

HUMAN RESOURCES EUROPEAN STRATEGY FOR RESEARCHERS

HRS4R

Implementation of the principles of the European Charter
for Researchers and the Code of Conduct for the
Recruitment of Researchers

10/11/2018

Human Resources Strategy and Action Plan of Université Clermont Auvergne

Table of Contents

1. Presentation of Université Clermont Auvergne (UCA)	page 3
1.1. Key figures	page 3
1.2. Organisation of the UCA	page 5
2. The HRS4R process at the UCA	page 6
2.1. Method	page 7
2.2. Results of the internal analysis	page 7
2.3. Steering committee	page 8
2.4. Description of the results of the internal analysis	page 9
2.4.1. Strengths	page 9
2.4.2. Improvement prospects	page 11
3. HR strategy - Action plan	page 16
Contacts	page 19
Annex	page 20

1. Presentation of Université Clermont Auvergne (UCA)

The creation of Université Clermont-Auvergne, on 1 January 2017, is the result of a process of convergence between the two former universities of Clermont (Université Auvergne and Université Blaise-Pascal), which was built around a strategic project validated in July 2014 by the entire university community. This project aims to develop the Clermont Auvergne higher education and research site, in order to increase the quality of the services provided to users and to society, to strengthen its reputation and its attractiveness at different levels (regional, national, international) and to contribute even more clearly to the cultural, social and economic development of the region of which it is a stakeholder. The creation of a single university, responsible for the territorial coordination of all the actors of higher education and research, aims to ensure that Université Clermont Auvergne is a driving force of the Auvergne-Rhône-Alpes region. Harnessing all the fields of knowledge, Université Clermont Auvergne intends to implement an innovative policy in terms of initial and continuous training, research and the professional integration of its students while also playing a major role within the local community and on the international stage.

The “CAP 20-25” project submitted by Université Clermont Auvergne, for the entire site was selected by the international jury of the Investments for the Future Programme (PIA) in February 2017. Deployment of this project should enable the university site to reach a new milestone in its structuring in order to increase its national and international visibility and strengthen the interplay between the different disciplinary fields, different types of training and different actors involved in the development of higher education and research (university, schools, research agencies, health care institutions, businesses, local authorities). The I-SITE award (engineering and smart mobility, earth sciences, international development, agronomy and environment, health-mobility) consolidates the strategic positioning that is essential for Université Clermont Auvergne, which aims to promote the consolidation of all the territorial higher education and research actors in order to make the Clermont Auvergne site a large international training and research centre.

The UCA, the target establishment of the ISITE, is however even larger than the focuses of the CAP 2025 project. It is a multidisciplinary university ranked by the largest bodies of international rankings (Shanghai, THE, etc.).

1.1. Key figures

Université Clermont Auvergne comprises:

- Around 35,000 students of whom 1,046 are doctoral students
- 3,500 foreign students including 500 as part of inter-university partnerships and 150 jointly supervised theses
- 3,320 permanent staff, including 1,281 tenured researchers and lecturer-researchers and 1937 technical and administrative staff including 3,204 staff (all statuses combined) in the 38 research laboratories in partnership with many institutions and organisations (CNRS, INSERM, INRA, IRD, VetAgroSup, IRSTEA, etc.) and 3 federative structures

- 5 collegiums which group the scientific and teaching units around an identified and clear disciplinary spectrum of five Doctoral Schools which covers the areas of Law-Economics-Management, Life Sciences-Health-Environment, Literature-Languages-Social Sciences and Humanities, Technology-Sciences for Engineers and Fundamental Sciences
- 20 components: 3 faculties, 7 training and research units, 2 technical training institutes, 4 schools, 1 observatory, 1 PolyTech institute, 1 teacher training college and 1 IT Institute
- More than 170 courses including 17 DUTs, 2 DEUSTs, 1 PACES (first common year for health studies), 3 paramedical training courses, 3 preparatory cycles, 27 bachelor's degree courses, 51 vocational bachelor's degrees, 7 engineering degree, 1 law initiation and 81 master's degrees
- Estimated budget of €300m
- Premises covering 350,000 m²
- 550 partnership agreements in Europe and worldwide

1.2. Organisation of the UCA

FONDATION

Secrétaire Général
Bertrand VALIORGUE - 17 78 09
Directeur
Mylam ESQUIROL - 40 75 88
Responsable administrative
Christel MOSER - 17 72 65

SERVICE SANTÉ AU TRAVAIL

Docteur Marie-Déline RATINAUD - 40 70 22

CABINET

Céline NEBOUT - 40 61 80

AGENCE COMPTABLE

Isabelle PERIN - 40 63 07

MISSION AUDIT

Eliane OHABROT - 17 72 52

Université Clermont Auvergne

Président
Mathias BERNARD

EQUIPE DE GOUVERNANCE

5 Membres statutaires
4 Vice-présidents fonctionnels
11 Vice-présidents délégués
4 Chargés de mission

ADMINISTRATION

Directeur général des services
François PAQUIS - 17 72 73

Directrice générale adjointe chargée de la Coordination des moyens
Emmanuelle BABSKY
40 61 82

Directeur général adjoint en charge de l'Innovation et du Numérique
Laurent BERENGUIER
17 72 09

Directrice générale adjointe en charge de l'Animation de la communauté administrative
Isabelle RHIT
17 72 15

