

ÉCOLE  
NORMALE  
SUPÉRIEURE  
DE LYON



HR EXCELLENCE IN RESEARCH

2021-2023

# *HRS4R STRATEGY*

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*Two years  
Self Assessment  
and Update*



ENS DE LYON

# HRS4R Strategy 2021-2023



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

Updated strategy following the two-year self assessment

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# 1. General information

## 1.1 Presentation of ENS de Lyon

### 1.1.1 L'ENS de Lyon

The École normale supérieure de Lyon is a public institution of higher education and research and more precisely an EPSCP, i.e., a public institution of a scientific, cultural, and professional nature.

The École normale supérieure de Lyon is governed by Decree No. 2012-715 of 7 May 2012 laying down the rules of its organization and operation. Article 3 of that text states that :

*« The School provides excellent training to pupils and students<sup>1</sup> destined for the various teaching and research professions in the European Higher Education and Research Area. It also contributes to the training, through research, of senior executives of top French and European administration as well as to reputed companies.*

*Within this goal, ENS de Lyon provides initial and continuous training in all fields of humanities and science, research, in addition to transferring of culture, knowledge and scientific information.*

*It prepares its students for national diplomas at a master's degree level, and beyond as the School is authorized to award qualifications at doctoral level. Moreover, it may issue its own diplomas.*

*ENS de Lyon defines and implements a scientific and technological research policy, striving to enhance it through its publications, scientific and educational productions, patents, and operating licenses. It promotes the support of innovative start-ups and creation of businesses.*

*It collaborates with French or foreign research or higher education organizations in a multidisciplinary and international perspective. »*

The School trains normalien pupils or students, as well as guest students, in a multitude of disciplines, such as : biology ; chemistry ; education and digital humanities ; IT ; languages, literature and foreign civilizations ; literature and arts ; mathematics ; physical ; humanities ; social sciences (history, geography, sociology, economics) ; earth sciences (geology).

Its missions are training through research, knowledge sharing, research, and innovation in education. The strategic objectives of the establishment are the development of individualized paths, interdisciplinarity, digital innovation, openness to society and international influence.

ENS de Lyon hosts :

- 11 departments,
- 21 Mixed Research Units (UMR),
- 6 Research Support Units (UAR),
- 1 Research Unit (UR),
- 1 project hotel,
- 9 technical platforms and platforms,
- 15 junior laboratories.

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<sup>1</sup> In the document, all job posts are for both women and men.

It is attached to 10 doctoral schools. The French Institute of Education and the Diderot Library of Lyon are also part of ENS de Lyon.

#### The history of ENS de Lyon

It dates back to the nineteenth century with the creation of the École de Fontenay, for girls (decree of July 13, 1880) and the École Saint-Cloud, for boys (decree of December 22, 1882). In 1887, by the decree of January 18, these two schools became higher education teacher training colleges for primary education. Over the last century, their goals have been refocused towards the training of secondary school teachers and at a later stage, teacher-researchers, and researchers of higher education. In 1975, the Prime Minister at the time, Jacques Chirac, announced the decentralization of the scientific sections of ENS from Paris to Lyon. In 1985, a decree validated this decision. Therefore, the scientific sections of the ENS of Fontenay and Saint-Cloud moved to Lyon. The literary and humanities sections are grouped in Fontenay, which becomes the ENS Fontenay Saint-Cloud. The actual re-entry took place in 1987 in Lyon on the Monod site for scientists. In 2000, ENS Fontenay Saint-Cloud moved to Lyon, on the Descartes site and became ENS Lettres et Sciences Humaines (LSH) specializing in Literature and Humanities. In 2010, ENS Lyon (scientific faculty) and ENS LSH merged to become ENS Lyon. The following year, the French Institute of Education (IFÉ) was founded within ENS de Lyon.

#### 1.1.2 Workforce

ENS de Lyon currently has **2,469 students**.

There are also **1,173 researchers<sup>2</sup>** in total<sup>3</sup> :

- 645 are housed on site
- 157 are foreigners.

The full staff are university professors (known as PU in French), lecturers (MCF), research engineers (IR), associate professors (PRAG), associate preparers (AGPR).

Temporary teaching and research attachés (ATER), post-doctoral fellows and doctoral students are contracted. They are paid either from State resources or from own resources and have a contract. All doctoral students are enrolled in a doctoral school.

## 1.2 Current context

**ENS de Lyon obtained the HRS4R label in March 2019.**

Since then, the School's priorities have not changed in the application of the HRS4R strategy.

It continues to pursue a process of continuous improvement of its policy for researchers, considering the progress made since obtaining the label.

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<sup>2</sup> When the word *researcher* is used alone, it refers to the entire research community: researchers, teacher-researchers and technical research support staff.

<sup>3</sup> Almost half of the researchers in the laboratories for which ENS de Lyon is responsible are housed in buildings not located on its site.

The measures carried out between 2018 and 2020 of a periodic nature, are therefore intended to be perpetuated. They do not appear systematically in the 2021-2023 strategy but are now integrated into the working procedures. The actions carried out and renewed are carried out with a view to improving a particular point.

The ongoing 2018-2020 measures that could not be carried out on time are by default renewed in the 2021-2023 strategy, so that they may be implemented. Similarly, measures that could not start in 2018-2020 have been extended and renewed for 2021-2023.

As part of the improvements still to be made, new actions will enrich the 2021-2023 strategy along clearly identified objectives.

**However, there are important elements to mention in this context.**

### 1.2.1 Stoppage of the IDEX

From a strategic point of view, an important change occurred at the end of 2020 within the Université de Lyon, impacting ENS de Lyon.

As a reminder, the Lyon-Saint-Etienne site obtained the IDEX (Excellence Initiative) label at the beginning of 2017, a label marking the recognition of the establishment as a world-class center of excellence.

Several themes were the same between IDEX and the HRS4R label, in particular concerning ethics, attractiveness, conditions for welcoming researchers, support for doctors and open access.

A pilot institution, known as “The Target University”, was to be set up in line with this labeling. However, this establishment didn’t see the light of day, thus putting an end to the IDEX label (end of October 2020), the measures, operating methods and related financing.

For several years, the Human Resources Directorate (HRD) in particular, and the School in general focused on the measures to be implemented within the framework of the IDEX, and the necessary prerequisites for the constitution of the pilot institution.

This lengthy work has taken time and sometimes prevented a continuous and regular implementation of the HRS4R action plan.

The discontinuation of IDEX is a major and important change for ENS de Lyon, because the different HR strategy actions must now be carried out in a different way, and with different financial means.

Furthermore, the current period is an intermediate period between the completion of several strategic documents and the preparation of their subsequent documents.

### 1.2.2 HCERES in-house assessment

In 2020, at the request of the HCÉRES (High Council for the Evaluation of Research and Higher Education), ENS de Lyon embarked on an in-house assessment process and in the definition of its strategic development objectives for the next 5 years.

Every 5 years, this independent administrative authority, in charge of evaluating all higher education and research structures, conducts this evaluation process according to 3 components: research structures; training, doctoral schools, doctoral colleges; establishments.

The in-house assessment consists of an inventory, an assessment of the results obtained, an evaluation of the trajectory travelled since the previous HCÉRES evaluation. This approach makes it possible to analyze

the School's strengths and deviations from the objectives set out in the 2015 ENS de Lyon project. It makes it possible to recommend possible improvements and to consider initial prospects.

Of course, the HRS4R strategy was included in this self-assessment, in terms of balance sheet but also in terms of project.

The in-house assessment report and the strategic objectives of the establishment for the next 5 years have been reported to the HCÉRES.

A second stage of evaluation, an external one, will be conducted by the HCÉRES itself. A committee of experts, appointed by the HCÉRES, will organize a visit and interviews, from October 5 – 7, 2021. Following this visit, HCÉRES will produce the final assessment report of the facility.

The implementation of the HRS4R strategy is one of the 10 proposals submitted to the HCÉRES in application with the School's 2021-2026 strategic objectives, thus participating in the overall implementation of the School's strategy.

### **1.2.3 Other strategic measures**

The following are also in progress :

- The construction and renewal of the School's new training program, impacting the School's teacher-researchers in their teaching activity.
- The renewal of the five-year agreements between the national research organizations (CNRS, INSERM, INRIA, ...) and the institutions of the Université de Lyon (UdL), which formalize the contribution of these organizations, essential to the research activity of the laboratories.

## 2. Self evaluation

ENS de Lyon complied with the self evaluation process of its HRS4R strategy by carrying out an internal review of it over the first two years of its implementation.

### 2.1 General overview of the process implementation of the 2018-2020 strategy

⇒ **The overall strategy of ENS de Lyon is taking shape in the local strategic framework of the UdL, via the five-year site contract of the UdL.**

The HRS4R strategy is part of an approach of continuous improvement of the procedures and policy of ENS de Lyon, not only for researchers but also more generally.

For example, ENS de Lyon has obtained the label "Bienvenue en France" (3 stars), a French label granted to institutions that deploy a quality policy to welcome international students.

In addition, a sustainable development mission was set up at the end of 2020, placing ENS de Lyon in the strategic logic of the ecological transition. A collective including researchers is also active on the subject.

The implementation of the HRS4R strategy is therefore part of this general quality policy framework.

⇒ **Beforehand, it should be noted that the school officially began the implementation of the HRS4R strategy following the positive response to the application for certification in March 2019.**

Some measures nevertheless started as early as 2018, but the plan initially planned for 2018-2020 has therefore fallen behind schedule. This may explain, in part, why some measures are still ongoing, or have not yet begun.

Various difficulties also explain the overall delay in the implementation of the strategy.

Firstly, **in terms of human resources** : The HR Director having undergone changes in the head of the teachers, teacher-researchers department during this period, the actions within this perimeter may have taken an additional time. In addition, between obtaining the label and November 2020, following the departure of certain employees, there was no dedicated staff to coordinate the work on HRS4R and promote its transversality.

**In strategic terms**, all the departments of ENS de Lyon have long been absorbed by the project of the Target University and the need to work on pooling work procedures, leaving little time for other projects. The IDEX ruling put an end to this concern at the end of 2020, as previously mentioned.

**Finally, in health terms since March 2020**, the crisis linked to the Covid-19 pandemic has had a significant impact on work in general and on the implementation of the HRS4R action plan. The lockdowns, and the need to work remotely<sup>4</sup>, have caused a slowdown in the implementation. The School's concerns focused on :

- the need to ensure the courses: rapid implementation of distance learning by the Development of Digital Learning and Knowledge (DUNES), then, from the beginning of the 2020 school year, co-modal teaching.

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<sup>4</sup> A reflection is undoubtedly needed to measure the impact of working from home (which has increased since the beginning of the COVID-19 epidemic) in terms of prevention of psychosocial risks and sustainable development.

- the need to ensure the health of everyone.

⇒ **From the point of view of working methodology.**

The project and steering committees have undergone some changes from their original composition (see below), but their respective roles of operational control and strategic control have been retained.

The monitoring of the implementation, the control of the indicators was carried out by the HRS4R project manager with a collection of the data from each department involved, then their analysis, their synthesis, and their restitution to the two committees.

⇒ **Some figures concerning the implementation of the 2018-2020 action plan.**

53 measures were planned, 2 were grouped together.

In addition, 4 measures that were not planned but perfectly integrated into the HRS4R strategy were carried out over the period.

This brings the total number of shares to 56.

Of this total, the status of the measures can be broken down as follows :

Statut	Nombre d'actions
Abandoned	5
In progress	6
Extended	4
Completed	41
Total	56

**The implementation rate of the measures over 2018-2020 is therefore 73%.**

⇒ **Among the measures implemented and those that have been completed, some have not been renewed in the revised 2021-2023 strategy, but are now integrated, as sustainable procedures, into the institution's HR policy.**

Those that are renewed are usually because one or more points remain to be completed and improved.

In the revised plan, 29 measures (completed, in progress and extended) are therefore renewed, and 18 new measures have been added, bringing the revised plan to 47 measures for 2021-2023.

⇒ **The analysis of the results of the implementation of the strategy has made it possible to highlight areas for improvement of the strategy in terms of content, in particular :**

- Formalize a plan in favor of professional equality and related actions, within the regulatory framework concerning the law of transformation of the civil<sup>5</sup> service.
- Increase institutional and administrative communication in English for researchers.
- Accentuate measures that promote the ethical principles of research : scientific integrity, policy in favor of open science...

<sup>5</sup> LAW No. 2019-828 of 6 August 2019 on the transformation of the civil service.

- Formalize an open, transparent, and merit-based recruitment policy (OTM-R) and breaking this policy down into actions.
- Formalize a summary document on career support of researchers.
- Develop the specific training offer for teacher-researchers and researchers that was put in place since 2018.

⇒ **In methodological terms, the areas for improvement are as follows :**

- Improve communication around the HRS4R strategy, including through a communication plan.
- Better involve researchers in the implementation of the strategy.
- Continue the methodical coordination of implementation, by promoting cross-cutting work between departments.

### 2.1.1 Preparation of the self-assessment

As soon as the project manager was appointed in November 2020, a consultation with all the departments concerned was carried out to assess the implementation of the action plan, and on the priorities to be developed in the revised plan.

The project manager liaised with the different department, collected the data as well as the report of the different measures. After analyzing the data, areas for improvement have emerged to guide the revision of the strategy with the measures to be renewed and new measures to be implemented.

These objectives relate, on the one hand, to the shortcomings still observed in relation to the principles of the Charter and the Code and, on the other hand, to the improvement to be carried out in terms of the implementation of the strategy for the coming years.

The work carried out to achieve the internal assessment and the revised strategy has been completely transversal.

As set out in the 2018-2020 strategy document, the two committees (project and steering) had the task of validating the internal assessment and the new action plan for the revised strategy.

The committees met specifically for this purpose on the following dates :

- Project Committee : 3/03/2021
- Project Committee : 12/04/2021
- Steering Committee : 26/04/2021

Between each of these points, the process was completed by times of information collection, exchanges, and formatting of documents (via the use of Microsoft's OneDrive Cloud). Several email solicitations from project committee members also took place.

An HRS4R storage space has also been created within the Nuxeo EDM, for the submission of strategic documents.

After this validation of the two committees, the revised 2021-2023 strategy was submitted to the following bodies :

- in the Scientific Council on 23/06/2021
- in Technical Committee on 29/06/2021
- in the Board of Directors on 09/07/2021

### 2.1.2 Implication of the research community

Information and communication on the HRS4R strategy to the research community, as well as the involvement of this community in the implementation, are areas for improvement for 2021-2023. Ad hoc requests have taken place, but are to be developed, according to modalities that remain to be defined.

