

# **HRS4R**

## **HR strategy for research 2022-2027**

### **University of Lorraine**

**End-of-cycle self-assessment report and action plan -  
Renewal of the HR Excellence in Research label**

<https://www.univ-lorraine.fr/recherche-et-innovation/hrs4r-lexcellence-rh-pour-les-chercheurs/>

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**Preamble :**

Apart from the introduction, this self-assessment report is presented according to the outline of the file to be entered on the dedicated Euraxess website, which explains its unconventional form. The University of Lorraine was awarded the label on 10 February 2017; as the label has been extended to 5 years, the action plan has been extended by one year, i.e. until February 2022.

## Introduction

In 2015, the University of Lorraine (UL) implemented the HR Excellence in Research labelling project, thus affirming its desire to apply the principles of the European Charter for Researchers and the Code of Conduct for the recruitment of researchers. After passing through the various University bodies (Education Council, Scientific Council, Technical Committee, Health, Safety and Working Conditions Committee), the Board of Directors unanimously decided to adhere to the Code and the European Charter on 16 December 2015. The UL informed the European Commission in a letter dated 18 December 2015 of its willingness to apply the principles contained in these two documents in a concrete manner.

The main objective for the UL was and still is to offer attractive recruitment and working conditions for talent in all its research fields. The effect expected by the UL, beyond offering an environment conducive to research and to the professional development of its staff, is to improve its visibility and to facilitate the obtaining of recognition and European funding (H2020, ERC... For its researchers, it is also a question of making effective a stated desire to put in place an incentive and recognition of mobility at the career level and to facilitate the opening up of the labour market, to develop the principles of non-discrimination, in particular equality between men and women, and to offer a working environment that is conducive to research activity.

Today, five years after obtaining the HR Excellence in Research label, UL's commitment to the application of the principles of the code and the European charter in terms of human resources strategy is still relevant. The UL takes stock of the actions envisaged in 2016 and presents the orientations it wishes to give in the years to come around the six axes identified as priorities:

1. Status and support for doctoral and post-doctoral students
2. Recruitment and careers of researchers
3. Quality of life at work
4. Mobility - international dimension of the University
5. Ethics, integrity and professional values
6. Access and dissemination of knowledge

### **Our main successes:**

The assessment thus made shows that these five years spent implementing the ambitious action plan that the UL had set for itself are marked by successes and the realisation of actions of which we are particularly proud because they create the conditions for important progress in the activity of researchers. Thus, concerning the status of the doctoral student, the creation of the Maison du doctorat has allowed a homogenization of the support of doctoral students from the beginning to the end of the thesis (<http://factuel.univ-lorraine.fr/node/11619>). Concerning the recruitment and career of researchers, the adoption of our OTM-R policy in connection with our charter of values reinforces both our procedures and our recruitment requirements (<http://factuel.univ-lorraine.fr/node/16049>). The University of Lorraine has also made the fight against all forms of discrimination one of its priorities and, in this respect, the adoption of the action plan for gender equality (<http://factuel.univ-lorraine.fr/node/17034>) is an important step, as is the action plan against the risk of harassment of doctoral students, which is part of a more global approach to the treatment and prevention of all harassment situations. The attractiveness of our university also depends on the incoming and outgoing mobility of researchers, which is now facilitated by several programmes set up within the framework of the I-Site confirmed Lorraine University of Excellence (LUE) and which will be continued. This is the case, for outgoing mobility, of the Widen Horizons programme for confirmed researchers and Dream for doctoral students, and for incoming mobility of the Welcome@Lorraine programme (<http://factuel.univ-lorraine.fr/node/18383>). The recent setting up of the ethics commission and the existence of a scientific integrity referent also show how sensitive

UL is to these issues (<http://factuel.univ-lorraine.fr/node/11759>). Finally, the signature of DORA (<https://factuel.univ-lorraine.fr/node/17015>), the opening of the DOREL data warehouse (<https://factuel.univ-lorraine.fr/node/18396>), the creation of the Éditions de l'Université de Lorraine (<https://factuel.univ-lorraine.fr/node/18526>) and the commitment of the university in the national infrastructures (<https://factuel.univ-lorraine.fr/node/18029> & <https://factuel.univ-lorraine.fr/node/17717>) reflect the commitment of the UL to the development of open science, a commitment which is also reflected in the co-organisation by our university of the Paris OSEC2022 conference within the framework of the PFUE, which will be largely devoted to the necessary changes in the evaluation of research: <https://factuel.univ-lorraine.fr/node/18686>.)

### **Our future priorities :**

The project is once again made up of a large number of actions, which is justified on the one hand by our deliberate choice to have fairly precise statements of actions (the actions being then grouped into broader themes which demonstrate their unity and overall coherence), and on the other hand by axes which constitute top priorities. This is the case for axis 1, where 16 new actions are envisaged within the framework of a coherent approach to the development of the doctorate on the one hand (bearing in mind that in the previous plan, the priority was to work on the status and support of the doctoral student), and on the other hand on the status of the post-doctoral student, an area in which we were waiting for a regulatory framework that is now available within the framework of the Law for the Programming of Research (LPR). Another priority area is undoubtedly that of mobility, and more particularly the hosting of visiting researchers (area 4). Thus, most of the nine new actions envisaged pursue this common objective and constitute a coherent package. Finally, the development of open science (priority axis 6) is a challenge that we absolutely must take up and that alone justifies four new actions and the extension of the scope of two actions that are being continued. These three priorities should not, however, hide the importance of continuing to work on careers and recruitment (axis 2), where the actions envisaged integrate in particular the evolutions linked to the Law for the Programming of Research, to continue our fight against all forms of discrimination and harassment (axis 3) in line with national and European requirements and to demand that our researchers respect the rules of scientific integrity and ethics to which the UL is deeply attached (axis 5)

**Key figures for the University of Lorraine :**

<b>STAFF AND STUDENTS</b>	<b>GTF/FTE 2017</b>	<b>ETF/ETP 2021</b>	<b>Evolution 2017/2021 in % of total</b>
<i>Total number of researchers = staff, fellows, scholarship holders, full-time and part-time PhD students involved in research.</i>	3 233	3 353	4
<i>Of which international (i.e. foreign nationals)</i>	946	1 092	15
<i>Of which externally funded (i.e. for which the organisation is the host organisation)</i>	369	369	0
<i>Of which women</i>	1 298	1 341	3
<i>Of which stage R3 or R4 = Researchers with a high degree of autonomy, usually with the status of principal investigator or professor.</i>	1 279	1 287	1
<i>Of which stage R2 = in most organisations corresponding to post-doctoral level</i>	144	156	8
<i>Of which R1 stage = in most organisations corresponding to doctoral level</i>	1 810	1 911	6
<i>Total number of students (if applicable)</i>	59 047	62 598	6
<i>Total number of employees (including management, administration, teaching and research staff)</i>	7 422	7 679	3
<b>RESEARCH FUNDING (figures from last financial year) - Excluding payroll</b>	€ 51 812 456	€ 64 836 351	25
<i>Total annual organisational budget</i>	580 610 643	645 926 139	11
<i>Direct annual organisational funding from the government (block funding, used for teaching, research, infrastructure, ...)</i>	476 295 922	501 562 566	5
<i>Annual competitive public funding (for research, obtained in competition with other organisations - including EU funding)</i>	19 679 165	17 738 284	-10
<i>Annual funding from private, non-governmental sources for research</i>	11 721 707	23 945 931	104
<b>ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)</b>			
<p>University de Lorraine (UL) positions itself as a multidisciplinary, technological and entrepreneurial university, offering curricula in all areas and promoting cross-talk between fields and competences, in order to develop comprehensive answers to the global challenges of our century.</p> <p>UL is a major player of the development of the Lorraine region, coordinating a regional scientific strategy and offering higher education in all fields. At the heart of Europe, it develops</p>			

a network of strategic partnerships with a selected number of universities in the cross-border region as well as throughout the world. It promotes international mobility for its students and staff members.

## 2. STRENGTHS AND WEAKNESSES OF CURRENT PRACTICE (NARRATIVE)

*Please review the strengths and weaknesses of the four thematic areas of the Charter and Code, as provided by your organisation in the initial assessment phase. In doing so, you should not only look back, but also take into account new priorities, strategic decisions, etc. which may further influence the action plan. Please also provide a brief comment in the "Remarks" column if there have been major changes from the original plan.*

### Ethical and professional aspects

#### FORCES

##### *Freedom of research topics :*

- Researchers are given the necessary latitude to carry out their work.

##### *Ethics and scientific integrity :*

- To support researchers in respecting the ethical rules governing their activity, the UL has a deontologist and a Scientific Integrity Officer; the UL is a member of an ethics committee on animal experimentation (Lorraine Committee on Animal Experimentation - CELMEA, wider than the UL); a support system (analysis, practical sheets) in application of the NAGOYA protocol also exists. A scientific integrity charter has been adopted (charter of the French Office for Scientific Integrity - OFIS). Finally, an ethics commission, including external personalities chosen for their high level of expertise, has been created and meets several times a year.
- In accordance with the decree of 25 May 2016 on doctoral studies, all UL doctoral students follow a mandatory training course on research ethics and scientific integrity (MOOC). In addition, all theses are screened with the *Compilatio* anti-plagiarism software before being authorised for defence.

##### *Respect for intellectual property rights and open science :*

- UL has a structured intellectual property policy for copyright, patenting, software protection, maturation and transfer to society.
- Since March 2019, the UL has appointed an "Open Science" project manager, who is very involved in national and European networks (UL representative in the Assembly of Partners of the Centre for Direct Scientific Communication (CCSD) and elected from this assembly to the CCSD steering committee, member of the steering committee of the future federated platform of research data, member of the network of International Experts in Open Science, member of the Scientific and Technical Council of the National Institute of Scientific and Technical Information, member of the Task Force Research Careers, Recognition and Credit of the European Open Science Cloud (EOSC).
- The UL is a signatory to the San Francisco Declaration on Research Assessment (DORA), participates in the national think tank on the subject, and has expressed interest in participating in the future European Coalition on Research Assessment ([https://ec.europa.eu/info/news/call-interest-towards-agreement-reforming-research-assessment-2021-dec-16\\_en](https://ec.europa.eu/info/news/call-interest-towards-agreement-reforming-research-assessment-2021-dec-16_en)).

#### WEAKNESSES

- A culture of open science to be further developed within the institution
- An experience to be acquired at the level of the deontology commission in order to define a policy on the subject on which we can communicate

#### Remarks :

The PACTE law, promulgated on 22 May 2019, put an end to the functions of the Commission de Déontologie de la Fonction Publique, obliging institutions to set up internal ethics commissions. The UL has therefore set up this commission which, at this stage, deals with cases falling within the framework of the research code (scientific assistance and participation in the share capital, total or partial provision for the creation of a company, participation in the management bodies of a company). In the long term, it is envisaged to move

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towards the creation of a single and broader College of Ethics, with specialised sub-commissions depending on the subject: conflicts of interest, ethics, scientific integrity, etc.

The health crisis has not allowed seminars and symposia on the subject to continue.

### Recruitment and selection

#### FORCES

*Transparent procedures, respectful of the regulations:*

- The adoption of our OTM-R policy in January 2021, in line with the UL Charter of Values (for each value, the procedures guaranteeing their effectiveness are set out); the actions that enable our OTM-R policy to be implemented are identified.
- The existence of management regulations for contractual staff which provide a framework for recruitment within the institution. They provide a framework for practices and guarantee the fairness of candidates in the processing of their applications and the rights granted.
- The recruitment of permanent staff is strongly regulated by the regulations, which are perfectly respected within the UL.
- Explicit procedures to reinforce the requirement of impartiality and integrity of selection committees during recruitment or during the evaluation process during promotion campaigns (updated guide/procedure + dedicated annual training).
- Continuous and multifaceted action to increase the recruitment of staff with disabilities.

*A requirement for continuous improvement and responsiveness in a changing regulatory environment:*

- Continuous improvement of the practices of the selection committees, which are aware of the risks of discrimination of all types, as well as the UL's commitment to open, transparent and merit-based recruitment in accordance with the OTM-R policy adopted by the UL in January 2021, in line with our values charter.
- Improvement of the recruitment procedures for doctoral students, under the impetus of Lorraine University of Excellence (wider dissemination of thesis subjects, external recruitment encouraged).
- Improvements to the recruitment procedures for post-doctoral students: following the publication of the new decree (decree n°2021-1450 of 4 November 2021 relating to the public law post-doctoral contract provided for in article L. 412-4 of the research code), a new dedicated management regulation is being considered for a vote by the board of directors planned for the first half of 2022.

*Suitable devices:*

- The reception and mobility of researchers are encouraged and made possible under good conditions via the Lorraine University of Excellence scheme. Thus, for example, the Future Leader d'Exception scheme has made it possible to recruit high-level researchers internationally.
- The award of seven junior professorships in the first campaign (2021) launched under the Research Programming Law will strengthen our potential for recruiting international talent. A procedure voted on by the central councils defines the precise terms and conditions, guaranteeing a demanding recruitment process of international scope.

#### WEAKNESSES

*External weaknesses, related to the institutional environment :*

- The complexity of recruitment procedures for faculty members: complex qualification procedures by the CNU, particularly for foreign candidates, changes in the rules for qualifying for professorships with the persistence of exceptions (legal disciplines) which make the system complex and difficult to understand.