SERVICES

DIRECTION DES AFFAIRES FINANCIÈRES
Jérôme NORMAND - 17 72 45

DIRECTION DES AFFAIRES GÉNÉRALES
Christine CHEVALLIER - 17 72 77

DIRECTION DES AFFAIRES JURIDIQUES ET INSTITUTIONNELLES
Adélaïde REYES - 40 64 66

DIRECTION DE LA FORMATION
Sébastien BOYER - 17 72 24

DIRECTION DE L'IMMOBILIER ET DE LA LOGISTIQUE
Jannick PROUX - 40 63 21

DIRECTION DE LA RECHERCHE ET DE LA VALORISATION
Aurélié GROSOLAUDE - 40 52 37

DIRECTION DES RELATIONS INTERNATIONALES
Stéphanie LAMAISON - 40 63 18

DIRECTION DES RESSOURCES HUMAINES
Frédéric MARRE - 40 63 21

DIRECTION DES SYSTÈMES D'INFORMATIONS
Laurent LEMOINE - 40 63 87

DIRECTION DE LA VIE UNIVERSITAIRE
Laurent MOURET - 40 63 19

DIRECTION DES ACHATS
Nathalie OHANTILLON - 17 84 80

SERVICE D'APPUI AU PILOTAGE ET CONTRÔLE DE GESTION
Océle MATHIEU - 17 72 62

SERVICE COMMUNICATION
Laurent DJIAN - 17 72 74

SERVICE PRÉVENTION, HYGIÈNE ET SÉCURITÉ
Nicolas BIESSE - 40 54 21

SERVICES UCA & ASSOCIÉS

SERVICE DE SANTÉ UNIVERSITAIRE - SSU
Laurent GERBAUD

BIBLIOTHÈQUE UNIVERSITAIRE CLERMONT AUVERGNE - BU
Fabrice BOYER
04 73 40 62 00

SERVICE UNIVERSITAIRE ACTIVITÉS PHYSIQUES ET SPORTIVES - SUAPS
Marc DUPONT
04 73 29 32 02

SERVICE UNIVERSITÉ CULTURE - SUIC
Evelyne DUOROT
04 73 34 66 02

SERVICE UNIVERSITÉ HANDICAP - SUH
04 73 40 55 07

LABORATOIRES

COLLEGIUM DROIT, ÉCONOMIE, GESTION

- Centre de Recherche Clermontois en Gestion et Management (CRCEM)
- Centre d'Études et de Recherches sur le Développement International (CERDI)
- Centre Michel de l'Hospital (CMH)
- ÉCOLE D'ÉCONOMIE
Samuel GUERINEAU - 17 74 52
RA : Hassen BAHLOUL - 17 74 61
- ÉCOLE DE DROIT
Christine BERNARD - 17 76 02
RA: Claire-Marie BRINGUIER - 17 76 06
- ÉCOLE UNIVERSITAIRE DE MANAGEMENT - IAE AUVERGNE
Damien TALBOT - 17 77 20
RA: Olivier GRANGE - 17 78 02

COLLEGIUM SCIENCES DE LA VIE, SANTÉ, ENVIRONNEMENT

- Automédication Conciliation Pharmaceutique Patient (ACePP)
- Centre de Recherche en Odontologie Clinique (CROC)
- Génétiq Reproduction et Développement (GRD)
- Imagerie Moléculaire et Stratégies Théranostiques (IMST)
- Laboratoire de Physique et Physiologie Intégratives de l'Air en environnement Fluctuant (PIAF)
- Laboratoire de Psychologie Sociale et Cognitive (LAPSCO)
- Laboratoire Microorganismes - Génome Environnement (LMGE)
- Laboratoires des Adaptations Métaboliques à l'Exercice en conditions Physiologiques et Pathologiques (AMEP)
- Laboratoire de Génétique, Diversité, Ecophysiologie des Céréales (GDEC)
- Microbes Intestin Inflammation et Susceptibilité de l'Hôte (MISH)
- Microbiologie Environnement Digestif Santé (MEDIS)
- NEURO-DOL (NEURO-DOL)
- Neuro-Psycho-pharmacologie des systèmes dopaminergiques sous-corticaux (NPsy-Sys)
- Role of Intra-Distal Heterogeneity and Leukemic environment in Therapy Resistance of chronic leukemias (CHELTER)
- Unité de Nutrition Humaine (UNH)
- Unité Mixte de Recherche sur le Fromage (UMRF)
- UFR DE BIOLOGIE
Jean-Louis JULIEN - 40 77 24
RA: Sophie FOURNIER - 40 70 05
- UFR DE MÉDECINE ET DES PROFESSIONS PARAMÉDICALES
Pierre CLAVELDU - 17 79 01
RA: Gaëlle ROBERT - 17 79 05
- UFR DE PHARMACIE
Brigitte VENNAT - 17 79 02
RA: Gaëlle ROBERT - 17 79 05
- UFR D'ODONTOLOGIE
Stéphanie TUBERT - 17 72 04
RA: Lionel MASTRAS - 17 73 10