For example, the Vice-Presidency for Research (VPR) and the Bibliothèque Diderot de Lyon (BDL) organized a round table with researchers in November 2020 to discuss open science and analyze the actions that can be taken in this direction.

Former Unit Directors (DU) were also asked to give a reflection on the essential elements to be delivered in terms of scientific publications in laboratories.

A working group made up of ex-DU worked on the drafting of a Mentor Charter.

In terms of control, six researchers from R1 to R4<sup>6</sup>, spread over the two sites of the establishment, are part of the steering committee and as such have the mission of participating in the validation of the internal assessment and the revised strategy.

Two researchers (Monod site and Descartes site) were integrated into the project committee at the beginning of 2021 and therefore participate concretely in the development of the internal assessment and the revised strategy.

A public consultation of staff and a qualitative survey of researchers were planned but could not be carried out in time. The survey will be conducted in the second half of 2021, and its results will help refine the revised strategy for 2021-2023. Public information will have to be programmed every year.

### 2.1.3 Role of the HRS4R committees

ENS de Lyon has two HRS4R committees.

Their composition has evolved since the labeling to strengthen the involvement of the research community on the one hand, and to strengthen the communication objectives on the other hand.

**The Project Committee** manages the operational part of the strategy. It is composed as follows :

Directorate-General for Services : Director-General for Services  
 Human Resources Department : Director of Human Resources  
 Human Resources Department : Head of the department of teaching staff and teacher-researchers  
 International Affairs Department : Head of the Cooperation & International Partnerships Department  
 Communication : Director of Communications

<sup>6</sup> European framework defining the profiles of researchers according to their level of experience: <https://euraxess.ec.europa.eu/europe/career-development/training-researchers/research-profiles-descriptors>  
 R1 : First-level researcher (up to PhD)  
 R2 : Recognized researcher (doctor or equivalent not completely independent)  
 R3 : Senior researcher (independent researcher – lead for a country, scientific coordinator of a project)  
 R4 : Principal Investigator/Lead Investigator (Distinguished Researcher in their specific field)

Vice-Presidency Research : Vice-President Research  
Vice-Presidency Research : Head of the Project Engineering Department  
Vice-Presidency Research : HRS4R label project manager  
Researcher : an ENS Lecturer at LARHRA  
Researcher : an ENS Lecturer at LARHRA

**The steering committee** manages the strategic aspects. It is composed as follows :

President of ENS  
Director of the University President's Office  
Vice President Research  
Vice-President Studies  
Director General of Services  
Researcher : a PhD student from RDP  
Researcher : a GATE post-doctoral fellow  
Researcher : an ENS Lecturer at IRHIM  
Researcher : an INRIA Research Director at THE LIP

The HRS4R project manager (member of the project committee) collects the data, the indicators, makes the analysis, and proposes the syntheses to the project committee for discussion and validation.

The project committee meets twice a year and is called upon as necessary when changes in personnel or objectives or operational changes are necessary: reformulation of actions, change of schedule, change of indicators...

The steering committee is intended to be asked to validate the strategic objectives, so essentially at the key moments of the labeling: submission of the file, internal report and the revised plan, and phases of renewal of the label.

Outside these times, the steering committee can be requested to meet if it is exceptionally necessary to significantly modify the strategy.

Anything relating to problems or changes in implementation remains the responsibility of the project committee.

#### **2.1.4 Integrating the HRS4R strategy in the strategy of the establishment**

When ENS de Lyon began working on the HRS4R label process in 2017, the perspective of the principles of the *Charter* and the *Code* and the existing one was mapped out regarding the strategic orientations of the establishment : strategic objectives dating from 2015 and five-year site contract 2016-2021. It turned out that, overall, the HR policy implemented in the institution for researchers showed a good fit with these principles, with room for improvement. The label was then awarded in 2019, and the HRS4R strategy was implemented from that point on.

Departments such as human resources or the research vice-presidency have included the processes of implementing the action plan in their respective department strategies. HRS4R objectives therefore participate in the Human Resources master plan that serves as a guide for the implementation of the HR policy. Similarly, the HRS4R strategy is one of the cogs in the quality policy implemented by the Vice Presidency Research, with the aim of offering attractive working conditions for researchers.

In terms of human resources, a FTE has been released as of November 2020 to promote the ramp-up of the implementation of the strategy.

The strategy was mentioned in the activity reports of the establishment in 2019 and 2020.

At the level of the overall organization of the establishment, the HCÉRES in-house assessment made it possible to examine the HRS4R strategy both in terms of results and prospective plans. This led, as mentioned above, to the inclusion of the implementation of the strategy among the 10 concrete proposals submitted to the HCÉRES (Strategic Objectives 2021-2026 of ENS de Lyon), showing in this the progressive importance that the label has taken at ENS de Lyon, as well as the procedures related to it.

The 2021-2026 strategic objectives of ENS de Lyon develop objectives in total correlation with the principles of the *Charter* and the *Code*, and therefore the HRS4R strategy of the School, for example :

- Promote the incoming and outgoing mobility of researchers, both by structuring the arrival and reception of international staff and by promoting the Leave for Research or Thematic Conversions (CRCT) for ENS teacher-researcher staff.
- Develop the objective of sustainable development initiated by the establishment which has fixed that objective. Researchers have a role to play both in teaching and in research projects on this ethical concept.
- Increase the promotion of open science in all its implementation aspects.
- Finalize the formalization of a "quality of life at work" plan.

The aim is to anchor the inclusion of the HRS4R strategy in the overall strategy in the long term, continuously improving the quality of the procedures and services offered within the framework of HRS4R.

### 2.1.5 How the project follow-up was implemented

#### 2.1.5.1 Methodology

As previously stated, the School did not really start implementing the strategy (apart from a few measures started in 2018) until the request for the label had been accepted in March 2019.

Due to different circumstances, the project could only be coordinated transversally from the end of 2020, with the appointment in November, within the research vice-presidency department, of an employee 100% dedicated to the coordination of the project (1 FTE).

Upon her appointment, the project manager established a methodology for monitoring the implementation of the action plan :

- Use of a space dedicated to the project in the internal shared files of ENS Lyon staff for cross-cutting work facilitated on the follow-up documents.
- Organization of periodic meetings with the departments involved : remotely, on site, and by telephone.
- Follow-up forms for meetings with systematic reporting, readable by all departments : each department can therefore know what has been said in operational and forward-looking meetings other than its own.
- Implementation monitoring sheets and indicators for each measure to be carried out. Linking departments to each other for all cross-cutting measures.
- Assistance and support in implementation in case of difficulties encountered.

- Information with update of the HRS4R page on the School's website with follow-up and status of action plan.

### 2.1.5.2 The different steps of the follow-up procedure

The Project Committee met at least twice a year to ensure that the timetable was met and to make any necessary adjustments to both the timetable and the indicators. Adjustments could also be to reformulate a measure, modify or delete it.

Between these formal times of follow-up and exchanges, the project manager regularly carried out milestones with the services involved to monitor the progress of the actions, relaunch the services concerned and raise awareness of the HRS4R strategy and requirements among newcomers if necessary.

These meetings were, depending on the needs, by email, by telephone or face-to-face meetings or by videoconference.

The frequency of these discussions depended on the nature of the measures to be carried out by the departments and any difficulties encountered.

The use of scorecards has been an important tool for measuring progress. The frequency of completion of these sheets depended on the type of action and its periodicity.

Finally, the project manager also provided statistical tables to the project committee to measure the rate of implementation of the measures implemented (completion, in progress, extension, abandon rate...).

## 2.2 Strengths and areas of improvement

Following the internal review carried out after two years, the strengths and areas for improvement were reviewed in the four main areas of the Charter and the Code. By reassessing the initial strengths and weaknesses, the first phase of the implementation of the action plan has led to the following conclusions :

### 2.2.1 Ethical and professional aspects

**ENS de Lyon has worked on its strengths in terms of ethical and professional aspects in the following ways :**

- Continuation of information, training and communication on ethical aspects in general : establishment of a Deontology Commission, approval from the National Charter of Research Professions, and promotion of the UdL's ethical MOOC.
- In addition, a Sustainable Development plan was launched in October 2020. The ecological transition will be one of the strategic objectives of the future establishment project.
- Quality policy in legal matters : a dematerialization of the circuit of research agreements and contracts has been put into place, making it possible to gain in efficiency (GED Nuxeo).
- Data protection :  
IT advice on securing and optimizing research data was conducted by the ISD and laboratory IT specialists, resulting in an increase for researchers' computers.

The DPO has carried out several information, advice and support measures concerning the protection of personal data in the field of research. In 2019, the Technical transfer and development department organized an "Open Science and development" day, with one of the points focusing on the collection of research data and good practice in the management of research data.

- Advice to researchers in the field of intellectual property, support and advice for the assembly and financing of projects : the actions have continued and developed within the Technical Transfer and Project Engineering departments.
- Promotion of open science :  
Increased publication repositories on the HAL institutional resources between 2018 and 2020.  
Several information campaigns carried out by the BDL.  
Continuation of the policy of making scientific publications available in open data by the Perseus Research Support Unit (UAR).
- Continuation of the measures of the Prevention and Occupational Health Service: notably the disability policy, and during the recent health crisis, increased prevention of psychosocial risks. NB: a new Disability Master Plan 2021-2023 is being validated, focusing on training and digital accessibility, as well as the continuation of the specific support offered to doctoral students.
- Full compliance with the accessibility and security rules of the 2 sites (Monod and Descartes).
- Numerous training sessions, information and awareness campaigns have been carried out by the establishment, by the equality officer in the field of equality, non-discrimination, and the fight against harassment, and are to be<sup>7</sup>consolidated.

**The areas for improvement over the next three years are as follows :**

- Continue to increase institutional and administrative communication in English.
- Establish and publish a professional equality plan: it should be noted that the 4 main areas of the professional equality plan as requested by the Ministry of Higher Education overlap with principles also mentioned in the European Charter of Researchers and the Code of Conduct for the Recruitment of Researchers. The plan will develop the training, information and awareness campaigns started in recent years. This publication will be even more important as the existence of a professional equality plan in the establishment is a sine qua non criterion when submitting a file for a European call for projects as from 2022.
- Further accentuate measures promoting scientific integrity, open science, the security, and optimization of research data (digital identity, deposit in data warehouses, data management plan...).

### **2.2.2 Recruitment and selection**

**ENS de Lyon has strengthened its recruitment and selection policy in various ways :**

- Continuation of the attractiveness policy: regarding the recruitment of teacher-researchers, the attractiveness of the School is based on the high quality of the students, training programs and laboratories, as well as the engrained balance between research and training. Therefore, newly

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<sup>7</sup> See schemes related to equality and non-discrimination in "5. Revised Plan 2021-2023".

recruited lecturers benefit from compensation for teaching hours. An "Attractiveness" call for tender (funded by the "research fund") is also offered to any newly recruited university professor (external recruitment) to promote the launch of his research for 3 years (from €50,000 to 150,000).

- Continuation of the quality policy in terms of management and implementation of recruitment: the annual management dialogue allows the VPE and the VPR to identify financial and human needs and consequently, fine-tune employment campaigns as much as possible.
- Formalization of documents to make recruitment procedures more transparent: guidelines for post-doctoral students, a guide for members of selection committees, clarification of criteria for specific doctoral contracts.
- Specific measures for staff with disabilities: disability employment grants, support for the employment of disabled doctoral students, specific information added to job offers for to assist candidates with disabilities.
- Promoting mobility by informing about "Leave to Carry Out Research or Specific Purposes" (CRCTs in French. NB : The School's budget includes a significant component of 14 semesters of CRCT per year), and through interviews<sup>8</sup> from visiting professors.
- Partnership between the HR Department and the DAI for administrative support of foreign researchers wishing to apply.
- Comprehensive publication of lecturing positions (known as MCF in French) and university professors (PU) in English on Euraxess, as from this year.

#### **The areas for improvement are as follows :**

- Formalize the Open, Transparent and Merit-Based Recruitment Policy (OTM-R). Indeed, even if all the necessary information is present on the School's website, a summary document has not yet been written. It has been planned to do so in the coming months. Clarifications should also be provided, for example: on the criteria for recruiting doctoral students, on the modalities that will make it possible to attract more external applications and more applications from women.
- Implement the training of the vice-presidents of the selection committees (COS): The choice is made to offer the training to the vice-presidents and not to the presidents of the selection committees: indeed, the presidents of the COS are external members while the vice-presidents are internal members of ENS de Lyon. The training will cover the regulatory aspects but also advice on the criteria of "selection" and "merit judgment" in accordance with the principles of the Charter and the Code, as well as the Report from the Experts of the European Commission on the OTM-R.
- Job offers for research contract workers: systematize the specific mention for candidates with disabilities as well as the categorization in R1/R2 and standardize the publication of job offers in English on Euraxess for research contract workers in general.

#### **2.2.3 Working conditions**

##### **ENS de Lyon has made improvements in terms of working conditions in various ways :**

- Improvement of the policy in favor of professional equality: a process of reflection has been carried out for several months on the formalization of a "Professional Equality Plan". An equality

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<sup>8</sup> The interviews are like a business card for the researcher, specifying dates of stay and research projects (for a visiting professor). Other interviews with researchers take the form of transcribed or video interviews.

& non-discrimination officer is to be recruited in the coming months who will ensure that the Professional Equality Plan currently being drafted will be implemented in the correct manner.

- Communication on disability policy : the disability project manager has continued and stepped-up work on information, communication, and awareness campaigns on the subject, in line with the Disability Program.
- Implementation of specific provisions for doctoral students : proposal of 3-year doctoral contracts, implementation of a 3-year thesis funding requirement, introduction of a minimum number of eligible resources for staff preparing a thesis. All these provisions are intended to promote a stable and non-precarious working environment for doctoral students during the period of preparation of their thesis.
- Development of communication and access to information on their working environment for researchers :  
General information : the new ENS intranet has developed a dynamic interface with selecting per type of staff and providing targeted access to services according to each administrative profile.  
Administrative information : designation of two HR staff members as contact people for researchers, increased communication on the possibilities of part-time work and study leave, production of a guide on researchers' pay policy (salary, bonuses), drafting of management guidelines concerning the mobility of ENS staff (teachers and teacher-researchers), implementation in the first quarter of 2021 of a quarterly HR newsletter for staff administrative and research staff, teacher-researchers.
- Recognition of the profession : systematic honoring of researchers who have received a prize on the school's website, honoring researchers who have obtained funding for research projects.
- Establishment and/or development of support mechanisms, assistance, and advice for research work : creation in 2020 of an Events and Congress unit at the VPR to support researchers and research teams in all stages of the organization of scientific events, accentuation of awareness-raising actions of the technical transfer and development department and the Project Engineering department

NB : in the context of the health crisis : The department Development of Digital Learning and Education (DUNES) implemented technical solutions enabling distance learning from the first lockdown (March 2020). DUNES has also developed training, tutorials and a help desk.

