

## GAP ANALYSIS HRS4R

JUNE 2021

Articles of the Charter	Implementation	GAP / Implementation impediments	Propositions
<b>ETHICAL AND PROFESSIONAL ASPECTS</b>			
<b>1. Research freedom</b>	-/+ partially implemented	The main regulations applied to civil servants, and more specifically teaching and non-teaching academic staff, with regard to fundamental guarantees (full independence and freedom of speech, especially while carrying out their duties as teachers and researchers), are defined at the state level, in the Constitution, the Civil Service Statutes and the Education Code. They should be reproduced at the local level to ensure that they are thoroughly understood by all relevant members of staff.	<ul style="list-style-type: none"> <li>• A researchers' guidebook is currently in preparation, and it will feature a preamble that explains these fundamental regulations. Once approved by the administrative board, it will be published on the university website and distributed through all relevant channels (mailing lists, publication of a paper version to be handed out to new personnel on their induction).</li> </ul>

<p><b>2. Ethical principles</b></p>	<p>-/+ partially implemented</p>	<p>The main rules applied to civil servants, and more particularly to teaching and non-teaching academic staff, with regard to the guarantee of ethical recruitment rules and standards for research, are defined at the State level, in the Constitution, the civil service statutes and the Education Code. They must be implemented at the institutional level by setting up <i>ad hoc</i> committees.</p>	<ul style="list-style-type: none"> <li>• An ethics committee has been set up in May 2021. It will inform researchers at all levels about its role and will set up a confidential procedure in conjunction with the scientific integrity officer, also set up in May 2021.</li> <li>• In addition, the institution has put in place a scientific integrity referent.</li> <li>• A researcher's guidebook is being drafted, which will include a preamble recalling these fundamental rules. Once approved by the board of directors, it will be published on the university's website and distributed through all relevant channels.</li> <li>• In particular, it will describe the functioning and tasks of the Ethics Committee.</li> </ul>
<p><b>3. Professional responsibility</b></p>	<p>+/- almost but not fully implemented</p>	<p>The Paris 1 Panthéon-Sorbonne University oversees the legal environment of research, specifically when it comes to research contracts, and all matters pertaining to copyright and intellectual property. Thanks to an extremely concise attribution of signing authority, it also guarantees a framework for legal action for the heads of its research units.</p>	<ul style="list-style-type: none"> <li>• In order to improve the quality of legal support for its researchers in matters of intellectual property and ethics, and to provide additional support for setting up research and transfer projects, the university has opened a position to support these issues.</li> <li>• In addition, the delegation of signature attributed to each of the heads of the various research units is freely available on the website of the Legal Affairs Office.</li> <li>• Strengthening of central research support services by securing all processes.</li> </ul>

<b>4. Professional attitude</b>	-/+ partially implemented	The main rules applied to civil servants, and especially to teaching and non-teaching academic staff, with regard to ensuring ethical recruitment rules and standards for research, are defined at state level in the Constitution, the Civil Service Statutes and the Education Code. They need to be reiterated at the local level to ensure that they are understood by all relevant staff. An ethics committee has recently been set up, and its terms of reference need to be made more widely known to the postal community	<ul style="list-style-type: none"> <li>• A researcher's guidebook is currently being prepared. It will be supplemented with a guide to research careers, which will describe the institutional context of research careers, as well as the job descriptions</li> </ul>
<b>5. Contractual and legal obligations</b>	-/+ partially implemented	The Paris 1 Panthéon-Sorbonne University oversees the legal research environment, specifically when it comes to research contracts, and all matters pertaining to copyright and intellectual property. However, the profit-sharing program is currently only implemented piecemeal. The process needs to be better explained and publicised amongst university personnel.	<ul style="list-style-type: none"> <li>• In order to improve the quality of the legal support provided to its researchers, and to provide additional support, the Research and Development Office had its tasks strengthened to ensure the legal framework</li> </ul>
<b>6. Accountability</b>	-/+ partially implemented	<p>A specific research section was added to the University's digital financial management tool to better take into account the complexity of research structures. Training programmes in financial management should be developed for the administrators of the research units.</p> <p>An ethics commission has been set up in May 2021, as well as a position of ethics referent.</p>	<ul style="list-style-type: none"> <li>• Research data system to be implemented in :</li> <li>• Training programmes specifically designed for the financial administrators of the research units need to be developed and implemented.</li> <li>• The ethics committee is meeting regularly and will become fully effective in the coming months.</li> <li>• A progress report on the actions of the Open Science working group (listing</li> </ul>