COLLEGIUM SCIENCES FONDAMENTALES

- Centre d'Histoire «Espaces et Cultures» (CHEC)
- Centre de Recherches sur les Littératures et la Sociopoétique (CCLIS)
- Espaces Humains et Interactions Culturelles. Groupes, Citoyennetés, Empires, Identités, politiques (EHIIC)
- Institut d'Histoire des Représentations dans les Modernités - Equipe Centre d'Études sur les Réformes, l'Humanisme et l'Âge Classique (IHRIH)
- Laboratoire Activité Connaissance Transmission Education (ACTE)
- Laboratoire Communication et Sociétés (COMSOS)
- Laboratoire de Géographie Physique et Environnementale (GEOGAP)
- Laboratoire de Psychologie Sociale et Cognitive (LAPSCO)
- Laboratoire de Recherche sur le Langage (LRL)
- Laboratoire Philosophies et Rationalités (PHIER)
- Maison des Sciences de l'Homme (MSH)
- Territoires (UMRA 1274)
- ÉCOLE DE L'OBSERVATOIRE DE PHYSIQUE DU GLOBE DE CLERMONT-FERRAND - OPGC
Nathalie HURET - 40 73 81
RA: Pascal BEYRIE - 40 54 08
- UFR DE CHIMIE
Mohamed SARAKHA - 40 71 70
RA: Sophie FOURNIER - 40 70 05
- UFR DE MATHÉMATIQUES
Laurent CHUPIN - 40 70 54
RA: Sophie FOURNIER - 40 70 05
- ÉCOLE UNIVERSITAIRE DE PHYSIQUE ET D'INGÉNÉRIE - EUPI
Laurent TRASSOUDAIN - 40 78 10
RA: Sophie FOURNIER - 40 70 05

COMPOSANTES

COLLEGIUM LETTRES, LANGUES, SCIENCES HUMAINES ET SOCIALES

- Centre d'Histoire «Espaces et Cultures» (CHEC)
- Centre de Recherches sur les Littératures et la Sociopoétique (CCLIS)
- Espaces Humains et Interactions Culturelles. Groupes, Citoyennetés, Empires, Identités, politiques (EHIIC)
- Institut d'Histoire des Représentations dans les Modernités - Equipe Centre d'Études sur les Réformes, l'Humanisme et l'Âge Classique (IHRIH)
- Laboratoire Activité Connaissance Transmission Education (ACTE)
- Laboratoire Communication et Sociétés (COMSOS)
- Laboratoire de Géographie Physique et Environnementale (GEOGAP)
- Laboratoire de Psychologie Sociale et Cognitive (LAPSCO)
- Laboratoire de Recherche sur le Langage (LRL)
- Laboratoire Philosophies et Rationalités (PHIER)
- Maison des Sciences de l'Homme (MSH)
- Territoires (UMRA 1274)
- ÉCOLE SUPÉRIEURE DU PROFESSORAT ET DE L'ÉDUCATION
Ludovic MORGE - 04 73 31 72 78
RA: Michèle MERGAULT - 04 73 31 71 85
- UFR LANGUES, CULTURES ET COMMUNICATION
Patrick DEL DUCA - 40 63 47
RA: Martine ESTEL - 40 64 23
- UFR LETTRES, CULTURE ET SCIENCES HUMAINES
Stéphane GOMIS - 34 65 01
RA: Marc BLONDEAU - 34 65 03
- UFR PSYCHOLOGIE, SCIENCES SOCIALES ET SCIENCES DE L'ÉDUCATION
Marie IZAÛTE - 40 64 60
RA: Séverine AUZARY-PEYRTON - 40 64 64
- UFR SCIENCES ET TECHNIQUES DES ACTIVITÉS PHYSIQUES ET SPORTIVES
Nasser HAMMACHE - 40 75 36
RA: Alain MONDELET - 40 75 40

COLLEGIUM TECHNOLOGIE, SCIENCES POUR L'INGÉNIEUR

- Institut Pascal (IP)
- Laboratoire d'Informatique, de Modélisation et d'Optimisation des Systèmes (LIMOS)
- IUT D'ALLIER
Océle OHARASSE - 04 70 02 20 01
RA: Renaud MORAND - 04 70 02 20 04
- IUT DE CLERMONT-FERRAND
Nicolas MAINETTI - 17 70 10
RA: Gilles MOUNET - 17 70 07
- POLYTECH CLERMONT-FERRAND
Christian LARROCHE - 40 74 19
RA: Brigitte LAGOGE

2. The HRS4R process at Université Clermont Auvergne

The European Human Resources Strategy for Researchers, also called HRS4R was launched by the European Commission in 2008. It aims to improve the practices of organisations and institutions working in the research field in relation to recruitment and the working conditions of researchers. The European Commission grants an “HR Excellence in Research” award to institutions which adopt this process. The latter makes institutions more attractive as well as helping to secure funding until 2020. This HRS4R strategy is based on the principles of the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers adopted by the European Commission on 11 March 2005.

The European Charter for Researchers is a set of general principles and requirements that relate to the role, responsibilities and duties of researchers and their employers or funding organisations. It aims to ensure that the relations between the different parties will contribute to success and performance, the transfer and sharing of data and the development of the researchers’ careers.

The Code of Conduct for the Recruitment of Researchers is a set of principles and requirements which are intended to improve recruitment, with fairer and more transparent selection procedures and it also provides various methods for assessing their worth.

The HRS4R strategy is therefore based on the principles of the Charter and the Code of Conduct which comprises 40 points whose main focuses are:

- Professional and ethical aspects;
- Recruitment;
- Working conditions and social security;
- Access to research training and continuous development.