**The areas for improvement are as follows :**

- Formalize a charter on career support for researchers. This document will apply many of the principles of the Charter and the Code.
- Further develop counselling actions for career guidance and development : by finalizing a Mentor's charter, systematizing early career interviews with the VPR and VPE for lecturers (MCFs) and university professors (PUs), appointing a teacher-researcher reference person, or setting up spaces for exchanges and discussion between researchers at all levels.
- Through the measures that will be implemented through the Professional Equality Plan of ENS de Lyon, promote gender balance in terms of promotion and equal access to jobs in research professions.

## 2.2.4 Training and development

**ENS de Lyon has also made improvements in terms of training and career development in various ways :**

- Development of a specific training offer for researchers (including pedagogical training) : major efforts have been made by the training department and need to be continued to fine tune the training offer.
- Communication on this specific training offer : presentation of a catalogue, periodic newsletters.
- Permanent integration of researchers into the global system of annual collection of training needs, via the "Selection" tool.
- Implementation of mandatory training for all trainee lecturers, from 2018 (32 hours per year at least).
- Specific training available for researchers on intellectual property, project management and fundraising, conducted jointly by the Technology Transfer & Development department and Project Engineering departments. Set up in 2020, this training was much appreciated and has therefore been rescheduled.

**The areas for improvement are as follows :**

- Develop, fine-tune, and promote the offer of specific training for researchers set up since 2018. This will include a survey by the end of 2021 for a more precise needs analysis.
- Set up training for researchers supervising a doctoral student for the first time, on the aspects of supervision of doctoral students, reminder of ethical rules, scientific integrity, etc.

## 2.3 Report on OTM recruitment policy

### 2.3.1 Measures taken in relation to 2018-2020 Action Plan implementing the OTM recruitment principles

- Communicating the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers to newcomers
- Offer job grants for doctoral students with disabilities
- Support doctoral students and post-doctoral students with disabilities in finding employment and simulation of job interviews
- Add information in job offers for research contract workers on opening positions for people with disabilities
- Establish a HR /International Support team to answer the questions of foreign researchers who wish to apply
- Publish job offers in English on Euraxess

- Write a regulatory guide on the organization of competitions, for members of selection committees
- Make resources available to the selection committee chair and selection committee members on how to conduct an interview.
- Add a section giving advice to candidates on how to apply
- Give specific information for the recruitment of post-doctoral students
- Establish a guide on researchers' pay (salary, bonuses) in French and English

### 2.3.2 What about reporting ?

- ⇒ The OTM-R policy has not yet been formalized but all the necessary information on the different types of recruitment can be consulted on the school's<sup>9</sup>website.

All this information will be summarized in a specific document which will be decided on in the coming months.

In addition, another summary document (action 47 in the revised action plan) is being studied to formalize all the measures implemented on the recruitment and specific support of researchers (career monitoring and guidance, skills development, attractiveness policy, etc.).

The OTM recruitment policy may possibly be included in this summary document.

- ⇒ Regarding the implementation of the eleven measures relating to OTM recruitment (listed above) and the updating of the OTM-R checklist (Appendix), the following assessment may be made concerning the implementation of the OTM-R principles.

Overall, ENS de Lyon has implemented most of the principles of OTM recruitment, on the one hand, because the recruitment of researchers is very regulated in France, and on the other hand, because the school is very active in terms of its attractiveness policy.

The following remains to be done:

- organize regulatory and practical training for vice-chairs of selection committees
- improve the attractiveness of the School for women, particularly for university professorships
- standardize the filing of all job offers in English on Euraxess, specifying the levels of R1 to R4
- develop a system to evaluate the MTM recruitment policy

The revised strategy for 2021-2023 will therefore include actions to improve the school's OTM-R policy.

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<sup>9</sup> <http://www.ens-lyon.fr/lecole/travailler-lens/recrutement-et-offres-demploi>

### 3. Methodology of implementation of the 2021-2023 strategy

#### 3.1 Follow-up process and evaluation of the implementation

Subject to changes to be made after implementation, the proposed working methodology will be as follows.

HRS4R officers will be appointed in each department involved and will be responsible for periodically reporting the key indicators to the project manager. They will be the contact people in their department concerning the HRS4R strategy and will be able to raise remarks, difficulties, and questions. If necessary, they will be responsible for grouping the data, if several people in the department are working on different measures.

The periodicity of meetings between the appointed officers and the project manager will depend on the involvement of the different departments in the strategy, the number of measures for which they are responsible, as well as the type of initiative that must be implemented (single, recurring, periodic measure...).

The meetings will also provide an opportunity to raise issues related to the measurement of key indicators, as appropriate.

It is planned to organize two meetings per year with all the focal points and the project manager to provide summary data on the progress of implementation, to exchange on the issues and problems encountered and so that each department has a transversal vision of the strategy.

The monitoring sheets of the indicators put in place as part of the internal review will be made permanent, with formal amendments. These files are shared so that they can easily be filled in and consulted by all those involved in the implementation.

The project manager will analyze the indicators and draft assessments and summaries for the two committees. She will provide statistics, as they do for internal reporting.

The two committees will therefore continue to carry out the same monitoring and evaluation tasks as in the first two years.

An annual quantitative and qualitative review will be submitted for information purposes to the ENS community, as well as to the researchers.

The regular updating of the HRS4R page of the website by the project manager will also show the progress made.

The forthcoming development of an HRS4R communication plan by the School's communication department will be an indispensable aid to monitor implementation in the context of the external evaluation and the renewal phase of the label.

The use of a collaborative work platform is also possible to promote the effective monitoring of the implementation and facilitate communication between departments. User tests are underway on the OSMOSE platform, made available to state agents by the French Ministry Digital Directorate.

## 3.2 Preparation for the external review

It will be necessary to precisely analyze the Feedback from the European Commission will need to be analyzed concerning the in-house evaluation and the recommendations of experts to learn from and fine-tune the revised strategy.

The survey of researchers that will be conducted in the second half of 2021 will also go in this direction.

The lessons learned from the examination of all these elements will be submitted to the project committee and the steering committee to validate the adaptation of the revised strategy, both in terms of the methodology of the implementation and the actions to be carried out.

The coordination of implementation between the departments, the monitoring of the progress and difficulties faced, analysis of all the data, the assessments provided: all these elements will make it possible, in terms of working methodology, to prepare well for the external examination.

In addition, it will be necessary to reflect on the ways in which researchers can be more involved in the implementation of the strategy, not only as recipients but as stakeholders in it. Progress on this point will be a step forward in the perspective of the external review.

In addition, communication around the HRS4R strategy will need to be stepped up. Consideration should be given to how information on developments and progress in the implementation of the strategy could be provided on a regular basis.

An HRS4R communication plan will therefore be drawn up by the Communication Department of ENS de Lyon.

Finally, it will be wise to set up an exchange of HRS4R practices with the other HRS4R-labelled establishments on the Lyon-Saint-Etienne site, or for those which are in the process of gaining the label.

It will be useful to extend this network to other French labelled establishments that have already gone through the external examination phase, to get advice when needed.

## 4. Conclusion

- ⇒ **The revised HRS4R strategy was established for the calendar years 2021 to 2023, with a view to conducting the renewal phase of the HRS4R label by the end of March 2024, the label having been obtained at the end of March 2019.**

This process of renewing the label will begin in 2023 with the preparation of a new internal assessment and the preparation of a revised action plan for 2024-2026.

As part of the continuous improvement process pursued by ENS de Lyon, it goes without saying that there will be no interruption in the implementation of the strategy between the end of 2023 and the beginning of 2024.

Pending the return of the application for renewal of the label after filing of the internal review and the revised strategy 2024-2026, the School departments will follow the implementation of the strategy in its final stages and the beginning of a new one.

- ⇒ **The two-year self evaluation phase highlighted the progress made by the School in recent years as part of its HRS4R strategy, but also the prospects for improvement and the lessons to be learned.**

ENS de Lyon is committed to implementing its HRS4R strategy in a process of continuous improvement of its HR procedures and harmonization of its strategy within the guidelines set out in the Charter and the Code.

All recommendations from the experts of the European Commission, and all the feedback from the staff concerned will be considered for this purpose.

The objective remains to provide the most efficient working environment for researchers, combining the specificities of the institution and harmonization with European practices in the research world.

The HCÉRES in-house evaluation period (end of 2020/beginning of 2021) and the resulting development objectives give the HRS4R strategy its full place in the overall policy of the Establishment.

In the coming years, ENS de Lyon will need to maintain this initiative, which will contribute to the attractiveness and excellence of the School.

## 5. Revised action plan

The 2021-2023 HRS4R Action Plan comprises of 47 measures, spread over the four main areas of the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers: I. Ethical and Professional Aspects, II. Recruitment and selection, III. Working conditions and social security and IV. Training and career development. It involves 7 departments within the establishment.

Of these 47 measures:

14 concern communication (C)

23 involve development (D)

10 are under formalization (F)

29 measures of the 2018-2020 strategy have been renewed. 18 measures are new.

Depending on the nature of the initiative, the periodicity of their implementation varies. The timetable for action and the indicators are also subject to change depending on the circumstance

Ethical and professional aspects				2021		2022		2023		Responsible units	Indicators	Current status	Remarks
GAP Principles	N°	Actions	Type	S1	S2	S1	S2	S1	S2				
1. Freedom of research	1	Communicate the <i>Charter</i> and the <i>Code</i> to new arrivals	C	X	X	X	X	X	X	COM	Number of communications	Completed and renewed	New way of communication : add the <i>Charter</i> and the <i>Code</i> to the researchers and teacher-researchers welcome book. Initiative that will be transferred from HR to the COMMUNICATION Department.
4. Professional Attitude	2	Reinforcement of awareness of researchers for calls for research projects	D	X	X	X	X	X	X	VPR	N° of awareness campaigns per year	New initiative	This initiative has been carried out by SIP. The prospecting initiative and awareness campaign for a call of research projects are already in place at ENS. Their reinforcement during the upcoming period with European news to know the new program of the European Union for research and innovation 2021-2027 (Horizon Europe), and the necessity to inform and give good advice to the researchers.
7. Good practices in the research sector	3	Develop promotion of research through the library	D					X	X	BIB	N° of requests from bibliometric studies. N° of files along with writing of a PGD/DMP	New initiative	Objectives : reply to all requests from the laboratory, researcher in bibliometric, data management plans, platform of journals in open access.
	4	Pursue awareness campaigns concerning IT security	C	X	X	X	X	X	X	DSI	N° of awareness campaigns per year	Completed and renewed	It's planned to send a quarterly email as well, as specific emails in function of needs and the news.
	5	Pursue supporting researchers to optimize and secure their data.	D	X	X	X	X	X	X	DSI	N° of computers calculated N° of initiatives carried out by DPO	Completed and renewed	NB : New computers available through the IS departments are systematically calculated. Moreover, a new campaign has been calculated for ENS computers is planned for the last quarter in 2021. Implement systematic yearly collecting of data on computer calculated in all laboratories.
8. Publication and exploitation of results	6	Encourages researchers to publish more their research using open access with availability on appropriate open archive platforms	C	X	X	X	X	X	X	BIB	Number of notices reported Number of full-text publications on the HAL open archive	Completed and renewed	Implementation measured only with HAL for 2018-2020. Other open archive repositories will be measured over the period 2021-2023

Ethical and professional aspects			2021		2022		2023		Responsible units	Indicators	Current status	Remarks	
GAP Principles	N°	Actions	Type	S1	S2	S1	S2	S1					S2
8. Publication and exploitation of results	7	Increase the visibility of open access search results	C	X	X	X	X	X	X	BIB	Number of initiatives Number of participants Number of notices from research authorities at the ENS dealt with in IdRef and number of related records Evaluation of APCs in relation to electronic documentation	Completed and renewed	The Diderot Library of Lyon correlates the cost of the PCAs of the publications of the researchers of the ENS of Lyon on the one hand and the electronic documentation to which it is subscribed on the other hand (annual recurring approach from the first half of 2021). Alignment of the authorities of the contributors of the ENS Editions to catalogue (monographs and periodicals in the 1st half of 2021). Alignment of the authorities of former pupils and students of ENS de Lyon (test on ENS Sciences alumni from the alumni database in the second half of 2021). Alignment of the IdRef and IdHal identifiers of the researchers of ENS de Lyon : 2022. Ultimately, development of a barometer of open science : 2023.
	8	Strengthening services to researchers at the library	D	X	X	X	X	X	X	X	BIB	Number of training courses Number of persons trained Number of hours of training	New initiative
9. Commitment to society	9	Periodically organize a seminar for the general public by a researcher	D	X	X	X	X	X	X	VPR	Number of seminars organized	New initiative	It is planned to organize a public seminar once a month of one researcher for all the staff of the School (students, administrators or researchers). The themes of the conferences would be chosen and arbitrated by the Research Vice-Presidency. It started in 2021 with the organization of seminars every three weeks, on the anniversary of ENS LSHS. A public seminar on Covid-19 vaccines, carried out by a researcher hosted on the site, was also proposed internally in early 2021.
10. Non discrimination	10	Formalize a professional equality plan	F		X					HR	Professional equality plan to be formalized before the end of 2021	New initiative	The School works on a professional equality plan to comply with regulatory obligations. This theme is also essential in the context of the initiative, the search for development and exemplary action. It is all the more sensitive to this subject as research on gender and related subjects is pursued within the laboratories associated with it. The occupational equality plan must implement mandatory measures in the following areas : - Evaluation, prevention and treatment of pay differentials. - Guarantee of equal access for women and men to the civil service bodies, job frameworks, grades and jobs. - Balance between personal and professional life. - To combat sexual and gender-based violence, harassment and discrimination.