*Internal weaknesses :*

- The non-financing by the State of the Glissement Vieillesse Technicité (GVT), the positive balance of which reflects the increase in the wage bill due to the progression of staff in their salary scales (changes in step, grade or body). The financing model of French public universities is based on the annual payment by the State to the universities of the amount of the wage bill that should cover permanent employment. The non-financing of career development therefore has the consequence of weighing considerably on our possibilities of permanent employment, both for faculty members and research

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- support staff, despite the efforts made to find other sources of financing. In spite of this strong constraint, UL remains one of the French universities which publishes the most positions (63 teacher-researcher positions in 2021, 94 in 2022; in the top five universities which recruit the most since 2017).
- Endo-recruitment remains relatively high among professors. For lecturers (MCF), the proportion of external candidates (i.e. those who did not complete their thesis at UL) varies between 60% and 80% depending on the year (the number of open posts having fallen regularly over the period - 55 in 2016 to 38 in 2021). Among professors (PR), it is growing and has been around 45% since 2018 (37% in 2016, 41% in 2017 - out of 35 positions at the beginning of the period, 25 at the end). More than 60% of the last position held, all bodies taken together, was in France (except in 2020 when it reached 45%) but outside Lorraine (the percentage of positions held outside Europe varies between 3.5% and 9.8%, which represents a workforce of 2 to 7 positions depending on the year). This undoubtedly reflects a national opening of our recruitment, which should nevertheless be strengthened internationally, bearing in mind that obtaining seven CPJs in 2021 should contribute to this.
  - The conditions for recruiting doctoral students in certain disciplines still need to be improved (particularly in the humanities and social sciences), even if the situation is national.
  - The Human Resources Department is insufficiently involved in the recruitment process of research professors beyond the administrative procedures. International reception could be improved, in particular by increasing the language skills of the HRD.
  - Insufficient recognition of international mobility.

### Remarks :

The I-Site Lorraine Université d'Excellence has enabled us to deploy, within the institution, a certain number of measures to encourage the inward and outward mobility of young researchers (doctoral students) as well as experienced researchers, but also the adoption of more open recruitment methods, particularly for doctoral students. The definitive confirmation of the I-Site now places us in favourable conditions to pursue these actions but also to develop our policy of recruiting talent, in conjunction with our partners and in phase with our site policy.

Despite the pandemic linked to COVID 19, all the recruitments planned in the employment campaign (teachers, professors and administrative staff) were carried out in strict compliance with the rules. This was made possible by the constant availability of support staff and by the solidity and rigour of our procedures. This reinforces our belief that we must continue our efforts to be transparent but also to maintain proximity, despite the physical distance. The fact that we have tools that allow us to transfer all of our training and support systems remotely (for example, the training for selection committee chairpersons) remains an undeniable asset. This nevertheless requires constant vigilance on the part of our services, which are extremely busy with staff who are sometimes very weakened by the consequences of the current health situation.

The Law on Research Programming (LPR) opens up new recruitment opportunities that UL wishes to exploit to the full. A first success is the obtaining of seven Junior Professorships (JPC) in 2021, in our fields of excellence and in development.

## Working conditions

### FORCES

#### *Regulatory developments :*

- The application in all doctoral schools of harmonised procedures to implement all the changes in regulations relating to the doctorate (individual monitoring committee, portfolio, doctoral charter, etc.)
- Recognition of the status of scientific researcher for foreign PhD students
- The adoption of an action plan for gender equality in the workplace
- The adoption of a harassment prevention action plan for doctoral students
- The UL was one of the first universities to experiment with telework (from 2019), which was put in place before the pandemic and which enabled us to be particularly reactive when it was necessary to move massively to remote working; currently, nearly 1,200 staff members benefit from regular telework (excluding remote telework linked to the health crisis) and an experiment has been launched at the level of the institution on occasional telework.

#### *Proximity and solidarity mechanisms:*



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- The creation of the Maison Du Doctorat (MDD) on 1<sup>er</sup> January 2019, with a branch in Metz and Nancy, which guarantees greater continuity of service and fairer treatment of all doctoral students (recruitment and follow-up).
- The creation of a "working life conditions" commission and a "working time" commission
- An EDI policy (Equality, Diversity, Inclusion) asserted with awareness-raising actions (e-learning, forum theatre) and the creation of cells dedicated to equality, diversity and inclusion in many UL components to achieve a finer territorial network and field work as close as possible to the public concerned (students and employees alike). The fight against discrimination of all kinds is a priority for the institution and is at the heart of the mission of the vice-president in charge of these issues.
- The establishment of a multidisciplinary occupational health team, with the recruitment of an occupational psychologist and a new doctor.
- The introduction of whistleblowing mechanisms, one for bullying for staff (2020), the other for sexual harassment and discrimination open to both staff and students (2018).
- The collective support offered by the occupational psychologist during the two confinements and the subsequent resumption of activity on site.
- An annual budget of €450k dedicated to the social action policy for staff.
- A training plan that is always as close as possible to the needs.

### *Beyond work: cultural, sporting and personal development activities:*

- A wide range of cultural, sports and leisure activities offered to all staff (more than 70 sports activities, including during periods of confinement with remote sports activities, more than 500 cultural events), widely disseminated via a new communication policy initiated in 2019.

### **WEAKNESSES**

- Disparity in the remuneration of doctoral students depending on the discipline and funding method.
- The working environment for doctoral students (in particular the provision of dedicated facilities) varies greatly depending on the discipline in which the student is enrolled, despite clear improvements (Maison de la Recherche, Libération site, Espace Rabelais to come).

### Remarks :

In terms of quality of life at work, the institution's policy is ambitious and participatory. Various working groups (individual support, prevention of psycho-social risks, prevention and treatment of sexual harassment, gender equality, etc.) and joint committees (Quality of Life at Work, Disability, Social Action) have been organised. They have led to the implementation of warning systems, the submission of an action plan for professional equality between women and men, the activation of the Groupe de Liaison des Situations de Harcèlement (GLSH), in parallel with the regular action of the Groupe de Liaison des Situations Individuelles (GLSI) responsible for the collective and multidisciplinary handling of complex individual situations

The working environment for doctoral students in SHS has improved with the provision of dedicated spaces in both Metz and Nancy.

The period of health crisis resulting from the pandemic linked to COVID 19 has greatly disrupted the working conditions of staff, both in teaching and in research, with some staff being over-active (particularly in the field of health, but not only), while others were unable to carry out their work. In spite of this context, we have maintained training for staff, expanded the range of distance learning courses for doctoral students, developed distance working with a high level of responsiveness (provision of equipment at staff homes, computer equipment for staff and premises, tutorials for distance learning courses) and implemented group sessions to support staff by the occupational psychologist. At the same time, we organised distance sports sessions.

While supporting all of its staff, the institution continued with all of its current projects, despite very poor working conditions and periods of high tension in terms of workload. Thus, for example, the moral harassment alert system, the gender equality plan and the plan to prevent harassment of doctoral students were carried out in accordance with the set agenda, in consultation with the staff and in dialogue with the trade unions. This reflects the institution's determination to continue this fundamental work and to achieve the objectives set, despite the difficulties caused by the health conditions. This perseverance is proof of the strength of our convictions on all issues relating to working conditions.

## Training and development

### FORCES

- Training of doctoral students coordinated by the Lorraine College of Doctoral Schools (CLED) in conjunction with the Maison du Doctorat
- The DREAM scheme, which allows doctoral students to carry out research stays abroad; this financial aid is particularly valuable when it comes to compensating for the difficulties of funding doctoral students in the SHS disciplines (73 mobilities carried out for 163 months since 2019, with a year 2020 very strongly disrupted by COVID 19).
- A dedicated training scheme for newly recruited lecturers in accordance with national regulations with teaching relief (32 HETD, first year).

### WEAKNESSES

- The limitation of funding for doctoral students' research projects in the SHS disciplines, which hinders their participation in conferences and seminars (disparity from one discipline to another, from one laboratory to another).
- The still insufficient, although increasing, participation of faculty members in training, despite an enriched training offer.

### Remarks :

Despite the constant enrichment of the training offer for faculty members, they still participate relatively little in the proposed training. We are nevertheless continuing our information and awareness-raising efforts, knowing that more and more of them are asking to benefit from their right to training. The health crisis that we have been experiencing for the past two years has mobilised the teaching and research staff, leaving them little time for training. A return to more normal working conditions could allow them to train more in the future.

### *Have any of the short and medium term priorities changed?*

The HR Excellence in Research label in research has reinforced a dynamic already largely underway at UL, which results from the merger of four institutions whose practices had to be harmonised and modernised, particularly in terms of human resources. The labelling has undoubtedly played a catalytic role, by encouraging the community to adhere to a common development approach, which is also perfectly in line with another federating project that has now been confirmed: the I-Site Lorraine University of Excellence (LUE). As a result, the overall approach has not changed and the ambition remains the same: to continue to guarantee recruitment and working conditions in line with the requirements of European standards, so as to create conditions conducive to high-level research, capable of meeting global challenges, not only in the fields in which we are leaders but also throughout the institution, thus generating a common culture of demand for excellence, openness and respect.

To do this, we initially devised a very ambitious action plan. The vast majority of these have now been achieved. The future action plan aims to consolidate some of them, as the steps taken have led to other ambitions, or to develop new ones. The choice of these new actions is the result of a seminar organised in June 2021 at a distance, given the health context. The aim was to share our knowledge and analysis of the various actions implemented by the institution as part of the HR Excellence in Research label with the directors of the training and research components, the directors of the doctoral school, the scientific pole and the collegium. It was also a question of reflecting on future actions, in a dynamic of permanent improvement and evolution of our practices. Around thirty participants were divided into six groups. Each group was invited to express itself in six successive workshops, corresponding to the six axes of our action plan and each led by a pair of people made up of the political leader of the axis and the administrative leader. The work of the workshops then gave rise to a shared summary in which each of the two facilitators highlighted the key ideas and possible courses of action. This collective reflection showed that the community has appropriated the systems and procedures implemented as part of the HR Excellence in Research label, while at the same time being part of a process of continuous improvement of the institution's human resources policy. The future actions presented in the project section of each axis are the result of this shared reflection within the institution.

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*Have any of the circumstances in which your organisation operates changed and, as such, had an impact on your HR strategy?*

We have experienced several changes in 2020 which have had an impact not on the strategy itself but on the conditions for its realisation. For example, the vice-president of human resources and working conditions, who is steering the label as project manager, changed on 1<sup>er</sup> September 2020. Her replacement therefore needed time to get to grips with the subject, bearing in mind that the handover was made more complicated by the pandemic, the periods of confinement and then of working remotely. Nevertheless, the COPIL did not undergo any other changes, which facilitated the continuity of the monitoring of files. Another change in personnel occurred at the beginning of 2021, as the project manager dedicated to the label wished to end his mission. Even though he was quickly replaced, it took a minimum amount of time to get to grips with the file and the tools.

The research programming law (LPR), voted in 2020, has a considerable impact on the HR policy of French research establishments and in particular of the UL (new methods of recruitment for Junior Professorships, repyramidage which influences promotions, changes in the allowance system, etc.).

The confirmation of the I-Site, Lorraine University of Excellence (LUE) allows us to strengthen our policy of recruiting talent, including internationally, in conjunction with our partner research establishments (CNRS, Inra, Inria, Inserm, the Nancy CHRU, AgroParisTech and GeorgiaTech Lorraine).

The University of Lorraine's website has been completely revamped, leading to a complete rethink of the communication around the HR Excellence in Research label.

*Are there any ongoing strategic decisions that could influence the action plan?*

The initial action plan was proposed within the framework of the institution's overall strategy, whether within the framework of the five-year contract with the State or within the framework of the "Lorraine University of Excellence" (LUE) scheme, a strategy that has not changed since the labelling. On the contrary, it has been strengthened since the confirmation of the I-Site (LUE) which allows us to have a longer term horizon and more certainty about the possibility of continuing some of our actions, or even reinforcing them. Nevertheless, the UL is entering a period of uncertainty since the election of a new political team will take place in the spring.

The new actions included in the action plan are also linked to the regulatory environment which is changing significantly following the adoption and implementation of the Law on Research Programming (LPR), which has significantly changed the conditions for recruiting researchers (Junior Professorships, disappearance of the qualification for access to the rank of professor), their development prospects (repyramidage) and remuneration (change in the bonus system with three components: statutory, functional and individual) as well as the means made available for research (increase in the basic allocation, *preciput*, new possibilities for recruiting research support staff - CDI de mission, competitive examination, ITRF repyramidages). Furthermore, a change in the President of the Republic, therefore at national level, could have an impact on the application of measures related to the LPR.

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### 3. ACTIONS

Please see the list of all actions you have submitted as part of your HR strategy. Please add to the overview the current status of these actions and the status of the indicators. If any actions have been changed, omitted or added, please provide a comment for each action.

