INSTITUT NATIONAL DES SCIENCES APPLIQUÉES LYON

INSA Lyon Human Resources Strategy for Researchers (HRS4R) awarding project

INSA LYON

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Case number : 2019FR470010
Name of the organisation under review: National Institute of Applied Sciences of Lyon
Address of the organisation: INSA Lyon - Domaine scientifique de la DOUA - 20, avenue Albert Einstein - 69621 Villeurbanne Cedex - FRANCE.
Submission date : 22/06/2020

1- Organisational information:

*Please provide the key figures for your organisation. Fields marked * are compulsory.*

Staff and students	FTE
Total researchers = staff, bursary holders, PhD students either full time or part time involved in research.	2018: R2 + R3 + R4 = 389.3 FTE R1 = 584 (total)
Of whom are international (i.e. foreign nationality)	2018: R2 + R3 + R4 = 58 FTE PhD students from abroad = 301 (total)
Of whom are externally funded (i.e. for whom the organisation is the host organisation)	2018: R2 + R3 + R4 = 53 FTE PhD students = 267 (total)
Of whom are women	2018: 106.7 FTE
Of whom are stages R3 or R4 = researchers with a large degree of autonomy, typically holding the status of lead researcher or professor.	225.2
Of whom are stage R2 = in most organisations, this is postdoctoral level	47
Of whom are at stage R1 = in most organisations, this is doctoral level	R1 = 584 (total)
Total number of students (if applicable)	5,514
Total number of staff (including management, administration, teaching and research staff)	2018: 125.1 FTE
Research funding (figures for most recent fiscal year)	/
Total annual organisational budget	€66,752,544
Annual organisational direct government funding (designated for research)	/
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	2018: €9.82m
Annual funding from private, non-government sources, designated for research	2018: €9.52m
Organisational profile (a very brief description of your organisation, max. 100 words) Currently 105 words	INSA Lyon's research strategy is set by the Director of Research, reporting to the President. Scientific activities are managed by five deputies and carried out in laboratories through multidisciplinary issue groups. The 23 research laboratories (15 joint research units, two international joint research units and six associated teams) carry out internationally recognised research under the supervision or joint supervision of institutions in the COMUE Lyon Saint-Etienne group of universities and institutions. On a day-to-day basis, over 700 teaching and

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	research staff, 650 administrative and technical staff, 630 PhD students and 80 postdoctoral researchers carry out this research as part of the teams at INSA Lyon.

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2 – Strengths and weaknesses of the institution:

<table>
<tr><td colspan="2" align="center">I – Ethical and professional aspects</td></tr>
<tr><td align="center">Strengths</td><td align="center">Weaknesses</td></tr>
<tr>
<td>INSA Lyon's research strategy is consistent with the national research strategy and the European Union's Horizon 2020 programme. It is structured and managed on the basis of five key social issues by five leads reporting to the Director of Research. INSA Lyon's 'humanist' model promotes equality in all its forms (social, gender and economic). INSA Lyon plays an active role in popularising science and making knowledge accessible to all. A contact person for scientific integrity has been appointed. According to the circular letter of 15 March 2017, her role, currently being outlined, covers a wide range of issues such as awareness, training, and prevention and oversight of non-compliance. This demonstrates the institution's commitment in this area. All staff can take MOOCs (Massive Open Online Courses) on scientific integrity and research ethics. The institution is committed to open access with a structure to support the development of the HAL multidisciplinary archive in the laboratories.

A support unit in the Administrative Department of Research (CAPP'Recherche), made up of four individuals, is dedicated to supporting teaching and research staff, researchers, postdoctoral researchers and PhD students in the preparation of research funding applications. Budget and financial management of research contracts is the responsibility of the research operations and contracts unit, which reports to the Department of Financial Affairs (DAF). This unit is made up of four individuals who support research teams and work in conjunction with CAPP'Recherche. Intellectual property management and commercialisation of findings is the responsibility of the Department of Research, the subsidiary INSAVALOR and the SATT [technology transfer accelerator company] Pusalys.</td>
<td>INSA Lyon has not finalised the implementation of a comprehensive strategy on issues of scientific integrity and ethics. Furthermore, the sustainability and storage of research data and findings is not optimal. Efforts must be made to overcome these shortcomings. There are various processes for the induction of new staff. These could be standardised throughout the institution. Similarly, the rules and regulations of the various laboratories under the supervision of INSA are in the process of being standardised. This work must be completed to improve the information given to research staff on their rights and responsibilities.</td>
</tr>
</table>

