 – *Ethical principles* (76%)
- Principle 1 – *Research freedom* (68%)
- Principle 5 – *Legal and contractual obligations* (67%)

5 principles are estimated as being **less implemented**:

- Principle 30 – *Access to career advice* (37%)
- Principle 33 – *Teaching* (40%)
- Principle 28 – *Career development* (41%)
- Principle 11 – *Evaluation/appraisal systems* (41%)
- Principle 12 – *Recruitment* (42%)

**Observation:** The **3 principles** estimated by the responding staff as being **most important** correspond to the 3 principles estimated as being **most implemented** at UM.

This result is an illustration of the institution's progress in its alignment with the principles estimated to be the most primary ones by the scientific community.

The cross-comparison between both “**Importance**” and “**Implementation**” graphs reveals that **29/40 principles** of C&C (72.5%) reach a score that meets or goes beyond the research community expectations:

- The **implementation** of C&C principles by the university **exceeds researchers' expectations for 8 principles**:
  - Principle 1 – *Research freedom*;
  - Principle 4 – *Professional Attitude*;
  - Principle 5 – *Legal and contractual obligations*;
  - Principle 6 – *Accountability*;
  - Principle 9 – *Public engagement*;
  - Principle 27 – *Gender balance*;
  - Principle 31 – *Intellectual property rights*;
  - Principle 36 – *Relation with supervisors*.
- The **implementation** of C&C principles by the university **meets researchers' expectations for 21 principles**:
  - Principle 2 – *Ethical principles*;
  - Principle 3 – *Professional responsibility*;
  - Principle 10 – *Non-discrimination*;
  - Principle 7 – *Good practice in research*;
  - Principle 8 – *Dissemination, exploitation of results*;
  - Principle 18 – *Recognition of mobility experience*;
  - Principle 22 – *Recognition of the profession*;
  - Principle 24 – *Working conditions*;
  - Principle 32 – *Co-authorship*;
  - Principle 35 – *Participation in decision-making bodies*;
  - Principle 39 – *Access to research training and continuous development*;
  - Principle 11 – *Evaluation/appraisal systems*;
  - Principle 12 – *Recruitment*;
  - Principle 17 – *Variations in the chronological order of CVs*;

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- *Principle 19 – Recognition of qualifications;*
- *Principle 20 – Seniority;*
- *Principle 21 – Postdoctoral appointments;*
- *Principle 29 – Value of mobility;*
- *Principle 30 – Access to career advice;*
- *Principle 34 – Complaints/appeals;*
- *Principle 40 – Supervision.*

For **11 principles** (27.5%), results on implementation by the university present avenues for improvement with regards to researchers' expectations:

- *Principle 13 – Recruitment (Code);*
- *Principle 15 – Transparency;*
- *Principle 16 – Judging merit;*
- *Principle 23 – Research environment;*
- *Principle 25 – Stability and permanence of employment;*
- *Principle 26 – Funding and salaries;*
- *Principle 28 – Career development;*
- *Principle 33 – Teaching;*
- *Principle 37 – Supervision and managerial duties;*
- *Principle 38 – Continuing professional development;*
- *Principle 39 – Access to research training and continuous development.*

These elements were taken into account while drafting the action plan update (cf. section 3.2.3 in this document).

### 4.1.3 Trans-departmental collaboration

For the self-assessment, HRS4R referent staff were designated in every implied administrative department of the university (DRH, DRED, DRI, DFE, DVC, DIPA, DPIL, DAGI, DSIN, SCMPPS, SCOM, DPI). They were commissioned to insure the implementation of the strategy and to report on the monitoring of achievements to the Executive manager via the project manager (Nathalie MODJESKA).

The operational group held 4 plenary sessions (24 November 2016; 16 December 2016; 1 February 2017; 17 February 2017) and as many sub-production group meetings as deemed necessary (over 15 meetings) to finalize the mid-term review.

A detailed follow-up of planned actions was carried out, with an inventory of achieved actions during the 2015-2016 period, achievement indicators, completed with proposal of new actions when appropriate, to be specifically cross-referenced with the survey results.

This collective effort resulted in the production of this report and revised action plan for the upcoming years 2017-2018-2019. They were presented to the strategic group who approved them. Those documents were then presented to all university governing bodies: Academic Board, 18 April 2017; Technical Committee, 24 April 2017; and Board of Directors, 2 May 2017). They were published on our institutional internet site in May 2017.



### 4.2 *Embedding of HRS4R in the institution's strategy*

#### 4.2.1 **Durable embedding of HRS4R at UM**

HRS4R is completely integrated into the university general strategy. In this respect, it is listed in the university's five-year strategic plan as part of the institution's Research strategy. Another indication of this embedding lies in the creation of university services and departments that seek to better and further disseminate and implement C&C principles, such as:

- The "Coordination division for Transversal Affairs" and the Office for "Career Follow-up and Support" in the HR Department (cf. Attachment 7, HR Department organizational chart, p. 45);
- The "Handiversity" division and "Quality of Life in the Workplace" division ("Gender Equality" office, and "Well-being in the workplace" office) of the Campus Life Department.

Similarly, the MUSE project clearly lists the alignment of UM's public partners' HR strategy (French research organizations for the most part) with the principles of the C&C as one of its objectives.

#### 4.2.2 **UM contribution to the promotion of HRS4R policy**

Since March 2015, as France's 1<sup>st</sup> university to receive the HR Excellence in Research award, UM has been contributing to the dissemination and promotion of HRS4R policy, both in France and in Europe.

Within the institution, 4 presentations were made towards the scientific community and 2 articles were published (May 2015 edition of FORUM magazine, and on intranet).

Outside of the institution, President Philippe AUGÉ was invited to present UM HRS4R award granting approach to his peers at the *Conférence des Présidents d'Université/University Presidents Conference* (CPU) in April 2015. In May 2015, Nathalie Modjeska, HRS4R project manager at UM, was invited by the DG Research and Innovation at the European Commission to participate to the expert group in charge of the revision and strengthening of HRS4R – *DG Research Expert group on Strengthening HRS4R*. Since then, she has also been acting as an expert-assessor of HR Excellence in Research award applications for the European Commission (over 30 assessments performed since 2015) she is regularly invited as a guest speaker to present UM's experience with HRS4R, both at national and international level, by the French Ministry of Higher Education and Research (MENESR), the CPU and the French Mutualization Agency for Universities and institutions (AMUE), and by the European Commission (8 presentations, of which 3 were in France and 5 abroad) – cf. Attachment 8, Table of external presentations by UM, p. 46.

### 4.3 *HRS4R monitoring at UM*

#### 4.3.1 **Organizing monitoring of the implementation**

The Operational Group of the Steering Committee plans to meet quarterly to insure a regular follow-up of the project progress, monitoring achievements against planned actions and the elaboration of corrective actions when required. The Strategic Group plans to meet 2 to 3 times per year to define the orientation of its HRS4R in line with the institutional strategy.

Within the framework of this internal self-assessment, a shared HRS4R-dedicated directory was created onto the university server, with access provided to all members of the Steering Committee. This setting allows sharing of resource documents. A process for the collection in this directory of

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

indicators and justifications on achieved goals has been designed, in anticipation of the external assessment planned to take place in 2019.

