



HR EXCELLENCE IN RESEARCH

# HRSA

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

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# CONTEXT

The European Commission published the **European Charter for Researchers** and the **Code of Conduct for the Recruitment of Researchers** in 2005. The recommendations, as well as the “general principles and requirements” written in the Charter and Code result from a “public consultation process” involving the members of the Steering Group on Human Resources and Mobility [SGHRM]. European Research Institutions were initially encouraged to sign the Charter and Code and commit to the principles stated in these documents. Then, in 2008, the European Commission decided to introduce the label HRS4R (Human Resources Strategy for Researchers), also called “HR Excellence in Research”. This label incites research institutions to not simply sign the Charter and Code, but to implement real measures. The label includes the 40 principles of the Charter and Code, which are divided into four categories: Ethical and professional aspects, Recruitment and selection, Working conditions and social security, Training and development.

## Professors<sup>1</sup> recruitment method in France

In France, HR practices are mostly based on national legislation. Professors are recruited all over France. Candidates who want to become a Associate professor or Professor must obtain the qualification for these positions. Exemptions can be granted to candidates who have studied abroad. Once qualified, they can enroll to take a competitive entrance exam for a position in a higher educational and research institution. These institutions organize selection committees which are composed of at least 50% of people from outside the institution, some specialists in the discipline, and at least 40% of one of the two sexes to ensure gender equality (except in specific disciplines). The selection committee makes an initial selection from all the application forms, and then several candidates are invited to interview with the selection committee panel.

The latter then puts forward the name of a candidate or a ranked list of candidates. Then, when the professor is hired, her/his work will be divided into teaching (50%) and research (50%). Pay and career development is regulated by a salary scale. Thesis Directors must have obtained the Authorization to Direct Research (HDR: “Habilitation à Diriger des Recherches”) to supervise a PhD student.

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1 Professors includes professors (professeurs des universités, PR or PU) and associate professors (maîtres de conférence, MCF)

## Undertaking of the HRS4R at the ENS de Lyon

The École normale supérieure de Lyon has been looking into the HRS4R label since the beginning of 2016. On 13th February 2017, during a meeting of the Executive Committee, the School committed to the project, to endorse the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers, apply for the HRS4R label and build its HR strategy. The HRS4R label is an advantage to attract applicants for European Calls for Projects. Professors It is a good way to improve Human Resources practices, such as career supervision, training and recruitment processes. Through its commitment to this continuous improvement initiative, the ENS de Lyon wants to offer professors and other resident research staff a quality workplace environment and an environment in which research and creativity can flourish.

# I. THE ECOLE NORMALE SUPÉRIEURE DE LYON

## I.1. Presentation of the l'ENS de Lyon

The École normale supérieure de Lyon is a public higher education and research institution, and more precisely a public institution serving scientific, cultural and professional purposes (known as an EPSCP in French, for “Etablissement Public à caractère Scientifique, Culturel et Professionnel”).

The École normale supérieure de Lyon is governed by the Decree n°2012-715, of 7th May 2012 which lays down the its operating rules. Article 3 of the decree states that:

*“The School offers an excellent education to ENS pupils and students wanting to work in teaching and research in Higher Education and Research in Europe. It educates and trains through research, for senior executive positions in administration institutions and French and European companies.*

*For these purposes, the ENS de Lyon ensures initial and continuing education in the fields of the humanities and sciences, research, and the dissemination of culture, knowledge and scientific information.*

*The School prepares students for national diplomas at or above Master's degree level, that it is approved to issue. The ENS is also authorized to issue its own diploma.*

*It defines and sets up a scientific and technologic research policy and values this policy through its scientific publications, scientific and pedagogical outputs, patents and operating licenses. It promotes the support of young innovative companies and promotes creation.*

*The ENS collaborates with French or foreign researchers and/or higher education institutions from an international and multidisciplinary perspective.”*

The ENS de Lyon educates and trains “normaliens” and “auditeurs” students as well as attendees in numerous disciplines, such as: Biology; Chemistry; Education and Digital Humanities; Computing; Languages; Literatures and Foreign Civilizations; The Humanities and the Arts; Mathematics; Physics; Human Sciences; Social Sciences (History, Geography, Sociology, Economics);

Earth Sciences (Geology). Its missions are: education and training through research, knowledge sharing, research, and innovation in education. The institutional strategic goals are: the construction of individualized training paths, interdisciplinary programs, digital innovation, openness to society and being internationally minded. The School is made up of 11 research departments, 23 joint research units (UMR for “Unités mixtes de recherche” in French), 3 joint department units (UMS, for “Unités mixtes de services” in French), 1 internal research unit, 1 research project centre, 3 international research structures, 9 technical platforms, and 12 Junior Labs. The French Institute for Education (IFE) and the Diderot de Lyon Library are also part of the ENS.

The history of the Ecole Normale Supérieure dates back to the 19th century, with the creation of the “Ecole de Fontenay” for girls (decree of 13th July 1880) and the “Ecole de Saint-Cloud” for boys (Decree of 22nd December 1882). In 1887, through the Decree of January 18th, 1887, these two schools became “Ecoles Normales Supérieures de l’enseignement primaire”. Over the last century, their missions were redirected towards the training of secondary school teachers, then the training of higher education professors and researchers. In 1975, the Prime Minister at the time, Jacques Chirac, announced the decentralization of the scientific sections of the Ecoles Normales Supérieures from Paris to Lyon. The decree validating this decision was published in 1985. The scientific departments of the ENS Fontenay and Saint-Cloud were then moved to Lyon. The literary, humanities and social sciences departments were regrouped in Fontenay, in what was to become ENS de Fontenay Saint-Cloud. The first academic year in Lyon began in 1987 on the Monod site. In 2000, the ENS Fontenay Saint-Cloud relocated to Lyon, on the site of Descartes, and became the “Ecole Normale Supérieure Lettres et Sciences Humaines known as LSH in French (Humanities and Social Sciences). In 2010, the ENS de Lyon and the ENS LSH merged and became the “École normale supérieure de Lyon”. The following year, “l’Institut Français de l’Éducation (IFÉ)” (French Institute for Education) was founded at the ENS de Lyon.