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II – Recruitment

Strengths	Weaknesses
Since its creation, INSA Lyon has been committed to diversity and making engineering studies and research accessible to all audiences. The issue of gender equality is of significant importance to the institution. This is demonstrated by the fact that its policy and actions were recognised by the Conference of Directors of Engineering Schools and Institutes in 2016, when it was awarded the 'most committed school' award. INSA thus addresses the issue of gender from different perspectives, thanks to the expertise of the Gaston Berger Institute (IGB) and the commitment of a variety of stakeholders in the institution. In this respect, the position of gender equality programme coordinator has been created to promote the actions taken by the IGB targeting different groups. Among others, the IGB works with sixth formers to break down preconceptions and encourage them to pursue scientific careers. This policy led to the launch in 2019 of a campaign to name new buildings and rename existing buildings after women with outstanding careers who have contributed to major scientific or technological advances. INSA Lyon is a signatory to many charters that promote equality and diversity within the institution, including the 'Diversity Charter' and the 'Institution/Assystem Chair on Gender Equality'. The institution has a Disability Master Plan and has stepped up its efforts in this area with a proposal to draft and implement an Equality Master Plan. Recruitment takes into account the institution's strategy in this area, which is set out in the institution's 2016-2020 contract. To this end, employment campaigns are carried out by laboratory directors and taken into account by INSA Lyon senior management. Selection committees are reminded in advance of the non-discrimination policy by the president. The institution's annual report already presents indicators by gender in accordance with legal provisions. The national legal and regulatory framework, which is very similar to the OTM-R principles, forms the basis of INSA Lyon's recruitment strategy. This framework ensures equal access to public service jobs. In addition to these legal aspects, the application process is paperless. This gives applicants the flexibility to update their application up until the closing date. Interdisciplinary experience is taken into account and encouraged in job interviews, based on a criteria table. Furthermore, tools promoting merit-based recruitment are available in order to facilitate interviews.	For some contracted researchers, the recruitment process does not follow the rules proposed by the Department of Human Resources. Variations in the induction process between the various entities of the institution were highlighted in the self-assessment. The OTM-R policy has not been formalised. It must also be communicated to all research staff.

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III – Working conditions and social security

Strengths	Weaknesses
INSA Lyon is dedicated to creating the most stimulating research or research training environment possible by providing the equipment, facilities and opportunities must suited to the type of research conducted. The 'Lyon Cité Campus' plan has enabled us to redevelop and modernise properties on the Doua campus, benefiting users and staff. All buildings are accessible for persons with reduced mobility and adapted rooms are available for students with special needs. Since 2017, after drafting a Disability Master Plan, the institution has been committed to supporting its staff by putting special measures in place to help them carry out their duties. The institution ensures compliance with national and sectoral regulations on health and safety in research. The school has a full-time health centre (with an occupational health doctor and nurses), a head of working conditions, an occupational health counsellor, and a Health, Safety and Working Conditions committee (CHSCT) as well as occupational health assistants in almost every organisation (around 60). With regard to the security of information systems and research data, there is an Information Systems Security Manager (RSSI) and personal data protection issues are managed by a Data Protection Officer (DPO), appointed in 2019. Under provisions relating to the protection of scientific and technical potential (PPST), a Defence Security Official coordinates a number of measures (Vigipirate plan, international cooperation, etc.), including the implementation of restricted areas in research units working in sensitive fields. The Department of Research funds projects called Quality Research Bonus (BQR) aimed at encouraging young teaching and research staff to initiate research projects. Since research at INSA Lyon was split into five areas supervised by five leads, five BQR projects a year have been funded with a budget of 150,000 euros a year. The Scientific Board is responsible for the management of this call for projects. The commercialisation subsidiary Insavalor sets up calls for 'prematuration' projects and 'continuous training tools' to support innovative projects. Professors, teaching and research staff, researchers, postdoctoral researchers and PhD students, as well as all BIATSS staff, are represented on INSA Lyon consultation and decision-making bodies, putting these staff at the heart of life at the school.	The institution notes a lack of communication and regular updates of institutional documents. Working groups have brought to light a problem with the representation of women among the teaching staff (around 18%). The national rate is 25%, so there is still more to do. However, a more detailed analysis by discipline shows that the national rate of female teaching and research staff in the field of engineering is similar to the rate at INSA Lyon (around 30%). On the same subject, the annual report shows a slight gender pay gap, due to delays in career development.