### 4.3.2 Upcoming procedure

In line with the new requirements of the strengthened “HR Excellence in Research” award granting process relating to the HRS4R continuous improvement process, and coherently with the assessment approach in which the university has been engaged for some years already, it is foreseen that the assessment quotation below be introduced in the HRS4R monitoring process for upcoming periods. This assessment quotation meets the requirements of the **Common Assessment Framework**, a total quality management tool for EU public-sector organizations:

*“Based on these observations, regarding this goal, one can say that:*

*D: There is no action, nor significant project contributing to this goal.*

*C: An action plan has been defined, preliminary discussions are ongoing.*

*B: An action plan has been defined and implemented.*

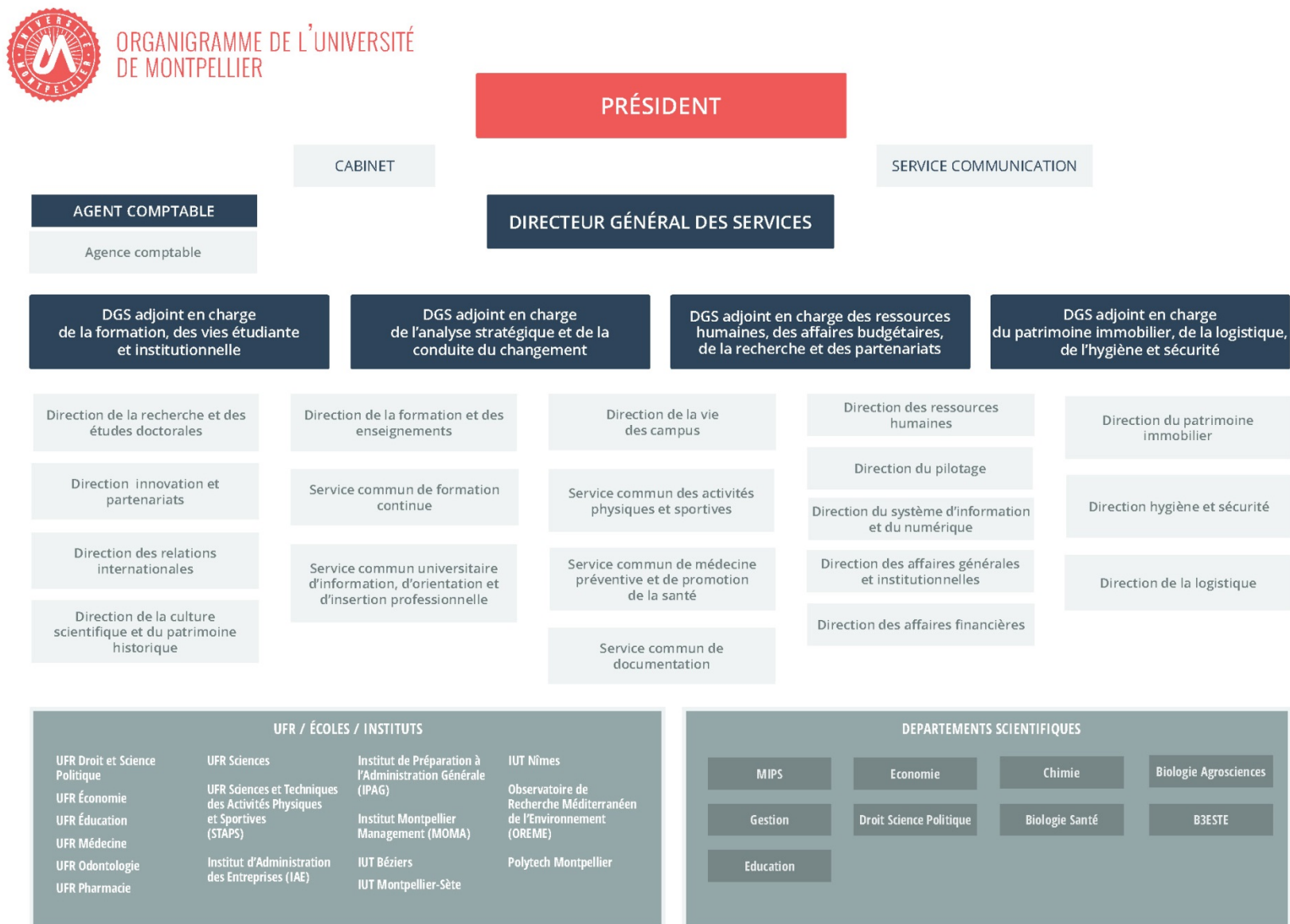
*A: An action plan has been defined and implemented. A follow-up of its implementation is in place and corrective actions are determined when required.*

*A+: The definition of an action plan, implementation process, monitoring and adjustment of achievements is part of a permanent cycle (continuous improvement process).*

## **5 ATTACHMENTS**

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

### Attachment 1 – UM organizational chart



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

### Attachment 2 – List of the European Charter for Researcher and Code of conduct for the recruitment of researchers 40 principles

#### Ethical and Professional Aspects (11 principles)

1. Research freedom
2. Ethical principles
3. Professional responsibility
4. Professional Attitude
5. Legal and contractual obligations
6. Accountability
7. Good practice in research
8. Dissemination, exploitation of results
9. Public engagement
10. Non-discrimination
11. Evaluation/appraisal systems

#### Recruitment (10 principles)

12. Recruitment
13. Recruitment (Code)
14. Selection (Code)
15. Transparency (Code)
16. Judging merit (Code)
17. Variations in the chronological order of CVs
18. Recognition of mobility experience
19. Recognition of qualifications
20. Seniority (Code)
21. Postdoctoral appointments (Code)

#### Working conditions and social security (14 principles)

22. Recognition of the profession
23. Research environment
24. Working conditions
25. Stability and permanence of employment
26. Funding and salaries
27. Gender balance
28. Career development
29. Value of mobility
30. Access to career advice
31. Intellectual property rights
32. Co-authorship
33. Teaching
34. Complaints/appeals
35. Participation in decision-making bodies

#### Training (5 principles)

36. Relation with supervisors
37. Supervision and managerial duties
38. Continuing professional development
39. Access to research training and continuous development
40. Supervision

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





































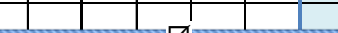





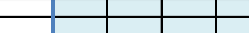









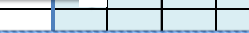












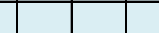
### Attachment 3 – Follow-up table (March 2015-March 2017)