## I.2. Workforce

L'ENS Lyon rassemble 2 361 étudiants. On compte également 1192 enseignants-chercheurs et chercheurs au total, dont 685 chercheurs hébergés et 119 chercheurs étrangers.

En ce qui concerne les personnels titulaires, on compte les professeurs des universités (PR), les maîtres de conférences (MCF), les ingénieurs de recherche (IR), les agrégés préparateurs (AGPR). Les attachés temporaires d'enseignement et de recherche (ATER), les post-doctorants et les doctorants sont contractuels. Ils sont payés soit sur ressources État, soit sur ressources propres et disposent d'un contrat. Les doctorants sont inscrits dans une école doctorale.



### Key figures

11 research departments, 23 joint research units, (UMR in French), 3 joint department units (UMS), 1 internal research unit, 1 research project centre, 3 international research structures, 9 technical platforms, and 12 Junior Labs

2,361 students (including 15% international students)

1,192 teachers, professors and researchers, 10% of whom are from abroad, and 685 resident researchers on the sites of the ENS de Lyon from partner organizations.

# II- METHODOLOGY AND PROCESS FOR THE STRATEGY DEVELOPMENT

The ENS de Lyon has chosen a very collaborative approach to create and produce its HRS4R strategy. This strategy, which aims at supporting the scientific excellence policy of the ENS de Lyon, participating to the process of establishing a European Research Area, promoting the international visibility of the institution and its attractiveness, involved 150 people in the institution during its process.

## The ENS de Lyon HRS4R process was carried out in 6 steps:

1. Setting up of an HRS4R focus group
2. Creation of an HRS4R steering committee
3. Implementation of an HRS4R project committee
4. Setting up of working groups
5. Presentation of discussion results and propositions to ENS de Lyon governing bodies
6. Publication of the ENS de Lyon HR strategy and submission of HRS4R application to the European Commission

As of 2016, the ENS de Lyon affirmed its intention to engage in preparing an HRS4R application by setting up a focus group composed of staff members from administration services, Human resources, office of international affairs and the Vice-President research services.

This group met every two months over 2016 to analyze the requests of the European Commission to assess resources necessary to build the HR strategy and obtain the HRS4R label. The HRS4R was presented to the Executive Committee 13th February 2017, which have approved the implementation of



the HRS4R process.

The Executive Committee of the ENS de Lyon established a **Steering Committee** made up of:

- Jean-François Pinton, President of the ENS de Lyon
- Véronique Queste, Executive Officer
- Yanick Ricard, Vice-President Research
- Sylvie Martin, Vice-president Academic Affairs
- Lyasid Hammoud, Deputy General manager, (nominated General manager November 1st, 2017)
- Michel Lussault, Director of the French Institute for Education, replaced by Jean-Luc Mayaud, Administrator of the French Institute for Education as of October 9th , 2017
- Jean-Luc Argentier, General Manager (until October 31st, 2017)

A **Project Committee** was also established as of March 2017 to manage the labelling project at an operational level. It is made up of:

- The General Manager
- Human Resources Division: responsible for the Teacher and Professor department
- Office of International Affairs: in charge of International Cooperation
- Vice-presidency research :
  - The Manager of Research Contract Service
  - The Project Engineering department manager
  - The Project Engineering department leader and HRS4R project leader

The Project Committee met several times at the different steps of the project for the internal audit in view of the 40 principles of the Charter and the Code of Conduct and for the organization of the different steps of the process, including the organization of the internal consultation. In particular, it proposed a methodology for writing the Gap analysis and the action plan to the Steering Committee.

## II-1. Gap analysis

The Gap analysis (discrepancies observed between the principles enacted by the Code of Conduct for the recruitment of researchers, the European Charter for researchers and the Code of Conduct for the recruitment of researchers, and internal practices) was carried out based on many in-house documents: The Rules of Procedure; the professor welcome booklet; the hygiene, safety and health at work booklet; the School's internet and intranet sites; the website of the COMUE Université de Lyon (UdL); the annual review 2016 of the general health, safety and working conditions of the ENS de Lyon (CHSCT); the Guide to Professional maintenance; the miscellaneous memos; the 2016 assessment of personnel training; the HR Training plan, the UdL site contract, the multi-year contract of the ENS de Lyon.

Complementing these documents were individual interviews with administrative staff, professors and researchers in order to compare the results of the literature search with actual practices of the organization. Therefore, 16 personal interviews were led with staff members from the HR division in charge of the teacher and professor staff, the Disability unit, the prevention of professional risks and accident prevention service (SPST), the Financial Affairs Division (DAF), the Training unit, the Equality Committee, the Innovation and Technology Transfer Department, the Information Systems Division (DSI), the Laboratories (laboratory directors and staff members), and staff representatives and the Scientific Integrity adviser.

The combination of the literature research and personal interviews led to the first draft of the Gap analysis.