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IV – Academic Affairs

Strengths	Weaknesses
The Teaching, Digital and Learning Technology Support Unit (ATENA) supports and trains teaching and research staff in teaching practices and digital and audiovisual teaching tools. INSA has its own procedure to formalise the involvement of researchers and lecturers (from the institution or a partner institution) in doctoral supervision (article 17 of the ruling of 7 August 2006 on doctoral studies). This procedure enables them gradually to take on management responsibilities in preparation for obtaining Authorisation to Conduct Research (HDR). With regard to the training of student researchers, the new regulations provide a more specific framework for training through research and doctoral studies. INSA Lyon ensures supervision for the completion of theses through the Thesis Charter, signed by all stakeholders. Thesis Monitoring Committees (CST) address both scientific and supervision issues with PhD students. Training activities carried out by the APP (Career Development Unit) of the DHR are available to all INSA staff, including teaching and research staff, researchers, postdoctoral researchers and INSA Lyon PhD students. The 'PEP UP' project carried out by FEDORA, for its part, enables work on projects to train PhD students in 'soft skills' (people and managerial skills). In order to get young researchers used to good practice in the sustainability and storage of their work, they are provided with laboratory notebooks and encouraged to use them regularly.	The working group emphasised a lack of feeling of belonging to the institution. Laboratory staff often feel more of a sense of belonging to their research unit than to INSA Lyon. This is reflected, among other things, in a lack of knowledge of training and support systems provided to INSA Lyon researchers. Staff are not always aware of training delivered at INSA Lyon by FEDORA (Department of Training through Research and Doctoral Studies) stakeholders, the APP (Career Development Unit) and ATENA (Teaching, Digital and Learning Technology Support Unit). Information flows for access to this training can be improved. Furthermore, the working group brought to light variation from one year to the next in the rate of obtaining Authorisations to Conduct Research. This rate should be monitored with a view to improving it. There are regular scheduled discussions and meetings with thesis supervisors. However, the practice is not consistent across the 23 INSA Lyon laboratories, leading to variations in thesis supervision. There are materials bringing together good practice and advice (Axelera thesis supervision guide). However, teaching and research staff and researchers are not aware of these materials and they are not widely disseminated.

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3. ACTIONS TO BE IMPLEMENTED

The action plan and HRS4R strategy must be published in an easily accessible place on the organisation's website.

URL: https://www.insa-lyon.fr/fr/politique-rh-pour-chercheurs-demarche-hrs4r

Please complete a checklist of all the individual actions to be taken in your organisation's HRS4R strategy to address the weaknesses or strengths identified in the gap analysis:

No.	Proposed actions	Principle(s) of the Charter & Code	Schedule (per semester of the year)	Unit responsible	Indicator(s)/Target(s)
1	For associated teams, draft rules and regulations for the laboratories (in accordance with the proposed template). For Joint Research Units (UMR), update and standardise them. Communicate all rules and regulations, and explain their content to teaching and research staff, researchers, PhD students and laboratory staff.	1 – 2 – 3 – 4 - 5	Semester 2 – 2021	Administrative Department of Research	Number of regulations established/number of laboratories affected currently 13 regulations are established Target = 20 regulations must be established Number of presentations of rules and regulations to laboratories
2	Overhaul of the charter for contracted researchers.	4 – 5 II (12 – 21) 22 - 26	Start date: Semester 2 – 2020 Approval: Semester 2 – 2021	Department of Services	Charter amended, approved (vote by the Board of Directors - CA) and communicated
3	Document our recruitment practices for teaching and research staff, researchers and PhD students through an open, transparent and merit-based policy (OTM-R policy).	II (12 – 21) 27	Semester 2 – 2024	Department of Human Resources	OTM-R policy formalised, approved and communicated Monitoring of HR indicators
4	Align the recruitment procedures of INSAVALOR and INSA for appointments of longer than 12 months	12 - 13	Semester 1 – 2021	INSAVALOR	Formalised procedures