Ethical and professional aspects				2021		2022		2023		Responsible units	Indicators	Current status	Remarks
GAP Principles	N°	Actions	Type	S1	S2	S1	S2	S1	S2				
10. Non discrimination	11	Recruit an equality and non-discrimination project manager	D	X						HR	Recruitment carried out in the first half of 2021	New initiative	Extract from the job description : "The equality and non-discrimination project manager contributes to the definition, development and implementation of the establishment policy on equality between women and men and non-discrimination within ENS de Lyon. He or she will promote a culture of diversity and gender equality in services. The project manager will report to the HR division and the Presidency, but his/her assignments will be transversal." Recruitment was launched in March 2021.
	12	Train, inform and communicate about harassment and discrimination	C	X	X	X	X	X	X	HR	Number of initiatives per year	Completed and renewed	Included in the professional equality plan. Action that will be implemented by the equality officer and the equality referents.
	13	Set up a reporting system to care for and support victims of gender-based and sexual violence (SGBV) or discrimination	D		X					HR	System put in place in 2021 Number of communications made on the scheme Number of reports processed	Extended	Device adopted in CHSCT of 09/04/2021. Included in the professional equality plan. To be set up.
	14	Make available to equality referents and the equality project manager a follow-up of the number of staff and candidates for the various recruitment competitive exams (distribution of men / women, pay ...)	F		X					HR	Data to be made available by the end of 2021	Extended	The availability of these data will be mandatory in the context of the Single Social Report.
	15	Continue to increase internal institutional communication in English	C	X	X	X	X	X	X	COM	Number of communications in English	On progress	
	16	Continue to increase the availability of administrative forms and documents in English	F	X	X	X	X	X	X	HR	Number of forms and documents translated into English	On progress	
	17	Promote administrative support for foreign researchers arriving in France	D		X	X	X	X	X	DAI	Number of completed support programs/Number of requests	New initiative	This support is envisaged in on an administrative level, but also on a qualitative one. The best possible welcome must be implemented to enable these experiences to be highlighted and the School's image to be promoted internationally.

Recruitment and selection				2021		2022		2023		Responsible units	Indicators	Current status	Remarks
GAP Principles	N°	Actions	Type	S1	S2	S1	S2	S1	S2				
12. Recruitment	18	Continue the proposal of job grants for doctoral students with disabilities	D	X		X		X		VPR	Number of grants obtained	Completed and renewed	
	19	Continue the individual support of doctoral students with disabilities in their professional positioning	D	X	X	X	X	X	X	SPST	Number of doctoral students with disabilities who have support	Completed and renewed	
	20	Add a mention in job offers for research contract workers on opening positions to people with disabilities	F		X						VPR	Mention added before the end of 2021	Extended
13. Recruitment (Code) 14. Selection 16. Judgment of merit 18. Recognition of mobility experience	21	Organize the training of vice-presidents of selection committees (COS)	D			X		X		HR	Training in place by the end of the first half of 2022 Number of Vice-Presidents trained	New initiative	The choice is made to offer the training to the vice-presidents and not to the presidents of the selection committees : indeed, the presidents of the COS are external members while the vice-presidents are internal members of ENS de Lyon. This training will be both regulatory (role of the HR), and practical with concrete elements relating to the criteria to be considered in terms of selection and merit judgment (VPR and VPE)
13. Recruitment (Code)	22	Systematizing the publication of job offers in English on Euraxess	C	X	X	X	X	X	X	HR	Number of job vacancies published on Euraxess out of total vacancies	On progress	In 2021, the HRD publishes all lecturer and University Professor job offers on Euraxess. Laboratories must also systematize this practice for doctoral and post-doctoral positions...
14. Selection	23	Establish a guide for HR managers on OTM recruitment procedures (open, transparent and merit-based)	F		X					HR	Guide to be written before the end of 2021	Extended	
	24	Translate the regulatory guide for selection committee members into English	F		X					HR	Guide to be written before the end of 2021	Completed and renewed	Action renewed for English translation, indicator accordingly.
17. Variations in the chronology of CVs	25	Set up training courses to enhance chronology variations in CVs	D					X	X	HR	Number of training courses set up Number of participants	New initiative	It is planned to set up a partnership with <i>Pôle Emploi</i> to implement this action. This type of partnership takes time.
18. Recognition of mobility experience	26	Continue the online posting of feedback on the school's website (Erasmus +, CRCT...) and communicate about the Guest Teachers	C		X	X	X	X	X	COM	Number of feedback reports Number of portraits of visiting professors	Completed and renewed	
	27	Continue to raise awareness of the CRCT system, presented as an incentive for mobility (international, intersectoral, interdisciplinary) at ENS de Lyon	C		X	X	X	X	X	HR	Number of semesters of CRCT granted	Completed and renewed	

Working conditions			2021		2022		2023		Responsible units	Indicators	Current status	Remarks	
GAP Principles	N°	Actions	Type	S1	S2	S1	S2	S1					S2
22. Recognition of the profession	28	Continue to honor award-given researchers and write interview articles	C	X	X	X	X	X	X	COM	Number of papers produced on the subject	Completed and renewed	
23. Research Environment	29	Increase support for researchers in the organization of events and congresses	D	X	X	X	X	X	X	VPR	Number of symposia organized per year Number of participants planned per event	New initiative	This action is carried out specifically by the Unit VPR events and congresses. NB : the use of video conferencing invites you to measure, where appropriate, the number of participants virtual events carried out according to this modality.
24. Working Conditions	30	Continue communication on disability policy	C	X	X	X	X	X	X	SPST	Number of communications on the subject	Completed and renewed	New actions are planned under the new Disability Master Plan
	31	Improve the accessibility of the intranet page dedicated to researchers and teacher-researchers (English)	C	X	X	X	X	X	X	COM	Creation of a researcher, teacher-researcher profile by 2023 Translation of department names by 2023	Completed and renewed	This initiative follows the creation of the intranet page dedicated to Researchers and teacher-researchers, in a process of improving service proposed. The idea is to create a directory of useful contacts, crossing between a directory and a functional organization chart.
26. Financing and salaries	32	Translate into English the guide on the remuneration of researchers (salary, bonuses)	F		X					HR	Guide translated into English by the end of 2021	Completed and renewed	Action renewed for the English version
	33	Increasing the remuneration of doctoral students	F		X		X		X	VPR	Remuneration of doctoral students increased by the end of 2022	New initiative	In accordance with the programming law of research no. 2020-1674, it is envisaged increase the remuneration of doctoral students of ENS de Lyon according to a schedule that remains to be fixed. The increase should be + 30% in relation to the salary of the doctoral contract current. The increase should be 10% per year over 3 years starting in 2021. Objective : to increase the salary of PhD students and homogenization of the grid of wages between the different co-payments of the research laboratories. 30% targeted increase.
28. Career Development	34	Write a Mentor Charter	F		X					VPR	Charter drafted by the end of 2021	On progress	
	35	Setting up an informal forum for discussion and exchange for young researchers	D			X	X	X	X	VPR	Number of informal meetings organized Number of young researchers participating	New initiative	It is envisaged when the health situation has significantly to organize breakfasts or coffee breaks with some senior speakers of all disciplines : the objective is to promote discussions for young researchers on the expectations or difficulties encountered on research projects, reception etc. Subject to favorable developments in the health situation.

Working conditions			2021		2022		2023		Responsible units	Indicators	Current status	Remarks		
GAP Principles	N°	Actions	Type	S1	S2	S1	S2	S1					S2	
28. Career Development	36	Schedule interviews of lecturers and university professors by the VPR and the VPE 18 months after their arrival	D	X		X		X		VPR	Number of new MCF and PU interviews organized at N+ 18 months	On progress	Joint action VPR VPE.	
	37	Schedule interviews of lecturers by the VPR and the VPE 7 years after recruitment, with the aim of discussing the development of their career and in particular the management tasks	D	X	X	X	X	X	X	VPR	Number of MCF interviews conducted 7 years after recruitment	New initiative	Joint initiative VPR VPE.	
	38	Promoting advice on the orientation and career development of researchers	D				X				VPR	Designation of a lead researcher by the end of 2022	New initiative	Action to be taken by VPR and VPE jointly, as well as with HR (link with the equality officer) : appoint a reference researcher on the subject.
	39	Promote an informal forum for discussion between researchers for sharing experiences and exchanges on professional practices.	D	X	X	X	X	X	X	X	VPR	Number of informal meetings organized	New initiative	The Vice-President Research has set up in 2020 a regular lunch event bringing together 6 directors from all disciplines combined (3 directors of SHS and 3 of EDC). This action was discontinued in the fall of 2020 following the health context and is awaiting recovery. These meetings will make it possible to exchange views in a more informal atmosphere, to get to know each other better between unit directors and to be able to discuss its difficulties and career aspirations. This will also allow for discussion of different practices between human and social sciences and sciences experimental that unit directors discover during joint meetings (meetings of unit directors).
31. Intellectual Property Rights	40	Continue the awareness-campaigns of the Technology Transfer & Development department	D	X	X	X	X	X	X	VPR	N° of awareness initiatives organized	Completed and renewed	Lead by the Technology Transfer & Development department	
33. Teaching	41	Set up training in pedagogy for all teacher-researchers who wish to do so (including doctoral students)	D		X		X		X	HR	Percentage of pedagogy/research training courses attended by researchers/teacher-researchers among all training courses offered and/or Number of participants in training courses	On progress	By the end of 2021, a survey targeting teachers and/or researchers will be deployed to better identify training needs and offer an increasingly adapted training offer.	
35. Participation of decisional bodies	42	Follow the awareness of the importance of the implication of teacher-researchers in the establishment's authorities	C		X		X		X	HR	N° of teacher-researchers involved in the School's authorities	Completed and renewed	This initiative is managed jointly with the HR Director and the VPR.	

Training and development				2021		2022		2023		Responsible units	Indicators	Current status	Remarks
GAP Principles	N°	Actions	Type	S1	S2	S1	S2	S1	S2				
36. Relationships with the thesis/ internship directors	43	Put into place a training programs for researchers managing a doctoral student for the first time	D				X			VPR	Training implemented before the end of 2022	New initiative	The objective de this initiative is to supply researchers withtools for the supervision of doctoral students who he/she is managing, to remind them of deontological rules and scientific integrity. Initiative to lead jointly with the VPE, and HR Director for supervision training.
38. Continuous professional development	44	Develop and improve the training offer for teacher-researchers	D	X	X	X	X	X	X	HR	N° of new training programs for ECs	New initiative	A targeted survey will be carried out before the end of 2021 to be better know the needs of the EC, and to develop a more precise offer for EC.
	45	Promote the annual campaign of needs analysis for individual training for researchers	C				X		X	HR	N° of emails on the «all teachers list» N° of survey questionnaires returned N° of participants in training sessions	Completed and renewed	Teachers and/or researchers are still not familiar with he needs analysis tool known as « Cueillette ». The same is true concerning the process of making training requests. We need to reinforce communication about this scheme. We have planned to have information meetings and to communicate on how to use it.
39. Access to training through research and continuous development	46	Continue offering training for researchers about intellectual property, project management, research funds	D	X		X		X		VPR	N° of training programs given	Completed and renewed	Carried out by the SIP and the Technology transfer & development, in line with the HR management.

Action linked with multiple principles, in 4 areas				2021		2022		2023		Responsible units	Indicators	Current status	Remarks
GAP Principles	N°	Actions	Type	S1	S2	S1	S2	S1	S2				
	47	Formalize a document summarizing the career support measures implemented for researchers	F				X			HR	Document formalized before end of 2022	New initiative	This initiative is managed by the HR department who formalize the procedure but also regroup the elements of information relative to several other departments: VPR, VPE, DAI... It will probably be necessary to set up a small working group to carry out this activity. We will also need to think about how the OTM-R will be integrated into this document or if it should be written separately.

## 6. Appendix

### 1. Sigles, acronyms, & abbreviations

ANR: Agence nationale de la recherche - National Agency of Research

APC: Article processing charges

BDL: *Bibliothèque Diderot de Lyon* - Library Diderot de Lyon

BIB: *Bibliothèque* - Library

BOE: *Bénéficiaire de l'obligation d'emploi* - Beneficiary of obligation of employment

CA: *Conseil d'administration* - Administrative Board

CHSCT: *Comité d'hygiène, de sécurité et des conditions de travail* - Health, Security and Work Conditions Committee

CNRS: *Centre national de la recherche scientifique* - National Scientific Research Center

CNU: *Conseil national des universités* - National Board of Universities

COM: Communication department

COMUE: *Communauté d'universités et établissements* - Community of Universities and Establishments

COS: *Comité de sélection* - Selection Committee

CPP: *Congé pour projet pédagogique* - Leave for Study Project

CRCT: *Congés pour recherches ou conversions thématiques* - Leave for Research and Thematic Conversion

CS: *Conseil scientifique* - Scientific Board

CSR: *Conseil scientifique restreint* - Selected Scientific Council

CT: *Comité technique* - Technical Board

DAF: *Direction des affaires financières* - Head of Financial Affairs

DAI: *Direction des affaires internationales* - Head of International Affairs

DAJI: *Direction des affaires juridiques et institutionnelles* - Head of Legal & Institutional Affairs

DGS: *Direction générale des services ou directeur général des services* - General Management of Services or Director General of Services

DMP: Data plan management

DPO: *Délégué à la protection des données* / Data protection officer

DR: *Directeur/directrice de recherche* - Director of Research

DRH: *Direction des ressources humaines ou directrice des ressources humaines* - Direction of Human Resources or HR Director

DSI: *Direction des systèmes d'information* - Information Systems Directorate

DU: *Directeur d'unité* - Unit Director

DUNES: *Développement des usages du numérique pour l'enseignement et les savoirs* - Development of Digital Uses for Education and Knowledge

EC: *Enseignants-chercheurs* - Teacher-researcher

EPSCP: *Etablissement public à caractère scientifique, culturel et professionnel* - Public Scientific, Cultural and Professional Establishment

ETP: *Emploi temps plein* - Fulltime employment

GATE: *Groupe d'analyse et de théorie économique* - Analysis and Economical Theory Group

GED: *Gestion électronique des documents* - Electronic Document Management

HAL: *Hyper article en ligne* - Hyper Online Article

HCÉRES: *Haut Conseil de l'évaluation de la recherche et de l'enseignement supérieur* - High Council of Research & Higher Education Evaluation

HDR: *Habilitation à diriger des recherches* - Authorization to Direct Research

HRS4R: Human Resources Strategy for Researchers

IDEX: *Initiative d'excellence* – Excellence Initiative

IdHAL: *Identifiant HAL* - Hyper Online Article Identifier

IdRef: *Identifiants et référentiels pour l'enseignement supérieur et la recherche* - Identifiers and repositories for higher education and research