Note: Choose one or more of the principles automatically extracted from the GAP analysis with their implementation ratings:

## AXIS I - STATUS AND SUPPORT OF DOCTORAL STUDENTS AND POST-DOCTORAL FELLOWS

### Evaluation - Balance sheet

ITEM N°	Actions	Responsible policy	Operational manager	Deliverable	Indicators	Starting date	Deadline	Status of the action	Comments
<b>1.1</b>	<b>Supporting doctoral students and post-doctoral students in their professional projects</b>								
1.1.1	Mapping doctoral and post-doctoral students according to their geographical origin and funding	VP Doctoral Strategy	Director of Research and Development	a) Mapping of PhD students b) Post-Doctoral Mapping	Y/N	January 2017	a) November 2018 b) December 2019	a) <b>TERM</b> b) <b>TERM</b>	Post-doc: completion in October 2021
1.1.2	Identify, harmonise and generalise good practice in the administrative management of doctoral and post-doctoral students throughout their stay at UL	VP Doctoral Strategy	Director Research Director and Valorisation	a) Management regulations Doctorate b) Post-Doctoral Management Regulations	Y/N	June 2017	a) December 2019 b) December 2021	a) <b>TERM</b> b) <b>TERM</b>	a) Doctoral Management Regulations = Doctoral Charter, Individual Monitoring Committee and Individual Training Agreement  <a href="https://www.univ-lorraine.fr/raa/wp-content/uploads/sites/6/2021/07/ANNEXE-04-Charte-du-DOCTORAT-Francais-post-CS.pdf">https://www.univ-lorraine.fr/raa/wp-content/uploads/sites/6/2021/07/ANNEXE-04-Charte-du-DOCTORAT-Francais-post-CS.pdf</a> <a href="http://doctorat.univ-lorraine.fr/fr/etre-doctorant/comite-de-suivi">http://doctorat.univ-lorraine.fr/fr/etre-doctorant/comite-de-suivi</a> <a href="http://doctorat.univ-lorraine.fr/fr/etre-doctorant/formations">http://doctorat.univ-lorraine.fr/fr/etre-doctorant/formations</a> b) until 2021, application of the management regulations for contract researchers to post-doctoral fellows; new management regulations for post-docs following the LPR
1.1.3	Revise the thesis charter in accordance with the decree of 26 May 2016 (doctoral charter) by integrating elements relating to the HR dimension and generalise its application	VP Doctoral Strategy	Director of Research and Development	Doctoral Charter	Y/N	July 2016	June 2017	<b>END</b>	<a href="https://www.univ-lorraine.fr/raa/wp-content/uploads/sites/6/2021/07/ANNEX-04-Charte-du-DOCTORAT-Francais-post-CS.pdf">https://www.univ-lorraine.fr/raa/wp-content/uploads/sites/6/2021/07/ANNEX-04-Charte-du-DOCTORAT-Francais-post-CS.pdf</a>
1.1.4	Organise and implement cross-disciplinary	VP Doctoral Strategy	Director of Research	a) Update of the training	Number of training	2013	December 2018 (a)		Link to PhD website for training offer: <a href="http://doctorat.univ-lorraine.fr/fr/etre-doctorant/formations">http://doctorat.univ-lorraine.fr/fr/etre-doctorant/formations</a>

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	training actions for the preparation/construction of the doctoral student's professional project		and Development	offer b) Individual training agreement	events; Participation rate of PhD students		and December 2018 (b)	END	Tutorial: <a href="https://youtu.be/GO2n1NxpHsM">https://youtu.be/GO2n1NxpHsM</a>
1.1.5	Improve the professional follow-up of the doctoral student, throughout his or her career, within the framework of the thesis follow-up committee, making it possible to jointly address the supervision of the doctoral student and his or her scientific work	VP Doctoral Strategy	Director of Research and Development		Number of skills assessments carried out in year N for doctoral students	January 2018	December 2020	END	
1.1.6	Promoting the mobility of doctoral students	VP Doctoral Strategy	Director of Research and Development	a) List of partner universities and companies	b) Number of mobilities	January 2018	February 2019	END	
1.1.7	Generalise the use of a doctoral student portfolio	VP Doctoral Strategy	Director of Research and Valorisation	a) folio port	b) Number of portfolios created each year	January 2018	a) September 2018 to b) December 2022	a) TERM b) Ongoing	a) tool made available to doctoral students via ADUM b) awareness raising for generalisation to doctoral students
1.1.8	Define the status of the post-doctoral student and provide each post-doctoral student with a training account	VP Research	Director of Research and Development	a) status of the post-doctoral student at the University of Lorraine b) post-doctoral training account	c) Number of training accounts opened per year Number of requests to use the training account or rate of use	March 2018	a) June 2018 b) December 2018 c) December 2021	Ongoing (recent regulatory developments)	Recent publication of Decree No. 2021-1450 of 4 November 2021 on the public law post-doctoral contract provided for in Article L. 412-4 of the Research Code <a href="https://www.legifrance.gouv.fr/jorf/id/JORFTEXT000044293306">https://www.legifrance.gouv.fr/jorf/id/JORFTEXT000044293306</a>
1.1.9	Increase the number of spaces dedicated to the reception of doctoral students in SHS	VP Doctoral Strategy	Director of Research and Development	Inventory of rooms / dedicated spaces	Number of m <sup>2</sup> allocated	January 2018	December 2022	In progress	Private label inventory in progress A 74 m <sup>2</sup> room available for CLSH Doctoral student reception project on the 3rd floor of Libération and Maison de la Recherche on rue Baron Louis - Espace Rabelais to come

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<b>1.2 Define a good practice guide for the recruitment of doctoral and post-doctoral students</b>									
1.2.1	Identify and affirm existing good practices and make them sustainable according to the specificities of each discipline, and eventually deploy a quality approach for recruitment	VP Doctoral Strategy	Director of Research and Development	Good practice guide	Y/N	June 2015	December 2023	In progress	Identification and communication of ED practices in CLED  OTM-R
1.2.2	Systematise open international recruitment calls for doctoral and post-doctoral students	VP Doctoral Strategy	Director of Research and Development	Digital platform for the publication of thesis topics	Number of external applications	June 2016	June 2020	END	PhD part = thesis offer on Euraxess and Campus France  OTM-R
1.2.3	Informing candidates about employment opportunities and procedures within the institution and in partner institutions	VP Doctoral Strategy	Director of Research and Development	Guide to scientific employment at UL	Y/N	September 2019	September 2020	END	Doctoral student = Doctoral skills (within the academic system) Job offers for research engineers and professors on the UL site  OTM-R
1.2.4	Increase the use of the Doctoral Contract in the recruitment of doctoral students	VP Doctoral Strategy	Director of Research and Development	Doctoral contract	of doctoral contracts signed per year	2015	December 2021	END	Researchers' management regulations and creation of agreed HR procedures
<b>1.3 Training of supervisors / thesis directors</b>									
1.3.1	Increase the potential for doctoral supervision by encouraging young researchers to undertake the HDR	VP Research	Director of Research and Development	Training plan	Number of annual HDRs and ACTs	January 2015	December 2021	END	Amendment of the ACT Regulations to encourage the pursuit of HDR (SC of 28.05.2019)
1.3.2	To increase the quality of doctoral supervision of thesis directors by favouring joint training actions with partner EPSTs and to enhance this participation	VP Doctoral Strategy	Director of Research and Development	Training for doctoral supervision	Number of people trained each year	September 2016	December 2021	END	Systematic information on doctoral supervision training during the 1st ACT

### *A concerted and structured doctoral policy :*

The implementation of the action plan of axis 1 has been focused on the status of the doctoral student since the label was obtained in 2017. Thus, the UL's doctoral policy has been considerably strengthened and developed, under the aegis of a vice-president in charge of doctoral strategy appointed in May 2017.

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She is assisted in the implementation of her policy by the coordinator of the Lorraine College of Doctoral Schools (CLED), now a member of the university's Executive Board (bringing together the directors of scientific poles and collegiums) and by the Maison du Doctorat (MDD) created in 2019. At the beginning of the five-year contract, the vice-president set up a doctoral board bringing together the eight directors of the doctoral schools (EDs), known as the G8, and the MDD's senior staff. It is a place for exchanging best practices and co-construction on all issues relating to doctoral policy, whether in terms of training or administration. At the same time, numerous working groups made up of doctoral students, doctoral school directors and administrative staff have been created. They functioned regularly and intensively with the aim of providing the CLED with preparatory work. The ED directors and doctoral students are also fully involved in the implementation of the doctoral policy.

In addition to the UL and its internal actors, other stakeholders in training through and for research, such as the Public Scientific and Technological Establishments (EPST) and the Regional University Hospital (CHRU) of the Lorraine site, are mobilised to amplify the synergies and convergences between training and research. This point is also the subject of article 3 of the site agreement of the Lorraine Coordination and Scientific Orientation Committee (CCOSL) signed in July 2019 between the UL, the EPST (CNRS, INRIA, INRAE, INSERM) and the CHRU, This article focuses on the quality of doctoral student recruitment (recommendation to apply the European Charter for Researchers), doctoral supervision, cross-disciplinary and professional training, but also on the international visibility of doctoral schools, the reception of international doctoral students and international mobility during the thesis.

The doctoral strategy at UL is linked to national and international strategies on the subject. UL is a member of national and European doctoral networks (EUA, UniGR). At the international level, the EUA reports, including in 2019 "Doctoral Education in Europe today: approaches and institutional structure", constitute a basis for reflection for the construction of this strategy. Our meetings within the networks and reports have made it possible to prioritise actions on training, supervision and support for doctoral students, and follow-up of doctors. In 2018, this policy was accompanied by registration in the National Directory of Professional Certifications (RNCP) for all 22 professional segments.

### *Improved conditions for the recruitment and monitoring of doctoral students:*

The award of the HR Excellence in Research label by UL in 2017 has strongly guided improvements in the conditions of recruitment and follow-up of doctoral students. The doctoral contract is the reference in terms of funding for doctoral students recruited on state credits or own resources, as stated in the university's management regulations of 2018 (1.2.4). The recruitment procedures are now posted by the doctoral schools in the framework of the CLED, and the funded thesis offers are published on the UL website and on the Campus France website (also on the Euraxess website if decided by the research unit) (1.2.1 and 1.2.2).

Considerable progress has been made in terms of harmonisation and generalisation of good administrative practices (1.1.2) via the creation of a UL Doctoral House (MDD) as of January 2019 after more than a year of preparation involving the regrouping on 2 sites (Nancy and Metz) of services dedicated to doctoral studies previously spread over 8 different geographical sites (<http://doctorat.univ-lorraine.fr>). This pooling of personnel has enabled the harmonisation of procedures (1.1.3 Thesis Charter, 1.1.4 Individual Training Agreement, 1.1.5 Individual Follow-up Committee), along with the development of a new service offer for the benefit of doctoral students and doctoral schools in terms of cross-disciplinary training, internationalisation, promotion of the doctorate and doctoral life.

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The general scheme of training courses (transversal and disciplinary) has been globally revised in perfect agreement with the eight doctoral schools, offering greater clarity and homogeneity, and allowing, via the granting of pre-established credits, the recognition of training courses (<https://youtu.be/GO2n1NxpHsM>).

A mapping of doctoral students was drawn up in 2017, and the information system used to monitor recruited doctoral students was optimised in order to make the data concerning them more reliable (1.1.1).

The doctoral student life has also been developed in close collaboration with an international doctoral student recruited for this purpose, with great achievements in terms of reception and animation, particularly virtual during the health crisis.

A room dedicated to SHS doctoral students has been created and fully equipped and other premises geographically close to the laboratories are being allocated (1.1.9).

An internal regulation governing each doctoral school is being finalised (1.1.2) and will be posted online for the full information of stakeholders.

A programme to promote and fund outgoing mobility for doctoral students was created within the framework of the LUE I-Site, enabling more than 50 doctoral students to spend between 2 and 6 months in a public research laboratory in the 5 continents (1.1.6); this programme is being re-launched following the health crisis.

Tools such as the portfolio (1.1.7) and regular events relating to the integration of PhDs are regularly proposed. The professional integration of PhDs is monitored by the university's observatory at 12 months and 3 years. The insertion rates and sectors are published each year by doctoral school. An "Alumni Doctorants" network has been in operation for two years, bringing together more than 1,000 doctors and doctoral students (<https://alumni.univ-lorraine.fr>) and a LinkedIn network has been created (<https://www.linkedin.c/groups/8765104/newsletter>).

A plan to increase the number of supervisors has been adopted by the university, allowing young faculty members to acquire (via an ACT-Authorisation to Co-supervise Theses) a first experience of supervision alongside a professor or lecturer authorised to supervise research, the principal thesis supervisor (1.3.1). Finally, two annual training sessions have been offered since 2017, in particular to new supervisors, to improve the quality of doctoral supervision (1.3.2). Thus, 192 supervisors have been trained since 2017.

### *Work to be continued on post-doctoral work:*

Although the priority has been on the doctorate, post-doctorate has also been the subject of particular attention, in order to better understand its diversity. A mapping of the post-doctorate at UL (1.1.1) has thus been carried out for the years 2018/2019 and 2020/2021. Currently, the employment contracts of post-doctoral and doctoral students (1.2.4) recruited are governed by the UL's contract researcher management regulations dating from 2018. A new management regulation is being drawn up following the publication, in November 2021, of the decree relating to the post-doctoral contract under public law. The university is also engaged in a reflection on the analysis of current practices, with a view to the creation of a future post-doctoral status, which will be in perfect agreement with the Law of Programming for Research voted on 24/12/2020 and its application decrees.