Université Clermont Auvergne has included the European dimension in its teaching and research activities and the recruitment of its lecturer-researchers. The process for making an HRS4R award application is therefore a strategic objective for the UCA which aims to:

- Develop the policy of excellence of our University in the research field;
- Contribute to the international reputation of the University and its attractiveness;
- Participate in the construction of the European research area.

The active approach of the institution aimed at launching a process of converging its internal procedures with the provisions contained in the Charter and the Code is based on the tool made available by the European Commission: the Human Resources Strategy for Researchers - HRS4R, broken down into five stages:

1. Internal analysis of the institution’s current practices in relation to the forty points of the Charter and the Code of Recruitment of Researchers, involving the key research actors (gap analysis);
2. Publication on the institutional website of the action plan to be undertaken on the basis of the results of the self-analysis, setting out the objectives to be achieved and progress indicators;

3. Assessment and recognition of the human resources strategy by the European Commission, followed by the award of the HR Excellence in Research logo;
4. Implementation of the human resources strategy through the application of the action plan and internal self-assessment 2 years later;
5. External assessment 3 years later and renewal of the award.

2.1. Method

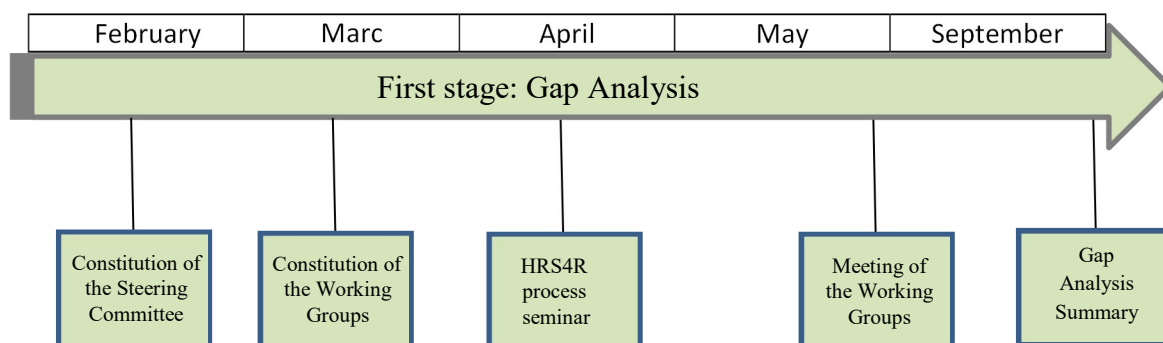
Work at Université Clermont Auvergne on the HRS4R began in February 2017. This application for the award is considered as the opportunity for the merged University to carry out a harmonisation of its practices in the fields of research and recruitment and in relation to the working conditions of the researchers. This work is also part of the development of the quality approach within the University, which in particular aims to improve the services provided by strengthening coherency in the human resources strategy for researchers of the institution. Finally, this process should allow us to develop and give visibility to our attractiveness within the European Research Area.

In this document, we show, step by step, the HRS4R process followed by our institution. We have worked as follows:

- First stage of the HRS4R process: Gap Analysis.
- Second stage: HR strategy and action plan.
- HR award application.

2.2. Internal analysis results: Gap Analysis

The process used to compare our internal analysis with those of the principles set out in the Charter and the Code is summarised in the diagram below:



To successfully carry out the process in favour of the award application, a presentation of the HRS4R process to political, administrative and scientific representatives aimed at setting up the Steering Committee was held in February 2017. On 24 March 2017 the Steering Committee was established. On 5 April 2017, the Steering Committee took part in a seminar on the HRS4R process.

2.3. The Steering Committee

The Steering Committee includes political, administrative and scientific representatives. It validates the working group's improvement proposals and constructs the institution's HRS4R strategy and action plan. In November 2017, the members were as follows:

Political representatives

Anne GARRAIT-BOURRIER: Vice-President International policy development

Pierre HENRARD: Vice-President Research and Academic Commission responsible for Research

Anne FOGLI: Vice-President HR, Ethics and Integrity

Vianney DEQUIEDT: Vice-President of the Select Academic Committee responsible for Collegiums

Agnès ROCHE: Vice-President Working conditions and Labour Environment

Oscar Komla AWITOR: Europe Officer, Coordinator

Representatives of the operational departments

Frédéric MARRE: Human Resources Department

Aurélie GROSCLAUDE: Research and Exploitation Department

Claire SORIANO: Research and Exploitation Department, Europe Unit

Stéphanie LAMAISON: International Relations Department

Samira RIAD: EURAXESS Auvergne Service Center Manager

Representatives of the researcher community

Patrice BEGIE: Doctoral student in Management Science (C.R.C.G.M)

Quentin RODRIGUEZ: Doctoral student in Philosophies et Rationalités (PHIER)

Cedric PEIRS: Researcher CRCN Inserm

Jean-Philippe LUIS: Lecturer-Researcher (LLSH)

Sylvie NORRE: Lecturer-Researcher (SPI)

Mohamed Ali BOUHIFD: Researcher (LMV)

Delphine AUCLAIR: Research engineer (LMV)

Radhouane Dallel, dentistry PU-PH

The Steering Committee was tasked with the following missions:

- Participate in the development of the internal analysis and decide on the actions put forward by the UCA in its action plan,
- Oversee implementation of the adopted action plan.