IFÉ: *Institut français de l'Éducation* - French Institute of Education

IHRIM: *Institut d'histoire des représentations et des idées dans les modernités* - Institute for the History of Representations and Ideas in Modernities

INRIA: *Institut national de recherche en informatique et en automatique* - National Research in Computer and Automatic Science

INSERM: *Institut national de la santé et de la recherche médicale* - National Institute of Health and Medical Research

ITRF: *Ingénieurs et personnels techniques de recherche et de formation* - Engineers and technical research and training staff

LARHRA: *Laboratoire de recherche historique Rhône-Alpes* - Rhône-Alpes Historical Research Laboratory

LBMC: *Laboratoire de biologie et modélisation de la cellule* - Laboratory of Biology and Cell Modeling

LIP: *Laboratoire de l'informatique et du parallélisme* - Laboratory of Computer Science and Parallelism

LPR: *Loi de programmation de la recherche* - Research Programming Act

LSH: *Lettres et sciences humaines* – Arts and Humanities

MCF: *Maître de conférences* - Lecturer

OTM(-R): *(Recrutement) Ouvert, transparent et basé sur le mérite* - (Recruitment) Open, transparent and merit-based

PCO: *Organisateurs professionnels de congrès* - Professional conference organizers

PGD: *Plan de gestion de données* - Data Management Plan

PRAG: *Professeur agrégé* - Associate Professor

PU: *Professeur des universités* - University professor

RDP: *Laboratoire reproduction et développement des plantes* - Plant reproduction and development laboratory

REFEGAL: *Référent(e)s égalité* - Equality officers

RH: *Ressources humaines* – Human Resources

RI: *Règlement intérieur* – Internal Regulations

RQTH: *Reconnaissance de la qualité de travailleur handicapé* - Recognition of the status of disabled worker

RSSI: *Responsable sécurité des systèmes d'information* - Responsible for information systems security

SEE: *Sciences expérimentales et exactes* - Experimental and exact sciences

SHS: *Sciences humaines et sociales* - Humanities and social sciences

SIP: *Service ingénierie de projets* - Project Engineering Department

SPST: *Service prévention et santé au travail* - Prevention and occupational health service

UAR: *Unité d'appui à la recherche* - Research Support Unit

UdL: *Université de Lyon* - University of Lyon

UMR: *Unités mixtes de recherche* - Joint research units

VPE: *Vice-présidence Études ou Vice-présidente Études* - Vice-President Studies

VPR: *Vice-présidence Recherche ou Vice-président Recherche* - Vice-President Research

## 2. Names of staff on the HRS4R 2021-2023 committees

### 1. Project Committee :

- Administrative staff :
  - Lyasid Hammoud, Director General of Services
  - Catherine Poty, Director of Human Resources
  - Audrey Allain, Head of department of teaching and teacher-research staff
  - Aude Riom, Director of Communications
  - Karin Kim Lim, Head of the Cooperation & International Partnerships Department
  - Emilie Sablon, Head of Project Engineering
  - Régine Matéossian, HRS4R label project manager
  
- Resarch staff :
  - Guillaume Garner, ENS lecturer at LARHRA
  - Marie Delattre, CNRS research director at the LBMC
  - Thierry Dauxois, CNRS Research Director, Research Vice-President

### 2. Management committee :

- Administrative Personnel :
  - Jean-François Pinton, ENS President
  - Véronique Queste, Head of Staff
  - Lyasid Hammoud, Director general of services
  
- Research staff :
  - Sana Dieudonné, PhD student of the RDP
  - Jordan Loper, GATE post-doctoral fellow
  - Isabelle Moreau, ENS lecturer at IRHIM
  - Frédéric Vivien, INRIA Research Director at LIP
  - Sylvie Martin, ENS University Professor, Vice-President Studies
  - Thierry Dauxois, CNRS Research Director, Research Vice-President

### 3. 2018-2020 Action Plan review

2018-2020 Action Plan review						
Actions	Gap principles	Timing	Responsible unit	Indicators	Current status	Remarks
1.1 Communicating the <i>Charter</i> and <i>Code</i> to newcomers (in the form of a QR code)	1. Research freedom	Initial Timeframe : Periodic Action on 2018-2020	HR	Number of people to whom the two documents are communicated : 100% of newcomers via the delivery of the teacher/research welcome booklet : sheet 11 explains the HRS4R label, the content of the Charter and the Code and mentions the existence of the action plan (since 2019)	Completed	<p>Steps :</p> <ul style="list-style-type: none"> <li>- online posting on the ENS website of the Charter and code in April 2019</li> <li>- delivery of the teacher/research welcome booklet twice a year (September, October), then according to recruitment.</li> </ul> <p>The idea of the QR code, ultimately considered irrelevant because unusual by the target audience, was therefore abandoned quickly, at the beginning of the implementation phase. The communication of the documents is therefore done either :</p> <ul style="list-style-type: none"> <li>- via the reception booklet to be aware of their existence and the context in which they are located</li> <li>- via the ENS website for a full consultation</li> </ul> <p>A gap to be filled in the coming months on the updating of the welcome booklet in English.</p>
1.2 Communicate one point of the <i>Code</i> and the <i>Charter</i> per week	1. Research freedom	Initial timeline : action to be taken in 2018-2019	COM	Number of <i>Charter</i> and <i>Code</i> items communicated : all principles were communicated as of May 2019, over 40 weeks	Completed	<p>The communication was made via the weekly newsletter <i>Entre Nous</i>, at the rate of one principle per week.</p> <p>It started in May 2019, following the confirmation of the label.</p> <p>The communication was interrupted from mid-March to the end of July 2020 : the newsletter was then essentially dedicated to the health crisis, under the name of "Let's stay connected".</p>
2.1 Have the National Charter of Ethics of Research Professions approved by the Board	2. Ethical principles	Initial timeline : action to be taken in 2018	DAJI	Charter approved by the end of 2018 : a little delay. Approval recorded in the minutes of the Board of 14 March 2019.	Completed	<p>The Board of Directors approved the National Charter of Ethics of research professions in March 2019, in support of the HRS4R label application.</p>
2.2 Communicate on the National Charter of Professional Conduct for Research Professions, national ethics committees and the ethical integrity referent	2. Ethical principles	Initial timeline : action to be taken in 2018	COM	Communication carried out by the end of 2018 : a little delay. Various communication carried out during 2019.	Completed	<p>The communication was made :</p> <ul style="list-style-type: none"> <li>- on the appointment of an ethical integrity referent in April 2019 via the newsletter <i>Entre Nous</i>.</li> <li>- on the information of the approval by the Board of Directors of the National Charter of Ethics of the Research Professions in March 2019.</li> <li>- via a link made to the National Advisory Committee on Ethics on the site</li> <li>- via the creation of an "ethics" keyword in the search engine of the website.</li> <li>- via a link to the actions carried out by RESETIS, a platform of the University of Lyon dedicated to research ethics.</li> </ul> <p>All this information appears on the HRS4R page of the site: <a href="http://www.ens-lyon.fr/lecole/travailler-lens/labellisation-hrs4r/hrs4r-plan-daction">http://www.ens-lyon.fr/lecole/travailler-lens/labellisation-hrs4r/hrs4r-plan-daction</a> At the broader level of the UdL, the RESETIS platform (Social and Environmental Responsibility, Research Ethics, Scientific Integrity) has the mission of training, raising awareness, animating the network of ethical officers, and promoting the debate on ethical issues and scientific integrity.</p>

2018-2020 Action Plan review

Actions	Gap principles	Timing	Responsible unit	Indicators	Current status	Remarks
2.3 Host and/or organize symposia/conferences/workshops on ethics	2. Ethical principles	Initial timeframe : Periodic action on 2018-2020.	VPR	Number of symposia or conferences held and/or number of people present : 2 conferences in 2018 and 2020 1 workshop in 2018 1 seminar in 2019 1 MOOC proposed in 2018 and 2020	Completed	The events were not systematically hosted or organized by the School but were the subject of a systematic communication on the site. Note : the research ethics MOOC proposed by the University of Lyon (UdL) : <a href="https://www.universite-lyon.fr/culture-sciences-et-societe/ouverture-de-la-cinquieme-session-du-mooc-ethique-de-la-recherche-178172.kjsp">https://www.universite-lyon.fr/culture-sciences-et-societe/ouverture-de-la-cinquieme-session-du-mooc-ethique-de-la-recherche-178172.kjsp</a>
3.1 Remind the thesis supervisors of the ethical rules	3. Professional responsibility	Initial timeframe : Periodic Action on 2018-2020	VPE	Initial indicators : - Reminder of the rules of ethics to thesis supervisors each year (indicator specified below) - Number of thesis directors informed : 100% of thesis directors are informed. 100% success.  New indicator : - Reminder of the rules of ethics to thesis supervisors during any first-time registration in thesis : Since 2018, about a hundred first-time registrations in thesis per academic year. Systematic signature of the Charter by the thesis supervisor. 100% success.	Completed	The reminder of the ethical rules to thesis supervisors goes through the signature of the "Charter of the doctorate of the University of Lyon". At each first registration, the doctoral student and his thesis director sign this document, one point of which recalls the ethical rules of the thesis director. It was not considered useful to have the Charter signed every year.  The reminder of the ethical rules can nevertheless be further improved, in the context of a new action of the revised plan (No 43).
4.1 Communicate an internal administrative procedure for signing research contracts to all stakeholders, to facilitate and secure the management of research contracts	4. Professional attitude	Initial timetable : to be achieved by the end of 2018	VPR	Procedure in place by the end of 2018	Completed	The initiative has been changed, in favor of a dematerialization concerning the conventions; implementation has therefore fallen somewhat behind schedule. Rather than a written procedure, a platform was developed and put into production in April 2019. The IS Division has therefore been heavily involved in the implementation of this action. The aim of this new procedure is to have a single platform for the submission of research agreements managed within the Research Vice-Presidency. This also enables you to have a history of all conventions managed on a single platform The dematerialized validation circuit brings a reduction in validation times (no more the need to initial each sheet by hand) and allows a validation of all the departments concerned and impacted (financial affairs division, legal affairs department, project engineering department, technology transfer department and others if necessary). The laboratories therefore have a single contact person who is the department of the research administration. The work of all stakeholders is therefore both facilitated and secure thanks to the dematerialization of the circuit.

2018-2020 Action Plan review						
Actions	Gap principles	Timing	Responsible unit	Indicators	Current status	Remarks
7.1 Implement security awareness campaigns	7. Good practice in research	Initial Timeframe : Periodic action on 2018-2020.	DSI	Number of awareness-campaigns carried out : number of emails sent : 1st half of 2018 : 1 2nd half of 2018 : 2 1st half of 2019 : 4 2nd half of 2019 : 2 1st half of 2020 : 6 2nd half of 2020 : 10 Number of people informed : 10,000 recipients each time.	Completed	Computer security awareness has mainly taken the form of emails sent by the Information Systems Security Department. These are emails raising awareness about phishing, risks related to teleworking, etc. Emails were more numerous in 2020 due to the obligation to work remotely during periods of the health crisis related to the coronavirus pandemic
7.2 Support researchers in optimization and security of data	7. Good practice in research	Initial timeframe :	DSI + DAJI (DPO)	Number of people accompanied by the IS Division : 105 researchers had their computer encrypted (PC, no MAC) Number of actions carried out by the DPO : - 1 day organized in 2019 on "Open Science and Tech.Transfer" - 1 meeting per year with laboratory managers - frequent ad hoc assistance, according to the needs and requests of researchers	Completed	Beyond telephone computer support (maintained in a lighter version during the COVID health emergency) or in the form of a "ticket" system with the IT Department, the support of researchers in the optimization and security of data has essentially been by encrypting their computers. A campaign was launched in March 2019 by the DGS, during which it was possible to count more than a hundred encrypted computers. In addition, the research units in Experimental and Exact Sciences have a laboratory computer scientist who can inform, support and advise researchers on the security of their data.  The optimization and security of research data also requires the action of the Data Protection Officer (DPO) of the ENS (DAJI service). Thus, every year since 2018, an awareness campaign meeting on these issues is organized with laboratory managers. The DPO also intervenes with researchers to support them in the protection of their data, in the development of surveys. It also plays an important role in assisting and advising researchers in the drafting of contracts.  An awareness-raising day organized by the TECHNOLOGY TRANSFER DEPARTMENT was also organized in May 2019. One point concerned the collection of research data and good practice in the management of research data (legal aspects).
8.1 Encourage researchers to publish their research using open access with availability on appropriate open archive platforms	8. Dissemination, exploitation of results	Initial Timeframe: Periodic Action on 2018-2020	VPR	Number of articles published in open access : 2018 : - Number of records : 40,855 - Number of full-text documents : 11,619 2019 : - Number of records : 47,580 - Number of full-text documents : 13,582 2020 : - Number of records : 50,606 - Number of full-text documents : 16,135	Completed	The publication of the work of researchers in open access at ENS is encouraged via the repository on the open archive HAL, administered by a staff of the Diderot Library of Lyon. Hal is directly accessible via the ENS website : <a href="https://hal-ens-lyon.archives-ouvertes.fr/">https://hal-ens-lyon.archives-ouvertes.fr/</a> Once on HAL, it is recalled the obligation to ensure free access to publications resulting from research that the Horizon 2020 program has helped to finance. The same obligation is included in the new Horizon Europe program. A generic address exists, communicated to researchers for any question relating to the deposit on HAL: information, duplication, corrections, creation of structures, creation of collections. The operative indicator for this action is that of the number of notices and the number of full-text documents recorded in HAL. There is thus a notable increase from year to year, showing the involvement of researchers in relation to open access.