		In 2019, a research data working group, coined the open science working group, was created to help researchers understand and use open data.	suggested and/or completed actions) will be produced.
<b>7. Good practice in research</b>	-/+ partially implemented	<p>In 2018, a dedicated position was created to implement and raise awareness of the GDPR (General Data Protection Regulation).</p> <p>Awareness training on these matters has already been rolled out throughout the university.</p> <p>A deontology and ethics committee was set up for the university in 2015, and its role and missions were updated in May 2021 by the creation of an Ethics Commission and the appointment of an ethics referent.</p>	<ul style="list-style-type: none"> <li>• The University should increase awareness regarding the existence, roles and missions of the GDPR Officer, and establish a progress report. Information will be made more readily available, through a yearly report, on the purpose of the different bodies that administrate the university.</li> </ul>

<p><b>8. Dissemination, exploitation of results</b></p>	<p>-/+ partially implemented</p>	<p>The University is aware of the need to better inform about and promote research results, and aims to continue the actions it has undertaken (signing publications policy, and Open Science practices).</p>	<p>The Research Data Working Group, renamed the Open Science Working Group, will continue its efforts to help researchers understand and use open data, and learn to use digital tools.</p> <p>- In addition, part of the university's call for project funding will only be awarded on the basis of the publication of this work on HAL or other open repositories.</p>
<p><b>9. Public engagement</b></p>	<p>+/- almost but not fully implemented</p>	<p>The actions undertaken by the University to promote its scientific achievements should continue to be pursued (for instance, the university's yearly Research Convention "Assises de la recherche", publication of the magazine #1257). In 2019, a Research Data Working Group, renamed the Open Science Working Group, was created in order to help researchers understand and use Open Data</p> <p>.</p> <p>.</p>	<p>A progress report on the actions of the Open Science Working Group (listing suggested and/or completed actions) will be drawn up.</p>

<p><b>10. Non-discrimination</b></p>	<p>+/- almost but not fully implemented</p>	<p>The main regulations applied to civil servants, and more specifically teaching and non-teaching academic staff, with regard to fundamental guarantees (full independence and academic freedom), are defined at the state level, in the Constitution, the Civil Service Statutes and the Education Code. They should be reproduced at the local level to ensure that they are thoroughly understood by all relevant members of staff, especially when it comes to diversity and inclusion policies. These provisions include implementing and complying with parity rules in the composition of the university bodies and selection committees, implementing the disability inclusion blueprint, as well as organising mediation and the conflict resolution committee.</p>	<ul style="list-style-type: none"> <li>Define and integrate the various indicators for monitoring the diversity and inclusion policy in the annual social report by 2024</li> </ul>
<p><b>11. Evaluation/ appraisal systems</b></p>	<p>+/fully implemented</p>	<p>The university implemented the recommendations of the High Council for Research and Higher Education (Hcéres).</p> <p>In accordance with the Education Code, researchers are also evaluated when they apply for promotion, for the award of a doctoral and research supervision bonus for recruitment as a university professor. Halfway through the five-year contract between the university and its supervisory state department, a self-assessment and a list of recommendations will be drawn up.</p>	

## RECRUITMENT

<p><b>12. Recruitment</b></p>	<p>-/+ partially implemented</p>	<p>The degree of transparency regarding recruitment conditions and processes varies greatly, depending on the different personnel categories (researchers, post-doctoral researchers, non-academic staff) and whether they are permanent or non-permanent staff. The University aims to provide more accurate and more accessible documentation.</p>	<ul style="list-style-type: none"> <li>• The researcher’s guidebook will provide details of the different recruitment channels, according to status and possible career paths. The guide to research careers will also adopt this approach. Both guides will be more easily accessible thanks to a redesign of the website to improve access to information.. The university will continue to post job offers online (Emploi Public, Euraxess).</li> <li>• In addition, a career advisor position will be implemented within the HR Department.</li> <li>• General assessment of all recruitments, taking into account the criteria defined by the institution</li> </ul>
<p><b>13. Recruitment (Code)</b></p>	<p>-/+ partially implemented</p>	<p>The degree of clarity regarding recruitment conditions and processes varies greatly, depending on the different personnel categories (researchers, post-doctoral researchers, non-academic staff) and whether they are permanent or non-permanent staff. The University aims to provide more accurate and more accessible documentation.</p>	<ul style="list-style-type: none"> <li>• The researcher’s guidebook will provide details of the different recruitment channels, according to status and possible career paths. The guide to research careers will also adopt this approach. Both guides will be more easily accessible thanks to a redesign of the website to improve access to information.. The university will continue to post job offers online (Emploi Public, Euraxess).</li> </ul>