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No.	Proposed actions	Principle(s) of the Charter & Code	Schedule (per semester of the year)	Unit responsible	Indicator(s)/Target(s)
5	Ensure the security and storage of research data for reuse, traceability and historical value.	7	Semester 2 – 2024	Director, DAPAC	Creation of a data repository Implementation indicators for GoFast (for Research) Document and archive management indicators
6	Keep working on the security, storage and dissemination of research data through implementation of the Data Management Plan requested by the ANR and extend it to all tenders	7 - 8	Semester 1 – 2021	SCD Director/Contact Person for Scientific Integrity	Implementation of Data Management Plans
7	Engage in a comprehensive and multidisciplinary discussion at the institutional level on scientific integrity and ethics	1 – 2 - 3 - 6 – 7 - 8 - 32	Semester 2 – 2024	SCD Director/Contact Person for Scientific Integrity	Framework document created, approved and communicated
8	Work on the issue of authorship of publications, citing all the authors and only the authors of the work	2 – 3 – 8 - 32	Semester 2 – 2024	SCD Director/Contact Person for Scientific Integrity	Framework document created, approved and communicated
9	Implementation of a system to monitor the integrity of theses to identify plagiarism in order to stop their defence or publication (FEDORA, BMC and DAJ [Department of Legal Affairs] working group)	3 – 36 - 40	Semester 2 – 2020	FEDORA (Department of Training through Research and Doctoral Studies) Contact Person for Scientific Integrity	Procedure formalised, approved and communicated Number of plagiarised documents/total number of documents analysed
10	Improve the management of gender and equality issues to achieve parity in four years. → Drafting of a Gender Equality Master Plan in accordance with the regulations → Produce a comparative (M/F) status report and implement an associated action plan	10 - 27	Semester 2 – 2020	Department of Human Resources	Drafting and communication (on the intranet) of a Gender Equality Master Plan Annual report Comparative status report and associated action plan

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No.	Proposed actions	Principle(s) of the Charter & Code	Schedule (per semester of the year)	Unit responsible	Indicator(s)/Target(s)
11	Assess actions to help lower the internal recruitment target and consider areas for improvement	II (12 – 21)	Semester 1 – 2020	Department of Human Resources	Formal assessment with an associated action plan if necessary
12	Engage in a discussion around HDRs to consider variations in the rate of obtaining this authorisation. Consider an incentive-based HDR policy.	37 – 38 - 40	Semester 2 – 2022	FEDORA (Department of Training through Research and Doctoral Studies)	Number of HDRs per year 2017 = 6 2018 = 6 2019 = 14
13	Work on thesis supervision at INSA Lyon - duties and responsibilities (to be set out and formalised) - Promote training/awareness of thesis supervisors, based on the recommendations of the decree and existing guides	IV (36 – 40)	Semester 2 – 2024	FEDORA (Department of Training through Research and Doctoral Studies)	Formalisation of job descriptions (thesis supervisor) Number of training/awareness activities with the associated records
14	Consider how to improve career development for teaching and research staff: - Engage teaching and research staff to give rise to ideas for assignments in addition to teaching and research assignments.	20 - 22 – 28 – 30 - 38 - 39	Semester 2 – 2024	Director of Human Resources	Indicators to monitor the progress of the project
15	Develop and maintain training courses through the ATENA unit to refresh the knowledge of teaching and research staff on educational issues	28 – 33 - 39	Semester 2 – 2022	ATENA	Number of teaching staff attending the training courses on educational issues college year 2018 - 2019 = 154 college year 2019 - 2020 = 194 college year 2020 - 2021 (first semester) = 221