## II-2. Methodology for the Action plan

Following the implementation of the Gap analysis, the project committee met several times to review actions which would be necessary to reduce the discrepancies observed between the principles enacted by the Code of Conduct for the recruitment of researchers, the European Charter for researchers and the Code of Conduct for the recruitment of researchers, and internal practices and to present these measures to working groups for review.

### Setting up of working groups (advisory panels)

Advisory panels have since been set up: A panel of researchers and professors and a panel of Support functions. The aim was to present them with the 40 principles of the European Charter for researchers and the Code of conduct for the recruitment of researchers, as well as the actions referred to in the Project committee. The panel members expressed their agreement or disagreement

with the suggested actions, reformulated some and proposed new ones.

The project committee also involved the staff representatives upstream, as well as during the face to face meetings held with the advisory panels (staff representatives were present at all the advisory panel meetings). Those interactions led to the emergence of new proposals for actions that were presented to the panels.

**Panel Support functions**, 22 people were invited to participate from the departments and directorates of the School listed below:

- Vice-Presidency studies
- Vice-Presidency Research
- Financial Affairs Division
- International Affairs Division
- Legal and Institutional Affairs Division
- Information Systems Division
- Communication
- Human Resources Division
- Research Projects Department
- Accident Prevention and Occupational Health Service
- Innovation and Technology Transfer department
- Members of laboratory technical and administrative support functions
- Equality Committee

**Professors and researchers panel** - 24 people were invited to participate. The objective was to have the most representative panel possible for the research staff of the school. With this in mind, the invited participants were: professors (including professors and associate professors), temporary associate professors (AGPR in French), PhD students, research engineers, Research Directors (DR) and Research Officers (CR). All of these researchers and professors came from research units in the Humanities and Social Sciences (SHS) and in the Exact Sciences (SE). The selected research officers and directors of research are employed by the CNRS, INRA, INRIA and INSERM and work in the laboratories at the ENS de Lyon. These research organizations represent a large percentage of the employers of the researchers that are housed in our facility.

The constructive debates and exchanges during the 2 panels led to the drafting of the action plan that ENS de Lyon wanted to put into place.

Over one hundred actions were listed. The feasibility of the listed actions was assessed to reduce the number of actions to an overall reasonable and coherent plan in line with the strategy timeframe.

The Project Committee then met on two occasions in September 2017 to

prioritize the actions. Actions that were classified as “unfavourable” by the two advisory panels were rejected, and some new actions collected during advisory panel meetings were retained. Priority was given to the suggested actions put forward by the advisory panel.

The action plan, drafted by the Project committee and advisory panels was discussed with the Research Vice-President and the General Manager prior to the Steering Committee meeting on 2 October 2017, when the final decision was made by the Steering Committee.

## II-3. Presentation of the HRS4R label and the gap analysis and action plan

The HRS4R label and the labelling process were presented to ENS de Lyon administrative and institutional joint bodies several times throughout the project.

### Presentation to Administrative Bodies

- April 3, 2017, the HRS4R label, the European charter for Researchers and the Code of Conduct for the recruitment of researchers were presented to the **Executive Committee**. The different stages of the process were presented (analysis of internal practices, drafting of the Gap analysis, implementation of the Action Plan...) and an indicative schedule for the labelling process.
- April 12, 2017, presentation of the label during a meeting with the **Unit Directors** by the Research Vice-President.
- 29 May 2017, information about the label was given to the Members of the team at a **HR Division meeting**.

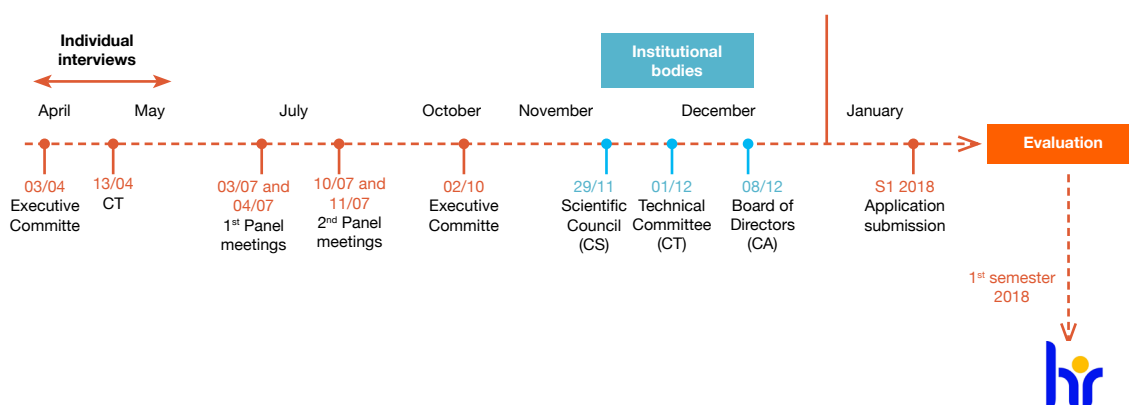
### Presentation to institutional joint bodies

- 13 April 2017, presentation to the **Technical Committee (CT)**. As with the Steering Committee, the HRS4R label was explained as well as the Charter and the Code. The challenges associated with labelling process, the various stages of the project, the indicative schedule and the members of the Project Committee were presented. The comparative analysis of the methodologies adopted by the accredited establishments was also presented, followed by the methodology chosen at the ENS de Lyon. This was an opportunity to inform the staff representatives of the labelling process and to answer their questions.
- 29 November 2017, presentation and submission to the **Scientific Council (CS)** and submission for its opinion.