UM HRS4R strategy: Follow-up and updated action plan (2017-2019)																								
Reminder on actions color-coding (2nd column): white = initial action plan; green = not-initially planned achieved action; blue = addition to action plan 2017-2019																								
<div>Initiation</div> <div>Implementation</div> <div>Deliverable</div> <div>Extension</div>				Status (A: Achieved; OG: On Going; TBA: To Be Achieved)	2015				2016				2017				2018				2019			
					Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Actions relative to part I - Ethical and Professional Aspects (items 1 to 11)																								
I-1	Present Charter and Code to Research Unit directors and Doctoral School directors	A	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>
I-2.1	Extend the use of Internal rules and regulations to all Research Units and offer assistance in writing them for further harmonization	TBA	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>
I-2.2	Extend the use of Thesis Assessment Committees to all Doctoral schools	A/TBA	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>
I-2.3	Suggest the creation of an Ethical Committee for consultation	A/OG	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>
I-3.1	Encourage doctoral students to adopt this attitude (production of a guidebook, with Charter and Code as annexes, is programmed, including an English version)	OG	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>
I-3.2	Increase researchers' awareness with regards to plagiarism and self-plagiarism (convey this message early as part of curriculum)	A/TBA	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>
I-5.1	Increase researchers' awareness for the interest of sharing IP and patent information with the Contract/Value generation office of the Innovation and Partnerships department	A/OG	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>
I-5.2	Develop an Information System for saving and sharing IP data	OG/TBA/A	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>
I-6.1	Extend the use of laboratory logbooks to all researchers in experimental scientific fields	A	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>
I-6.2	Continue efforts undertaken to secure the financial management of funding for research	A/OG	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>
I-7.1	Promote notions of ethics and good practice in research within faculties and departments (by incorporating them into undergraduate students' curricula, and as a requirement course for doctoral students)	A	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>
I-7.2	Increase the research community's awareness on the value of occupational medicine	A	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>
I-8.1	Via a memorandum, remind researchers of their obligations (respect rules and ethical principles, obligation to train, to supervise, results dissemination, security, IP protection)	A/OG	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>
I-8.2	Include a clause making the referencing and use of university logo mandatory in results dissemination and publication	A	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>
I-9.1	Invite scientists to share and communicate on the science popularization efforts they undertake (taking advantage of the institution's website, digital resource center, museums, and more)	A	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>
I-9.2	Promote researchers and teaching staff engagement (via press releases, general public conferences)	A	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>
I-9.3	Develop partnerships between the university and/or research units and clubs or associations to facilitate dissemination of knowledge	A	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>

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

### UM HRS4R strategy: Follow-up and updated action plan (2017-2019)



























Reminder on actions color-coding (2nd column): white = initial action plan;  
green = not-initially planned achieved action; blue = addition to action plan 2017-2019

		Status (A: Achieved; OG: On Going; TBA: To Be Achieved)	2015				2016				2017				2018				2019								
			Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4					
			   																								
Actions relative to part I - Ethical and Professional Aspects (items 1 to 11)																											
I-10.1	Offer an English-language version of some administrative documents and forms	OG/A																									
I-10.2	Create a reference list of university staff with language skills	A/OG/TB A																									
I-10.3	Struggle against discriminations	A																									
I-10.4	Include C&C principles into the university International Relations processes that relate to foreign researchers (develop guidelines including C&C principles)	A																									
I-11	Make course evaluation systematic	A/TBA																									
Actions relative to part II – Recruitment (items 12 to 21)																											
II-12	Establish specific guidelines for the recruitment of non-permanent researchers (i.e., post-docs)	A/TBA																									
II-13.1	Refer to the Charter and Code in the Vade-Mecum for recruitment at UM	OG																									
II-13.2	Publish job announcements on Euraxess, in addition to current systematic publication of job openings on the university website	A																									
II-13.3	Enforce the respect of official timeline between job opening publication and date of recruitment	A																									
II-13.4	Include the OTM-R check list into the institution’s HR guidelines to ensure Open, Transparent, Merit-based recruitments	TBA																									
II-15.1	Remind candidates about their right to ask for and receive feedback on the strengths and weaknesses of their application	A																									
II-16	Write a guideline document to emphasize the need, when dealing with recruitment, bonus, and promotion of staff, to take into account all of the researchers’ missions (management of teams, projects, research units; sectorial and geographical mobility; acting as supervisor and/or mentor; teaching)	A/OG																									
II-18.2	Post testimonies on line (university website)	A																									
Actions relative to part III – Working conditions and social security (items 22 to 35)																											
III-23.1	Allocate appropriate funds to renovate buildings and comply with safety requirements	A																									
III-23.2	Deployment of digital tools seeking to improve transfer, sharing and storage of data	A/OG/TB A																									
III-23.3	Attractive package for high-potential post-docs and recognized researchers (MUSE project)	TBA																									
III-24	Further develop the support system that has been implemented for students and staff (including disabled ones)	A/TBA																									
III-25	Try and get tenure-positions for non-permanent staff to compete for, via ranking exams	A																									

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

### UM HRS4R strategy: Follow-up and updated action plan (2017-2019)

Reminder on actions color-coding (2nd column): white = initial action plan;  
green = not-initially planned achieved action; blue = addition to action plan 2017-2019

		Initiation 	Implementation 	Deliverable <input checked="" type="checkbox"/>	Extension 	Status (A: Achieved; OG: On Going; TBA: To Be Achieved)	2015				2016				2017				2018				2019			
							Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Actions relative to part I - Ethical and Professional Aspects (items 1 to 11)																										
III-26.1	Introduction of tenure-track positions for high-potential young assistant professors/researchers (MUSE project)	TBA																								
III-26.2	Granting of 2 annual awards: "Inspiring Educator" and "Leading Innovator" awards (MUSE project)	TBA																								
III-27	Centralize and follow up indicators	A				<input checked="" type="checkbox"/>																				
III-28	Increase researchers' awareness on the training program specifically designed for them (skill management, Massive Open Online Courses, Individual Right to Training, sabbatical leave)	A		<input checked="" type="checkbox"/>																						
III-29	Inform on and promote bridges for researchers between private and public sectors	A		<input checked="" type="checkbox"/>																						
III-30	Encourage researchers to consult the institution's 'Mobility, Orientation and Career' office	A		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>																		
III-31	Guidebook on IP good practice to be produced	OG																								
III-32.1	Target value creation potential and activity among researchers	A		<input checked="" type="checkbox"/>																						
III-32.2	Introduction of a "Researcher-Professor" status to acknowledge the contribution to training of national Research Organizations' research staff	TBA																								
III-33	Propose more training seminars on teaching techniques for research professors and assistant professors	A	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>																						
III-34.1	Remind the role of existing governing bodies in conflict management (circulate the list of representatives at UM in case of health, moral, financial difficulties)	A					<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>																		
III-34.2	Increase staff's awareness for union representation within the institution	A			<input checked="" type="checkbox"/>																					
Actions relative to part IV – Training (items 36 to 40)																										
IV-39	Digitizing training modules via open data, open access, MOOCs, SPOCs (MUSE project)	TBA																								
IV-40	Reinforce administrative means for doctoral schools	A/OG					<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>																		
Assessment actions																										
E1	Self-assessment (including survey of UM research community) at +2 years	A									<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>													
E2	External assessment at +5 years	TBA																								



## Attachment 4 – UM's OTM-R self-assessment (2017)

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

## Self-assessment by University of Montpellier

	Open	Transparent	Merit-based	Answer: Yes, partially / Yes substantially / Yes / Yes, completely / No	Suggested indicators (or form of measurement)
<b>OTM-R system</b>					
1. Have we published a version of our OTM-R policy online (in the national language and in English)?	x	x	x	Yes, substantially	[ <a href="http://www.umontpellier.fr/universite/travailler-a-lum/">http://www.umontpellier.fr/universite/travailler-a-lum/</a> ]
2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?	x	x	x	Yes	Guidelines are available per type of recruitment and get updated annually (last update for Professors / Researchers was 22/02/2017]
3. Is everyone involved in the process sufficiently trained in the area of OTM-R ?	x	x	x	Yes, partially	-Information sessions for HR personnel are organized within the framework of HRS4R follow-up and implementation