2018-2020 Action Plan review

Actions	Gap principles	Timing	Responsible unit	Indicators	Current status	Remarks
8.2 Increase the visibility of open access search results on appropriate open archive platforms	8. Dissemination, exploitation of results	Initial Timeframe : Periodic action on 2018-2020.	VPR	Number of communications on the subject : - 2 "open access cafes "in November 2018 - display of scientific posters on OA in 2018 - relay of the OA week event in 2018 and 2019 - "Open Science and Tech. Transfer" Day in 2019. - 1 round table with researchers in November 2020	Completed	The indicator operating for this action is that of the number of communications made about publication in open access. The library relayed to researchers the OA week of Lyon in 2018 and 2019, an event that is aimed at documentation professionals and researchers.  It organized 2 informal meetings in 2018 : open access cafes to stimulate conversations, questions and debates on the subject. These events were a great success. Open access awareness posters were developed in this context by a UdL working group and were exhibited at the Monod site library in November 2018.  Participation of the library in the working group of the University of Lyon devoted to open science.  In 2019, the Tech.transfer Department organized a Day "Open Science and tech.transfer", one of which concerned "The Tech.transfer of research results in the new framework of Open Science".  In November 2020, a round table was organized by the Vice-Presidency Research, the library and researchers to reflect on the development of open science and the actions that can be related to it.
10.1 Train, inform and communicate about harassment and discrimination	10. Non discrimination	Initial Timeframe : Periodic action on 2018-2020.	REFEGAL	Number of awareness campaigns or communication on the subject : - monthly information/debate meetings with elected students and student associations - monthly meetings to prepare for the establishment of an "Equality Commission" - poster and communication campaigns - awareness-raising day in September 2020	Completed	The efforts of the equality officers over 2018-2020 focused on : - the establishment of an Equality Commission which could not be finalized - the establishment of a unit responsible for taking care of victims of sexual and gender-based violence which also failed - attempts at information meetings, communication about harassment and the fight against discrimination - the follow-up of cases of harassment  The major difficulty encountered by equality referents lies in the status of their mission : there is no dedicated FTE, nor hourly discharge granted to them to carry out their tasks. This is an area for improvement.
10.2. Setting up a social monitoring unit	10. Non discrimination	Timeline : to be achieved by 2019	HR	Unit set up by 2019	Extended	The purpose of the proposed unit was to address the various problems related to discrimination and harassment. It has not been created at this time. This initiative has therefore not been prolonged but clarified in its wording in the revised plan (see action 13), since there is already a "social monitoring unit" but whose objective is not to deal with cases of harassment or discrimination.
10.3 Putting into place Equality Officers to assist employees (gender parity, pay...)	10. Non discrimination	Initial timetable: action to be taken by the end of 2018	REFEGAL	The database is to be made available by the end of 2018	Extended	This database could not be available in time. The initiative is therefore extended and will be implemented as part of the development of the professional equality plan of the ENS de Lyon.

2018-2020 Action Plan review						
Actions	Gap principles	Timing	Responsible unit	Indicators	Current status	Remarks
10.4 Bring the 2 sites (Monod and Descartes) into full compliance with accessibility and security rules	10. Non discrimination	Initial Schedule: action to be taken by the end of 2020	DIRPAT	Full compliance on both sites carried out in stages, depending on the sites : completed at the end of 2020.	Completed	<p>Accessibility is understood here within the meaning of the regulations and not in the sense of ergonomics or adaptation of the workplace to disability.</p> <p>The security has affected the perimeter of the Establishments Receiving the Public (ERP) of the buildings.</p> <p>The operations carried out were part of the work of the "Plan Campus" operation led by the University of Lyon (UdL) in conjunction with the ENS teams.</p> <p>For the Descartes website : studies and work carried out from September 2016 to December 2018.</p> <p>For the Monod site : start of work in January 2017 and end of all work phases on the partnership contract, excluding the restaurant amendment whose work continues 2020-21, in October 2019.</p> <p>The opinion of the safety and accessibility commissions was favorable on all establishments receiving the public of the establishment.</p>
10.5 Increase internal corporate communication in English	10. Non discrimination	Initial Schedule: action to be taken between 2018 and 2020.	COM	Number of communications in English	In progress	<p>Only 2 pages of the intranet are in English. An "Information in English" tag is used to locate them. These 2 pages are: The security instructions and the IT charter.</p> <p>All "COVID" emails are bilingual.</p> <p>Emails from the President of the ENS are sometimes in English, but not always.</p> <p>A welcome booklet in English for international researchers was produced in 2018 but has not been updated since then.</p> <p>In some laboratories on the Monod site, internal communication (mailing and intranet) is bilingual.</p> <p>Internal institutional communication in English therefore still needs to be improved.</p>
10.6 Increase the availability of administrative forms and documents in English	10. Non discrimination	Initial Schedule: action to be taken between 2018 and 2020.	HR	Number of forms and documents translated into English : - identification of 18 administrative documents (forms, notes, emails, etc.) concerning teachers and researchers - 10 translated documents out of 18 identified	In progress	<p>A delay has been taken due to a significant turn-over on the position of Head of management of teaching and teacher-research staff for 4 years. Translation of several documents since December 2020.</p> <p>There are still documents to be translated. Documents translated into English must be posted online. Indeed, for the time being, the site in English links to the forms in French.</p>
12.1 Offer job grants for doctoral students with disabilities	12. Recruitment	Initial Schedule : action to be taken between 2018 and 2020	VPR	Number of scholarships offered : each doctoral student with a disability who applied for a disability employment scholarship has obtained it. 2018 : no requests 2019 : 1 2020 : 2	Completed	<p>Every year the Ministry of Higher Education and Innovation launches a national campaign within the framework of doctoral disability contracts.</p> <p>The Research Vice-Presidency shall inform all research units.</p> <p>He participates in the elaboration of the file carried by the student and the doctoral school, in connection with the SPST service (Service de préventions et santé au travail) and more particularly the disability project manager.</p> <p>The files are then sent to the University of Lyon (with an internal classification by institution if several files are reassembled) to then be filed and validated for sending to the Ministry. The latter may or may not grant the applications.</p>

2018-2020 Action Plan review

Actions	Gap principles	Timing	Responsible unit	Indicators	Current status	Remarks
12.2 Support doctoral students and postdocs with disabilities towards employment by help/simulation of a job interview	12. Recruitment	Initial Schedule : action to be taken between 2018 and 2020.	SPST	Number of interviews conducted by the Disability Project Manager with Doctoral and postdoctoral fellows with disabilities : 35 interviews over 2018-2020 for 6 PhD students (average of 6 interviews per PhD student)	Completed	<p>No post-doctoral fellow with a disability who has declared himself during the period concerned.</p> <p>1) The number of support plan for doctoral students with disabilities has quadrupled from 2016 (year of the creation of a dedicated position of disability referent) to 2020 This increase is explained by a better identification of the situations that have made it possible to support students in the transition from Master 2 to PhD. This support took the form of interviews and, in 4 situations, application for a Doctoral Contract Fléché Handicap. It should be noted that the first experience of accompanying applications for a Fléché Handicap Doctoral Contract in 2018 promoted communication on this funding tool with teachers and students.</p> <p>2) Material adjustments have been implemented for 3 doctoral students, with the assistance of the preventive doctor, based on the funding possibilities of the FIPHP (Fund for the integration of disabled people into the public service).</p> <p>3) Regular interviews to analyze the needs of each doctoral student took place each semester (between 1 and 4 interviews depending on the situation). The disability referent intervened during the Thesis Monitoring Committees, at the request of doctoral students, to discuss with them their particular needs. This intervention was prepared in advance by several individual interviews.</p>
12.3 Add a mention in job offers for research contract workers on opening positions to people with disabilities	12. Recruitment	Initial Schedule : action to be taken by the end of 2019	VPR	Mention added by the end of 2019	Extended	<p>Action on this point has been delayed.</p> <p>The School's disability project manager proposed to add the mention : "We recognize the skills of the people "Beneficiaries of the Employment Obligation" (BOE). A link is needed to explain to candidates what BOE means.</p> <p>At the ENS, it is the Research Vice-Presidency (the laboratories) that oversees the recruitment of research contract workers and that will therefore add this mention in future job offers.</p> <p>The HRD already shows a similar mention on job offers for MCFs and EPs.</p>
12.4 Establish an HR/ID duo to answer the questions of foreign researchers who wish to apply	12. Recruitment	Initial Schedule : to be carried out before end of 2019	HR	<p>Initial indicator: Binomial teams established by the end of 2019 : completed.</p> <p>Proposal for a complementary indicator: Increase in the number of international staff hosted each year by the HRD services : 30 international staff (outside the EU) + 30 international staff (EU) for the year 2020-2021 ; 28 international agents (non-EU) + 19 international agents (EU) for the year 2019-2020 ; 6 international agents (non-EU) + 6 international agents (EU) for the year 2018-2019</p>	Completed	<p>The aim is for foreign researchers/teacher-researchers/doctoral students, or foreign newcomers, to have the same level of knowledge as French-speaking agents, of the information necessary for their installation and the follow-up of their career.</p> <p>The pair takes the form of a division of tasks in terms of the information to be given and procedures to be followed between the HRD and the DAJ, as part of the elaboration of a hosting agreement.</p> <p>The availability of documents/forms in English remains to be improved, but a translation campaign was launched at the end of November and will continue.</p> <p>On the other hand, the implementation of a GED conventions, transversal at the school level, constitutes a real added value in terms of efficiency of treatment of conventions and constitutes a significant saving of time.</p>

2018-2020 Action Plan review						
Actions	Gap principles	Timing	Responsible unit	Indicators	Current status	Remarks
13.1 Publish job offers in English on Euraxess	13. Recruitment (Code)	Initial Schedule : to be carried out 2019-2020	HR	Number of offers published on Euraxess/Total offers : 9/9 in 2021	In progress	This includes all lecturers and University Professors positions, HR side. Implementation has lagged in 2019-2020 but offers from 2021 onwards will all be posted online on EURAXESS.  Other job offers are the responsibility of the VPR (PhD students, post-doctoral students, researchers).
14.1 Establish a guide for HR managers on OTM recruitment procedures (open, transparent and merit-based)	14. Selection	Initial Schedule : to be carried out before end of 2019	HR	Guide to be written by the end of 2019	Extended	The guide could not be completed in time but is a priority for the future.  The school's website clearly indicates the regulations that prevail for the recruitment of CBS: <a href="http://www.ens-lyon.fr/lecole/travailler-lens/recrutement-et-offres-emploi">http://www.ens-lyon.fr/lecole/travailler-lens/recrutement-et-offres-emploi</a>
14.2 Write and communicate a guide for selection committee members	14. Selection	Initial Schedule : to be carried out end of 2019	HR	Guide sent to selection committees by the end of 2019 : The guide is sent to each vice-chair of a selection committee in mid-February of each year, since 2018. Number of selection committees to which the internal guide was sent: 8 in 2018 and 2019 5 in 2020 9 in 2021	Completed	The general operating guide for selection committees exists and is updated regularly by the Ministry (latest version dating from April 2019). It may be forwarded to the vice-chairs of the selection committees who request it.  A more personalized guide (composed of 3 separate sheets, depending on the recruitment stage), highlighting the internal practices of ENS Lyon, is systematically sent to all the vice-presidents of selection committees.  The information is updated according to the evolution of the regulations in force, and according to the difficulties possibly encountered in previous years in a process of constant improvement.  The members of each selection committee are thus well informed about the regulations, which limits questions and answers <i>a posteriori</i> .  NB : the action 14.3 : "Provide the Chair of the Selection Committee and other committee members with resources on maintenance conduct" was grouped with this initiative, as it was ultimately considered inadequate to provide resources on how to run an interview.
14.3 Provide the Chair of the Selection Committee and other committee members with resources on maintenance conduct	14. Selection	Initial Schedule : to be carried out end of 2020	HR	Resources made available by the end of 2019: delayed	*	This initiative has been combined with initiative 14.2.
17.1 Add an advice section to candidates for the constitution of their file	17. Variations in the chronology of CVs	Initial Schedule: to be finished before end of 2019	HR	Action taken by the end of 2019	Abandoned	The objective of this action was to allow candidates to explain and value in their CV the periods not worked.  The action was not taken because the training department finally judged that the planned action was not the most appropriate.  The training department of the HRD wishes instead to set up partnerships with external trainers or employment poles.  The establishment of these partnerships will be a definite added value but takes time.

2018-2020 Action Plan review

Actions	Gap principles	Timing	Responsible unit	Indicators	Current status	Remarks
18.1 Put online feedback on the school's website (Erasmus +, CRCT...) and communicate about the guest teachers	18. Recognition of mobility experience (Code)	Initial Schedule : periodic action taken over 2018-2020.	COM	Number of feedbacks and portraits on the site between 2018 and 2019 : - A feedback on Erasmus + in 2019 - 62 portraits of guests of the Collegium of Lyon in total, including 2017-2018 : 17 2018-2019 : 20 2019-2020 : 17 - 5 portraits of affiliated researchers (the concept dates from 2018).	Completed	Due to the health crisis, this section couldn't be dealt with over 2020-2021. Feedback on Erasmus+ and CRCT needs to be improved.
18.2 Highlight the CRCT system, which is presented as an incentive for mobility (international, intersectoral, interdisciplinary) at ENS de Lyon.	18. Recognition of mobility experience (Code)	Initial Schedule : periodic action taken over 2018-2020.	HR	Number of CRCT requests : - 2018-2019 : 15 files - 2019-2020 : 14 files - 2020-2021 : 12 files  Number of effective CRCT/number of CRCT requests : - 2018-2019 : 16 semesters granted, or 10 people - 2019-2020 : 11 semesters granted, or 6 people - 2020-2021 : 8 semesters granted, or 7 people  Communication of the scheme : - intranet section - mailing - welcome booklet - management guidelines relating to mobility	Completed	The CRCT is a ministerial mechanism allowing teacher-researchers to benefit from a period of exemption from teaching and administrative tasks to deepen, start and finalize research projects, by promoting mobility.  The governance of the ENS has chosen to make a single campaign for the CRCTs presented under the institution and under the CNU (National Council of Universities). All submitted applications are therefore automatically examined by the CNU and by the CSR (Restricted Scientific Council).  The technology transfer of the device goes through different means : - Informative section on the intranet - Information mail sent to all teacher-researchers during the launch of the national campaign on Galaxia - Naos (end of September) - Information relating to the CRCTs present in the welcome booklet, sheet 11 - Individually, each time a teacher-researcher makes the request  The variation in the number of semesters granted depends on the project presented and the seniority of the teacher-researcher.  The HR Department also formalized in an official document, in November 2020 (Mobility Management Guidelines) the various modalities relating to the mobility of staff, including those of teacher-researchers. It includes the mention of the CRCT, as well as that of the "delegation to French or international public structures, or to a company", another mode of mobility.
21.1 Write guidance specific to the recruitment of postdoctoral researchers	21. Postdoctoral appointments (Code)	Initial Schedule : to be finished before end of 2018	HR	Note written by the end of 2018 : The drafting of the note has been delayed, it dates from the beginning of 2021	Completed	Following various hazards, the note was drafted in February 2021. It will be put online on the intranet and communication will be made to the laboratories and services of the VPR during 2021.  This note should enable laboratories and new managers and heads of research units to gain a better understanding of the recruitment of a post-doctoral contract agent.