- 1 December 2017, presentation of HRS4R process and the action plan to the **Technical Committee (CT)** for its opinion. Members of the CT gave a positive opinion regarding the HRS4R project during the 11 December 2017 CT meeting. The Steering Committee wanted to validate the labelling process by the staff representative authorities as well as the ENS de Lyon's letter of endorsement to respect the principles of the Charter and the Code and to present the actions that resulted from the Steering Committee and Advisory Panels.
- 18 December 2018, presentation to the **Board of Directors (CA)**. Members present voted unanimously in favour of the project.

All institutional joint bodies of the institution voted favourably for the project. The Board of Directors approved the letter of endorsement affirming its engagement in the European effort to improve the working conditions of researchers, to provide them with stimulating work environment, to facilitate their mobility, to make research careers attractive and to have an open, transparent and merit-based recruitment by implementing the HRS4R label (Human Resources Strategy for Researchers).

## Strategy building process timetable



# III- STRENGTHS AND AREAS OF IMPROVEMENT

The action plan is the result of many exchanges and consultations with research and administrative staff of the ENS de Lyon, and also with researchers located on-site (staff of partner organizations and laboratories located on-site at the ENS of Lyon).

The Gap analysis was carried out by the Project Committee following a thorough documentary study and individual interviews with the staff of the organization. It is also based on a double consultation with professors and support staff to propose a relevant action plan in terms of the ENS HR practices and Charter and Code principles.

The internal evaluation showed that the ENS de Lyon already complies with a great number of principles of the Charter and Code. Indeed, the national regulatory framework and the organization's tools and practices comply with most of the provisions of the Charter and Code.

The ENS de Lyon has solid human resources due to its relatively young age structure. The staff stabilization contributes to the consolidation and sustainability of the improvement process engaged by the institution.

The ENS de Lyon School is the result of a recent merger. It was very successful in merging two schools (ENS literature and human sciences and ENS exact and experimental sciences) as well as integrating the French Institute of Education. It supported its staff with a change management process focused on individuals ensuring that everyone can find her or his place, working together with a common purpose. It also developed a best practice approach among administrative services.

The ENS de Lyon has fostered its visibility at an international scale by funding short and long term international mobility for both research and training purposes. It has also strongly encouraged all kind of initiatives supporting attractiveness and international visibility.

In terms of work environment and accessibility for disabled people, the ENS de Lyon has finalized the improvements on the Descartes site facilities to fully meet accessibility standards and has started rehabilitation works on Monod

Site facilities within the Plan Campus project.

It has recently recruited and appointed a disability project manager and has developed a disability policy with individual supports, in particular for PhD students.

## Ethical and professional aspects

Research ethics is a topic of major importance largely handled at the ENS de Lyon.

Furthermore, the missions of the professors and researchers are defined by French law. Their independence and freedom of expression in the course of their duties is also guaranteed by national law. These provisions are referred to in the welcome booklet and the internal procedures of the ENS de Lyon.

Research ethics is taught at the ENS de Lyon part of the training of young researchers. Several training modules on ethics, in general terms, in the area of research (“ethics of research, scientific integrity and social responsibility of universities”), or applied to a scientific field (the ethics of animal experimentation), are provided for PhD students as part of their studies. Awareness of students, professors and researchers concerning plagiarism is raised through a communication campaign with a Deontology Charter as regards loans of quotation, in addition to the exploitation of information sources carried out by the Université de Lyon. The establishment of an ethics committee within the ENS de Lyon was considered but abandoned and replaced with a committee for all organizations of the Université de Lyon. Despite the absence of an ethics committee within the organization, professors and researchers benefit from several internal information resources. The Occupational Health and Safety department (SPST) advises and guides professors and researchers, in particular on animal experimentation and GMOs. In 2017, a scientific integrity referent was appointed to answer questions relating to the application of the Charter of Deontology by researchers that will be approved at the level of the Board of Directors, in 2018, in accordance with the action plan hereafter. Finally, several conferences on ethics in research are regularly organized at the ENS de Lyon.

The SPST has a key role in risk prevention and management. Many staff members are involved; in particular an engineer for the prevention of occupational hazards, staff qualified in protection against radiation (PCR), a laser safety advisor and prevention assistants. SPST organizes mandatory training in hygiene and safety for newcomers. Newcomers also benefit from extensive information on occupational safety and health, and on training, research, teaching and professional issues in the Welcome Booklet for teachers and professors. However, there are not enough awareness campaigns concerning the use of digital tools, data protection and confidentiality, as well as insufficient visibility concerning the institutional repertory (open repository HALL ENS de Lyon).



Professors and researchers benefit from support services for their contractual and/or subsidized research, project management and follow-up from the Project Engineering department and the Finance department, and intellectual property advice from the Innovation and Technology Transfer Department. For best results, procedures at each stage of the project include validations and communication between departments and structures. Every year, awareness campaigns regarding intellectual property are provided for professors and researchers by the Innovation and Technology Transfer Department. Correspondents of the Innovation and Technology Transfer Department within the laboratories simplify the exchange of information between the department and professors and researchers.

## Recruitment and Selection

With regard to recruitment, the standards of entry and admission for professors are transparent. The website of the ENS de Lyon has a “Job offers” section with comprehensive information: the documents required, the application process, the conditions of recruitment. The decrees regarding the composition of the selection committees are available for job offers of Professors and Associate Professors. As far as the selection committees are concerned, gender equality is achieved but the members of the committees are not sufficiently trained beforehand. The job offers are published on the website of the ENS de Lyon, on the websites of the laboratories, and on GALAXY and EURAXESS. However, the use of EURAXESS could be improved because some of the offers are published here.