At the same time, the Steering Committee then set up working groups and inter-group sessions to work on the four main focuses, examine the feasibility of the proposed measures and estimate the time scales for their implementation. This work also aims to ensure that the various departments (HR, Research, DRI, DGS, etc.), and the researchers who are systematically represented move forward together.

2.4. Description of the results of the internal analysis

The working groups met on several occasions between 5 March and 13 June to analyse the various internal rules and procedures in the light of the principles of the Charter and the Code. The results of the work are recorded in the table below. The Steering Committee met on 22 September 2017 to analyse and adopt the results of the various working groups (see Gap Analysis document).

The internal analysis carried out by the Steering Committee identified some of the strong points of our human resources policy about which communication campaigns will be targeted as well as some improvement points which appear to need particularly urgent action.

2.4.1. Strengths

Université Clermont Auvergne has strengthened its identity and visibility, around its fundamental missions – multidisciplinary research, innovative training provision – but also general values that form a general framework for action and create a community: the affirmation of the social and environmental responsibility of a university, in phase with the societal issues on the one hand and the consolidation of governance and steering tools ensuring sustainable and harmonious development of all its activities at the national, European and international levels on the other.

UCA's internal assessment thus shows that a large part of the 40 points are already being implemented within the institution but that progress is at different stages. Since 2017 when the UCA was created, it has been involved in strengthening its human resources policy.

1. Professional and ethical aspects

- Ethics and Integrity Committee: the Ethics and Integrity Vice-President chairs this committee. A scientific integrity adviser and a research correspondent within the HRD have also been appointed.
- The Ethics Charter: the UCA has adopted the ethics charter for staff covering alert procedures and management of conflicts of interest in the event of a violation of scientific integrity.
- Scientific integrity training: training courses have been established to prevent violations of scientific integrity.
- Research good practices guide: a data protection officer been appointed to ensure good research practices are used.
- University ombudsman: UCA employees may call on the services of the ombudsman to resolve disputes and difficulties arising in the internal life of the institution.
- Decision-making bodies: the employees participate in decision-making bodies. The researchers have elected representatives on the Board of Directors, the Technical Committee, the Academic Committee and the H&S Committee.

2. Recruitment and training

- The doctoral students' teaching department: doctoral students benefit from flexible organisation of their teaching (192 hours maximum of equivalent directed classes, spread over 3 years). The teaching tasks are carried out on a voluntary basis and are included in the doctoral contract.
- Assistance for lecturer-researchers when taking up their posts: the research commission grants 1000 euros to each new lecturer-researcher (PR or MC) when joining the laboratory.
- Diffusion Cell of Technical and Industrial Scientific Culture: these two centres under the authority of the Research and Promotion Department (DRV) promote the dissemination of scientific and technical culture and information to the public and staff.
- Lecturer-researcher frame of reference: the UCA has a frame of reference and assignment rules for bonuses for educational responsibilities, as well as bonuses for administrative responsibilities.
- Theses charter: this has been designed for thesis supervisors (HDR holders) and post-doctoral researchers;
- Individual training pathway: this pathway is constructed year by year thanks to the DRV officer.
- International recruitment of lecturer-researchers: the international policy is a key element of attractiveness in particular through the strong impetus given to international recruitment. The UCA has established a tenure track system for the long-term recruitment of young talent. It is directed at doctoral students having completed their doctorate abroad.

3. Working conditions and social security

- Professional support: the implementation of a plan for limiting precarious employment, harnessing tools of anticipatory management of jobs and skills, the staff training strategy and the mobility and career development advisory service.
- Parity and professional equality: the UCA is a signatory of the charter for gender equality in higher education. A Gender Equality Steering Committee has been set up. There are equality advisers in each component of the UCA. The Steering Committee regularly proposes actions in favour of equality. A crèche is dedicated to UCA staff, aimed at allowing everyone to better reconcile family and professional life.
- Prevention, health and safety: a policy for the prevention of occupational risks and psycho-social risks (RPS) with regular staff monitoring by the occupational medical service and a single document on the assessment of occupational risks are produced; in the field of psycho-social risk prevention, there is a psycho-social risks unit which meets regularly, and reports its activities to the President of the University, and annually to the Health and Safety Committee.

A more extensive health in the workplace unit, with a multidisciplinary team (doctors, work psychologist, ergonomist, nurses) will be set up in 2018.

- Social policy: an ambitious policy of social, cultural and leisure activities, overseen by a dedicated unit. Activities related to well-being at work are organised (stress management for example), as part of the CLASS service, open to all staff.
- Disability policy: establishment of a multi-annual disability guideline in 2018-2021. This strategic multi-annual guideline aims to consolidate and develop the mechanisms for receiving and supporting disabled students and staff.

4. International relations

- The EURAXSS Auvergne (CSEA) services centre helps foreign researchers working in the Auvergne, as well as the structures that receive them with the procedures related to their arrival and residence in France.
- The CSEA is the regional form of the EURAXSS network set up by the European Commission to promote researchers' mobility within the European Research Area. This unit attached to the International Relations Office of Université Clermont Auvergne and partners, acts as the adviser for the administrative procedures related to the reception of foreign researchers.
- It offers personalised information and support to researchers and their families before they arrive in the Auvergne, during their stay and after they leave; it acts as a point of entry for researchers seeking practical information and support.