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### New objectives

ITEM N°	Actions	Responsible for	Operational Manager	Deliverable	Indicators	Start date	Deadline	Status of the action	Comments
<b>1.1</b>	<b>Supporting doctoral and post-doctoral students in their professional projects</b>								
1.1.10	Draw up a "Guide for doctoral students" containing all the information and tools needed to complete a doctorate	VP Doctoral Strategy	DRV/MDD	Guide	Editing and putting the Guide online + updating	2022	2023	In progress	
1.1.11	Develop the offer of transversal e-learning training courses, in particular for salaried doctoral students	VP Doctoral Strategy	DRV/MDD	E-learning modules	Number of modules put online	2023	2026	In progress	
1.1.12	Generalise the use of the doctoral student's portfolio by raising awareness and supporting doctoral students - work in conjunction with the competences to be displayed on the RNCP - raise awareness among thesis directors	VP Doctoral Strategy	MDD/DRV	Awareness raising/training actions	Number of courses	2022	2024	In progress	
1.1.13	Analysing and appropriating the mapping of post-doctoral studies at UL	VP Research/VP HR	DRV/DRH	CS/G10/EU Action Plan		2022	2023	In progress	
1.1.14	Establish a post-doctoral status under the LPR	VP Research/VP HR	DRV/DRH	Post-Doc Management Regulations (CA) + Good Practice Guide for the recruitment of contract researchers		2022	2023	In progress	
1.1.15	Consolidate the policy of welcoming and integrating post-doctoral students on the Lorraine	VP Research/VP HR/VP IR/CCOSL	DRV/DRH/DRIE/HARMOLOR/CCOSL	Action plan for the Lorraine site		2024	2026	To come	

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	site in conjunction with the EPSTs, particularly for international doctors								
1.1.16	Offer cross-disciplinary training to post-doctoral students	VP Research/VP Doctoral Strategy/VP HR	DRV/DRH	Training modules deployed Number of post-docs who followed them		2024	2026	To come	In addition to the UL training catalogue=> Display Targeted post-doc offer
1.1.17	Supporting post-docs in their academic/non-academic professional integration during their post-doctoral contract	VP Research/VP HR	DRV/DRH			2023	2026	To come	
<b>1.2</b>	<b>Good practice in recruitment</b>								
1.2.5	Mapping the sources of funding in the SHS field allowing the transition imposed by the LPR to reduce the precariousness of SHS doctoral students	VP Doctoral Strategy	MDD/CLED/CS	Action plan to be framed		2023	2026	To come	
1.2.6	Consolidate the reception policy on the Lorraine site in conjunction with the EPSTs, particularly internationally	VP Research/VP Doctoral Strategy	MDD/DRIE/HARMOLOR/CCOSL	Action plan to be validated for the Lorraine site		2024	2026	To come	
<b>1.3</b>	<b>Training of supervisors/dissertation directors</b>								
1.3.3	Drawing up a "Supervisor's Guide" gathering the information and tools necessary for the smooth running of the thesis	VP Doctoral Strategy	MDD/CLED	A Guide	Editing and uploading + updating	2024	2026	To come	
1.3.4	Improve the information and training of supervisors in the framework of the animation of a PhD Network set up within the laboratories	VP Research/VP Doctoral Strategy	PRIVATE LABEL/PS	Creation of a network of doctoral referents in RUs	Number of network-oriented meetings and trainings	2023	2026	To come	
1.3.5	Supporting supervisors in the prevention and detection of potential psychosocial risks among doctoral students	VP HR/ VP PhD Strategy	MDD/HRD	Actions in line with WG PHD recommendations	Number of trained supervisors	2022	2026	In progress	
<b>1.4</b>	<b>Valuation of the doctorate</b>								

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1.4.1.	Enhancing the value of post-doctoral professional integration surveys and the ALUMNI network of PhDs	VP Doctoral Strategy	MDD/DAPEQ	1 and 3 year surveys	Communication through different channels + Alumni	2022	2026	In progress	
1.4.2.	Develop the animation of doctoral student life to "live well your doctorate".	VP Doctoral Strategy	MDD/CLED	Activities implemented	Number of new activities	2022	2026	In progress	
1.4.3.	Valuing and recognising the research involvement of doctoral students in the context of non-finalised theses	VP Research/VP Doctoral Strategy	MDD/DIFOR	Setting up a DU for research involvement		2024	2026	To come	

### AXIS 1- DOCTORATE

Following on from the 2017/2021 action plan, the next action plan will focus on supporting doctoral students, from their recruitment to their professional integration.

A "Doctoral student guide" will be drawn up by the Maison du Doctorat (MDD) and handed out at the start of the first year of the doctorate, to make it easier to understand the training, supervision and support systems, tools and timetables (action 1.1.10).

The range of cross-disciplinary training courses will be significantly enriched with e-learning modules, as this learning method is particularly well suited to salaried doctoral students, of whom there are many in the SHS sector. These modules must first be validated by the CLED Training WG (action 1.1.11). Concerning recruitment, the effort on the display of thesis recruitment modalities according to the disciplines will have to be pursued under the impulse of the CLED and the SC. Support will be set up, particularly for SHS doctoral students, in order to map out the possibilities of financing a thesis in these disciplines, in the framework of the Law on Research Programming (LPR), which recommends the reduction of the number of unfunded doctoral students (action 1.2.5).

On the international side, the funding programme for international mobility -outgoing and incoming- of PhD students which has been very successful since 2019 will be continued in the framework of the perpetuation of the I-Site "Lorraine University of Excellence". In addition, the reception and integration of international researchers on the Lorraine site will be developed and harmonised in concert between the UL and the EPSTs in the framework of the perpetuated LUE and the CCOSL (now CORIS: Coordination Committee for Research, Innovation and Society of Lorraine) (action 1.2.6).

An awareness-raising campaign will be conducted among doctoral students to encourage them to optimise the use of the portfolio tool, made available to them via ADUM. This action will be carried out in order to enhance the skills acquired in connection with the 22 professional fields of the national RNCP repertoire (action 1.1.12). Concerning thesis supervision, a "Supervisor's Guide" will be drawn up by the Maison Du Doctorat and given to all new supervisors (1.3.3), bringing together in a single document all the recommendations, good practices and regulatory instructions, both national and specific to the UL. The MDD will seek to improve communication with supervisors by setting up a "Doctoral Network" within the laboratories, allowing for on-call sessions and

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training/information on the sites (action 1.3.4). Finally, measures will be implemented by the UL to train and support supervisors in the prevention and detection of psychosocial risks (action 1.3.5).

Concerning the promotion of the doctorate, UL will continue to promote and communicate on the integration of its doctors, relying in particular on the ALUMNI Doctors network (action 1.4.1). The animation of the Doctoral Life, driven by the MDD and implemented by the doctoral students, will continue to be financially supported and strongly encouraged in view of the results obtained (action 1.4.2). In order to recognise the skills acquired by certain doctoral students who are unable to continue and complete their thesis, the introduction of a university diploma on research involvement will be studied on the initiative of the CLED and with the agreement of the scientific council, reserved for the best courses and profiles (action 1.4.3).

### **AXIS 1- POST-DOCTORATE**

The present 2022/2026 action plan focuses on the Post-doctorate, the previous plan having prioritised actions around the Doctorate, as the reflection on the Post-doctorate theme within the UL and at national level was not completed. Since the end of 2020, the LPR has come to define the status of the post-doctorate and a post-doctoral contract is also on the agenda. In order to do this, the institution will first of all appropriate and analyse in depth the recent mapping of post-doctorates at the UL (geographical origins, degrees, profiles, funding, etc.) - (1.1.13). The first objective is to formalise the post-doctoral status at UL with the corresponding rights and obligations - in line with the LPR and the implementing decree on post-doctorate published on 4 November 2021 (1.1.14). The reception and integration of international researchers on the Lorraine site will be developed and harmonised in concert between UL and EPST in the framework of LUE and CCOSL/CORIS (1.1.15). Training courses will be offered and promoted (via the HRD training account) for post-doctoral fellows wishing to improve their transversal skills or soft-skills (1.1.16), with a view to their professional integration, which will have to be accompanied by their host laboratory, whether this is envisaged at academic or non-academic level (1.1.17).

## **AXIS II - RECRUITMENT AND CAREER OF RESEARCHERS**

### **Evaluation - Balance sheet**

ITEM N°	Actions	Responsible for	Operational Manager	Deliverable	Indicators	Start date	Deadline	Status of the action	Comments
<b>2.1</b>	<b>Organising and implementing support for new recruits</b>								
2.1.1	Propose a support plan for new researchers from the year of their training	VP Human Resources VP Pedagogical Innovation	Deputy HR Director in charge of EC	PWP distributed at the welcome meeting for new MCFs	<b>Number of researchers who benefited from the support plan, per year</b> <b>Number of hours of training</b>	Jan-17	Dec-18	END	
<b>2.2</b>	<b>Implementing career monitoring, in terms of activities and professional trajectory</b>								
2.2.1	Implementing career monitoring for faculty members	VP Human Resources	Deputy HR Director in charge of EC	Procedure	Y/N	Jan-17	June-17	END	
2.2.2	Define and build actions to support faculty members when they return from CNU opinions on their files	VP Human Resources	Deputy HR Director in charge of EC	a) Feedback on CNU opinions b) Accompanying plan	Number of people received by the VP HR	June-17	a) Dec-18 b) Dec-19	END	
2.2.3	Strengthen the training plan for researchers in areas related to their activities (management, languages, project management, etc.) and bring it into line with needs	VP Human Resources	Deputy HR Director in charge of EC	a) Training plan b) SU2IP assessment	Participation rate in the actions proposed by the training plan	Jan 15	Nov-17	END	
2.2.4	Improve the practices of selection committees, in particular by raising their awareness of the importance of geographical and professional mobility	VP Human Resources	Deputy HR Director in charge of EC	Updated guide + Presentation given at the meeting for the chairs and vice-chairs of the selection committees	Y/N + Endo-recruitment rate Feminisation rate	June 15	June 19	END	OTM-R
2.2.5	Process of preparation of foreign recruitment, help in putting together the file	VP Human Resources	Deputy HR Director in charge of EC	Support plan	Number of people supported	June-19	Dec-23	In progress	OTM-R
2.2.6	Open, Transparent and Merit-based Recruitment Policy	VP Human Resources	Deputy HR Director in charge of EC	OTM-R Policy Factual article	Not applicable	Jan-19	Dec-20	END	OTM-R

Concerning the support of new recruits (2.1), at the start of the 2018 academic year, national regulations imposed training for new lecturers. However, as of the 2017-2018 academic year, the University of Lorraine had set up two dedicated training path options. Volunteer lecturers who take part in this training programme in university pedagogy are relieved of 32 hours ETD of their statutory teaching duties, which means that they are not allowed to work additional hours, in order to better integrate them in optimal conditions to carry out their dual mission of teaching and research. From now on, training and service release are compulsory.

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A presentation of the organisation of the training system is included in the welcome of new staff; individual support by SU2IP for the implementation of a teaching project allows new lecturers to take into account their past experience and thus benefit from an adapted training programme: a compulsory individual interview is held at the beginning of the academic year with each trainee MCF. This individual interview is counted, for one hour, in their training programme. A second individual interview at mid-term, also counting for one hour, is offered on a voluntary basis.

The training courses dedicated to trainee MCFs aimed at deepening the pedagogical skills necessary for the exercise of their profession have been enriched over the years; they include MOOCs, seminars, study days, workshops and conferences on university pedagogy, etc., as well as a reminder of their rights and obligations. In addition to this course, students can also enrol in training courses during their probationary year that are part of the institution's training plan.

Concerning the implementation of career monitoring, in terms of activities and professional trajectory (2.2), an information campaign on career monitoring (2.2.1) is launched among faculty members each year. The principles and objectives of this system are to establish a direct relationship between the teacher-researcher and the section of the National Council of Universities responsible for his/her discipline.

As part of the definition and construction of support for faculty members (2.2.2) following the feedback from the National Council of Universities, the Vice-President of Human Resources and Working Conditions of the University of Lorraine receives faculty members who need specific support, in light of the feedback from the CNU. All faculty members who have submitted a file are invited, on a voluntary basis, to request a meeting with their component or laboratory director or with the Vice-President of Human Resources and Working Conditions, as they see fit, to review their career and their situation. At the same time, information is provided to the component and laboratory directors each year, so that they are aware of the general remarks expressed by the CNU.

In addition, beyond this career monitoring system by the CNU, the Vice-President and the dedicated staff of the Human Resources Department provide their expertise to faculty members in their career by providing them with useful information on the various administrative positions, but also by offering training on how to fill in a file submitted for promotion, thus highlighting the important points of their professional career. The rapporteurs in charge of the first evaluation of the files are also trained in order to harmonise these evaluations.

The training plan for researchers in related areas of their activities (2.2.3) is also being strengthened, particularly in languages, project engineering and the supervision of doctoral students.

In point 2.2.4, the institution wished to change the title "Improving the practices of selection committees, in particular by making them aware of the importance of geographical and professional mobility" to "Improving the practices of selection committees" in order to highlight the awareness of the Chairs and Vice-Chairs of the percentage of women, conflicts of interest and stereotypes.

At the annual meeting of the selection committee chairpersons and vice-chairpersons, and over and above the regulatory constraints of meeting and selecting candidates, they are reminded of the need to avoid any situation of bias. A short video is shown to make them aware of the need to combat stereotypes. In addition, and since the 2021 recruitment campaign, they are responsible for raising awareness of gender equality among the members of the selection committee they chair, for communicating national and local statistics provided to them by the Human Resources Department, and they must ensure that

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equal treatment of men and women is respected throughout the committee's work by making sure that the change in the rate of women on the committee is based solely on an assessment of the scientific quality of the candidates.

Since 2021, the UL is a signatory of the San Francisco Declaration (DORA) which also implies to evolve our practices of evaluation of applications by developing a more qualitative approach (in connection with action 6.1.4)

Adhering to the principles of the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers, the University of Lorraine aims to develop its open, transparent and merit-based recruitment policy in line with its charter of values adopted in 2016 and whose effectiveness it regularly reinforces. The OTM-R (Openness, Transparency and Merit in Recruitment) policy (2.2.6) of the University of Lorraine therefore intends to include its researcher recruitment strategy in the respect of the five values that make up its identity: universality - creativity - reflexivity - solidarity - responsibility. This policy has been widely disseminated to staff (letter to all elected members of all councils, factual article) and is posted on the University's website. Our OTM-R policy is also in line with our commitment to favour a more qualitative approach to recruitment, with increased emphasis on open science (in line with action 6.1.4).