Geographical and research subject mobility are promoted during recruitment and are encouraged through Leave for Research of Thematic Conversions (CRCT).

## Working conditions and social security

All PhD students have a supervisor who is accredited to conduct research (HDR). There is also an individual or thesis follow-up committee for PhD students during their studies that can anticipate possible problems (conflict, discrimination...).

Gender equality is strictly enforced within the research laboratories and among teachers and professors (including Professors and Associate Professors), except among university professors, where there are many more men than women. In the organization, two Equality advisors were appointed: one man and one woman, in order to address the issue of gender equality and harassment. In September 2016, a Handicap Special Advisor was appointed to assist disabled people, to organize awareness-raising actions and to assist in the recruitment of handicapped people.

Research staff and Professors can find information on professional activities at



the ENS de Lyon in the Welcome Booklet for teachers and professors, on the ENS de Lyon website and on the intranet. However, we note that information is lacking in particular, about days off, part-time work and who to contact if complaints arise. Also, there is not sufficient advice on career change and development.

## Training and career development

ENS de Lyon professors and researchers may undergo training offered in the courses catalogue available to all ENS staff members. However, the courses in the catalogue are not really adapted to them. A work group is currently studying this issue. For PhD students, however, there is a large choice of courses in the Université de Lyon's catalogue.

# IV- IMPLEMENTATION

The Project Committee and the Steering Committee will be retained for the implementation of the action plan.

The Project Committee is an operational body, which manages the field implementation of the measures put into place. The Steering Committee is a decision-making body.

The researchers and staff involved in the HRS4R project will be informed about what is being done, measures carried out or underway at an annual meeting.

The project committee will meet twice a year to study the schedule for when the different measures will be put into place and to modify it if necessary, as well as managing the status of the actions.

The Project Committee and the persons responsible for the measures will meet at least once a year in order to take stock of the progress and any difficulties or needs to postpone the deadline for implementation. The indicators will also be addressed.

## HRS4R and ENS de Lyon policies

The Université de Lyon, which the ENS de Lyon is part of, obtained the IDEX (Initiative of Excellence) label in February 2017. The Université de Lyon has therefore been recognized as a leading world pole of excellence. The IDEXLYON has put into place many measures in 6 areas: research, training, international programmes, student life, socio-economic partnerships and attractiveness for future students. Among the proposed measures, several are in line with the HRS4R label. An ethical platform will be set up, with the objective of carrying out a standby activity, offering training to researchers and developing research projects on ethics. Open access is mentioned with the objective of “Strengthening the visibility of the publications of researchers and teacher-researchers on the Lyon Saint-Étienne site”. Guidance for graduates going from a doctorate to employment is also an important point for the IDEXLYON. Improving the induction and residence conditions of foreign researchers through the ULYS section is also being discussed. A scholarship program for experienced researchers will be launched (call for projects end 2017) to enhance the attractiveness of the Lyon Saint-Étienne site. Another call for projects, whose pre-selection phase ended on October 20, 2017, aims to “offer an attractive research and training environment to new researchers and teacher-researchers starting at an institution of the Université de Lyon with funding of up to EUR 80,000. Some themes are therefore present both in IDEX and in the HRS4R label: ethics, open access, assistance for post-PhD staff, induction for researchers, attractiveness of the site.

At the ENS de Lyon, students are trained through and for research and to do so, the proportion of supervisors in relation to students is high (about 1/3). In addition, the Strategy Declaration of the Establishment (2015) contains 10 proposals for definite measures, some of which follow the principles of the European Researcher Charter and the Code of conduct for the recruitment of researchers. Among them are: “to promote innovative and atypical curricula, to maintain academic mobility and to promote pedagogical innovations”, or “to develop a procedure for the allocation of sabbaticals, in particular for Junior researchers (including associate professors) and for study, research, or skills-acquisition projects abroad. The five-year site contract also includes objectives related to the HRS4R label, such as support for research activity and mobility of personnel through CRTC; The induction of PhD students and their integration into the team; Valuing the rewards and prizes obtained by a member of staff; Promoting access to continuous education; Participation in forums for staff who wish to take part; Protection of intellectual property and Innovation and Technology transfer; Gender parity (recruitment, career development, access to supervisory functions); Promote different measures for people with disabilities; The five-year site Convention states that “concerted actions in the field of human resources will be conducted in accordance with the recommendations of the Researcher’s European Charter and the Code of Good conduct for the recruitment of researchers”.

## Monitoring

Each project leader shall transmit the indicators at least once a year relating to what he/she has been able to put into place. A person in charge of the key performance indicators will be appointed at the School to collect the information and remind the managers to report back on them every year.

The issue of indicators will be discussed during the meetings and the indicators will be changed if they do not appear to be appropriate for the situation.

## Evaluation

To prepare the internal and external evaluations in the best possible way, a public consultation will be held with staff from different departments: researchers and administration. At this meeting, the actions already carried out will be presented to them, as well as the indicators and they will be able to suggest new actions or ways of improvement. Following this, the Project Committee will hold a meeting to sort through the proposed actions and summarize the remarks made. The Project Committee will then meet with the project leaders to discuss the relevance of the new measures. Finally, the Steering Committee will make a decision on the actions to be retained in the final document.

A qualitative survey will also be conducted with research staff during the semester preceding the self-assessment.