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

	Open	Transparent	Merit-based	Answer: <i>Yes, partially / Yes substantially / Yes / Yes, completely / No</i>	Suggested indicators (or form of measurement)
4. Do we make (sufficient) use of e- recruitment tools ?	x	x		Yes, completely	Web-based tools for (all) the stages in the recruitment process are available: CAMPEC, GEST OF (UM will regroup them into one sole tool: OREC en 2018), SENORITA (for the Ministry of Education)
5. Do we have a quality control system for OTM-R in place?	x	x	x	No	
6. Does our current OTM-R policy encourage external candidates to apply?	x	x	x	Yes	Trend in the share of applicants from outside the institution (measure of the inner-recruitment rate for Assistant-professors & professors/Researchers)
7. Is our current OTM-R policy in line with policies to attract researchers from abroad?	x	x	x	Yes, partially	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	Yes, substantially	Trend in the share of applicants among underrepresented groups (42% women staff in 2015)
9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?	x	x	x	Yes, substantially	Trend in the share of applicants from outside the institution (measure of the inner-recruitment rate for Assistant-professors & professors/Researchers)





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

	Open	Transparent	Merit-based	Answer: Yes, partially / Yes substantially / Yes / Yes, completely / No	Suggested indicators (or form of measurement)
10. Do we have means to monitor whether the most suitable researchers apply?				Yes	Digitized recruitment process
<b>Advertising and application phase</b>					
11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?	x	x		Yes, completely	
12. Do we include in the job advertisement references/links to all the elements foreseen in the relevant section of the toolkit? [see Chapter 4.4.1 a)]	x	x		Yes	
13. Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience?	x	x		Yes, completely	- The share of job adverts posted on EURAXESS; - Trend in the share of applicants recruited from outside the institution/abroad
14. Do we make use of other job advertising tools?	x			Yes, completely	



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

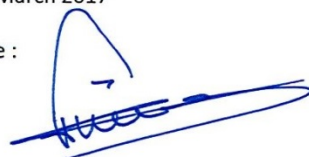
	Open	Transparent	Merit-based	Answer: Yes, partially / Yes substantially / Yes / Yes, completely / No	Suggested indicators (or form of measurement)
15. Do we keep the administrative burden to a minimum for the candidate? [see Chapter 4.4.1 b)]	X			Yes	Complete digitization of recruitment procedure is foreseen for 2018, including for ITRF civil servants ranking exams.
<b>Selection and evaluation phase</b>					
16. Do we have clear rules governing the appointment of selection committees? [see Chapter 4.4.2 a)]		x	x	Yes, completely	Statistics on the composition of selection panels
17. Do we have clear rules concerning the composition of selection committees?		x	x	Yes, completely	Written guidelines
18. Are the committees sufficiently gender-balanced?		x	x	Yes	
19. Do we have clear guidelines for selection committees which help to judge 'merit' in a way that leads to the best candidate being selected?			x	Yes, substantially	Written guidelines (with room for improvement for non-permanent employee recruitment)

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

Appointment phase					
20. Do we inform all applicants at the end of the selection process?		x		Yes, completely	
21. Do we provide adequate feedback to interviewees?		x		Yes, completely	
22. Do we have an appropriate complaints mechanism in place?		x		Yes, completely	Statistics on complaints
Overall assessment					
23. Do we have a system in place to assess whether OTM-R delivers on its objectives?	x	x	x	Yes	Annual self-assessment of OTM-R process by HR department (Q1/year)

Date : 6 March 2017

Signature :



First Name / Last Name: Charles PINERO

Title : Human Resources Director



### Attachment 5 – Steering Committee Composition

#### 1. Strategic group (3 meeting per year – initiates implementation)

- Bruno Fabre, Vice-president of the Board of Administration
- Jacques Mercier, Vice-president in charge of Research (HRS4R Executive Manager)
- Jean-Patrick Respaut, Vice-president in charge of Education and Academic Life
- François Pierrot, Vice-president in charge of Value-generation and Industrial Partnerships
- François Henn, Vice-president in charge of International Relations
- Agnès Fichard-Caroll, Vice-president in charge of the University's Social Responsibility
- Muriel Guedj, Vice-president in charge of Scientific Culture Dissemination and Valorization of Historical Heritage
- Romain Jacquet, Executive Director of Administration
- Philippe Lashermes, Deputy Executive Director of Administration in charge of Human Resources, Budget affairs, Research and Partnerships
- Sébastien Pons, Deputy Executive Director of Administration in charge of Strategy Analysis and Change Management
- Anne Bancel, Director of Research and Doctoral Studies department
- Céline Delacourt-Gollain, Director of International Relations department
- Gaëtan Lan Sun Luk, Director of Innovation and Partnerships department
- Morgane Leroux, Director of Steering department
- Charles Pinero, Director of Human Resources department
- Nathalie Modjeska, HRS4R project manager

#### 2. Operational group (meets quarterly – carries out and follows up on the achievement of HRS4R actions – reports to Executive Manager via the project manager)

- Human Resources department: Charles PINERO
- Innovation and Partnerships department Gaëtan LAN SUN LUK
- Research and Doctoral Studies department: Anne BANCEL or representative
- Steering department: Morgane LEROUX
- International Relations department: Céline DELACOURT-GOLLAIN
- Campus Life department: Michèle BARBUSSE
- Digital and Information System department: Claude BAGNOL
- Studies and Teaching department: Christine BORIES
- General and Institutional Affairs department: Bénédicte LUPORSI
- Property Management department: Monique LAMBERT-SEBASTIANI
- University office for Occupational Medicine and Psycho-social Risks: Pierre DUJOLS
- Communication office: Anne DELESTRE
- Project manager: Nathalie MODJESKA

Staff designated as HRS4R referents per department who contributed to the production of the mid-term HRS4R review:

- |                            |                           |
|----------------------------|---------------------------|
| ○ Anne BANCEL, DRED        | ○ Gilles HERISSON, DIPA   |
| ○ Michèle BARBUSSE, DVC    | ○ Nadia LAGARDE, DRI      |
| ○ Monique BENEZECH, SCMPPS | ○ Morgane LEROUX, DPIL    |
| ○ Christine BORIES, DFE    | ○ Bénédicte LUPORSI, DAGI |
| ○ Adeline FABRIE, DSIN     | ○ Charles PINERO, DRH     |
| ○ Cécile FLORANT, DPI      | ○ Philippe RAYMOND, SCOM  |
| ○ Frédérique GERBOUIN, DRH |                           |



### Attachment 6 – HRS4R survey of UM scientific community

In line with the action relating to the mid-term self-assessment (Action E1), the university fulfilled its commitment to survey the scientific community on the principles of C&C via a questionnaire.