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<b>14. Selection (Code)</b>	-/+ partially implemented	The university complies with national regulations with regard to recruitment, and organising competitive examinations for the recruitment of both academic and administrative staff. However, personnel should be better informed about these regulations.	<ul style="list-style-type: none"> <li>• The researcher's guidebook will provide details about the different recruitment channels depending on status.</li> <li>• Jury reports from selection committees should be more easily accessible. Display criteria (research, teaching, research dissemination, management, mobility, etc.)</li> </ul>
<b>15. Transparency (Code)</b>	-/+ partially implemented	The University complies with its duties with regard to transparency in all aspects of the recruitment process. Nevertheless, steps should be taken to improve quality of available information.	<ul style="list-style-type: none"> <li>• The researcher's guidebook must provide precise information so that candidates are fully informed about the recruitment process, selection criteria and career development prospects.</li> <li>• The number of open positions and the related domains will be published on the University website.</li> <li>• All candidates for researcher positions will be given feedback on their application by 2024.</li> </ul>

<b>16. Judging merit (Code)</b>	+/- almost but not fully implemented	The academic and administrative permanent staff is hired through the organisation of competitive examinations, a system that guarantees that recruitment is merit-based. On the other hand, the process for recruiting non-permanent staff could be better handled	<ul style="list-style-type: none"> <li>The researcher's guidebook will describe the recruitment conditions that guarantee merit-based selection of candidates. The guidebook of science and research careers will provide details regarding conformity with the European Charter for Researchers in this area.</li> </ul>
<b>17. Variations in the chronological order of CVs (Code)</b>	-/+ partially implemented	The University takes work experience into account when selecting candidates. It could however look into evaluating how this procedure is applied according to profession and status, and suggest improvements.	<ul style="list-style-type: none"> <li>The researchers' guidebook will describe the recruitment conditions that guarantee that qualifications are taken account. The guidebook will provide details regarding conformity with the European Charter for Researchers in this area. The qualifications of temporary staff can thus be better taken into account, thanks to a new salary scale adopted by the University board.</li> </ul>
<b>18. Recognition of mobility experience (Code)</b>	+/- almost but not fully implemented	The University takes work experience into account when selecting candidates. It could however look into evaluating how this procedure is applied according to profession and status, and suggest improvements	<ul style="list-style-type: none"> <li>The researchers' guidebook will describe the recruitment conditions guaranteeing that mobility experience is taken into account. The guidebook will provide details regarding conformity with the European Charter for Researchers in this area.</li> </ul>

<b>19. Reconnaissance des qualifications</b>	+/- almost but not fully implemented	National regulations require seniority to be taken into consideration for all permanent staff. As for non-permanent staff, seniority can be taken into account by using a salary scale closely based on the scale applied to ITRF staff (university and research institute personnel).	<ul style="list-style-type: none"> <li>The researchers' guide will describe the recruitment conditions that guarantee that the impact of seniority on career paths (reassignment, promotions) is taken account. The guidebook to research careers will provide details regarding conformity with the European Charter for Researchers in this area. The seniority of temporary staff can thus be better taken into account, thanks to a new salary scale adopted by the University board</li> </ul>
<b>20. Seniority (Code)</b>	+/- almost but not fully implemented	National regulations require seniority to be taken into consideration for all permanent staff. As for non-permanent staff, seniority can be taken into account by using a salary scale closely based on the scale applied to ITRF staff (university and research institute personnel).	<ul style="list-style-type: none"> <li>The researchers' guide will describe the recruitment conditions that guarantee that the impact of seniority on career paths (reassignment, promotions) is taken account. The guidebook to research careers will provide details regarding conformity with the European Charter for Researchers in this area. The seniority of temporary staff can thus be better taken into account, thanks to a new salary scale adopted by the University board</li> </ul>
<b>21. Postdoctoral appointments (Code)</b>	-- insufficiently implemented	There has been a marked increase in recruitment of post-doctoral fellows in recent years, particularly as a result of the development of long-term research endowments. The University aims to create a specific status for post-doctoral fellows	<ul style="list-style-type: none"> <li>The creation of a post-doctoral fellow status will be put forward (specifying recruitment channels, missions, salary and its relation to the permanent staff's salary scale), and included in the guidebook of science and research careers.</li> </ul>