2018-2020 Action Plan review						
Actions	Gap principles	Timing	Responsible unit	Indicators	Current status	Remarks
22.1 Offer doctoral contracts over 3 years for doctoral students	22. Recognition of the profession	Initial Schedule : to be finished before end of 2019	HR	Total doctoral contracts : all doctoral contracts are for a period of 3 years. 100% success. Since 2016 for contracts on state budget / Since 2018 for contracts on own resources. - in 2018, 17 3-year doctoral contracts on own resources, 51 on state budget - in 2019, 6 3-year doctoral contracts on own resources, 45 on state budget - in 2020, 9 3-year doctoral contracts on own resources, 52 on state budget	Completed	The objective is to enable contract doctoral students, administrative and financial stability over 3 years and for the laboratory to have better visibility to set up a research project and increase their attractiveness.  The difficulty is that there are two types of contracts: doctoral contracts on state financing and doctoral contracts based on own resources. Laboratories must ensure the availability of research credits to initiate a 3-year contract from own resources.
22.2 Establish a minimum number of eligible resources for staff preparing a thesis	22. Recognition of the profession	Initial Schedule : to be finished before end of 2019	HR	Minimum number of eligible resources established by the end of 2019 : Decision of the school board dated July 11, 2019, for implementation from September 1, 2019. Amount = 1768,55€ gross/month	Completed	The aim was to harmonize remuneration between doctoral contracts financed from the state budget and from own resources.  The implementation was as follows : - Implementation of the new index for new contracts. - Amendments to current doctoral contracts with an increase in remuneration as of 1 September 2019. 25 doctoral students concerned by an amendment.
22.3 Highlight researchers who have received an award and publish articles on them.	22. Recognition of the profession	Initial Schedule : Periodic Action over 2018-2020.	COM	Number of papers produced on the subject : - 2018: 17 prizes / 9 youth prizes / 3 CNRS medals - 2019: 9 prizes / 13 youth prizes / 4 CNRS medals - 2020: 14 prizes / 10 youth prizes / 3 CNRS medals  79 biographies have been produced, updated (including members of the Academy of Sciences and the IUF) since 2018.	Completed	As soon as a researcher receives an award, his or her biography is created and subsequently maintained.  There is an Awards and distinctions section on the website: <a href="http://www.ens-lyon.fr/recherche/panorama-de-la-recherche/prix-et-distinctions">http://www.ens-lyon.fr/recherche/panorama-de-la-recherche/prix-et-distinctions</a>  Each of these articles is communicated on networks, newsletter, and electronic billboard screens.

2018-2020 Action Plan review

Actions	Gap principles	Timing	Responsible unit	Indicators	Current status	Remarks
24.1 Communicate on the accessibility policy	24. Working conditions	Initial schedule : initiative to be started between 2018 and 2020.	SPST	Number of communications on the subject : - 3 training programs between 2018 and 2020 (one per year) - 2 awareness days ("Café Handicap") in 2018-2019 and cancelled in 2020 due to the health crisis - 3 information campaigns to the School's authorities (CHSCT) - 1 presentation brochure of the RQTH was developed and distributed with employees' pay slips to all ENS de Lyon staff in the first half of 2019.	Completed	"The accessibility policy" is understood as the set of means contributing to enable people with disabilities (students and professionals) to access the activities for which they attend the School : studies and professional work schemes respectively.  The Disability Master Plan of the Ecole Normale Supérieure de Lyon 2017-2020 was adopted in July 2017 by the Board of Directors, then communicated through the various actions mentioned (see indicators).  It should be noted that the awareness days are based on the principle of co-construction, involving staff benefiting from the School's employment obligation. They were a great success (a hundred participants).  A link is on the School's website: <a href="http://www.ens-lyon.fr/lecole/nous-connaître/nos-engagements/handicap">http://www.ens-lyon.fr/lecole/nous-connaître/nos-engagements/handicap</a>  This link also provides access to videos of the main interventions of the disability awareness day.
24.2 Index on intranet pages per themes, people and useful documents to create a general information email address	24. Working conditions	Initial Schedule : to be finished before end of 2018	COM	Intranet Page created before end of 2018 : Initiative completed in July 2020 with implementation online on the School's new intranet site.	Completed	It was finally decided not to create a static page as previously envisaged but rather to take advantage of the redesign of the School's intranet to carry out this initiative.  The intranet therefore offers an interactive organizational chart that allows access to the departmental pages, listing each one : - including a presentation - useful documents - contacts sometimes in the form of a directory, as well as the generic email addresses - frequently asked questions if necessary  The dynamic aspect of the search engine, with an optional sorting process using facets, brings added value to this source of information.
24.3 Communicate about possibility of part time work and Study & Research leave (CRCT in French) in French and English	24. Working conditions	Initial Schedule: to be finished before end of 2018	HR	Communications on the subject carried before end of 2018 : Delay concerning the communication in English but on time for the communication in French.	Completed	Communication on part-time work will be via the form N° 25 in the welcome booklet specific to teachers and researchers. The one on the CRCT via sheets 11 and 25. The welcome booklet is available in French and English.  Information is mainly communicated via the intranet, with entries by categories of staff, departments concerned and faceted sorting of search results.  In addition, the part-time application forms, CRCT and CPP (leave for educational projects) are part of a panel of administrative documents translated into English in November 2020, useful to managers.

2018-2020 Action Plan review						
Actions	Gap principles	Timing	Responsible unit	Indicators	Current status	Remarks
26.1 Write a guide on researchers' pay (management, bonuses) in French and in English	26. Funding and salaries	Initial Schedule : to be finished before end of 2018	HR	Guide to be written before the end of 2018 : finally, guide written in the first term in 2021	Completed	The guide is written for the French version : it includes information on the salary, the remuneration grids, the various bonuses of all research staff and teacher-researchers. It will be made available on the Intranet.  The English version will be completed by the end of 2021.
27.1 Encourage initiatives from the Equality Officer	27. Gender balance	Initial Schedule : Periodic action over 2018-2020.	REFEGAL	Number of communication and/or awareness campaigns carried out by equality officer/year  Gender parity among teachers and teacher-researchers: over 2018-2020, the data remain stable at around 60% of men and 40% of women, but with a male predominance on university professorships	Completed	This initiative is measured by : - the attention paid by governance to gender balance in recruitment and participation in the institution's bodies - and, in view of the observation of male predominance in the research professions, the encouragement of women to pursue careers in research. For example, since 2017, once a year, on March 8, the Science Day is organized around women in Science, to illustrate through example that all scientific professions are mixed, to decipher stereotypes, to overcome preconceived ideas, this is the ambition of the day "Sciences, a profession for women" which brings together every year nearly 500 high school girls of the Academy of Lyon to convince them to have confidence in their abilities to succeed.  As part of the development of a professional equality plan, attention to gender balance will be reinforced.
28.1 Produce a guide to inform the researchers about the training offer that they are going to follow	28. Career development	Initial schedule : to be carried out before the end of 2019	HR	The guide must be completed by the end of 2019 : initiative carried out as planned.  The guide takes the form of : - a catalogue of training courses for teachers and/or researchers - a monthly newsletter - newsletters when news of the training courses.  Target achieved : inform all teachers and/or researchers of the training offer that concerns them : 100% success.	Completed	Since the start of the 2018 school year, a catalogue of training courses for teachers and/or researchers has been included in the School's overall training plan.  Each academic year, the training department also relays, whenever useful, information on external training that may be of interest to teachers and/or researchers.  Since the start of the school year in September 2020, the training department also sends an email every month to this targeted audience summarizing all the training courses of the month. The initiative can still be developed to best meet the requests of teachers and / or researchers regarding the themes of the trainings included in the offer.
28.2 Write a Charter for a mentor (Director of Studies. etc.)	28. Career development	Initial schedule : to be carried out before end of 2019	VPR	The charter must be written before the end of 2019.	In progress	Delays have been caused by various factors.  The initiative is therefore renewed and will be completed in the first half of 2021.

2018-2020 Action Plan review						
Actions	Gap principles	Timing	Responsible unit	Indicators	Current status	Remarks
28.3 Interviews of lecturers and university professors by the VPR and the VPE between 6 months and 2 years after their arrival	28. Career development	Initial schedule : action to be taken between 2018 and 2020.	VPR	Number of MCFs seen in N + x months/Nb of MCFs arrived in N : The researchers recruited in September 2019 were all interviewed by the VPR 18 months after their arrival : 8/8	In progress	The VPR invites each Lecturers and University Professor, upon successful completion of the competition, to meet individually to know his expectations and research topics.  It also presents the various services of the Vice-Presidency research and its administrative resources.  Beyond this official interview at N+18 months, the newly arrived Lecturers and University Professor of course have all the freedom to request the VPR before, if the need arises.  This type of maintenance is not yet scheduled by the VPE but is planned.
28.4 Suggest a HR contact person for career development for teacher-researchers	28. Career development	Initiative schedule : initiative to be carried out before 2018.	HR	Designation of the contact person by the end of 2018. There has been a delay. Designation in the first quarter of 2021	Completed	The head of the teacher and teacher-research management department and the head of the skills development department are appointed jointly and will intervene according to the requests made.
(30.1 Set up HR and DU "Partnerships" to help teacher-researchers in their career orientation)	30. Access to career guidance services	Initial timetable : action to be taken by the end of 2018	HR	Partnerships in place by the end of 2018	Abandoned	This initiative could not be implemented effectively over 2018-2020.  A new initiative to support career guidance is proposed in the 2021-2023 plan, with different modalities.
31.1 Develop awareness initiatives of the Technology Transfer and Development department	31. Intellectual Property Rights	Initial schedule : periodic initiative from 2018 to 2020.	VALO	N° of awareness campaigns /year : Semester 1 2018 : 15 Semester 2 2018 : 6 Semester 1 2019 : 6 Semester 2 2019 : 11 Semester 1 2020 : 7 Semester 2 2020 : 5  Number of people present : between 3 and 80 depending on the type of action organized	Completed	The awareness initiatives of the Technology transfer & development department were carried out in two channels : either directly by the Technology Transfer & Development department, or by an external service provider, PULSALYS. They were carried out either face-to-face or remotely.  These initiatives took different forms : - "newcomers" meeting : awareness campaigns organized during the reception of new teacher-researchers at ENS de Lyon as part of a general presentation organized by the VP Research. The objective is to present the Technology Transfer & Development Department and its initiatives. - meeting with the laboratory technology transfer contact person : The objective is to present the initiatives of the Technology Transfer Department, exchange with the contact people on the needs of the laboratories and the technology transfer initiatives that the department can set up within each laboratory. - Technology Transfer workshops organized by PULSALYS - meeting in the laboratories - "Tech transfer mornings": awareness campaigns lasting 3 hours open to all the Laboratories of ENS de Lyon aiming to address all the topics of technology transfer.  Please note that the health crisis of 2020 has prevented the organization of the "Technology Transfer & Development Mornings".

## 2018-2020 Action Plan review

Actions	Gap principles	Timing	Responsible unit	Indicators	Current status	Remarks
32.1 Communicate about all contributors (doctoral students and ITRF participants) must be quoted as a co-author	32. Co-authorship	Initial Schedule : initiative to be carried out between 2019 and 2020	VPR	<p>Number of publications with a doctoral student and/or a ITRF quoted as a co-author (all laboratories included) : indicator abandoned as inefficient</p> <p>New indicator : Systematic Communication carried out on the subject with the researchers : completed</p>	Completed	<p>In each unit, unit directors raise researchers' awareness of the concept of scientific integrity in scientific publication.</p> <p>The document published in 2017 by the CNRS entitled : Practicing honest and responsible research, is a resource document on the subject</p> <p>PhD students are encouraged by their thesis supervisor to publish at the beginning of their thesis. The advice is also included in the UdL Doctoral Student's Guide.</p> <p>The PhD students and ITRF staff are quoted as co-authors depends a lot on the laboratory: indeed, the contribution is different depending on whether they are SEE or SHS.</p> <p>A consultation with a small panel of researchers is underway to gather their opinion on the essential elements to be retained and communicated within the laboratories in terms of scientific publication.</p>
33.1 Communicate on NéopassSup as well as on IFI training (Innovative Teacher training)	33. Teaching	Initial schedule : initiative to be started between 2019 and 2020	COM	<p>Initial indicators : amount of communication on the subject.</p> <p>Indicators chosen : communication systematically of the NéopassSup news and IFI training on the ENS websites</p>	Completed	<p>These initiatives have been started by the Institut de l'Education (Ifé).</p> <p>ENS has chosen to relay the information on the pages on these subjects, gradually, to avoid repetition.</p> <p>The NeopassSup training courses are put in the "Ifé Training" agenda of the ENS de Lyon website: <a href="http://www.ens-lyon.fr/agenda?typeE=1130&amp;ctx=contexte&amp;genre=evenement">http://www.ens-lyon.fr/agenda?typeE=1130&amp;ctx=contexte&amp;genre=evenement</a></p> <p>The platform is accessible: <a href="http://neosup.ens-lyon.fr/">http://neosup.ens-lyon.fr/</a> From the 1st page of the Ifé website: <a href="http://ife.ens-lyon.fr/ife">http://ife.ens-lyon.fr/ife</a></p> <p>You can also access Ifé training from the "Educational resources and tools" page: <a href="http://www.ens-lyon.fr/education/ressources-et-mediation/ressources-pedagogiques-et-outils#tab-66436-2">http://www.ens-lyon.fr/education/ressources-et-mediation/ressources-pedagogiques-et-outils#tab-66436-2</a> on the ENS de Lyon website</p>

2018-2020 Action Plan review

Actions	Gap principles	Timing	Responsible unit	Indicators	Current status	Remarks
33.2 To put into place teacher training for all teacher training for all teacher-researcher who wish to do it (including doctoral students)	33. Teaching	Initial schedule : 2019-2020	HR	Initial indicators : Number of training programs added to the modified initiative in : Percentage of training/research followed by the teacher-researchers - researchers amongst all the training offered : - 33% in 2018 - 62% in 2019 - 33% in 2020  Number of teachers having participated in the training : - 24 in 2018 - 49 in 2019 - 41 in 2020	In progress	The initiative was carried out more broadly than expected.  Indeed, it was initially a question of developing training in pedagogy. This type of training is well offered, but mainly in the form of MOOCs. Examples of MOOCs proposed in 2020-2021: "Dyslexic students in my amphitheater understanding and helping", "Training to teach in higher education".  In September 2019, work was carried out to offer new training courses for teachers and/or researchers or a mix of the two (BIATSS and teachers and or researchers) such as "INSCAPE", "Civil and criminal liability of supervisors in terms of health and safety at work".  In 2020, there is less participation in pedagogy/research training and more in transversal training. The lockdowns and the obligation to work remotely are undoubtedly part of the explanation.  The stumbling block in implementation is that a training department for staff, and therefore for administrators, offers training in pedagogy is not always well perceived by the target audience. A collaboration with other teachers or a service such as DUNES "Development of Digital Uses for Teaching and Knowledge" seems essential.
34.1 Nominate a mediator at ENS de Lyon	34. Complaints and appeals	Initial schedule: to be completed as of end of 2019	DGS	Mediator to be nominated as from the end of 2019.	Abandoned	In fact, it turned out that there was no need to appoint a mediator assigned to the institution.  The reasons are as follows : - the small size of the institution - no mediation requested, or appeal filed by a teacher and/or researcher - existence of an academic mediator at the Rectorate, who can be requested if necessary
35.1 Communicate the importance of the authorities of the establishment and about the importance of the implication of teacher-researchers in these bodies	35. Participation in decision-making bodies	Initial schedule : to be completed at the end of 2018	HR	Number of teacher-researchers involved in the authorities : CA : 8 / CAS : 1 CS : 14 CEVE : 4 CE : 2	Completed	Concerning HR, communication is done via a sheet in the welcome booklet of teacher-researchers/ researchers (ECs). In fact, all newcomers are therefore informed of the importance of their involvement in the bodies.  Communication on the subject is also done on the VPR side during the day of reception of newcomers.  It should be noted that by regulation the presence of ECs is mandatory in the ERCs and Restricted Scientific Council, for all that falls under the individual decisions concerning the ECs.