# V- ACTION PLAN

The action plan has a total of 53 actions among which, 22 communication actions, 17 formalization actions and 14 development actions distributed under the 4 main domains of the European Charter for Researchers and The Code of Conduct for the Recruitment of Researchers (I- Ethical and professional aspects, II- Recruitment, III- Working conditions, IV- Training). It involves 10 different services of the ENS de Lyon.

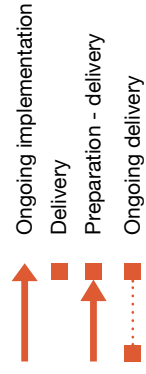
The HRS4R Steering Committee is responsible for implementing the action plan. The HRS4R Project Committee is the operating body for the implementation. The Project Committee will meet at least twice a year to monitor the progress of the action plan implementation. It will also organize at least two follow-up meetings per year with action responsible units to assess the progress in each action implementation and discuss possible difficulties.

The numbers given to each action in the table below correspond to the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers, for Communication (C), Formalization (F) and Development (D) Actions to be implemented by the ENS de Lyon.

## Ethical and professional aspects

Principle	N°	Actions	Type	2018		2019		2020		Responsible(s)
				S1	S2	S1	S2	S1	S2	

Research Freedom	1.1	To communicate the Charter and the Code with newcomers (with a QR Code)	C		■	.....	■	.....	■	DRH
	1.2	To communicate one section of the Code and Charter per week	C		→					COM
	2.1	Have the national Charter of Research jobs approved by the Board of Directors	F	→	■					DAJI-VPR
Ethical Principles	2.2	Communicate on the national Charter of research jobs to the national ethics committees and the ethical integrity advisor	C	→	■					VPR - COM
	2.3	To host and/or organize symposia/conferences/workshops on ethics	D		→				→	VPR - COM
Professional Responsibility	3.1	To remind PhD Supervisors about Deontology rules	C		■	.....	■	.....	■	VPE



## Ethical and professional aspects

Principle	N°	Actions	Type	2018			2019			2020			Responsible(s)
				S1	S2		S1	S2		S1	S2		

Professional attitude

4.1 Send out an internal procedure for contract signing to all the stakeholders to facilitate and secure the management of research contracts

C

DAJI

Good Research Practices

7.1 Raise awareness on computer security

C

DSI

7.2 Help professors and researchers optimize and save their data

D

VPR

Dissemination and exploitation of results

8.1 To encourage professors and researchers to publish more in Open Access and in appropriate institutional repositories

C

VPR

8.2 To increase the visibility of research results in open access

C

COM

## Ethical and professional aspects

Principle	N°	Actions	Type	2018		2019		2020		Responsible(s)
				S1	S2	S1	S2	S1	S2	
	10.1	To train, inform and communicate about harassment and discrimination	C							SPST - DRH - REFEGAL
	10.2	Establish a social monitoring unit	D	→						SPST - DRH - REFEGAL
	10.3	Provide database access to equality advisor(s) with staff data follow-up (gender equality, pay...)	F	→						DRH - REFEGAL
Non-discrimination	10.4	Totally comply with accessibility and safety standards on the two sites (Monod and Descartes)	F							SPST
	10.5	To increase the internal institutional communication in English	C							DGS
	10.6	To increase the number of forms and administrative documents in English	F							DGS - DRH

## Recruitment and Selection

Principle	N°	Actions	Type	2018		2019		2020		Responsible(s)
				S1	S2	S1	S2	S1	S2	
Recruitment	12.1	Propose scholarships for disabled PhD students	F							VPE - VPR
	12.2	To help disabled PhD students and postdoc researchers find employment: job interview simulations and advice	D							SPST
	12.3	To add a reference for research contractual staff on job offers for disabled people	F							DRH - SPST
	12.4	Establish a dual HR/DAI correspondent to help foreign researchers who wish to apply	D							DRH - DAI
Recruitment (Code)	13.1	To publish job offers on Euraxess in English	C							DRH - VPR - VPE



## Recruitment and Selection

Principle	N°	Actions	Type	2018		2019		2020		Responsible(s)
				S1	S2	S1	S2	S1	S2	
Selection	14.1	To write a guide for HR on OTM recruitment procedures (open, transparent, based on merit).	F		→	→				DRH
	14.2	To write a guide for the members of the selection committees	F		→	→				DRH
	14.3	Provide the president of the selection committee and other committee members with resources on interviews	D		→	→				DRH
Variation in the chronology of curriculum vitae	17.1	Add tips for candidates to help them fill out their file	F		→	→				DRH

## Recruitment and Selection

Principle	N°	Actions	Type	2018		2019		2020		Responsible(s)
				S1	S2	S1	S2	S1	S2	
Recognition of mobility experience	18.1	Put testimonies on the School's website (Erasmus +, CRCT...) and give information about Guest Professors	C							COM - VPR
	18.2	To feature the advantages of the CRCT programme more, presenting it as a mobility incentive (international, cross-sectorial, interdisciplinary) at the ENS de Lyon	C							VPR - COM
	21.1	Write a specific note for the recruitment of postdoc. researchers	F							DRH

## Recruitment and Selection

Principle	N°	Actions	Type	2018		2019		2020		Responsible(s)
				S1	S2	S1	S2	S1	S2	
Recognition of the profession	22.1	Offer 3-year PhD contracts for staff preparing a PhD	F						→	DRH - VPR - VPE
	22.2	Set a minimum eligible income for staff preparing a PhD	F			→				DRH - VPR - VPE
	22.3	Recognize the achievements of professors and researchers who have been awarded a prize and write features on them	C						→	COM - VPR
Working Conditions	24.1	Communicate on an accessibility policy	C						→	SPST
	24.2	List the contact people and useful documents and create a generic email address on a web page per subject	C					→		COM
	24.3	Communicate on the possibilities of part time work and vacation/leave (including the CRCT) in French and in English	C					→		DRH - VPR - VPE