## WORKING CONDITIONS AND SOCIAL SECURITY

<p><b>22. Recognition of the profession</b></p>	<p>-/+ partially implemented</p>	<p>The Charter calls for researchers to be recognized as such right from the start of their career. The status of PhD candidates, temporary research and teaching assistants and post-doctoral fellows is consistent with this principle. The University will continue to work toward providing this recognition</p>	<ul style="list-style-type: none"> <li>• The creation of a post-doctoral fellow status will be proposed (specifying recruitment channels, missions, salary and its relation to the permanent staff's salary scale), and included in the guidebook to research careers.</li> <li>• .</li> </ul>
<p><b>23. Research environment</b></p>	<p>+/- almost but not fully implemented</p>	<p>The research environment is shaped by the means given to the Research and Development Department to support the needs of researchers and doctoral candidates.</p> <p>The extension of the Department of Research and Development responsibilities was realized by the unification of the doctoral schools and the creation of a department dedicated to project development (D2P).</p> <p>In addition, a working group on open science was created.</p> <p>A specialised translator position was created.</p> <p>The institution has a Quality of Working Life (QWL) centre which implements a plan for the prevention of psycho-social risks.</p>	<ul style="list-style-type: none"> <li>• Pooling of support services.</li> <li>• Training of the research units' local support services</li> <li>• Researchers have expressed the need for better assistance with issues such as online publication repository (HAL), project writing and submission.</li> </ul>

<p><b>24. Working conditions</b></p>	<p>+/- almost but not fully implemented</p>	<p>The University has been actively involved for many years in the integration of disabled staff by providing its researchers with access to work spaces (offices, meeting and conference rooms, multi-purpose sites) and libraries that are much more accessible. The university has also formalised a remote working process for all of its staff. Computer equipment was made available to help improve the work-life balance.</p> <p>In September 2019, the Port-Royal Campus (which belongs to the University of Paris 1) was inaugurated, as well as the Condorcet Campus (Cité des Sciences humaines et sociales) shared with 11 founding institutions.</p> <p>Several research units have moved into these new premises.</p>	<ul style="list-style-type: none"> <li>• Continue to develop remote working agreements.</li> </ul>
<p><b>25. Stability and permanence of employment</b></p>	<p>-/+ partially implemented</p>	<p>The management of an increasing number of temporary staff has raised issues that the University has been striving to solve in order to improve job security.</p>	<ul style="list-style-type: none"> <li>• The guide to research careers (post-doctoral fellows, PhD candidates, research contract administrators, temporary staff working for units endowed by the national program for innovative investments, etc.) will include proposals to improve the management of temporary non-academic staff (wages, training, etc.). This includes, for example, the attribution of LRU contracts (a type of contract created under the 2007 university reform in France), and the possibility of monthly salary payments for PhD candidates.</li> </ul>

<p><b>26. Funding and salaries</b></p>	<p>+/- almost but not fully implemented</p>	<p>Wage regulations are implemented by the University, which also provides <i>ad hoc</i> solutions in the absence of legal guidelines, however it should ensure that information in this area is made more readily available</p>	<ul style="list-style-type: none"> <li>• The salary scale for temporary staff should be more widely published, as should the solution allowing doctoral candidates to be paid on a monthly basis.</li> <li>• In addition, the processes for the authorization of multiple activities will be updated and better disseminated, as well as the working time standards that are voted on every year.</li> </ul>
<p><b>27. Gender balance</b></p>	<p>+/- almost but not fully implemented</p>	<p>. The main rules applied to civil servants, and particularly to teaching and non-teaching academic staff, in relation to fundamental guarantees are defined at state level. They need to be reiterated at the local level, particularly in relation to diversity and inclusion policies. These provisions include the compliance with and implementation of parity rules in the composition of university bodies and selection committees.</p> <p>A gender equality officer was appointed within the Presidential team.</p>	<ul style="list-style-type: none"> <li>• The gender balance indicator is monitored by the gender equality officer. Drafting of an annual report</li> </ul>
<p><b>28. Career development</b></p>	<p>-/+ partially implemented</p>	<p>Career development is a strategic priority. For instance, professional interviews are organised every year for civil servants. University staff can choose from a wide range of courses, which will continue to be developed.</p>	<ul style="list-style-type: none"> <li>• A new career counselling mission will be deployed within the Human Resources Department. Efforts to develop annual professional interviews for the staff and the training offer should be continued, especially for newly recruited professors.</li> <li>• Assessment of the functioning of the PhD monitoring committees.</li> </ul>