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Actions	Gap principles	Timing	Responsible unit	Indicators	Current status	Remarks
36.1 Communicate on the charter for doctoral students at UdL and ratio of staff to students needs of the ED	36. Relation with supervisors	Initial schedule : To be completed before the end of 2018	VPE	Initial indicators : - Charter of the doctoral students sent by email to all people concerned : the Charter is systematically signed by each primo-inscription in a thesis for the doctoral student. All the doctoral students are therefore informed of. - Number of the doctoral students/director of thesis : ineffective since no maximum ratio of staff to students' needs.	Completed	Communication is systematically done through the signature of the Doctoral Charter by the doctoral student for any first registration in thesis. The signature is an act of commitment.  A link is made on the HRS4R page of the website to the Doctoral Charter.  The communication of the maximum rate of supervision was not made since this initiative was finally abandoned, because considered inoperative in an establishment such as the ENS which offers both Experimental and Exact Sciences (SEE) and Human and Social Sciences (SHS), with variable supervision rates.  In any case, each doctoral student is informed of his or her various rights and obligations.
36.2 Put into place a maximum rate of management at the level of the school	36. Relation with supervisors	Initial schedule to be achieved at end of 2019	VPE	Initial indicator: Maximum rate of management implemented end of 2019	Abandoned	The introduction of a maximum rate of supervision per thesis director was finally considered irrelevant in an institution such as ENS which offers both Experimental and Exact Sciences and Humanities and Social Sciences (variable supervision rate).  The initiative was therefore not carried out.
38.1 Put into place an annual campaign to gather needs for personal training of teacher-researchers and researchers.	38. Continuing Professional Development	Initial schedule : to be carried out before end of 2018	HR	Implementation of the collection campaign by the end of 2018 : - Opening of the "Collection" training needs collection tool to teachers, CEs and researchers in September 2018.  Since then, annual opening (from May to October), the same pace as for BIATSS staff.	Completed	The initiative was made possible thanks to the use of the tool for collecting training needs initially intended for the BIATSS : called "Cueillette". This was done through a wide communication : in committee of department directors, by email, by internal digital newsletter at ENS de Lyon "Entre nous".  The difficulty is to promote the staff training department and that the process of requesting training enters the culture of teachers and / or researchers.  The initiative has been taken, and we must now continue and inform it to make it more visible to the target public.
38.2 Put the MOOCs links per discipline on the laboratory website	38. Continuing Professional Development	Initial schedule: to be completed in 2019 & 2020	COM	Initiative completed at the end of 2020.	Abandoned	This initiative was ultimately considered irrelevant at the time of implementation. It was therefore abandoned as it was.  On the other hand, communication on MOOCs is very frequent on the ENS website. A section is dedicated to them in the "knowledge" tab of the site: <a href="http://www.ens-lyon.fr/savoirs/moocs">http://www.ens-lyon.fr/savoirs/moocs</a> This page also gives access to FUN, the platform of the Ministry of Higher Education and Research that federates the online course projects of French universities and schools to give them international visibility.

2018-2020 Action Plan review

Actions	Gap principles	Timing	Responsible unit	Indicators	Current status	Remarks
<p>39.1 Offer a training package for researchers (IP, project management, fundraising)</p>	<p>39. Access to research training and continuous development</p>	<p>Initial schedule : to be achieved by the end of 2019</p>	<p>VPR</p>	<p>The pack must be available by the end of 2019 :</p> <ul style="list-style-type: none"> <li>- training plans validated in July 2019.</li> <li>- training courses set up in 2020</li> <li>- new sessions scheduled for the end of April 2021</li> </ul>	<p>Completed</p>	<p>Due to changes in the project engineering department (retirement of the manager, maternity leave, etc.), the implementation has been somewhat behind schedule.</p> <p>The joint reflection (HR, project engineering department, technology transfer &amp; development department) on the implementation of a training package for teacher-researchers newly arrived at ENS began in April 2019.</p> <p>The project engineering department and the technology transfer &amp; development department each proposed a training plan to the HR Department (recruitment and skills development department) in June 2019. Note that they include a common engineering / technology transfer and development element for a better coherence in the dissemination of information. Both training plans were presented to the school management in July 2019 and received a favorable opinion.</p> <p>The "initiation to calls for research projects" training took place on February 11, 2020 (16 participants) and the training "Technology transfer and development of public research: Issues and good practices" on February 18, 2020 (16 participants), each lasting 3 hours.</p> <p>The training materials, as well as a certificate of internship, were made available to all participants. Their evaluation of the training has been very positive.</p>

Initiatives that had not been planned but that fit into our HRS4R strategy

Actions	Gap principles	Timing	Responsible unit	Indicators	Current status	Remarks
Establishment of an internal ethics commission at ENS	2. Ethical principles	S2 2019	VPR	Date of implementation approval : December 17, 2019.	Completed	<p>The start of work on the establishment of the Internal Ethics Commission at ENS de Lyon dates from April 2021, involving several departments.</p> <p>Several regular meetings took place between all the initiating departments :</p> <ul style="list-style-type: none"> <li>- Creation of the commission</li> <li>- Creation of the rules of internal procedure of the commission</li> <li>- Creation article commission in the internal regulations of ENS.</li> </ul> <p>The project was presented in co-direction, there were several exchanges with the VP and the Presidency.</p> <p>The ethics committee hears referrals relating to :</p> <ul style="list-style-type: none"> <li>- the scientific competition;</li> <li>- the creation of a business;</li> <li>- participation in a deliberative body of a public limited company.</li> </ul> <p>The Commission has been active since 17 December 2019 and has met twice.</p>
Appointment of a referent to the DAI to accompany the research units for the reception of a foreign researcher	10. Non discrimination	S2 2020	DAI	Date of appointment of the reference person : September 2020	Completed	<p>Since September 2020, a person within the international affairs department has been appointed "welcome contact person" for laboratories. Unit directors or managers can contact him/her directly as soon as they are faced with an administrative problem in the reception of a foreign researcher.</p> <p>Administrative procedures have become enormously complex for several years when a foreigner arrives and unit managers do not have all the competences, knowledge of procedures, different visa applications or administrative rules of reception depending on the country of origin.</p> <p>Support arrangements are currently being considered. This appointment is even more useful as the Udl's ULYS space is seeing its structure disintegrate following the cessation of IDEX funding (end of October 2020). This structure was intended to facilitate the incoming mobility of international talents from the Université de Lyon.</p>
Creation of Events and Congress Units	23. Research environment	S2 2020	VPR	Date of creation of the unit : July 2020	Completed	<p>Since July 2020, a congress and events unit has been created : attached to the VPR, the Congress &amp; Events Unit of ENS de Lyon aims to support teacher-researchers, researchers, and research teams in all stages of the organization of scientific events.</p> <p>Made up of a manager and a management officer who work in pairs on all the events in progress, to be able to ensure a permanent follow-up of the activities, the Unit provides its support in the implementation of the events by taking care of all the material tasks : reservation of rooms, support for requests for funding, realization and monitoring of balanced budgets, registration management, travel monitoring, website creation and communication coordination.</p> <p>In the context of the most important events (conferences of more than 500 participants), the Congress Unit can act as an interface between a professional organizer of private congresses (PCO) and the various administrative services of the School.</p>

**Initiatives that had not been planned but that fit into our HRS4R strategy**

Actions	Gap principles	Timing	Responsible unit	Indicators	Current status	Remarks
To put into place a requirement of financing for the thesis over 3 years	25. Stability and permanence of employment	S2 2019	VPE	Put into place a requirement of financing for the thesis as from the end of 2019 : approval of the Board (July 2019)	Completed	<p>The action was considered from the angle of a funding requirement for the thesis, formalized by a deliberation of the Board of Directors (CA) dated July 11, 2019.</p> <p>During the first three years of the doctorate, doctoral students must be able to prove that they have financial support of an amount at least equal to that of the doctoral contract.</p> <p>This guarantees a stable financial framework for the doctoral student, conducive to efficient work.</p>

#### 4. Checklist OTM-R 2021

Checklist Open, Transparent and Meritbased Recruitment					
	Open	Transparent	Meritbased	Answer	Suggested indicators (or form of measurement)
<b>OTM-R system</b>					
Have we published a version of our OTM-R policy online (in the national language and in English) ?	x	x	X	-/+	<p>All information is online on the website of the School : <a href="http://www.ens-lyon.fr/lecole/travailler-lens/recrutement-et-offres-demploi">http://www.ens-lyon.fr/lecole/travailler-lens/recrutement-et-offres-demploi</a></p> <p>Pending the formalization of the OTM-R policy.</p> <p>All the lecturer positions and University professor are published in English and in French on the ENS website.</p> <p>+ Publication in English on EURAXESS (new in 2021). Number of positions published : 100% of Lecturer and University Professor positions (MCF and PU).</p>
Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions ?	x	x	x	+/-	Guide for HR staff written during the 1st semester 2021.
Is everyone involved in the process sufficiently trained in the area of OTM-R ?	x	x	x	-/+	<p>Planned training for 2022 for vice-presidents from the selection committees.</p> <p>Number of people having followed this training about the OTM recruitment.</p>
Do we make (sufficient) use of e-recruitment tools ?	x	x		+/-	<p>The whole chain of recruitment is digital within the establishment + Galaxie Tool supplied by the Ministry at a national level</p> <p><a href="https://www.galaxie.enseignementsup-recherche.gouv.fr/ensup/candidats.html">https://www.galaxie.enseignementsup-recherche.gouv.fr/ensup/candidats.html</a></p>

Do we have a quality control system for OTM-R in place ?	x	x	x	++	Number of appeals at the DAJI.
Does our current OTM-R policy encourage external candidates to apply ?	x	x	x	+/-	Communication on job offers in the most widespread manner as possible (website, Euraxess, website of certain laboratories)
Is our current OTM-R policy in line with policies to attract researchers from abroad ?	x	x	x	-/+	% of foreign candidates out of global share of candidates
Is our current OTM-R policy in line with policies to attract underrepresented groups ?	x	x	x	-/+	% of men/women in job applications % of men/women in recruitment Ratio 60% men / 40% women – no change for the moment
Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers ?	x	x	x	+/-	Measure of facilities to welcome new staff in the laboratory (financial means and human means, etc.)
Do we have means to monitor whether the most suitable researchers apply ?				-/+	Summary reports systematically written by selection committees
<b>Advertising and application phase</b>					
Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions ?	x	x		+/-	On the intranet: respect the subject heading (training, research, responsibilities). On EURAXESS : respect of the heading (type of contract, full time/ part time, qualifications, how to apply).
Do we include in the job advertisement references/links to all the elements foreseen in the relevant section of the toolkit ?	x	x		+/-	The job offers respect the different items of Chapter 4.4.1. in the Works Committee experts' report concerning the OTM recruitment. Categorization R1 to R4 needs to be systematic on all our job offers.
Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience ?	x	x		+/-	100% of our lecturing and University professor jobs have been published on Euraxess as from 2021. Practical to use with different research.

Do we make use of other job advertising tools?	x	x		+/-	Number of offers published on : - The ENS de Lyon web site - GALAXIE - EURAXESS - The laboratory web sites
Do we keep the administrative burden to a minimum for the candidate ?	x			++	Only the documents attesting to their administrative situation and their skills are required.
<b>Selection and evaluation phase</b>					
Do we have clear rules governing the appointment of selection committees ?		x	x	++	Yes : the selection committees are created by the Board, at the same time as the vote concerning the committee structure. The members must be EC or equivalent, of a level at least equivalent to that of the position to be filled and must be currently working.
Do we have clear rules concerning the composition of selection committees ?		x	x	++	The rules are established by the Ministry in a very strict manner. There is little room for maneuver on the part of our establishment (see guide for selection committees).
Are the committees sufficiently gender-balanced ?		x	x	++	Number of men and women in each committee/ total members.
Do we have clear guidelines for selection committees which help to judge 'merit' in a way that leads to the best candidate being selected ?			x	-/+	Training for vice-presidents of the selection committees as from 2022
<b>Appointment phase</b>					
Do we inform all applicants at the end of the selection process ?		x		++	Number of notifications. Systematic update on Galaxie if application has been successful or not. Candidates can ask for feedback on their application.
Do we provide adequate feedback to interviewees ?		x		++	Number of requests made. Candidates can also request a report giving feedback on their interview from HR or directly from the VP of the COS.
Do we have an appropriate complaints mechanism in place ?		x		++	Statistics on appeal from the DAJI.

Overall assessment					
Do we have a system in place to assess whether OTM-R delivers on its objectives ?				--	Pending the formalization of the OTM-R policy, the evaluation system needs to be set up. Possible KPIs: <ul style="list-style-type: none"> <li>- Feedback from users (e.g.: ENS pupils, DU...)</li> <li>- Number of layoffs</li> <li>- Abandon rate (doctoral students)</li> <li>- Number of resignations (post-doctoral)</li> </ul>



*\* Papier issu des forêts européennes*

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