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No.	Proposed actions	Principle(s) of the Charter & Code	Schedule (per semester of the year)	Unit responsible	Indicator(s)/Target(s)
					Number of training actions on educational issues offered each years : college year 2017 -2018 = 8 college year 2018 - 2019 = 16 college year 2019 - 2020 = 13 college year 2020 - 2021 (first semester) = 13 Target for the second semester of 2020 - 2021 = 9
16	Maintain training courses for teaching and research staff, researchers, postdoctoral researchers and PhD students on preparing funding applications (Data Management Plan) Extend this to teaching and research staff and new staff	5 – 38 - 39	Semester 2 – 2020	Administrative Department of Research	Number of training courses (associated records) In 2019 one training was carried out In 2020 one training was carried out Target : One training must be carried out in 2021 (one per year)
17	Undertake and maintain communication and training activities for PhD students on the popularisation of science.	8 - 9	Semester 2 – 2022	FEDORA (Department of Training through Research and Doctoral Studies)	Trend in scientific subjects popularised over the years Number of participants in 'my thesis in 180 seconds'
18	Consider putting in place a roadmap for PhD students with information, training and support activities throughout their career. Include the issue of employability of postdoctoral researchers	22 - 30 IV (36 – 40)	Semester 2 – 2022	FEDORA (Department of Training through Research and Doctoral Studies)	Creation and use of this roadmap Number of training courses to improve employability competencies "Lean Empowerment" In 2018 2 trainings was carried out In 2019 2 trainings was carried out In 2020 2 trainings was carried out

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No.	Proposed actions	Principle(s) of the Charter & Code	Schedule (per semester of the year)	Unit responsible	Indicator(s)/Target(s)
					Target : 2 trainings must be carried out in 2021 (two per year)
19	Formalise and disseminate a mobility guide for teaching and research staff → More active policy on the international mobility of teaching and research staff. → HR strategy to enable mobility	29 - 24	Semester 2 – 2021	Department of International Relations	Creation and communication of a mobility guide (update planned)
20	Make the new staff guide available and update it every year. (Overhaul)	24 – 36 - 40	Semester 2 – 2020	Department of Human Resources	New staff guide updated and communicated
21	Put in place training for new teaching and research staff at INSA Group level (National Employment Fund) with mandatory training and awareness activities.	7 - 8	Semester 2 – 2022	ATENA Department of Research	Rate of participation in these training days Number of new staff who request training over four years
No.	Proposed actions	Principle(s) of the Charter & Code	Schedule (per semester of the year)	Unit responsible	Indicator(s)/Target(s)
22	Provide information on the workload variation system in place for teaching and research staff.	5 – 24 – 26 - 33	Semester 2 – 2021	Department of Human Resources	Number of applications to benefit from the system
23	Share information between the various entities (laboratories, departments and support services): - Roles of each department and entity - Interactions - Undertake communication campaigns targeted at teaching and research staff on current internal training, personal and professional support schemes.	29 - 30	Semester 2 – 2024	Department of Services	Participation rate of department and laboratory directors in the support process for the function of entity manager, target = 100 % Participation rate over the last years : 2018 : 4/4 = 100% 2019 : 11/11 = 100 % 2020 : 7/7 = 100%

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24	Increase channels of communications for better dissemination of national, European and international news on research developments.	5 – 6 - 8	Semester 2 – 2022	Department of Communications Department of Research	Create a discussion and working group on the various activities arising from this action: -Who communicates? -Who provides the information? Number of consultations
25	Consider communication to improve the visibility of research expertise and the popularisation of innovation in research to improve communication.	8 – 9 - 22	Semester 1 – 2020	Department of Communications Department of Research	Number of research studies available on the intranet and Internet Currently : 116 Target : all current research studies must be available on the website and intranet Number of research studies presented at scientific events Number of consultations
26	Keep communicating the importance of disseminating research work in open access archives (HAL)	8 - 9	Semester 2 – 2020	Administrative Department of Research	Bibliometrics indicator. Number of theses in open access archives (HAL) 2017 = 195 2018 = 222 2019 = 375 2020 = 233

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The implementation of an open recruitment policy is a key component of the HRS4R strategy. Please also specify how your organisation will use the open, transparent and merit-based recruitment toolkit and how you intend to implement the principles of open, transparent and merit-based recruitment. Although there may be some overlap with a series of measures listed above, please provide a brief comment demonstrating this implementation. If this is the case, please establish the link between the OTM-R checklist and the comprehensive action plan.