## Working conditions and social security

Principle	N°	Actions	Type	2018		2019		2020		Responsible(s)
				S1	S2	S1	S2	S1	S2	
Financing and salaries	26.1	Compile a guide on professor's pay (stipend, bonuses) in French and English	F		→					DRH
	27.1	Promote measures put into place by the gender equality advisers	D						→	VPR - VPE
Gender equality	28.1	To compile a guide and inform professors and researchers about the training available for them	C			→				DRH - VPR
	28.2	Write a Mentor's Charter	F		→					DRH - VPR
Career Development	28.3	Put into place interviews with associate professors and University professors by the VPR and VPE as from 6 months to 2 years after their arrival	D							VPR - VPE
	28.4	Propose a HR career development adviser dedicated to professors and researchers	D							DRH

## Working conditions and social security

Principle	N°	Actions	Type	2018		2019		2020		Responsible(s)
				S1	S2	S1	S2	S1	S2	
Access to career advice services	30.1	Put into place RH and DU «partnerships» to help professors and researchers in planning the next step in their career	D							DRH - VPR - VPE
Rights to intellectual property	31.1	Develop awareness and information about the Innovation and Technology Transfer Department	F							Valorisation
Co-author	32.1	Communicate that all contributors (doctoral students and ITRF participants) must be quoted as co-authors	F							VPR
Teaching	33.1	Communicate about NéopassSup as well as the IFI (Innovative Training Development)	C							COM - VPE
	33.2	Put into place teacher training courses for all professors and researchers on a voluntary basis (including doctoral students)	D							DRH - VPE
Complaints and appeals	34.1	Nominate a mediator at the ENS de Lyon	D							COM - VPE

## Working conditions and social security

Principle	N°	Actions	Type	2018		2019		2020		Responsible(s)
				S1	S2	S1	S2	S1	S2	
Participation in decision making bodies	35.1	Communicate on the importance of the establishment's governing bodies and of the implication of professors in such administrative roles	C							DRH - VPE
	36.1	Communicate on an UdL doctoral charter and a supervision rate for the EDs	C							COM - VPE
Contacts with the thesis directors/ internships	36.2	Put into place a maximum supervision rate at the School	F							DGS - VPE

## Training and career development

Principle	N°	Actions	Type	2018		2019		2020		Responsible(s)
				S1	S2	S1	S2	S1	S2	
Continuous Professional Development	38.1	Put into place an annual campaign to collect professors and researchers' individual training needs	D							DRH
	38.2	Put the relative MOOCs links to a specific discipline on the laboratory site	C							COM - VPR - VPE
Access to Research & Continuous Development Training	39.1	Provide a training pack for professors and researchers	D							DRH - VPR - VPE

# GLOSSARY

**AGPR:** Agrégés Préparateurs = Students preparing an «agrégation»

**ATER:** Attachés Temporaires d'Enseignement et de Recherche = Temporary Teaching and Research Staff

**CA:** Conseil d'Administration = Board of Directors

**CHSCT:** Comité d'Hygiène, de Sécurité et des Conditions de Travail = Health, Safety and Working Conditions Committee

**CIL:** Conseiller Informatique et Libertés = data protection adviser

**CNRS:** Centre National de la Recherche Scientifique = National Centre for Scientific Research

**CR:** Chargé de Recherche = Research Assistant

**CS:** Conseil Scientifique = Scientific Council

**CT:** Comité Technique = Technical Committee

**DAF:** Direction des Affaires Financières = Financial Affairs Division

**DAI:** Direction des Affaires Internationales = International Affairs Division

**DAJI:** Direction des Affaires juridiques et institutionnelles = Legal and Institutional Affairs Division

**DGS:** Direction Générale des Services = General management

**DR:** Directeur de recherche = Research Director

**DRH:** Direction des Ressources Humaines = HR Division

**DSI:** Direction des Systèmes d'Information = Information Systems Division

**DU:** Directeur d'Unité = Unit Director

**EPSCP:** Etablissement Public à caractère Scientifique, Culturel et Professionnel = Public Science, Cultural and Professional Institute

**HDR:** Habilitation à Diriger des Recherches = Authorization to Direct Research

**HRS4R:** Human Resources Strategy for Researchers

**IFÉ:** Institut Français de l'Éducation = French Institute of Education

**INRA:** Institut National de la Recherche Agronomique = French National Institute of Agronomic Research

**INRIA:** Institut National de Recherche en Informatique et en Automatique = National Institute for research in Computer and Control sciences

**INSERM:** Institut National de la Santé et de la Recherche Médicale = National Institute for Health and Medical research

**IR:** Ingénieurs de Recherche = Research Engineers

**ITRF :** Ingénieurs et Personnels Techniques de Recherche et de Formation = engineers and technicians staff in research and higher education