2.4.2. Improvement prospects

The work of analysing the rules and internal practices in relation to the forty principles of the Charter and the Code has revealed possible and achievable improvements that can be made in various areas. It has also been used to set the general objective and priority focuses of the human resources strategy for UCA research, as well as the measures to be implemented in the 2018-2022 period. The table below shows the architecture of the gap analysis tool.

I. Professional and ethical aspects

Point	Actions
1. Research freedom	Communication of the European Charter for Researchers and the Code for the Recruitment of Researchers and Lecturer-researchers by putting the document online on the UCA website.
2. Ethical principles	Putting the post descriptions online, translated into English (UCA, Euraxss site). Preparation of a lecturer-researcher booklet, specifying the career development of lecturer-researchers, their rights and obligations, their working conditions, environment, confidentiality of results etc.
3. Professional responsibility	Existence of a Scientific Integrity adviser: procedures in the event of a violation of scientific integrity still need to be implemented.
4. Professional attitude	Communication of the Research Professions Ethics Charter.
5. Contractual and legal obligations	Awareness-raising about exploitation and procedure for exploitable research results (patents, etc.).
6. Accountability	The UCA is going to set up an IRB (Institutional Review Board) within the UCA's Ethics and Integrity Committee to issue ethical opinions excluding with respect to research involving human subjects (RIHS). Participation in the ethical reflection group of the large region, AuRA.
7. Good practice in research	Set up good practice guidelines for laboratory research.
8. Dissemination, exploitation of results	Preparation of an awareness-raising guide for lecturer-researchers and students about exploitation and the procedure to follow in the event of exploitable research results.
9. Public engagement	Encourage the lecturer-researchers to publicise their research to the general public
10. Non-discrimination	Put on the UCA website links to: the IT adviser, the UCA ombudsman, the Defender of Rights, Gender Equality Committee in the UCA.
11. Evaluation/appraisal systems	Preparation of a lecturer-researcher booklet to send to recruitment and which sets out career developments (promotions, thesis supervisor status (HDR), change of professional category, CNU procedures, etc.).

II. Recruitment

12. Recruitment	Publication of the admission criteria for doctoral students in the Doctoral Schools on the Doctoral Schools' websites; A policy of granting for secondary-school teachers time off from teaching for preparation of a doctorate is planned.
13. Recruitment (Code)	Revise the format of the description of the positions to include a satisfactory description of the working conditions; Plan for systematic publication of the position profiles of PAST open to recruitment.
14. Selection (Code)	The CAP 20-25 project and its "policy of talent" programme gives the opportunity to finance the participation of international experts in the selection committees' work.
15. Transparency (Code)	For ATER positions, it will be necessary to define the communications procedures for candidates who are not selected.
16. Judging merit (Code)	Preparation of a guide for the chairs of selection committees which will include a section putting the emphasis on the importance of considering the totality of the candidates' experience.
17. Variations in the chronological order of CVs (Code)	The Doctoral Schools should ensure that they do not penalise candidates for a contract who are finishing their first professional experience.
18. Recognition of mobility experience (Code)	Follow-up of profiles first-recruited at the university and for those having an international experience should be considered.
19. Recognition of qualifications (Code)	Portfolio, see point 16.
20. Seniority (Code)	Vigilance on the absence of a mention of the age limit for recruitment in particular for post-doctorates seems necessary.
21. Postdoctoral appointments (Code)	The establishment of a salary table according to "seniority" for all the post-doctoral contracts of the institution; Establishment of assistance for preparation of the EPST competitive examination for post-docs.

III. Working conditions and Social Security

22. Recognition of the profession	Preparation of a welcome booklet for doctoral students.
23. Research environment	Improve quality of life in the workplace and strengthen the measures for employees regarding stress management, the fight against precariousness, psycho-social risk management, well-being at work, combating harassment.
24. Working conditions	Adoption of a frame of reference in 2018 / Flexibility in organisation of the teaching department.
25. Stability and permanence of employment	The UCA is engaged in a policy of combating precariousness.
26. Funding and salaries	Support with project aid (post-doc call for projects, cross-cutting actions) and support for international mobility. Funding of these actions must be supported.
27. Gender balance	The UCA is a signatory of the charter for gender equality in higher education. A Gender Equality Steering Committee has been set up. Equality advisers in each component of the UCA have not yet been appointed. The Steering Committee regularly proposes actions in favour of equality.
28. Career development	The UCA is establishing a mentoring and tenure track policy. Career guidance and professional integration must be strengthened.
29. Value of mobility	Adoption in early 2018 of a mobility charter Communicate to foreign researchers a translation of their employment contract in English, insertion on the university site of a guide to residence formalities.
30. Access to career advice	An annual letter from the HRD is sent to each BIATSS contractual employee offering him/her help with seeking employment and the next stage of his/her career. An HRD employee is entirely dedicated to career advice, a "mobility career adviser". The UCA must strengthen this career advice policy.
31. Intellectual Property Rights	The Research and Promotion Department has a contracts centre and a innovation transfers centre. A profit-sharing measure is planned for the lecturer-researchers and BIATSS contractual employees with known percentages. Thinking on the patent bonus.
32. Co-authorship	See point 8.