#### Survey specifications

An anonymously-treated questionnaire was launched (via Sphinx application) on 4 November 2016, followed up with 2 reminders - on 14 and 21 November, to UM staff categories: UM staff from research units (including all types of researchers from R1 to R4<sup>5</sup>), Doctoral schools, personnel of the research area in the main administration departments – DRED, DIPA, DRI, DCSPH.

The questionnaire was comprised of 40 questions (1 per C&C principle). For each principle, the surveyed staff was invited to indicate their opinion on 2 aspects:

- The **importance of the principle for their career**;
- Their **estimation of the degree of implementation of the principle at UM**.

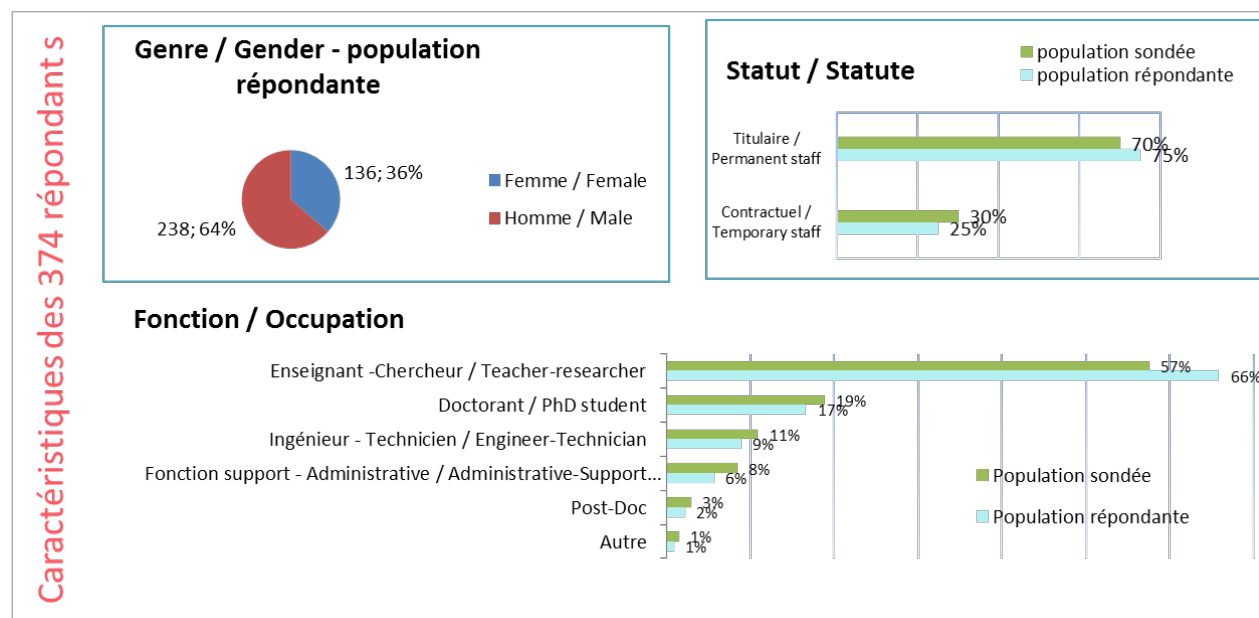
The response range included 5 levels: 1-Not at all; 2-Rather not; 3-It depends; 4-Rather yes; 5-Absolutely.

At the end of the questionnaire, staff who wished to do so could insert a free commentary.

This survey was subjected to a declaration to the CNIL (Commission Nationale Informatique et Libertés/*French National Commission for Data Protection and Liberties*) in compliance with France's current ethic rules (Declaration No: 2002911 v 0 of 28 October 2016).

#### Results analysis

The surveyed population was comprised of 3,114 staff members. 888 staff responded (representing 28.5%), of which 374 answered all questions (12%). Respondents' main characteristics are as follow: 55% male, 57% professor/researchers, 70% permanent staff (civil servants).



<sup>5</sup> EC researchers classification based on their experience level:

- Under 4 year of research experience = **R1-Early Stage Researcher** (PhD student)
- From 4 years of research experience = **Experienced Researcher**, with **R2-Acknowledged Researcher** (post-doc), **R3- Established Researcher** (having acquired a level of independence in his/her research domain), and **R4-Advanced Researcher** (leader in his/her research domain).

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

The result analysis presented below is based on the **374 respondents**.

- On the question relating to the “**importance of the principle for their career**”, responding staff have estimated that C&C principles are important by **78%** (unweighted average score).

5 principles are estimated as being **most important**:

- Principle 3 – *Professional responsibility* (93%)
- Principle 10 – *Non-discrimination* (89%)
- Principle 2 – *Ethical principles* (89%)
- Principle 26 – *Funding and salaries* (88%)
- Principle 38 – *Continuing professional development* (88%)

5 principles are estimated as being **less important**:

- Principle 21 – *Postdoctoral appointments (Code)* (66%)
- Principle 30 – *Access to career advice* (67%)
- Principle 34 – *Complaints/appeals* (67%)
- Principle 11 – *Evaluation/appraisal systems* (69%)
- Principle 40 – *Supervision* (70%)

- On the question relating to the “**degree of implementation at UM**”, responding staff estimated that C&C principles are implemented at UM at **55%** (unweighted average score).

5 principles are estimated as **most implemented**:

- Principle 10 – *Non-discrimination* (80%)
- Principle 3 – *Professional responsibility* (77%)
- Principle 2 – *Ethical principles* (76%)
- Principle 1 – *Research freedom* (68%)
- Principle 5 – *Legal and contractual obligations* (67%)

5 principles are estimated as being **less implemented**:

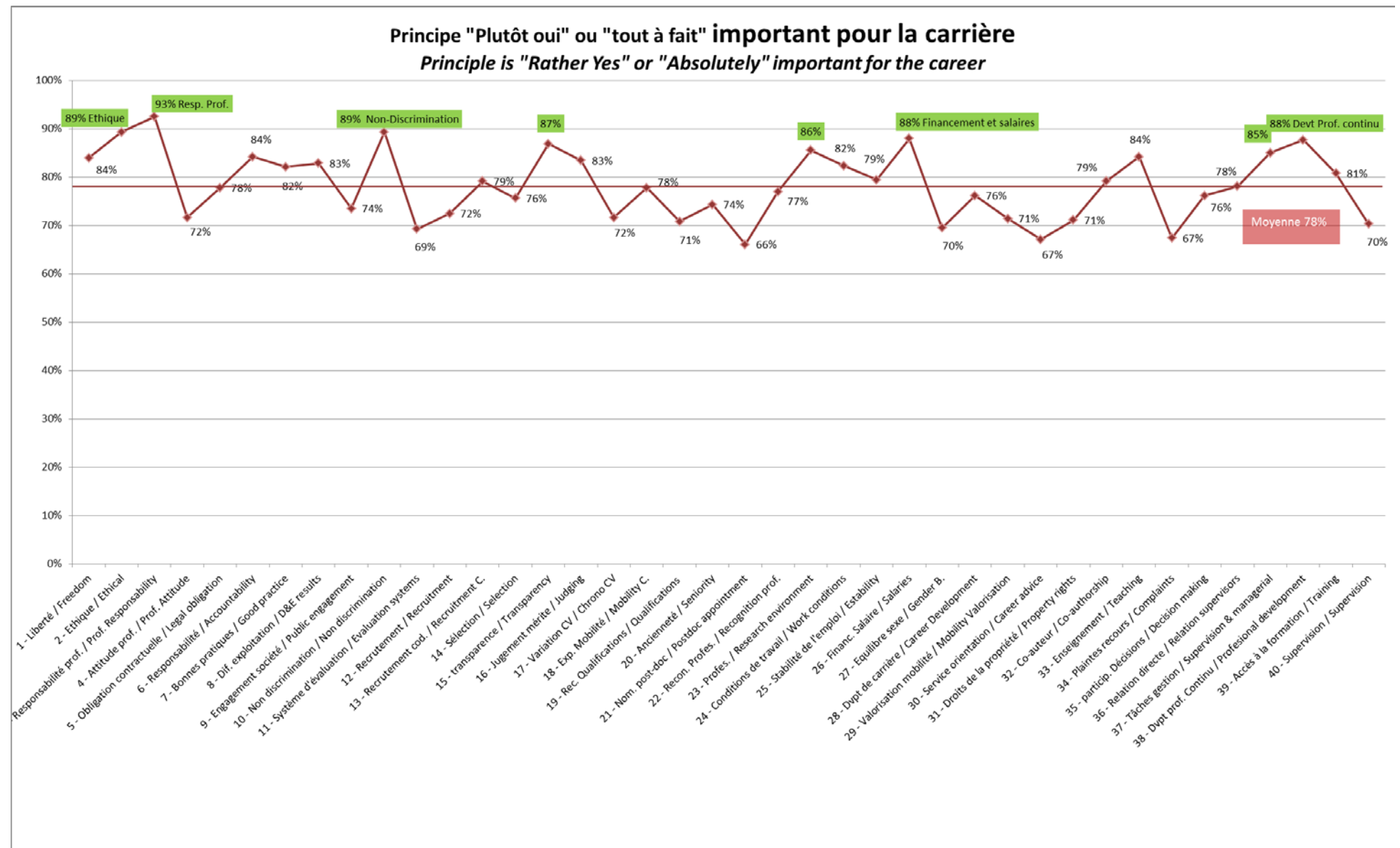
- Principle 30 – *Access to career advice* (37%)
- Principle 33 – *Teaching* (40%)
- Principle 28 – *Career development* (41%)
- Principle 11 – *Evaluation/appraisal systems* (41%)
- Principle 12 – *Recruitment* (42%)

The **3 principles** estimated as being **most important** by the responding staff **correspond** to the 3 principles estimated as being **most implemented** at UM.

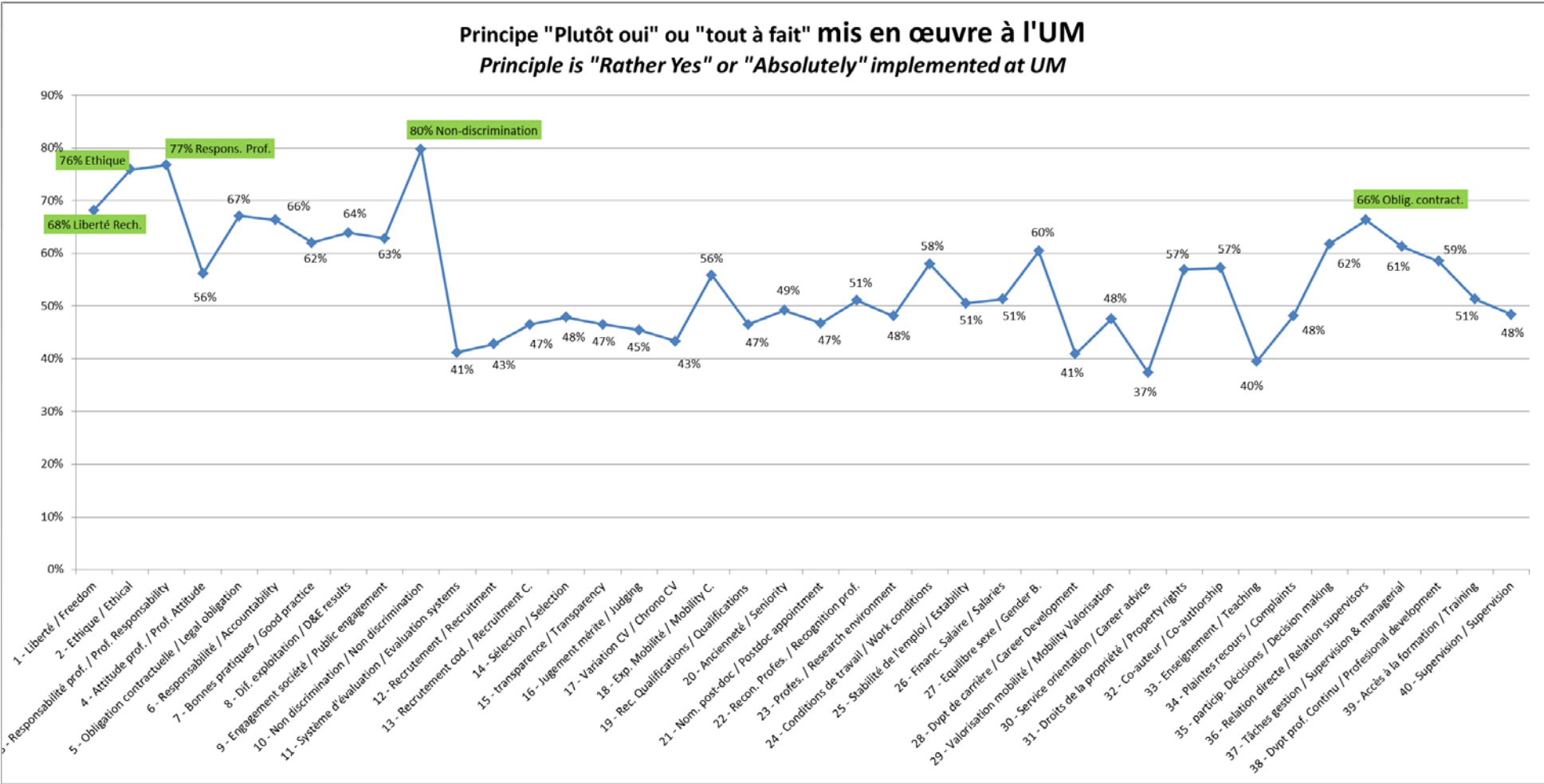
This result is an illustration of the institution’s progress in its alignment with the principles that the scientific community estimated to be most primary.