### New objectives

ITEM N°	Actions	Responsible for	Operational Manager	Deliverable	Indicators	Start date	Deadline	Status of the action	Comments
<b>2.3</b>	<b>Supporting researchers in the conduct of their scientific activity</b>								
2.3.1	Supporting and encouraging research throughout the researcher's career	VP Human Resources and VP Research	Deputy HR Director in charge of EC And Director DRV	Support plan (preventing and combating drop-out)	Number of cases monitored	2023	2025	In progress	
2.3.2	Fostering scientific autonomy	VP Research and VP PhD	Director DRV	Information document (ACT, HDR, funding opportunities, CRCT, EPST delegation)  Training (project development, scientific animation)	Annual number of HDR, ACT, CRCT (applications, priorities), EPST delegations  Number of ANR "young researchers" projects submitted annually  Number of people trained	2022	2023	In progress	
<b>2.4</b>	<b>Detecting and supporting talent</b>								

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2.4.1	Identify talent (in research but also in its governance/animation)	VP Human Resources	Deputy HR Director in charge of EC	Identification and support plan	Number of people detected, accompanied and trained	2022	2024	In progress	
2.4.2	Improve support by HR departments through better knowledge of existing schemes (scholarships, Junior Professorships)	VP Human Resources	Deputy HR Director in charge of EC	Training for HR officers	Number of people trained	2022	2023	In progress	
2.4.3	Define a coherent policy of repyramidisation (MCF, Professors) over the next five years (LPR)	VP Human Resources	Deputy HR Director in charge of EC	Reprofiling policy	Number of CEs involved	2021	2022	In progress	OTM-R
2.4.4	Use all the recruitment channels for research support staff or researchers permitted by regulatory changes	VP Human Resources	Deputy HR Director in charge of EC	Management regulations	Number of Junior Professorships Number of CDIs for scientific missions	2021	2025	In progress	OTM-R
2.4.5	Prepare for the assumption of and departure from important functions (training or research component, vice-presidency) and accompany researchers at the end of their contract or career	VP Human Resources	Deputy HR Director in charge of EC	Dedicated training courses	Number of participants	2021	2023	In progress	

The University of Lorraine wishes to provide even better support for researchers in the course of their scientific activity (2.3). To this end, it is developing actions to support and encourage the activity of researchers throughout their career (2.3.1). This requires, first of all, favourable conditions for the integration of researchers into the research activities of their laboratories, which implies raising the awareness of both faculty members and training components about the risks of dropping out of research due to heavy teaching and/or administrative responsibilities, especially at the very beginning of their career. The risk of dropping out of research also arises later in the career and requires specific support from both the institution and the research unit, which presupposes being able to identify the warning signs and detect potential "dropouts". In this respect, career follow-up and also accreditation periods are key moments. The institution plans to draw up a support plan as well as awareness-raising actions, particularly for unit directors.

Another action consists in encouraging scientific autonomy (2.3.2) by offering lecturers the capacity to project themselves in the medium term into an HDR project and/or to set up projects of which they are the carriers or co-sponsors (of the ANR "young researchers" type). Concerning the HDR, the institution's criteria for authorising registration should be transparent (in conjunction with those of the CNU when they exist) and the requirements for scientific quality and doctoral supervision practices should be clearly defined. The authorisation procedure for co-directing theses is part of this same concern for transparency, with the idea of gradual support towards thesis direction. With regard to project management, the objective is to improve information on funding possibilities but also to train in project management and scientific leadership.

Furthermore, the institution wants to give itself the means to better detect and support talent (2.4). To this end, it wishes to make the directors of research units aware of the importance of identifying pools of potential candidates (particularly in the context of their future recruitments), developing a genuine medium- and long-term recruitment strategy and supporting their most promising researchers (towards the IUF or the ERC). The institution will also improve information on the possibilities for support, which have themselves been reviewed (LUE Future Leader-type schemes) (2.4.1).



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At the same time, it will be necessary to further professionalise the support of these talents by the HR departments through a better knowledge of existing measures (grants, Junior Professorships) (2.4.2). In addition, the institution will define its policy of repyramidage allowing the promotion of lecturers to university professors (2.4.3), thus translating the recognition of the quality of a career. It will also seek to exploit all possibilities for recruiting research support staff and researchers by adapting to regulatory changes (junior professorships, additional recruitment of research support staff) (2.4.4). Finally, the University of Lorraine would like to work more on supporting researchers after they have taken up an important position such as unit director or vice-president, but also at the end of their contract or career (2.4.5), by offering them dedicated training courses and by providing them with the best possible information on their rights and the dedicated organisations.

## **AXIS III - QUALITY OF LIFE AT WORK**

### **Evaluation - Balance sheet**

ITEM N°	Actions	Responsible for	Operational Manager	Deliverable	Indicators	Start date	Deadline	Status of the action	Comments
<b>3.1</b>	<b>Improving the quality of life at work</b>								
3.1.1	Define and implement actions for the prevention of psychosocial risks	VP Human Resources	Deputy HR Director in charge of personnel	Prevention plan	% completion of actions	2017	2021	END	
3.1.2	Improve the support systems for staff in their professional/personal projects and set up listening systems in case of difficulties.	VP Human Resources	Deputy HR Director in charge of personnel	Leaflet on assistance and support for UL staff Flyer on sexual harassment and discrimination Brochure on disability Posting on site of warning systems Leaflet on health at work Recruitment of an occupational psychologist (see job description) since January 2018	Satisfaction survey	2017	2017	END	
3.1.3	Promote cultural and sports activities for staff, whether or not they are dedicated to the organisation	VP University Life	Deputy HR Director in charge of personnel	List of cultural and sports activities offered annually to staff	Number of new cultural and sports activities offered by the university	2018	2019	END	Modification of the title of the action, the deliverable and the indicator - Validated by the COS on 5/11/2018
3.1.4	Respect the different levels of information needed to make access to information more fluid and simpler. Clarify the flow of information internally	VP Human Resources	Deputy HR Director in charge of personnel	Traffic plan	Y/N	2016	2021	END	
3.1.5	Develop the vade-mecum of UL staff (rights and duties) according to their respective status	VP Human Resources	Deputy HR Director in charge of personnel	Vademecum	Y/N	2016	2018	In progress	Deadline to be extended to end 2022
<b>3.2</b>	<b>Develop actions for the promotion of equality and diversity at the University of Lorraine, strengthen the tools for fighting discrimination</b>								
3.2.1	Implementing communication and promotion actions for equality and diversity	VP Equality Diversity		Communication plan	Number of actions carried out annually	2016	2019	END	
3.2.2	Raising awareness, communicating and training on different forms of discrimination	VP Equality Diversity		Training plan	Number of training events on anti-discrimination	2016	2019	END	

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3.2.3	Establish networks of discrimination referents, for organisational development and early warning	VP Equality Diversity		List of referents	Number of referents / number of staff	2016	2019	END	
<b>3.3 Improving the working conditions of people with disabilities</b>									
3.3.1	Implementing the UL Disability Master Plan	VP University Life	Disability Officer	Master plan	Y/N	2017	2019	END	End of V2 progress report in December 2022 - Continued deployment including version 3 period 2023 - 2026
3.3.2	Set up a plan to support students with disabilities in their search for a career in research	VP University Life	Disability Officer	Coaching process	Y/N	2018	2021	In progress	Action related to 3.3.1, integrated from 2022 in 3.3.1

As part of the definition and deployment of actions to prevent psychosocial risks (3.1.1.), an occupational psychologist was recruited. She has been able to set up various awareness-raising and professional practice analysis actions, in particular through training for different audiences (Policy Team, Prevention Assistants, supervisors, all staff).

A system for preventing and combating sexual harassment was set up in 2018, and the system for alerting and dealing with moral harassment was set up in October 2020. The University of Lorraine's next Single Social Report will include a summary of indicators relating to psychosocial risks.

The objective of improving the support systems for staff in their career plans and setting up listening systems in the event of difficulties (3.1.2) was first of all reflected in the communication of existing systems through a booklet entitled "Help and support for staff at the University of Lorraine", which is accessible via the "Informations-RH" site (<https://intranet-rh.univ-lorraine.fr/les-dispositifs-dalerte-harcelement-discriminations/>).

Various existing systems and support procedures have been consolidated, by strengthening the multidisciplinary occupational health team, preventing financial difficulties, and securing HR management procedures (invalidity, death benefits).

The structuring of internal mediation is being deployed and is reflected in the training of resource persons, HRD managers, and staff in managerial positions, as well as the development of priority actions such as the return to employment (PAE).

The UL offers a wide range of cultural, sporting and leisure activities to all its staff (3.1.3). For example, 71 sports activities offered by the university sports activities service to students are also open to all staff, mainly in Metz and Nancy, and to a lesser extent on the other university sites where the offer has doubled since 2018. Some activities are dedicated exclusively to staff. At the start of the 2021 academic year, a new catalogue and website, accessible from the UL application, will allow online registration. The UL also has places dedicated to cultural activities on its campuses, including a Scène Conventionnée d'Intérêt National (the only university in France to have one directly): the Espace Bernard-Marie Koltès, two galleries dedicated to contemporary art: Le Préau and the 0.15 gallery, and a space fitted out for live performances in Nancy: the Délégé amphitheatre. More than 500 cultural events are offered each year, throughout Lorraine, to staff and their families: shows, conferences, café debates, exhibitions, practical workshops, visits to cultural sites. The activities of the Université du Temps Libre are accessible free of charge to the University's staff. The university is involved in the Journées des Arts et de la Culture dans

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l'Enseignement Supérieur (JACES) and the European Heritage Days. Doctoral students at the University of Lorraine also benefit from specific support to encourage them to get involved in training and cultural activities: "My Thesis in 180 seconds", organisation of events with doctoral associations of "Pint of Science", discovery outings, dedicated sports meetings, etc. Campus life events are organised: welcome for new staff, retirement ceremony, annual cycle ride, Christmas parties for staff children, etc. The specific offer for UL staff has acquired greater visibility at the start of the 2019 academic year thanks to a communication strategy that has been put in place and which has resulted in a series of tools, including a cultural diary, a culture newsletter and a "culture and leisure for staff" space dedicated to the actions intended for them. Reflections on cultural and sports policies are carried out within the eponymous committees which make proposals to the University Life Council.

Concerning the development of a vade mecum for the UL staff (rights and duties) (3.1.5) according to their respective status, various sheets dedicated to the status (recruitment, career) of various staff have been elaborated and are available on the HRD intranet. Concerning the Lecturers and Professors of the Universities, a document on the rights and duties in particular of the Research Professors was adopted by the Board of Directors on 9 July 2019; for more readability, this text takes up the national regulation as well as the decisions of the establishment.

In addition, specific and more precise sheets by theme are being drawn up: research or teaching leave, training leave, mobility, .... They will be distributed as the campaigns progress and made available on the HRD intranet.

Concerning the development of actions for the promotion of equality and diversity at the UL and the strengthening of tools to fight against discrimination, three actions have been achieved by 2019. The actions for the promotion of equality and diversity (3.2.1) follow a calendar which gives rise to a series of events (conferences, round tables, film-debates, exhibitions, etc.) on the occasion of International Day for the Elimination of Violence against Women (25 November), Women's Rights Day (8 March), the week of education against racism and anti-Semitism (penultimate week of March) or the International Day against Homophobia and Transphobia (17 May). These actions have been in place since the label was obtained and are being continued and even expanded with the growing commitment of the university community.

In parallel with the creation of the reporting system (3.2.2), a communication campaign based on posters and leaflets was distributed to raise awareness of these issues among staff, doctoral students and students and to inform them of the existence of the system. This objective is being pursued and will be expanded in 2021 - 2023, particularly through the EDI cells. The staff training service offers a section devoted to EDI training courses, which is enriched from year to year to cover a wide range of subjects: discrimination; gender equality; sexual orientation and gender identity; immigration and cultural diversity; religious expression and secularism; and several courses devoted to disability. These training courses are offered to around fifty volunteer staff per year. In 2021 - 2023, the training offer will be further strengthened with devices and tools (e-learning, EDI space on Moodle) that will reach out to the entire university community.

Two years ahead of the decree of 13 March 2020 resulting from the law on the transformation of the civil service (2019) obliging all administrations to have a system for reporting acts of violence, discrimination, harassment and sexist behaviour, UL has had such a system open to staff, doctoral students and also to students since January 2018 (3.2.3)

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Until 2019, the network of referents is above all a network of voluntary staff involved in these issues who share information via a mailing list and four annual meetings. In 2021, the network will have more than 150 members, but the aim is to create a more formalised, systematic and structured network in the form of EDI cells (target 2021-2023).

The disability policy is defined within the institutional disability commission, which makes proposals to the University Life Council and then to the Board of Directors.

The UL disability policy is based on the deployment of the disability master plan in place since 2015 (3.3.1). This is made up of a base of sustainable and solid actions on the different aspects concerning the support of students (including doctoral students with, in particular, two specific disability doctoral contracts obtained this year and two to come next year) and staff in a situation of disability, research and training, and the accessibility of services offered to the university community. The enrichment of the job descriptions (BOE) allows the recruiter to have a disability approach and allows the correspondents to bring, on the ground, a climate of confidence and especially to remove certain questions. Training and awareness-raising initiatives have been enhanced, with a training course on "welcoming an employee with a disability" and a training course reserved for the tutors of the staff concerned. Awareness-raising on invisible disabilities has also been introduced. In terms of real estate, the accessibility of the campuses has been pursued and new operations have been carried out as part of the programmed accessibility agenda (AdAP). In terms of digital resources, the improvement of accessibility has been pursued. Since 2020, the "Autumn of Disability" event has helped raise awareness among the university community. Work has been carried out on the accessibility of events (MT180 has been signed).

The Personnel Disability Relay at the HRD enables the staff concerned to carry out their work in the best possible conditions: recruitment - if necessary, adaptation of the workstation - maintaining employment. In 2020, 20 support actions were undertaken for the benefit of 19 disabled persons who requested assistance from the "Personnel Disability Relay", representing €36K: workstation adaptation, personal vehicles, equipment: shoes, hearing aids, wheelchairs, LSF, etc.

A working group has been set up between different departments and services of the institution, in particular the student disability mission and HR, in order to create a "disabled student" pool (3.3.2). The aim is to create a bridge between students with disabilities and the UL as a potential future employer of these students. Actions are carried out in order to make students discover the UL's professions, including those linked to research and the profession of teacher-researcher and their access modes. A specific tab "UL recruitment" has been inserted on the website dedicated to disability (<http://handicap.univ-lorraine.fr/>)

### New objectives

ITEM N°	Actions	Responsible for	Operational Manager	Deliverable	Indicators	Start date	Deadline	Status of the action	Comments
3.1	Improving the quality of life at work								

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3.1.1.bis	Developing internal and external professional mediation	VP Human Resources	Deputy HR Director in charge of EC	Procedure for requesting mediation	Number of mediations Number of staff trained	Dec-21	Dec-23	In progress	
<b>3.2</b>	<b>Develop actions for the promotion of equality and diversity at the University of Lorraine, strengthen the tools for fighting discrimination</b>								
3.2.4	Implementation of the Gender Equality Action Plan, including the gender approach in human resources management	VP Equality Diversity		annual analysis and recommendations document		2021	2024	In progress	
3.2.5	Implementation of the harassment prevention plan for doctoral students	VP Equality Diversity				2022	2023	In progress	
3.2.6	Developing the engagement of the university community in EDI	VP Equality Diversity			Number of EDI cells	2022	2026	In progress	

The new actions envisaged in axis 3 concern the development of mediation (3.1.1.bis) which reinforces the action (3.1.1) in order to limit psychosocial risks as much as possible. In addition to training staff used to managing conflicts and dealing with individual situations, it is planned to develop the practice of mediation by staff trained within the UL, but also to use external mediators.