INSA Lyon's current recruitment practices meet European Commission requirements in terms of openness, transparency and merit-based judgement.

Openness in recruitment: All vacancies for permanent and contracted teaching and research staff are posted on the INSA website.

Every job profile posted is accompanied by the application procedure.

Vacancies for lecturers (MCF), professors (PR), enseignants du second degré [civil servants who have passed a competitive exam], and teaching and research assistants (ATER) are also posted on the GALAXIE website.

Job profiles for MCF and PR vacancies are also posted on the EURAXESS website.

Transparency in recruitment: Profiles are written by entity directors and checked by the Department of Human Resources.

Profiles for MCF and PR vacancies, written by entity directors, are examined and approved at inter-board level. If necessary, a request is made for some profiles to be rewritten to reflect the level required (MCF or PR), to improve understanding of the job requirements or to broaden the profile so as not to discriminate against certain applicants, as well as to open the job up to a wider audience.

Merit-based recruitment: MCF and PR applications are assessed by two examiners through a document highlighting the level of study and grade obtained, their skills, their teaching and research experience and their experience abroad, whilst also taking into account the collective workload of teaching, research and administration. During the interview, applicants are judged on their ability to speak English and there is also a role play:

Objective of the role play: To assess the applicant's teaching ability and ability to adapt to an audience of students at undergraduate degree level on a subject related to the teaching profile of the vacancy. The subject will be specified in the invitation to interview.

Length of the role play: 20% of the total interview time.

Equal treatment of applicants: since the role play is included in the interview, it will be performed only in front of members of the Selection Committee (CoS) in order to ensure equal treatment of applicants.

- Language: during the interview, the applicant will have to speak French with around three minutes in English (except where justified by the need to teach regional or foreign languages and cultures).
- In order to strike a good balance between teaching and research, the Executive Administration Committee (CAR) requests that MCF and PR applicants are informed that, during their interview, they need to devote approximately equal time to the teaching component, including the role play, and the research component.

Example of time allocation during the interview: 10 mins for the research component, 10 mins for the teaching component (including five mins for the role play) and 15 mins for questions. The three minutes in English are included in one of the previous sections.

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If your organisation already has a recruitment strategy that implements the principles of open, transparent and merit-based recruitment, please provide the link to where this strategy can be found on your organisation's website:

URL: /

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4. IMPLEMENTATION

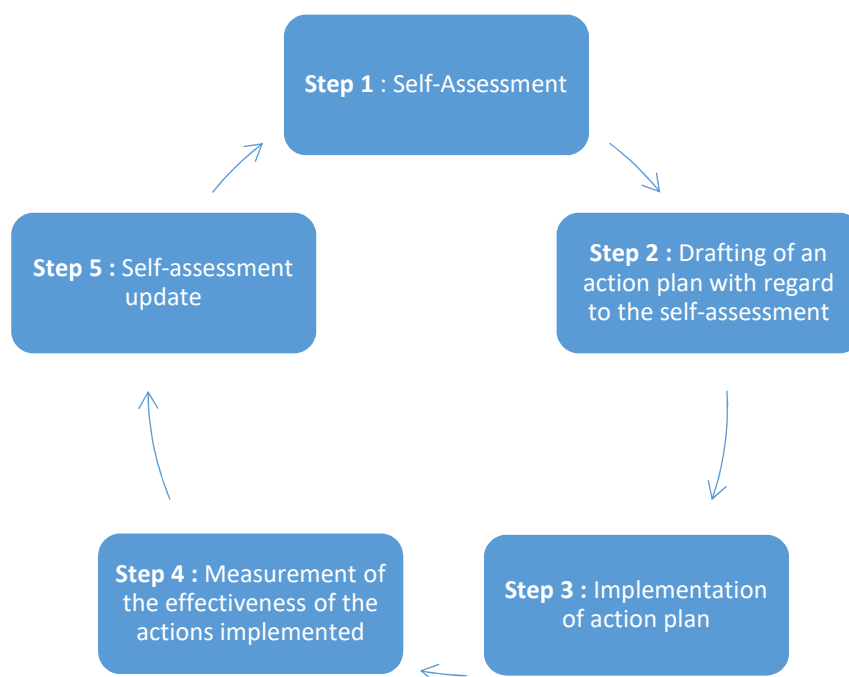General overview of the planned implementation process:

The implementation of the action plan will be overseen by an implementation monitoring committee composed, among others, of research staff. Working groups will be set up to deploy the various actions, these working groups will also be made up of members of the research units.

The action plan will be updated annually and presented to the Research Management Committee, and progress will be made during an annual management review. The action plan will also be available on the website and the intranet for everyone to consult.

Specific points could be refined through surveys aimed at the entire INSA Lyon research community in order to put in place actions that meet the needs of stakeholders.

The effectiveness of actions will be measured by relevant indicators that last over time. Annually, these effectiveness measures will make it possible to review the level of the establishment vis-à-vis the initial self-assessment. The purpose of this step is to put in place, if necessary, corrective and improvement actions in order to achieve the objectives set by the management of INSA Lyon.

The process of implementation and improvement can be schematized as follows:

Step 1 : Self-Assessment
Step 2 : Drafting of an action plan with regard to the self-assessment
Step 3 : Implementation of action plan
Step 4 : Measurement of the effectiveness of the actions implemented
Step 5 : Self-assessment update

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How will the implementation committee or steering group monitor progress regularly?

The steering committee has become the implementation monitoring committee. It is made up of:

- Director of the Department of Training through Research and Doctoral Studies (R4);
- 2 associate professors (R3);
- 2 researchers (R2);
- 2 PhD students (R1);
- contact person for scientific integrity;
- - Director of the Department of Operational Support and Continuous Improvement (DAPAC);
- Director of Human Resources (DRH);
- Administrative Director of Research (DAREC);
- Head of the Teaching and Research Staff Unit of the DRH;
- Head of the Career Development Unit (APP) of the DRH;
- Head of Quality/Continuous Improvement of DAPAC.

The implementation monitoring committee works very closely with the Director of Research and the Director of Services.

The implementation monitoring committee is responsible for managing and monitoring the progress of the project. It will meet twice a year to analyse monitoring indicators and decide on the implementation of actions. The committee is responsible for the implementation of actions in accordance with the deadlines set.

Minutes will be formalised and disseminated to all staff of the institution as well as relevant interested parties

A second level of monitoring will take place during the strategic management review (an arbitration body for the institution's action plans), thus taking the process to the highest level. The directors of the institution will also be stakeholders in this continuous improvement process.

INSA Lyon will also consult its research staff through a questionnaire on the points identified as priorities. The aim of this process will be to feed into the interim assessment provided for in the certification process.

How do you intend to engage the research community, your main stakeholders, in the implementation process?

The implementation monitoring committee *is made up of teaching and research staff* and key individuals from the research environment.

The action leads will include teaching and research staff in their working groups. Actions to create or amend institutional documents will be approved by bodies made up in part of teaching and research staff.

The project on open and responsible science, based on the action plan approved by the Board of Directors, has been carried out by the Scientific Advisory Board, made up of 7 professors and similar (R4), 4 PhDs or those with authorisation to conduct research (R3), 3 PhDs (R2), 3 members of research staff, 3 students and finally 4 external persons.

The progress of the action plan will be communicated to the Research Management Committee (CDR) twice a year, following meetings of the implementation monitoring committee.
The HRS4R awarding process will be presented at induction days for new staff in INSA laboratories.

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How will you align organisational policies on HRS4R? How will you ensure that HRS4R is recognised in the organisation's research strategy as a comprehensive HR policy?

The importance of obtaining the 'HR Excellence in Research' award was acknowledged in the strategic management review. The project has therefore been prioritised whilst putting in place the necessary resources to complete the awarding process successfully and within a specified time.