33. Teaching	Teaching training set up for young lecturer-researchers. Allows 32 hours of time off in the department per lecturer. The UCA has a frame of reference for lecturer-researchers, and rules for assigning bonuses for educational responsibilities. All the tasks of lecturer-researchers still need to be properly coordinated.
34. Complaints / appeals	UCA employees may use the services of the University ombudsman, a scientific integrity adviser or the psycho-social risks monitoring unit. All these roles must work together for the good of the staff.
35. Participation in decision-making bodies.	The EPST researchers and the HU must be represented on the various committees. The UCA must remain vigilant that there is broad participation of lecturer-researchers in the decision-making bodies.

IV. Access to research training and continuous development

36. Relation with supervisors	Skill portfolios must be expanded, opening access to all documents and Internet links from the DRV site (doctoral space), translating documents into English.
37. Supervision and managerial duties	A tutor is needed in addition to the thesis supervisor and the development of co-supervisory practices. A tutor needs to be established for new lecturer colleagues (MCF) as well as a module for information and training on researcher careers (careers, HR mechanisms and processes).
38. Continuing Professional Development	Support and training with seeking different contracts and project preparation. Support, information and training about HR career management processes. Generalisation of the portfolio.
39. Access to research training and continuous development	Policy must be developed with regard to CRCT, promote the professional training leave policy, internal training courses including those of the university library (themes: language, voice, etc.). Commitment to receiving all the researchers in research teams.
40. Supervision.	The mentoring policy must be promoted, thesis monitoring committees must be generalised. Training must be developed by the research managers for the Lecturers, Portfolio.

3. HR Strategy UCA 2018-2022 Action Plan

Our action plan is based on the existing situation to which a continuous improvement process will be applied. It is part of the political desire of our establishment and in no case is an isolated issue.

HRS4R is an integral part of the institution's strategy with the application for the "HR Excellence in Research" award. It will form part of the institution contract. The new organisation of our university already takes into account this strategy to better apply it through the HR department, gender equality office, CLASS unit (leisure and Campus life), H&S committee, disability unit, well-being at work unit.

The HRS4R Steering Committee is the guarantor of the implementation of the actions which it contains. This Steering Committee is mainly made up of lecturer-researchers which include all disciplines and which represent the researcher community. They ensure that the implementation process of which they are the main beneficiaries is complied with.

As part of the gap analysis process, HRS4R advisers, members of the Steering Committee will be appointed in each department involved (HRD, DRI, DRV, CAC, DAJI, Europe Unit) to follow-up and implement the strategy and the monitoring reports coordinated by the mission officer.

A shared directory dedicated to HRS4R, has been created on the University's server and is accessible to all members of the Steering Committee for sharing source documents.

Detailed follow-up of the actions planned with a statement of what has been done will be set up with a debrief per quarter.

The Steering Committee will meet as often as necessary each year to implement the action plan and finalise the overview and will oversee an internal assessment after two years.

An assessment by assessors mandated by the European Commission is also planned after five years.

The concrete implementation of the UCA multi-year action plan of is set out in detail in the table which follows.

Action title	Calenda																Unit responsible	Indicator(s)/Target(s)
	2018				2019				2020				2021					
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4		
Professional and ethical aspects																		
Communication of the European Charter for Researchers and the Code for the Recruitment of Researchers and Lecturer-researchers, to the laboratory directors, putting the document online on the UCA website.	→ x																Communications unit	Dissemination on the UCA website, General Meeting of the Laboratories minutes
Preparation of a lecturer-researcher booklet, specifying the career development of lecturer-researchers, their rights and obligations, their working conditions, environment, the confidentiality of the results	→																HRD	Production of the lecturer-researcher booklet and dissemination on the UCA website
Communication of the Research Professions Ethics Charter	→																Ethics and Integrity Committee	Dissemination on the UCA website
Awareness-raising about exploitation and the procedure for exploitable research results (patents, etc.).	→ x																DRV	Number of awareness-raising activities, drafting of the Vade Mecum

Action title	Calenda																Unit responsible	Indicator(s)/Target(s)
	2018				2019				2020				2021					
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4		
Recruitment																		
Establish a guide to the conditions in French and in English, dissemination of EURAXSS job portal	→ x																HRD and International	Guide to the constitution of selection committees with the recruitment procedures disseminated to the selection committees. Publication on the UCA website
Remind candidates of the possibility of obtaining the strengths and weaknesses of their application, respect of recruitment procedure periods	→																HRD	Transparency in the recruitment procedures. Validation by the Committee
Recall in a scoping letter, taking into account for the recruitment, the bonuses and the promotion of staff of the researcher's various missions (team management, projects, units, mobility, supervision, mentoring role, teaching)	→																HRD, H&S com.	Guide to operational procedures of the selection committees

Action title	Calenda																Unit responsible	Indicator(s)/Target(s)
	2018				2019				2020				2021					
Working conditions and Social Security	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4		
Inform the doctoral students about the training paths through research	→							x									DRV	Dissemination of the welcome booklet for doctoral students Dissemination on the UCA website
Improve the quality of life at work and strengthen the measures for employees regarding stress management, the fight against precariousness, psycho-social risk management, well-being at work, combating harassment.	→							x									HR Dept.	Appointment of a quality of life in the workplace adviser
Implementation of a charter for gender equality in higher education.	→				x											Gender equality steering committee	Percentage of implementation Dissemination on the UCA	
Implementation of the multi-annual disability guideline	→												x				HRD	Percentage of implementation Dissemination on the UCA
Establishment of the mentoring and tenure track policy.	→							x								ISIT	Number of recruitments	
Establishment of the mentoring policy.	→								x							ISIT	Number of theses concerned	
Aid with career guidance and professional integration.	→								x							DRV	Professional integration investigation document	
Communicate to foreign researchers a translation of their employment contract in English. Insert on the university site a guide to residence formalities	→							x								HRD and International Relations Division	Foreign researchers' welcome booklet. Publication on the UCA website	