Priority is also given to the promotion of equality and diversity and the fight against discrimination. To this end, it will be necessary to implement the Gender Equality Action Plan, including the gender approach in the management of human resources (3.2.4). On 1<sup>er</sup> June 2021, the UL voted on its gender equality action plan (2021 - 2023), which begins by proposing an inventory of gender inequalities in terms of human resources in a first part. The action added in 2020 as part of the HRS4R label and proposing a gendered approach to the management of human resources has therefore been achieved and will be continued as part of the implementation of this plan. The second part of this plan proposes 13 actions to be implemented before 2023, divided into four areas imposed by the Ministry of Higher Education and Research:

- reduce gender pay gaps
- reduce career inequalities and increase gender diversity in the professions
- promote work/life balance
- fight against discrimination, harassment and sexual and gender-based violence

For more information:

[https://www.univ-lorraine.fr/wp-content/uploads/2020/12/paefh\\_ul\\_-\\_2021-2023.pdf](https://www.univ-lorraine.fr/wp-content/uploads/2020/12/paefh_ul_-_2021-2023.pdf)

Another priority action is the implementation of the plan to prevent harassment among doctoral students (3.2.5). The specificity of doctoral studies has led the UL to reflect on the means of action to prevent situations of suffering, harassment and discrimination of which the doctoral student population could be victim. A major consultation exercise carried out in 2020 and 2021 led to the proposal of 19 actions to be implemented from 2022 onwards:

- actions concerning the thesis process (pre-thesis information, individual follow-up committee and animation, thesis stops)
- specific actions on harassment (awareness raising and training, communication about harassment, alert and reporting mechanisms)

For more information:

<https://factuel.univ-lorraine.fr/node/18773>

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Finally, we are keen to continue the engagement of the university community in EDI (3.2.6). The number of volunteer staff involved in the staff EDI network, the number of events organised as part of the EDI calendar but also the EDI network of partners, testify to the dynamism of the university community's commitment to EDI which has been built up over the years since 2015, the date of the creation of the Equality-Diversity mission.

Since 2021, this commitment has been strengthened by the EDI cell concept, which aims to network the territory and its 52 sites or campuses with groups of staff and students trained in SGBV (Sexual and Gender-Based Violence) and discrimination in order to play the role of ambassador (awareness-raising, promotion) and sentinel (witness, whistleblower). In 2021, about ten cells have been created and from 2022 onwards, the response to the MESRI call for projects will enable these cells to be deployed, strengthened and equipped (DEPLOI project) to reach about forty EDI cells with trained staff and ensuring the training of EDI cell students who will be able to raise awareness among their peers on these subjects within the framework of back-to-school meetings, events linked to the EDI calendar or at other times.

**AXIS IV - MOBILITY / GIVING AN INTERNATIONAL DIMENSION TO THE UNIVERSITY****Evaluation - Balance sheet**

ITEM N°	Actions	Responsible for	Operational Manager	Deliverable	Indicators	Start date	Deadline	Status of the action	Comments
<b>4.1</b>	<b>Stimulating the international mobility of junior and experienced research staff</b>								
4.1.1	Expand and balance mobility schemes allowing for funding of incoming and outgoing mobility (including with LUE)	VP European and International Strategy	DRIE	Dashboard	Evolution of the rate of incoming and outgoing international mobility for (1) doctoral students (2) professors-researchers (3) BIATSS	Oct-16	Dec-19	END	
4.1.2	Develop funding schemes for international mobility, in conjunction with the EPST	VP European and International Strategy	DRIE	Widen Horizons Programme DrEAM Programme	Budget for Widen Horizons and DrEAM Number of teachers-researchers who benefited from WH mobility Number of PhD students who benefited from DrEAM mobilities Number of teachers-researchers who used Erasmus+ in a combined training/research assignment	Apr-17	Dec-20	END	Long-term task
4.1.3	Revise the criteria for awarding CRCTs and EPST delegations to encourage international mobility	VP Research	DRV	Political decision	18/10/2018: Restricted Scientific Council: discussion on the criteria for awarding CRCTs and delegations in EPST. Validation of the criterion "long-term research mission abroad" for a minimum duration of 3 months (long-term criterion).	Jan-18	Oct-18	END	OTM-R
4.1.4	Give international publicity to the recruitment of doctoral students in all doctoral schools	VP Doctoral Strategy	DRV	Process	Evolution of the percentage of international doctoral students recruited, by year	June 16	June 20	END	Long-term task OTM-R
<b>4.2</b>	<b>On the basis of our Euraxess system and in mutualisation with the EPST, develop a reception and support service for all researchers in terms of logistics and administration</b>								



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4.2.1	Developing personalised reception services for incoming researchers	VP European and International Strategy	DRIE	<b>Welcome@Lorraine programme</b>	Number of incoming researchers who benefited from the hosting service	Apr 17	Dec-18	<b>END</b>	
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The I-SITE Lorraine University of Excellence (LUE) initiative has made it possible to set up new funding mechanisms for international mobility (4.1.1 and 4.1.2), through the Widen Horizons programme, which supports long mobility projects (immersion) in an international laboratory during a sabbatical leave or a delegation in an EPST. The budget devoted to Widen Horizons was around 35 k€ per year and it allowed the mobility of all the candidates for a long mobility benefiting from a CRCT or a delegation, i.e. 28 people in total. Widen Horizons' counterpart for doctoral students, DrEAM, supports the research stays of our doctoral students in an international partner laboratory. Since its launch, it has benefited from a budget of €300,000 and has enabled research visits for 50 doctoral students between 2019 and 2020, for an average mobility period of 4 months.

At the same time, we have encouraged faculty members involved in Erasmus+ exchanges to take advantage of the mobility credits to combine training and research aspects in their research stay. Thus, 71 faculty members have carried out a mobility of this type, for an average duration of 4 days.

In 2018, the Restricted Scientific Council included international mobility of at least 3 months in the criteria to be taken into account for the attribution of CRCT or delegation (4.1.3). 11% of the CRCTs awarded by the Scientific Council were for such mobility between 2018 and 2020.

LUE also required that for every doctoral contract funded by the initiative, an open and transparent international recruitment campaign should be carried out, with a pre-selection of a few candidates who are then auditioned by a recruitment panel organised by the doctoral school, to ultimately establish an orderly list of candidates to be offered the doctoral contract. Thus, out of 105 doctoral contracts financed by LUE, 52% of recruitments were international. This good practice is widely adopted by doctoral schools for other doctoral contracts. Currently, 46% of doctoral students recruited come from another country.

LUE has also financed the Welcome@Lorraine programme, which establishes personalised reception services for foreign researchers and post-docs who come to the UL. This programme offers a personalised and quality welcome to visiting researchers and international post-docs received at the UL or in EPST and other LUE partners. Thus, since 2018, more than 93 researchers, including one Pause researcher, and 4 delegations from partner universities have been able to benefit from specific support: welcome on arrival, guidance to accommodation, reservation of accommodation in an apartment hotel for 1 month, support with installation formalities (bank, social security cover, family, etc.).

The Euraxess service of the UL, within the framework of its partnership agreements with the Prefectures of Meurthe-et-Moselle and Moselle, has managed nearly 2100 agreements for the reception of researchers from 2018 to 2021 and as many applications for residence permits. These two activities constitute a strong point in terms of reception and support for doctoral students and international researchers in Lorraine's laboratories and contribute to the institution's reputation.

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### New objectives

ITEM N°	Actions	Responsible for	Operational Manager	Deliverable	Indicators	Start date	Deadline	Status of the action	Comments
<b>4.3</b>	<b>International welcome - focus on international PhD students</b>								
4.3.1	Set up a network of "international reception" correspondents in the laboratories	VP International and VP Research	DRIE	Network roadmap	Number of laboratories represented in the network	2022	2025	In progress	Long-term task
4.3.2	Internationalise central services and services in components and laboratories	VP International	DRIE		Number of services properly covered	2022	2025	In progress	Long-term task
4.3.3	Guide for the international researcher	VP International	DRIE	Guide		2022	2023	In progress	
<b>4.4</b>	<b>Working on a guest teacher status</b>								
4.4.1	Formalise the hosting of a visiting professor with an official letter and a job description	VP HR	HRD DRV DFOIP	Job description		2022	2023	In progress	
4.4.2	Personalising the welcome of visiting professors	VP International	DRIE	Welcome@Lorraine welcome package for guest teacher	Number of beneficiaries	2023	2024	To come	
4.4.3	Involving visiting professors in the internationalisation of the university	VP Research VP Training	DFOIP DRIE		Percentage of visiting professors who contribute to internationalisation	2022	2025	In progress	Long-term task
<b>4.5</b>	<b>Outgoing mobility</b>								
4.5.1	Increase the percentage of CRCTs dedicated to mobility	VP Research	DRV		Percentage of CRCTs going on mobility	2022	2025	In progress	Long-term task
4.5.2	Focusing mobility on key career periods	VP Human Resources	HRD	Good practice		2022	2025	In progress	Long-term task
4.5.3	Proactive policy on staff mobility	VP HR VP International	HRD DRIE	Good practice	Monitoring the percentage of staff going on mobility	2022	2025	In progress	Long-term task

We propose to work particularly on the reception of international doctoral students, in conjunction with the Maison du Doctorat. This involves improving the reception conditions in the laboratories; although they often have an international relations correspondent, the latter is not necessarily the most familiar with

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the reception conditions. We therefore propose to gradually build a network of international relations correspondents in the laboratories, and to rely on them to develop reception conditions for doctoral students, on all practical subjects (4.3.1).

As a relay to this network, we also want to develop specific skills in all the services - central or in the components and laboratories - that interact with doctoral students. This includes business skills and language skills (e.g. a key person in the HR department capable of explaining the mechanisms of salary, charges, taxes, etc. in English to an international PhD student). The aim is to quickly identify the right contacts for all reception and integration issues (4.3.2).

Following the example of what has already been done for students, a welcome guide for international researchers will be developed (4.3.3).

We also want to work on a real status for visiting professors. This will involve the drafting of an official letter of appointment and a job description including rights and obligations, which should also eventually include teaching hours, contributing to the university's internationalisation strategy (lectures or presentations to students, without targeting just PhD and M2 students) (4.4.1 and 4.4.3).

The Welcome@Lorraine international hosting programme will develop a specific hosting package for visiting professors (4.4.2).

The outgoing mobility of teaching and research staff will be encouraged and developed. A minimum percentage of CRCTs dedicated to mobility will be targeted and systematically accompanied by Widen Horizons. This minimum must increase over the years (4.5.1).

Specific work will be done to focus mobility on key career periods, typically around the HDR for faculty members (4.5.2).

We also want to develop a proactive policy on staff mobility. Particular attention will be given to the possibility for BIATSS to have "live my life" experiences abroad. Ideally, this mobility could be combined with a mobility programme for researchers (4.5.3).

In order to ensure a coherent policy on the site, with regard to EPST partners, all of these actions will be considered quite naturally within the framework of the Harmolor approach.

**AXIS V - ETHICS, INTEGRITY AND PROFESSIONAL VALUES****Evaluation - Balance sheet**

ITEM N°	Actions							
5.1	<b>Develop a culture of project support, from application to completion</b>							
5.1.1	To publish practical information sheets on the various existing mechanisms within the UL to facilitate the support and submission of applications	VP European and International Strategy	Europe Unit  ANR Unit (AGMR)	Factsheets		Apr-17	March 18	END
5.1.2	Enriching the project monitoring systems, by allowing the mobilisation of complementary skills as the project progresses and according to needs	VP European and International Strategy	Europe Unit  ANR Unit (AGMR)	Deployment plan of the Europe Unit services	Y/N	June 16	June 18	END
5.1.3	Organise training in project monitoring	VP European and International Strategy	Europe Unit  ANR Unit (AGMR)	Training plan	Number of training events organised	Oct-16	June 18	END
5.2	<b>Raising awareness of scientific responsibility and integrity among junior and senior researchers</b>							
5.2.1	Build a culture of scientific integrity within the UL through the organisation of colloquia and seminars within the communities	VP Research	Director of Research and Development	Seminars / Conferences	Number of seminars/conferences on integrity (or referring to it) organised annually	June-17	Dec-24	In progress

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5.2.2	Hosting a national conference on scientific integrity	VP Research	Director of Research and Development	Seminars / Conferences	Y/N	23/02/2017	23/02/2017	END
5.2.3	Establish an ethics committee within the UL	VP Partnerships, VP Research, Integrity Officer VP Valorisation	Cabinet	Ethics Committee + operating rules	Y/N	Sep 16	Dec-23	In progress
<b>5.3</b>	<b>Set up a scientific integrity charter and define its application procedures at the University of Lorraine</b>							
5.3.1	Define the scope of scientific integrity at the University of Lorraine and draw up a charter explaining the procedures for handling cases relating to breaches of responsibility and scientific integrity.	VP Research	Integrity Officer		Y/N	Sep-17	Dec-19	END
5.3.2	Systematically include the names of doctoral students in publications, recall this in the doctoral charter and establish rules for publication and co-authorship for all disciplinary fields.	VP Research	Integrity Officer		Y/N	Sep-17	Dec-20	END

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As regards the development of a culture of project support, from the submission of the application to its completion (5.1), the action can be considered as currently completed and successful. In particular, it should be noted that

The approach implemented by the University's Europe Unit, with the publication of practical information sheets, information on setting up and running projects, tools for project leaders and testimonials. All of these elements are available to the university's staff on a dedicated website: <http://u2l.fr/projets>. The support service for researchers was clarified in 2017 with the creation of a project engineering delegation (DIPro). The Project Engineering Delegation also offers training courses to develop or update the knowledge of faculty members and researchers in setting up and/or managing projects. The training offer is completed progressively according to the needs identified and the demand of the community (thematic newsletters).