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

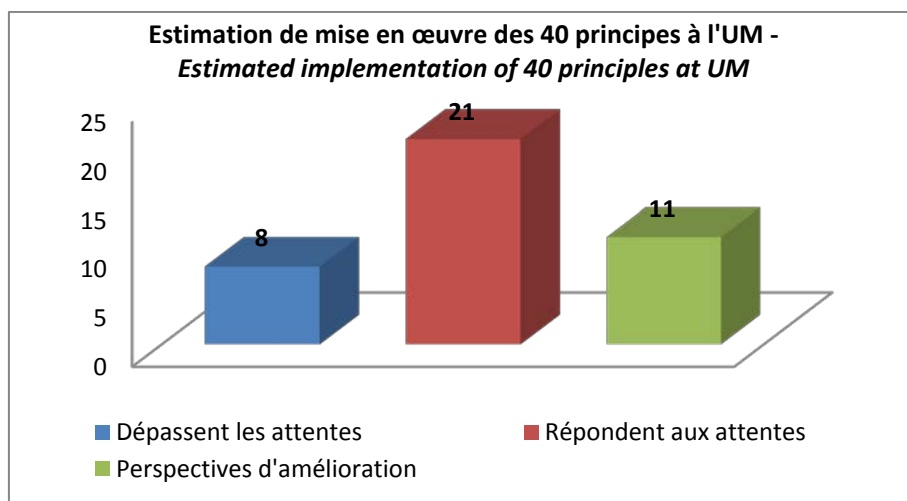


DOCUMENT 3: INTERNAL REVIEW (Self-assessment)



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

The cross-comparison between both “Importance” and “Implementation” graphs reveals that **29/40 principles** of the Charter and Code (72,5%) reach a score that meets or goes beyond the research community expectations:



- The **implementation** of C&C principles by the university **exceeds researchers' expectations** for **8 principles**:
  - Principle 1 – Research freedom;
  - Principle 4 – Professional Attitude;
  - Principle 5 – Legal and contractual obligations;
  - Principle 6 – Accountability;
  - Principle 9 – Public engagement;
  - Principle 27 – Gender balance;
  - Principle 31 – Intellectual property rights;
  - Principle 36 – Relation with supervisors.
- The **implementation of C&C principles** by the university **meets researchers' expectations** for **21 principles**:
  - Principle 2 – Ethical principles;
  - Principle 3 – Professional responsibility;
  - Principle 10 – Non-discrimination;
  - Principle 7 – Good practice in research;
  - Principle 8 – Dissemination, exploitation of results;
  - Principle 18 – Recognition of mobility experience;
  - Principle 22 – Recognition of the profession;
  - Principle 24 – Working conditions;
  - Principle 32 – Co-authorship;
  - Principle 35 – Participation in decision-making bodies;
  - Principle 39 – Access to research training and continuous development;
  - Principle 11 – Evaluation/appraisal systems;
  - Principle 12 – Recruitment;
  - Principle 17 – Variations in the chronological order of CVs;
  - Principle 19 – Recognition of the profession;
  - Principle 20 – Seniority;
  - Principle 21 – Postdoctoral appointments;
  - Principle 29 – Value of mobility;
  - Principle 30 – Access to career advice;
  - Principle 34 – Complaints/appeals;
  - Principle 40 – Supervision.

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

For **11 principles** (27.5%), results on implementation by the university present avenues for improvement with regards to researchers' expectations:

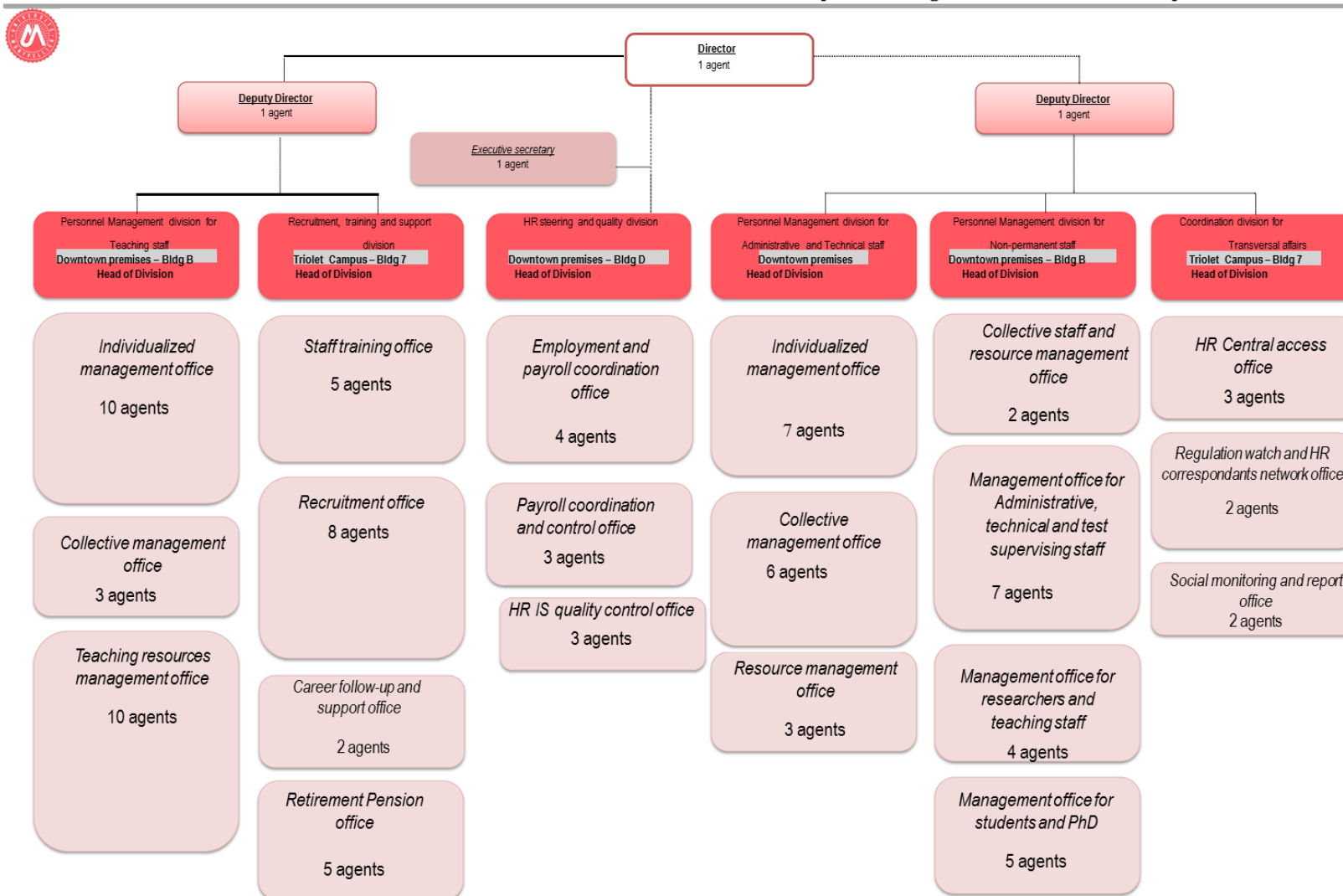
- *Principle 13 – Recruitment (Code);*
- *Principle 15 – Transparency;*
- *Principle 16 – Judging merit;*
- *Principle 23 – Research environment;*
- *Principle 25 – Stability and permanence of employment;*
- *Principle 26 – Funding and salaries;*
- *Principle 28 – Career development;*
- *Principle 33 – Teaching;*
- *Principle 37 – Supervision and managerial duties;*
- *Principle 38 – Continuing professional development;*
- *Principle 39 – Access to research training and continuous development.*

These elements were taken into account while drafting the action plan update and contributed to the addition of 6 new actions:

- Action II-13.4 addresses principles 13, 15 and 16;
- Action III-23 addresses principles 23 and 26;
- Action III-26.1 addresses principle 26;
- Action III-26.2 addresses principle 26;
- Action III-33.2 addresses principle 33;
- Action IV-39 addresses principles 38 and 39.