Action title	Calenda																Unit responsible	Indicator(s)/Target(s)
	2018				2019				2020				2021					
Training and Development	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4		
Construction of an individual training pathway year by year	→												x				DRV	Rate of individual follow-up for doctoral students
Establishment of a tutor for doctoral students in addition to the thesis supervisor	→												x				DRV	Operational procedures of the thesis monitoring committee
Development of co-supervisory practices with other countries	→							x								HRD and Research and Promotion Department	Number of joint supervisions	
Establishment of an adviser for new lecturer colleagues (MCF) and lecturer (MCF) HDR candidates	→							x								HRD and Research and Promotion Department	Rate of advisers	
Information and training module about researchers' careers (careers, HR measures and processes)	→							x								HRD	Training module	

Contacts		
<p>Professor Matthias BERNARD President of Université Clermont Auvergne 49, Bd François-Mitterrand - CS 60032 63001 Clermont-Ferrand Cedex 1 +33 (0)4 73 17 72 71</p>	<p>Mrs. Samira RIAD International Relations Office EURAXESS Auvergne Center Université Clermont Auvergne 36 Boulevard Côte Blatin 63001 Clermont-Ferrand Cedex1 samira.riad@uca.fr +33 (0)4 73 40 63 21</p>	<p>Professor O. K. AWITOR HRS4R Project Coordinator Université Clermont Auvergne IUT de Clermont-Ferrand 5, avenue Blaise-Pascal - CS 63178 Aubière Cedex komla.awitor@uca.fr +33 (0) 4 73 17 71 66 / (0) 6 07 30 93</p>

Annex



Mr Carlos MOEDAS
European Commissioner for Research,
Science and Innovation
European Commission
200 rue de la Loi
1049 Brussels
BELGIUM

Clermont-Ferrand, Monday, July 17, 2017

Objet: Déclaration de Commitment to the Principles of the European Charter for Researchers and Code of Conduct for the Recruitment of Researchers and Intention Requesting the « HR Excellence in Research » award.

Dear Sir,

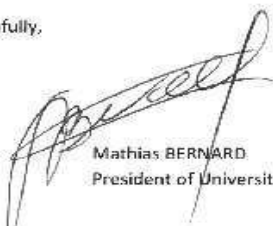
Université Clermont Auvergne wishes to commit itself to implementing the principles of the European Charter of the researcher and the Code of conduct for the recruitment of researchers.

By this declaration, Université Clermont Auvergne expresses its will to adhere to these key principles and to be part of the European Human Resource Strategy for Researchers.

We accept the general values, principles and requirements of the European Charter and Code. Since January 1, 2017, the new Université Clermont Auvergne resulting from the merger of Université d'Auvergne and Université Blaise Pascal has adopted measures enhancing the implementation of those principles to further improve our process and practices.

By showing intends to request the "HR Excellence in research" award, Université Clermont Auvergne wishes to give today a formal turn to its commitment.

Yours faithfully,



Mathias BERNARD
President of Université Clermont Auvergne

49, boulevard François-Mitterrand • CS 60032 • 63001 Clermont-Ferrand Cedex 1
www.uca.fr



EUROPEAN COMMISSION
DIRECTORATE-GENERAL FOR RESEARCH & INNOVATION
Directorate B – Open Innovation and Open Science
B.2 – Open Science and ERA Policy
The Head of Unit

Brussels,
rtd.ddg1.b.2(2017)5495027

claire.soriano@uca.fr

Subject: Endorsement of the 'Charter and Code' principles and commitment to the implementation of the HRS4R

Dear Mr Bernard,

We are pleased to hear that Université Clermont Auvergne has endorsed the 40 principles of the *'European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers'* (Charter and Code). Soon it will be listed on the EURAXESS website under 'Charter and Code Endorsements' <https://euraxess.ec.europa.eu/jobs/charter>.

According to the 2015 experts report 'Shaping the future of the Human resources Strategy for Researchers – HRS4R' and its implementation guidelines your institution is now committed to enter the Human Resources Strategy for Researchers procedure within the next 12 months.

By implementing the 'Charter and Code' principles, your institution will be joining a community of over 890 universities, research institutions and funders from across Europe, including a number of international institutions. Implementing these principles across Europe is essential to ensure the availability of motivated, highly qualified and skilled human resources that are capable of studying and overcoming the challenges of the future. Your institution's declaration of commitment will send a clear signal to researchers that you are determined to contribute to making research careers in Europe more attractive and sustainable.

Actively embedding the principles of 'Charter and Code' in your institutional Human Resources policies contributes to creating a true European Open Labour Market for research and innovation, thus fitting the overall policy objectives of the European Research Area.

I wish you every success in implementing the principles of the 'Charter and Code' in your institution.

Should you need further information, please do not hesitate to consult the EURAXESS website at <https://euraxess.ec.europa.eu/jobs/hrs4r> or contact our functional mailbox RTD-CHARTER@ec.europa.eu.

Yours sincerely,

Fabienne Gautier