As regards national calls for projects, the Director for Research and Valorization (DRV) has set up a system for monitoring calls for projects (ANR, ADEME, INCA, Region, etc.) on a dedicated website: [https://wikidocs.univ-lorraine.fr/pages/viewpage.action?page\\_id=249767224](https://wikidocs.univ-lorraine.fr/pages/viewpage.action?page_id=249767224) and offers the main characteristics of the calls for projects (amount, eligible expenses, etc.) by theme and in the form of sheets. The service has recently been enhanced with the creation of a national website dedicated to calls for projects: <https://www.appelsprojetsrecherche.fr/>. The DRV supports faculty members and researchers in setting up projects and concluding agreements in conjunction with the university's departments. In terms of tools, the UL is also involved at the national level in the management of a call for projects system (CAPLAB, part of a Research IS under construction). In its experimental phase at the University of Lorraine, CAPLAB has been tested to inform unit directors of the results of the ANR (National Agency for Research Funding) generic call for projects and to implement a call for projects from the scientific council to fund interdisciplinary projects.

Finally, the UL has subscribed to a project database (Open4Research) which lists and presents synthetic analyses of European and international projects. This database has been opened to all the staff of the research units.

The implementation of tools and the sensitisation of junior and senior researchers to scientific responsibility and integrity (5.2 & 5.3) were addressed in different ways in order to ensure that research respects the values set out in the charter of the French Office for Scientific Integrity (OFIS). Although breaches of scientific integrity are rare, it nevertheless appeared necessary to provide a framework for the alert and investigation processes by setting up a scientific integrity delegation at the University of Lorraine. Thus, a Scientific Integrity referent was appointed by the President in 2015 (<http://factuel.univ-lorraine.fr/node/4157>), a generic address for referrals was set up and a dedicated page published on the university's website (<https://www.univ-lorraine.fr/recherche-et-innovation/integrite-scientifique/>). Since 2018, a committee composed of the Scientific Integrity Delegate, the VP Research, the Director of Legal Affairs and two elected members of the University's Scientific Council has met on average once a month to review the referrals, the conclusions and the follow-up. Since 2020, the Vice-President in charge of doctoral strategy, who is also elected to the Board of Directors, has participated in this committee.

A national colloquium was organised in Nancy on 23 February 2017 (2<sup>ème</sup> edition after the one in Bordeaux in 2016) and open to all staff of the University of Lorraine: "Scientific integrity in action" ([http://factuel.univ-lorraine.fr/n\\_o\\_de/5881](http://factuel.univ-lorraine.fr/n_o_de/5881); <http://factuel.univ-lorraine.fr/node/6923>). In addition, changes in the regulations on doctorates and doctoral contracts (decree of May 2016) require the organisation of training for doctoral students in scientific integrity. This has resulted at UL in the implementation of a MOOC for doctoral students (based on the one proposed by the University of Bordeaux); systematic information is provided to doctoral students at the first day of classes; thesis defense manuscripts must be accompanied by the analysis of an anti-plagiarism software.

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Doctoral students must also be the author of at least one scientific article in an international or national journal before their thesis defence (5.3.2 - Université de Lorraine doctoral charter, adapted by the doctoral schools according to the practices in force in the disciplines concerned). Issues of scientific integrity are the subject of regular information for the university's staff, with exchanges at the scientific council (adoption of the national charter proposed by the network of scientific integrity referents - 5.3.1) or via FACTUEL, in connection with issues of open science or the *HR Excellence in Research* label, for example.

In terms of ethics, the UL has not yet set up the ethics committee mentioned in the action plan (5.2.3). However, the UL relies on an ethics committee for animal experimentation (CELMEA, which is broader than the UL) and has set up a support system (analysis, practical sheets) in application of the NAGOYA protocol, an international treaty aiming to protect biodiversity throughout the world and to compensate the communities that provide biological or genetic resources (information seminar on 19 June 2018 - <http://factuel.univ-lorraine.fr/node/8635>). An application note has also been produced in 2019 for the implementation of an ethics committee in application of the Jardé law (non-interventional health research). While waiting for this committee to be set up, the files are handled by the director of legal affairs, who is also the university's ethics officer.

A local ethics commission has also been set up under the PACTE Act.

### New objectives

ITEM N°	Actions	Responsible for	Operational Manager	Deliverable	Indicators	Start date	Deadline	Status of the action	Comments
5.1	Developing a culture of project support								
5.1.4	Improve visibility to facilitate access to project support	VP CS	DRV/DIPRO/DRIE	Common tool and single entry point		2022	2023	In progress	
5.2	Raising awareness of scientific responsibility and integrity among junior and senior researchers								
5.2.1	Build a culture of scientific integrity within the UL through the organisation of colloquia and seminars within the communities	VP Research	Director of Research and Development	Seminars / Conferences	Number of seminars/conferences on integrity (or referring to it) organised annually	2022	2024	In progress	Setting up dedicated seminars/workshops on the pillars of responsible research
5.2.3	Establish an ethics committee within the UL	VP Partnerships, VP Research, Integrity Officer VP Valorisation	Cabinet	Ethics Committee + operating rules	Y/N	2016	2023	In progress	Project under consideration Ethics Committee for non-interventional health (Jardé Law) and also in SHS
5.2.4	Establish operational support for the follow-up of Ethics and Scientific Integrity files	VP CS	DGS/DRV/DAJ			2023	2024	In progress	

As far as axis 5.1 is concerned, the challenge for the coming years will primarily be to monitor and adapt actions in line with changes in European and national measures, particularly in the context of the Green Deal supported by the new European Commission, the Multiannual Research Programming Law (LPR), the

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PIA4 and the French recovery plan. Beyond this follow-up, researchers expect an improvement in the support provided for the setting up of projects, an improvement that depends on a change in the organisation of the services and/or between the services concerned in order to define a single entry point for researchers, regardless of the origin of the calls for projects. This change is reflected in the action plan by the proposal of a new action (5.1.4).

Actions related to scientific integrity must remain active and in development for the years to come. Although action 5.2.2 does not require follow-up, it appears that the major dimensions of responsible research are sometimes confused and that the discourse on scientific integrity must be accompanied by supplements on ethics and deontology. Furthermore, the rise of open science, in particular through open access to data and publications, is leading to new alerts related to scientific integrity. We therefore plan to continue our awareness-raising activities by proposing an annual cycle of seminars and by drafting practical information sheets for researchers (action 5.2.1). It will also be necessary to continue to set up an ethics committee, as a priority for non-interventional health research projects (Jardé law, action 5.2.3) and to improve the support and management of files related to integrity, deontology and ethics via a single entry point (action 5.2.4). The application of the national scientific integrity charter was based on the appointment of a project manager and the implementation of the procedures proposed by the national network of scientific integrity advisors. This approach could be improved, in particular by relying on the support provided for the management of files via action 5.2.4.



## **AXIS VI - ACCESS AND DISSEMINATION OF KNOWLEDGE**

### **Evaluation - Balance sheet**

ITEM N°	Actions	Responsible for	Operational Manager	Deliverable	Indicators	Start date	Deadline	Status of the action	Comments
<b>6.1</b>	<b>Supporting researchers in disseminating their scientific output in the framework of the National Open Science Plan and adapting research evaluation procedures accordingly</b>								
6.1.1	Creating an environment conducive to the open access dissemination of researchers' publications and books	Open Science Officer and EDUL Director	Operational Committee for Open Publications	Continuity of the training and support plan Creation of EDULs Opening of Open U Journals	Rate of open access publications Rate of deposits in HAL Open EDUL editorial offer Journals hosted on Open U Journals	Jan-17	Permanent action	END	The support goes beyond the deposit in HAL. It also concerns the open publishing initiatives. Let us also mention the new Éditions Universitaires de Lorraine  Long-term task
6.1.2	To perpetuate the support, to develop the network of data ambassadors, to ensure the development of the Lorraine DOREL warehouse in connection with the national platform Research Data Gouv Appoint a Data, Algorithm and Source Code Administrator (DACA), in line with the National Open Science Plan Develop an institution-wide data policy associated with these resources.	SO Policy Officer VP Research ADAC	Operational Committee for Research Data	Continuity of the training and support plan Development of the ambassadors' network How DOREL works Convergence with RDG Data policy ADAC	Training plan Network size Number of deposits in DOREL and elsewhere Single interface DOREL/RDG Published policy	Jan-17	Permanent action except for DOREL/RDG merger (2024) and publication of data policy (2023)	END	Long-term task
<b>6.2</b>	<b>Encourage and enhance the dissemination of research results to the socio-economic world</b>								
6.2.1	To offer training in the management and protection of scientific and technical heritage adapted to the different audiences of researchers	VP Research	Director DRV	PPST training plan	Number of researchers participating in training activities	Jan-17	Dec-20	END	Long-term task

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6.2.2	Amplification of the research partnership policy	VP Research VP Partnership	Director DRV	Establishing a policy with valorisation partners and the PD	Number of pairs created 19/04/21: list of devices created	Jan 18	Dec 27	In progress	New developments to come in the framework of the PIA SIRIUS project  Long-term task
6.2.3	Encourage and recognise individual involvement in actions to promote knowledge in the socio-economic world.	VP Research VP Human Resources	Director DRV	Integration in the internal evaluation criteria	Y/N	Jan 18	Dec-20	In progress	Continued deployment of the PACTE and LPR laws  Long-term task

UL's Open Science policy dates back almost a decade, with a first public communication and the opening of its HAL portal in 2016. In 2018, the University's Board of Directors voted to require all researchers in the university's laboratories to deposit the full text of their publications in HAL in compliance with the 2016 Law for a Digital Republic, and made HAL the university's official bibliography. A strengthening and formalisation of this Open Science policy was undertaken in 2019 with the appointment of a dedicated project manager, who proceeded to set up a steering committee for Open Science at the institutional level, and two operational committees, one dedicated to open publications and the other to research data.

Concerning the action 6.1.1 and the accompaniment of the researchers to the deposit in the institutional archive HAL pre-existed to the open science mission with a network of 15 librarians referents distributed on the various campuses in the objective that every laboratory has its HAL referent to whom it can address for a proximity accompaniment. In parallel, a training offer is deployed within the framework of the trainings entitled " Domptez la Doc " but also via the site Science Ouverte of the University of Lorraine. On-site or remote interventions are also offered to support researchers individually or in small groups if necessary. The [University of Lorraine](#) is moreover one of the 20 establishments to benefit from a delegation of moderation in HAL, which makes it possible to shorten the deadlines of deposits from several weeks to a few days, even a few hours, while relieving the staff of the CCSD. The impact of these actions on the reality of the deposits in HAL is then measured and quantified by the [barometer of the Open Science in Lorraine](#). The code of this barometer, realized at the University was opened, what allowed more than ten establishments to seize it and to adapt it to their needs. Finally, the institution is invested in the necessary evolutions of HAL at the national level via the presidency of the association CasuHAL and the orientation committee of the CCSD.

Concerning action 6.1.2 and the management and valorisation of research data, the UL has for the time being put in place a policy of accompanying researchers with the aim of offering them a simple and secure environment to enable them to familiarise themselves with good research data management practices. The aim of this policy is not to add additional constraints to those already imposed on data management by research funders. In the same way as for Action 6.1.1, a regular training catalogue is proposed, accompanied by individualised or small group training, on site or at a distance. A network of data ambassadors has also been set up: their mission is to provide local assistance, both from a technical point of view for the deposit of data, and from a strategic point of view for the choice of data to be used. Although some scientific communities already highly acculturated to the management of their research data already have

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thematic data warehouses, the university has chosen to offer an easy solution, by default, and integrated into its information system, to all Lorraine researchers: the DOREL data warehouse is the first institutional data warehouse to be opened in France for a university of this importance. At the same time, the MESRI has decided to provide French researchers with a national data warehouse. Faced with the potential for unnecessary redundancy of resources, the university has invested in the construction of the future federated national platform for research data in order to guarantee coherent development of the two platforms and their eventual convergence. Finally, the UL is piloting with the MESRI the realization of the third version of the national barometer of open science, a version that will integrate the measurement of the openness of the data and the source codes of the research.

As regards the valorisation and dissemination of research results, awareness-raising and incentive actions concerning intellectual property and the protection of scientific and technological heritage, technology transfer to companies and entrepreneurship and company creation (action 6.2.1) continued with training cycles for faculty members, researchers and/or doctoral students as well as on-site interventions (scientific clusters, research units, doctoral schools) carried out by the intellectual property lawyers and development engineers of the Director for Research and Valorization (DRV) and the PEEL system for entrepreneurship. A kit of explanatory sheets has been drawn up and made available to the public concerned in order to describe the various concepts of research promotion and the tools made available by the DRV.

Support for socio-economic partnerships has also been strengthened with the introduction of a range of services offered by the university to companies, the creation of a tool for displaying research units, experimental platforms and research skills (Plugin Lab Lorraine), the introduction of a network of referents in the training components and research units (UL Connect) to respond rapidly to requests and the introduction of thematic communities which go beyond the business developer/researcher mechanism initially provided for in action 6.2.2.