## Attachment 7 – Human Resources department organizational chart

HR Department Organizational chart as of 1 September 2016



**Attachment 8 – Table of UM external presentations on HRS4R**

Date	Event	Organized by	Location	Participation	Speaker
31 March 2015	Web conference	MENESR, CPU and AMUE	FR	Presentation on <b>“HR Excellence in Research” award Granting process</b> - Presentation on UM’s award granting approach	N. MODJESKA
05 April 2015	Presentation on UM’s award granting process	CPU	Paris, FR	Presentation on <b>“UM’s HRS4R (Human Resources strategy for Research) award granting process”</b>	Philippe AUGÉ
28 August 2015	2e Symposium of the French Network for Research Directors of higher education and research institutions (Réseau des Responsables Recherche, R3-Sup)	R3Sup	Université de Toulouse 1 Capitole, Toulouse, FR	Presentation on <b>“UM’s HRS4R (Human Resources strategy for Research) award granting process”</b>	N. MODJESKA
11 May 2015	Conference on “Fostering attractive research careers – the role of the EU Human Resources Strategy for Researchers”	DG Research, CE ; Eurotech Universities ; European Regions Research and Innovation Network (ERRIN)	Catalonia Delegation to the EU, Brussels, Belgium	Presentation on <b>“Implementing the HR strategy for Research (HRS4R) - The Université de Montpellier experience”</b>	N. MODJESKA
29 October 2015	Info day HRS4R “How to comply with article 32 of the H2020 Grant Agreement”	DG Research, CE	DG Research, Bruxelles, Belgique	Discussion panel	N. MODJESKA
28 January 2016	HRS4R Mutual Learning Workshop “Attracting skilled researchers through a strengthened Human Resources strategy (HRS4R)”	DG Research, CE	DG Research, Brussels, Belgium	Steering of a workshop on <b>“Training of researchers to support the planning of attractive careers”</b>	N. MODJESKA
08 March 2016	Staff Mobility - Mobility of the Mind, How to develop a sustainable HR strategy?	Forum Flanders Knowledge Area	Brussels, Belgium	Presentation on <b>“Implementing the HR strategy for Research (HRS4R) - The Université de Montpellier experience”</b>	N. MODJESKA
12 May 2016	HRS4R Information Event	Ecole Centrale Lyon	Lyon, France	Presentation on <b>“The HRS4R (Human Resources Strategy for Research) process at University of Montpellier”</b>	N. MODJESKA
24 January 2017	Regional Workshop HRS4R “How to best attract talented researchers”	DG Research & Innovation, Czech and Slovak Ministries of Higher education	Central European Institute of Technology, Masaryk University, Brno, Czech Republic	Presentation on <b>“Tips and tricks to run a successful HRS4R award granting approach”</b> and steering of 'HANDS-ON' session ‘How to fill a gap-analysis? How to establish an action plan?’ workshop.	N. MODJESKA

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

### Attachment 9 – HRS4R updated action plan for 2017-2019

UM HRS4R strategy: Updated action plan (2017-2019)															
Reminder on actions color-coding (2nd column): white = initial action plan; green = not-initially planned achieved action; blue = addition to action plan 2017-2019															
<div>Initiation</div> <div>Implementation</div> <div>Deliverable</div> <div>Extension</div>			Status (A: Achieved; OG: On Going; TBA: To Be Achieved)	2017				2018				2019			
				Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Actions relative to part I - Ethical and Professional Aspects (items 1 to 11)															
I-2.1	Extend the use of Internal rules and regulations to all Research Units and offer assistance in writing them for further harmonization	TBA													
I-2.2	Extend the use of Thesis Assessment Committees to all Doctoral schools	A/TBA													
I-2.3	Suggest the creation of an Ethical Committee for consultation	A/OG													
I-3.1	Encourage doctoral students to adopt this attitude (production of a guidebook, with Charter and Code as annexes, is programmed, including an English version)	OG													
I-3.2	Increase researchers' awareness with regards to plagiarism and self-plagiarism (convey this message early as part of curriculum)	A/TBA													
I-5.1	Increase researchers' awareness for the interest of sharing IP and patent information with the Contract/Value generation office of the Innovation and Partnerships department	A/OG													
I-5.2	Develop an Information System for saving and sharing IP data	OG/TBA/A													
I-6.2	Continue efforts undertaken to secure the financial management of funding for research	A/OG													
I-8.1	Via a memorandum, remind researchers of their obligations (respect rules and ethical principles, obligation to train, to supervise, results dissemination, security, IP protection)	A/OG													
I-10.1	Offer an English-language version of some administrative documents and forms	OG/A													
I-10.2	Create a reference list of university staff with language skills	A/OG/TB A													
I-11	Make course evaluation systematic	A/TBA													

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

### UM HRS4R strategy: Updated action plan (2017-2019)

Reminder on actions color-coding (2nd column): white = initial action plan; green = not-initially planned achieved action; blue = addition to action plan 2017-2019

<div>Initiation</div> <div>Implementation</div> <div>Deliverable</div> <div>Extension</div>			Status (A: Achieved; OG: On Going; TBA: To Be Achieved)	2017				2018				2019				
				Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
Actions relative to part II – Recruitment (items 12 to 21)																
II-12	Establish specific guidelines for the recruitment of non-permanent researchers (i.e., post-docs)	A/TBA														
II-13.1	Refer to the Charter and Code in the Vade-Mecum for recruitment at UM	OG														
II-13.4	Include the OTM-R check list into the institution’s HR guidelines to ensure Open, Transparent, Merit-based recruitments	TBA														
II-16	Write a guideline document to emphasize the need, when dealing with recruitment, bonus, and promotion of staff, to take into account all of the researchers’ missions (management of teams, projects, research units; sectorial and geographical mobility; acting as supervisor and/or mentor; teaching)	A/OG														
Actions relative to part III – Working conditions and social security (items 22 to 35)																
III-23.2	Deployment of digital tools seeking to improve transfer, sharing and storage of data	A/OG/TB A														
III-23.3	Attractive package for high-potential post-docs and recognized researchers (MUSE project)	TBA														
III-24	Further develop the support system that has been implemented for students and staff (including disabled ones)	A/TBA														
III-26.1	Introduction of tenure-track positions for high-potential young assistant professors/researchers (MUSE project)	TBA														
III-26.2	Granting of 2 annual awards: “Inspiring Educator” and “Leading Innovator” awards (MUSE project)	TBA														
III-31	Guidebook on IP good practice to be produced	OG														
III-32.2	Introduction of a “Researcher-Professor” status to acknowledge the contribution to training of national Research Organizations’ research staff	TBA														
Actions relative to part IV – Training (items 36 to 40)																
IV-39	Digitizing training modules via open data, open access, MOOCs, SPOCs (MUSE project)	TBA														
IV-40	Reinforce administrative means for doctoral schools	A/OG														
Assessment actions																
E2	External assessment at +5 years	TBA														