The award for excellence in the recruitment of teaching and research staff is presented as an important step in the multi-year contract for 2016-2020. 'In order to meet the requirements of the H2020 programme, the institution must engage in the European HRS4R (Human Resources Strategy for Researchers) awarding process, which will involve the DAREC and the DHR'.

How are you going to ensure that the proposed actions are implemented?

The steering committee for the INSA Lyon HRS4R project will be transformed into an implementation monitoring committee. It will be responsible for overseeing the implementation of actions and the effectiveness of implementation, analysing monitoring indicators and making changes according to the resources available. This will be based on a continuous improvement cycle (Plan, Do, Check, Act) involving various stakeholders: Actions (Leads, targets, time, means) will be set out in 'action sheets' sent to relevant stakeholders, which will allow the implementation monitoring committee to ensure traceability during this phase.

The role of the leads will be to summarise the implementation of actions by compiling all the documents that could constitute a record or evidence of proper implementation of the action.

In order to improve while taking into account developments, the currently identified strengths and weaknesses will be reviewed regularly during meetings of the implementation monitoring committee.

How will you monitor progress (schedule)?

Progress will be monitored at various levels and using various tools: Dashboard, monitoring indicators, schedule, implementation monitoring committee, records, etc.

Regular minutes from the strategic management review will allow the project sponsors to be kept informed on a regular basis. Furthermore, minutes from steering committee meetings will be communicated on the intranet to keep all staff informed on the progress of the project.

Set up HRS4R meetings, laboratory visits, satisfaction surveys and data collection.

Implement a schedule over the next four years.

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How will you measure progress (indicators) in preparation for the next assessment?

To measure progress in preparation for the next assessment, the implementation monitoring committee will use a dashboard bringing together all the strengths and weaknesses, actions and indicators reflecting the various objectives of the actions. This will be updated regularly during meetings of the implementation monitoring committee, namely once a semester.

In order to be usable, the indicators identified must have the following characteristics: Specific, Measurable, Achievable, Realistic and Timely (SMART). These indicators may change if they do not meet these parameters.

In addition, with respect to the deployment of a comprehensive quality strategy, a structure and method for listening to stakeholders, including research staff, must be put in place in order to reflect on and improve our practices.

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Additional comments/observations on the proposed implementation process:

INSA Lyon senior management has decided to take a lasting, participatory, collective and sustainable approach for all of its activities, bringing together all stakeholders in implementing the policy and improving the running of the institution.

To this end, the objectives of the continuous improvement, operational support and internal audit strategy is to improve and consolidate:

- • Management of the institution, including the performance of actions (operational objectives) related to the policy voted for by the CA, by taking increased account of the context and improving the consistency of the projects implemented.

- • Operational activities by strengthening the involvement of staff and students through a better understanding of the role and importance of each of their contributions and an active strategy leading to an improvement of their skills and knowledge.

The quality policy is applied in actions carried out by the senior management of the institution, who are committed to implementing a quality strategy based on the 2015 version of the ISO 9001 quality management system standard. This is reflected in the implementation of a mapping and description of the process, its regular review, indicators and internal audits, which will help measure and improve the performance of the management system of the institution (SME).

It builds on internal improvement strategies such as: The existing skills training strategy; the teacher assessment process; preparation for transitioning to a Network of Centres of Excellence (RCE); management control (dashboard and indicators); internal audits (risk assessment and mapping); storage and document management procedures; DDRS (Sustainable Development and Corporate Social Responsibility) and FLE (French as a Foreign Language) awards; and certification requirements specific to some laboratories (Carmen, Créatis) and the HRS4R (Human Resources Strategy for Researchers)

The methodological approach is based on the ISO 9001 standard deployed through:

- Regular surveys of stakeholders (staff, students, employers, external partners) to seek their views and satisfaction regarding the fields that affect them in order to build an action plan to improve the processes concerned.
- Internal audits to verify the status of the SME and perform diagnostics on certain processes in order to improve them.

The implementation process for the HRS4R strategy is fully in line with this. Implementation of the principles of the European Charter for Researchers and Code of Conduct for the Recruitment of Researchers is an opportunity for INSA Lyon to put in place a sustainable and lasting quality system taking into account all stakeholders and relevant interested parties.

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