Actions to raise awareness of the protection and exploitation of research results (6.2.1) and to structure partnerships with socio-economic partners (6.2.2) will continue. It should be noted in particular that through funding from the future investment programmes (PIA), the steps to structure scientific communities will continue, in connection with the interdisciplinary programmes applied to the societal challenges carried out by Lorraine Université d'Excellence and via the PIA3 SIRIUS project intended to amplify the links with the university's partners, in particular with the socio-economic partners

Finally, recognition of individual commitment to knowledge transfer to the socio-economic world (6.2.3) must be implemented over and above the regulatory measures. The involvement of researchers is already taken into account in their evaluation file, but the terms of this recognition should be better defined (weight, impact, etc.), particularly in relation to the regulatory changes expected in France (PACTE Act).

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### New objectives

ITEM N°	Actions	Responsible for	Operational Manager	Deliverable	Indicators	Start date	Deadline	Status of the action	Comments
<b>6.1</b>	<b>Supporting researchers in disseminating their scientific output in the framework of the National Open Science Plan and adapting research evaluation procedures accordingly</b>								
6.1.3	Within the framework of the National Plan for Open Science, develop a policy and support for the use of software produced by researchers	SO Policy Officer	To be defined	Definition of a policy on software production Creation of a dedicated operational body	Policy defined Instance created	2023	2025	To come	
6.1.4	Adaptation of the criteria for the promotion of faculty members during the local phase in accordance with the commitments made when the Sans Francisco DORA declaration was signed. Consistency with national developments through participation in national reflection groups.	VP Human Resources VP Research	To be defined	DORA-compatible reporter sheets during the local promotion phase. Training of reporters in DORA	Presence or absence of incompatible DORA indicators in the reporters' sheets Training rate of the reporters	2021	2025	In progress	
6.1.5	Adaptation of the recruitment criteria for faculty members during the local phase in accordance with the commitments made when the Sans Francisco DORA declaration was signed. Consistency with national developments through participation in national reflection groups.	VP Human Resources VP Research	To be defined	Integration of specific mentions in job descriptions Training of Selection Committees in DORA	Rate of job descriptions showing DORA compatibility. Rate of CoS training	2023	2025	To come	OTM-R
6.1.6	Adaptation of the criteria taken into account when managing internal calls for projects in the institution in accordance with the commitments made when signing the San Francisco DORA declaration.	VP Research SW Policy Officer	To be defined	DORA compatible calls for projects	Rate of DORA compatible calls for projects	2023	2025	To come	

Having already developed the accompaniment of the researchers to the deposit in the institutional portal of the open archive HAL, the establishment wishes to amplify and generalize the movement towards the bibliodiversity, by proposing accompaniment and technical infrastructures. The accompaniment towards HAL will be optimized notably by the participation of the establishment in the national associative and governance instances around HAL. The support towards the opening of researchers' writings will be done for works via the creation of the Éditions de l'Université de Lorraine in the paradigm of immediate open access. The publication of open access works will be supervised by renovated collections and an editorial committee and will be carried out via a partnership with OpenEdition and hosting within the institution. The creation and hosting of journals will be facilitated by the creation of the Open U Journals platform, in partnership with INRAE and the University of Bordeaux, based on a platform already developed by the latter (6.1.1).

Similarly, support for research data management will continue by maintaining the training and support plan at least at the current level and by increasing the size of the ambassadors' network. The launch in 2021 of the institutional repository for research data will allow better monitoring of repositories and will facilitate incentives for researchers. A major challenge for simplification will be the coherence and convergence of the Lorraine warehouse and the federated national platform for research data. Convergence should be envisaged by 2023, and may only be partial depending on the functionalities offered by the national platform. Finally, once the infrastructures are available, the institution will have to define its policy in terms of depositing, exploiting and promoting

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its research data. This is a new challenge for most French institutions, which our institution will also have to face. In accordance with the second National Plan for Open Science, this policy must be defined and implemented, in particular through the appointment of a Data, Algorithm and Source Code Administrator (ADAC) (6.1.2).

The second National Plan for Open Science introduced the concern for algorithms and source codes produced by researchers. These codes are a product of research in the same way as publications, books and data. This product must therefore be freed, shared and valued. The open source ecosystem around software is much more mature than the one for research data. Nevertheless, the institution's policy in this area remains to be defined and support services created (6.1.3).

The signature by the UL of the San Francisco Declaration on Research Assessment (DORA), like many other institutions including the ANR and the CNRS, has committed it to a process of evolution of its criteria for the assessment of research and researchers, particularly in the context of the local promotion phase of faculty members. A first evolution has already taken place, introducing quality criteria in addition to quantitative criteria. In order to go further, the university is involved in the national reflection group composed of institutions that have signed the San Francisco declaration. This collegial reflection will make it possible to determine the appropriate *modus operandi* for going further and will guarantee national, and even international, coherence of the developments undertaken (6.1.4), thanks to the group's European connections.

Similarly, the criteria for recruiting research teachers to selection committees will need to evolve. It seems reasonable that a preamble should be present on all published job descriptions, and, as has just been done for the 2022 recruitments, that selection committees should receive adequate awareness of the San Francisco Declaration. The national think tank on the subject will also provide inspiration in the area of recruitment (6.1.5).

In the same way, the evaluation of the expertise of the teams when submitting a project in response to internal calls for projects should respect the institution's commitments. Here again, the reflection remains to be started, but, once again, it seems reasonable that the evaluation criteria be made explicit in the text of the call for projects (6.1.6).

*The extended version of your organisation's revised HR strategy for the next 3 years, including the OTM-R policy, should be published on your organisation's website.*

*Please indicate the link to the dedicated web page(s) on your organisation's website \*:  
<https://www.univ-lorraine.fr/recherche-et-innovation/hrs4r-lexcellence-rh-pour-les-chercheurs/>*

*If your organisation has already completed the OTM-R checklist in the initial phase, please also indicate how your organisation works/has developed an open, transparent and merit-based recruitment policy. Although there may be some overlap with a range of measures listed above in the action plan (as identified in the gap analysis), please provide a brief commentary demonstrating the progress of implementation compared to the initial phase.*

*If your organisation entered the HRS4R process before the publication of the OTM-R toolkit and the European Commission recommendations (2015), please complete the OTM-R45 checklist.*

*Ideally, the extended version of the revised OTM-R policy and actions should be published on your organisation's website. Please provide the web link to the dedicated OTM-R web page(s) if it is different from the one where the revised HR strategy is located.*

The OTM-R policy was formalised, adopted in January 2021 by the UL Board of Directors and published (<https://www.univ-lorraine.fr/wp-content/uploads/2020/12/Politique-OTM-R-2021-1.pdf>). Since the beginning of 2021, we have been implementing the OTM-R policy on the basis of the University of Lorraine's charter of values, whose effectiveness it reinforces. The five values that make up our identity are: universality, creativity, reflexivity, solidarity and responsibility.

Thus, our OTM-R policy respects the universality of applications (member of the Euraxess network, increased awareness of selection committee and jury chairmen of the risks of discrimination and gender equality, submission of the gender equality action plan). Our OTM-R policy is creative (management regulations for contract staff, multi-annual recruitment strategy, junior professorships requested from the first year). Our OTM-R policy is reflexive (annual updating of the selection committee operating guide, transparency of decisions, improvement of recruitment procedures). Our OTM-R policy is supportive (reception of foreign researchers, specific reception of foreign PhD students, participation in the PAUSE programme for the emergency reception of scientists in exile). Our OTM-R policy is responsible (staff trained in procedures and given responsibility, participation in the UN's sustainable development objectives in the 2023-2027 projects of laboratories or research units, particular attention paid to the working conditions of young researchers, new gender equality plan).

The adoption of our OTM-R policy will gradually modify recruitment practices, allowing each person to take part in the influence and attractiveness of the University of Lorraine while promoting the success of his or her professional career under the best possible conditions.

The actions already implemented have so far focused mainly on the recruitment procedures for teachers and faculty members, researchers, doctoral students and future doctoral students, aiming to ensure that recruitment is open to all without discrimination, based on transparency and merit, at all levels and for all types of jobs. For example, the French regulations on the recruitment of full-time researchers respect the OTM-R principles. A charter for the regulation of contract researchers, adopted at the University of Lorraine in 2014 and revised in 2018, also respects OTM-R principles. Our OTM-R policy is bound to evolve regularly, depending on the regulatory and legislative texts in force (adoption of the "mobility" and "promotion" management guidelines) but also on the institution's decisions and in particular its ambition in terms of recruitment and careers policy.

*N.B. Please note that your OTM-R policy must be "integrated" into the institution's HR strategy at the latest in the renewal phase.*

#### **4. IMPLEMENTATION (MAX. 1 PAGE ) IMPLEMENTATION**

General overview of the implementation process :

The HR Excellence for Research action plan was implemented as soon as the label was awarded in February 2017.

Coordinated by a project leader (Vice-President Human Resources and Working Conditions), a project manager (the head of the teaching and research department of the Human Resources Director) and a researcher from the steering and quality department, this Label HR Excellence in Research project is steered by a steering committee validated by the political team (the President and his Vice-Presidents)

1. The steering committee (COFIL) is responsible for the implementation of the action plan and its qualitative progress; it defines the priorities for further work. The members of this committee are the political leaders of each action, with the support of their operational Director responsible for setting up the working groups. It meets once or twice a month (twice a month since September 2021 to prepare for the renewal of the label)<sup>1</sup>.
2. Numerous ad hoc working groups or committees allow the whole institution to work on actions in order to share and respond to the needs of researchers. Each group is set up according to the themes dealt with. For example, a Human Resources working group was set up to work on the promotion of faculty members. It was made up of experts used to dealing with promotion files during annual promotion campaigns. Its objective was to rework the internal evaluation form distributed to the rapporteurs in order to better reflect the three aspects of a teacher-researcher's activity (teaching, collective responsibilities, research) and to include the changes linked to the signing of DORA.
3. To monitor the work carried out, a WIKI had been set up internally at the institution; it ensured the coordination and monitoring of all the actions in real time, with all the working groups, meeting minutes and progress of the actions being put online. An effective steering tool, this Wiki allowed each member of the COFIL to have an overall and detailed view of the entire action plan and its progress. Deemed complex to use and not very user-friendly, it was decided, as part of the renewal of the label, to replace it with an edc accessible to all COFIL members and on which each axis leader could submit his or her report, project and all indicators.

- **How did you prepare for the internal exam?**

The evaluation process began in June 2021 with the organisation of a seminar organised remotely because of the pandemic (3 June from 2 to 6 pm). The objective was to share our knowledge and

<sup>1</sup> Initially, there was a Strategic Orientation Committee (COS) which met twice a year and was responsible for monitoring the progress of the project and validating actions and modifications. It was made up of the COFIL, to which were added, for representation of all the researchers:

- (3) Faculty representatives: one representative per major sector.
- (3) PhD students: one representative per major sector
- Post-doctoral student

The participation of the researchers' representatives in the COS was low and the question arose as to the relevance of this additional body in relation to the COFIL, the working groups and the institution's regulatory bodies. It was therefore decided not to use this body any more, but in return to provide for discussions on current or future actions by the Executive Board and the G8 (directors of doctoral schools).

analysis of the various actions implemented by the institution as part of the HR Excellence in Research label with the directors of the training and research components, the directors of the doctoral school, the scientific pole and the collegium. It was also a question of reflecting on future actions, in a dynamic of permanent improvement and evolution of our practices. Around thirty participants were able to discuss the six areas of the action plan.

Groups of six people were formed and each group rotated through the six workshops devoted to the six axes and led by the political leader and the associated administrative leader. A questionnaire had been sent out beforehand to prepare the debates.

This collective reflection has shown that the community has taken ownership of the systems and procedures implemented as part of the HR Excellence in Research label, while at the same time being part of a process of continuous improvement of the institution's HR policy.

At the end of this seminar, the COPIL and the axis holders worked together to draw up the new action plan, following on from the previous one.

COPIL meetings were held every month and then every two weeks from September 2021. They enabled each axis to present its assessment by identifying completed actions, those still in progress or to be extended, and then its future action plan, following on from the previous one. The new and completed actions were all validated by the COPIL.

- How did you involve the research community, your main stakeholders, in the implementation process? \*

Numerous ad hoc working groups or committees allow the whole institution to work on actions in order to share and respond to the needs of researchers. Each group is set up according to the themes dealt with.

The community has also been engaged through seminars, most recently in June 2021.

The proposals resulting from the work on the actions are discussed in the institution's bodies and, where appropriate, adopted by the Management Board.

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

The steering committee (COPIL) is composed of the vice-presidents or project managers in charge of :

- Human resources and working conditions (project leader),
- European policy
- International policy
- Research and Science Policy
- Doctoral strategy
- University life policy
- Equality and diversity policy
- Open Science Policy (since 2021, following UL's adherence to the San Francisco Declaration)

As well as representatives of the following Directors and Delegations:

- Human Resources Department (project manager)
- Delegation for steering assistance and quality
- International and European Relations
- Research and Valorization
- University Life and Culture



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- Is there an alignment of organisational policies with HRS4R? For example, is HRS4R recognised in the organisation's research strategy, overall HR policy?

The HRS4R action plan is fully integrated into the University of Lorraine's five-year contract with the State and the I-SITE Lorraine University of Excellence label. It presents the University of Lorraine's human resources policy in the field of research and the quality of life at work for all staff.

- How does your organisation ensure that the proposed actions are also implemented?

The proposals resulting from the work on the actions are discussed in the institution's bodies and, if necessary, adopted by the board.

- How do you monitor progress?

The follow-up of actions is carried out in COPIL (monthly meeting), using the dedicated edc.

- How will you measure progress (indicators) for the next evaluation?

The indicators are entered into the edc and monitored by the COPIL.

- How do you plan to prepare for the external exam?

The external evaluation will be carried out with the help of all the staff elected to the bodies (over 500 staff).

Additional remarks/comments on the proposed implementation process: (max. 1000 words) :

Given the date of accreditation of the University of Lorraine (10-02-2017), the action plan has been extended to 5 years, i.e. until February 2022.

*Please note that the revised HR strategy and action plan should also be published after the internal evaluation is completed.*