**LSH:** Lettres et Sciences Humaines = Arts and Humanities

**MCF:** Maîtres de Conférences = Associate professors

**PR:** Professeurs des Universités = University (Full) Professors

**RSSI:** Responsable Sécurité du Système d'Information = Information Systems and Security department

**SCOP:** Service Contrats et Opérations Pluriannuelles = Contract and Multi-Year Operations Department

**SHS:** Sciences Humaines et Sociales = Human and Social Sciences

**SPST:** Service Prévention et Santé au Travail = Occupational Health and Prevention of Professional Risks department

**UdL:** Université de Lyon = University of Lyon

**UMR:** Unités Mixtes de Recherche = Mixed Research Units

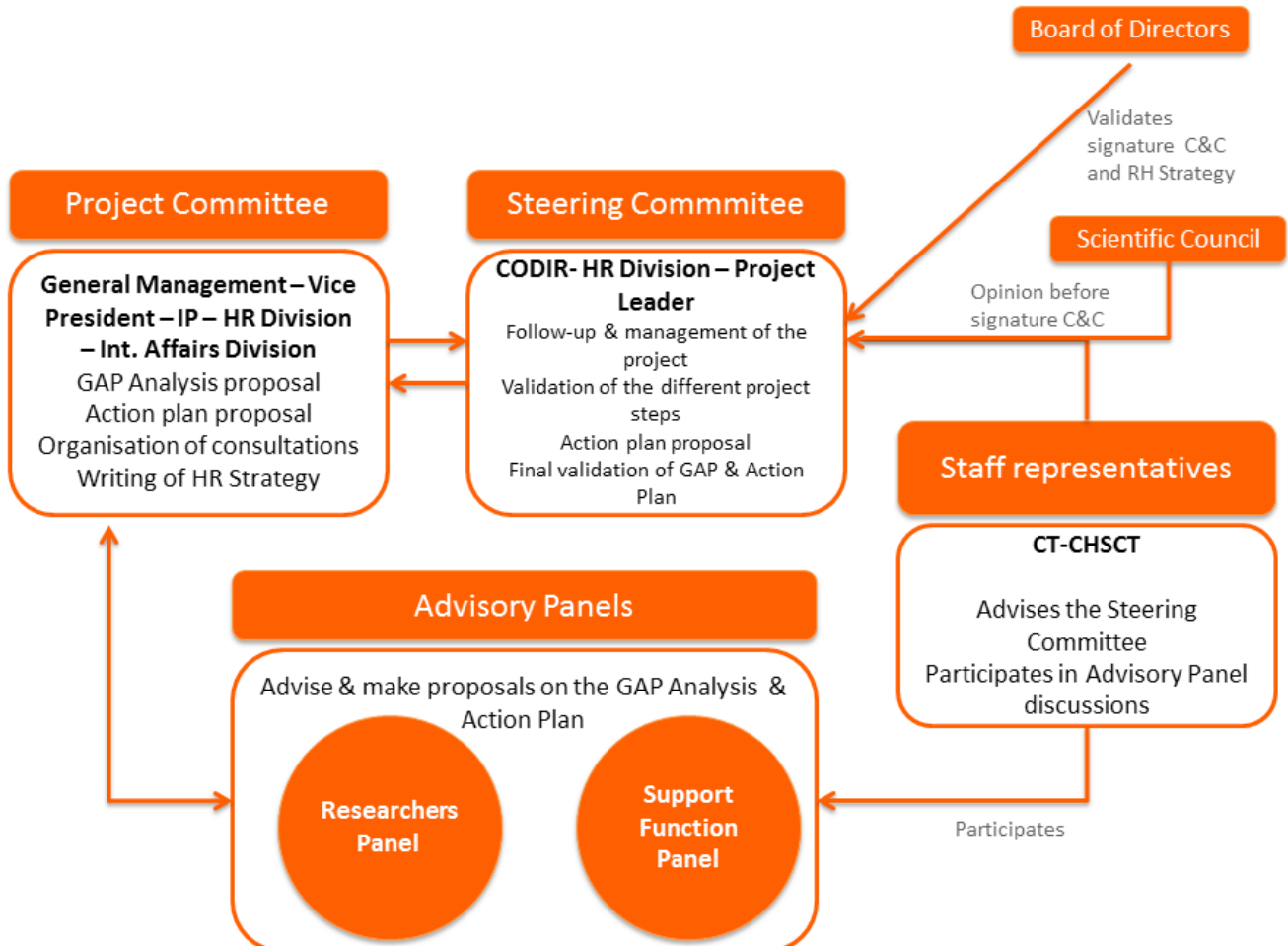
**UMS:** Unités Mixtes de Service = Mixed Department Units





# ANNEX 1

## Structure of the governing bodies for the HRS4R labelling project



# ANNEX 2

## ENS de Lyon declaration of commitment to the principles of the « European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers »

**ÉCOLE  
NORMALE  
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Lyon, Thursday 21 December 2017

Mr Carlos ROEDAS  
European Commissioner for Research  
Science and innovation  
European Commission  
200 Rue de la loi  
1049 BRUSSELS  
BELGIUM

**RE : Declaration of commitment to the principles of the European Charter for Researchers and the Code of Conduct for the recruitment of researchers – Commission Recommendation of 11 march 2005**

Dear Sir,

By this declaration, the Ecole Normale Supérieure de Lyon wants to show its commitment to the principles laid down in the European Charter for Researchers and the Code of Conduct for the recruitment of researchers.

The Ecole Normale Supérieure de Lyon has already implemented several principles of the Charter and Code and will improve and develop other ones. The institution, in this letter, commits to engage in the transnational effort to improve the working conditions of researchers, to provide them a stimulating work environment, to facilitate their mobility, to make research careers attractive and to meet an open, transparent and merit based recruitment by implementing the HRS4R (Human Resources Strategy For Researchers) Process.

The President of the ENS

Jean-François Pinton