<p><b>29. Value of mobility</b></p>	<p>-/+ partially implemented</p>	<p>Staff is not sufficiently aware of the possibilities of mobility, even though these are increasing. In addition, there is still room for improvement in the welcoming of visiting researchers.</p> <p>Restructuring of support services to make the system of hosting visiting researchers more efficient.</p>	<ul style="list-style-type: none"> <li>• The researcher’s guide will provide information on the different types of mobility (statutory or European) and on the hosting of visiting researchers.</li> <li>• Personalized support for visiting researchers in their efforts to obtain visas and residence permits.</li> <li>• Recommendations on recruitment criteria related to the valorization of mobility, communication to juries</li> </ul>
<p><b>30. Access to career advice</b></p>	<p>-/+ partially implemented</p> <p>-/+</p>	<p>With regard to career advice, a “career” module is included in the training courses currently provided by the University for both doctoral candidates and administrative staff. These courses should continue to be developed.</p>	<ul style="list-style-type: none"> <li>• A career counselling mission will be deployed within the Human Resources Department.</li> <li>• The mission of the career advisor within the-Human Resources Department will supplement the drafting of guides and the website updating</li> </ul>
<p><b>31. Intellectual Property Rights</b></p>	<p>+/- almost but not fully implemented</p>	<p>The University has been actively involved in efforts to improve the legal assistance provided to its researchers (intellectual property rights and copyright protection, negotiating and preparing research contracts and consortium agreements).</p>	<ul style="list-style-type: none"> <li>• To this end, a legal expert was hired in 2019.</li> <li>• Training will be provided</li> </ul>
<p><b>32. Co-authorship</b></p>	<p>+/- almost but not fully implemented</p>	<p>The University actively participated in efforts to improve the legal assistance provided to its researchers (protection of intellectual property rights and copyright, negotiation and preparation of research contracts and consortium agreements). As the university participates in many networks, the of collaboration policy</p>	<ul style="list-style-type: none"> <li>• The integration of our institution into our various networks and alliances (Una Europa) will strengthen the development of collaborative strategies and practices.</li> </ul>

		between researchers was always a strategic priority.	
<b>33. Teaching</b>	-/+ partially implemented	The university will provide a favorable framework for researchers' involvement. Support the setting up of projects to be managed by researchers and professors.	<ul style="list-style-type: none"> <li>• Efforts to further expand the range of courses <i>à la carte</i> should continue, by clearly identifying the needs linked to evolutions in the different research professions.</li> </ul>
<b>34. Complains/ appeals</b>	+/- almost but not fully implemented	The legal protection of civil servants is established by law, which also provides public officials with a set of rules specifying the appropriate channels and time limits for appeal. Information on these processes should be made more easily accessible.  An ombudsman was appointed and a process was set up for referring cases to the institution's legal service.	<ul style="list-style-type: none"> <li>• Efforts will be made to identify and implement the most appropriate methods to better inform staff members and to ensure confidentiality.</li> <li>• Mediator's activity report</li> <li>• Mandatory conflict prevention and management training for unit and project managers.</li> </ul>
<b>35. Participation in decision-making bodies</b>	++ fully implemented	The University complies with the rules and regulations of the State allowing all permanent and temporary staff to be included in the decision-making bodies. The whole research community is involved in all commissions and councils related to the functioning of the institution, and also in other partner institutions.	

**TRAINING AND DEVELOPMENT**

<b>36. Relation with supervisors</b>	++fully implemented	Hosting of doctoral days. Training of doctoral candidates, PhD monitoring committee, creation of doctoral paths.	<ul style="list-style-type: none"> <li>• An activity report of the College of doctoral Schools with the involvement of doctoral student representatives will be made public.</li> <li>• These actions will be better publicised</li> </ul>
<b>37. Supervision and managerial duties</b>	-/+ partially implemented	The heads of the different research units face increasingly complex challenges with regard to management. The University supports them in this task and should provide them with new tools.	<ul style="list-style-type: none"> <li>• One solution is to develop a guidebook to research careers that can provide the university community with a centralised source of information on the management of research activities (publication, management, funding, recruitment, etc.).</li> </ul>
<b>38. Continuing Professional Development</b>	-/+ partially implemented	Staff at the University can choose from a wide range of training courses, which will continue to be expanded, in particular to include newly-recruited lecturers, but also a wider audience for domains such as open science.	<ul style="list-style-type: none"> <li>• Efforts to further expand the range of training courses <i>à la carte</i> should continue, by clearly identifying the needs linked to evolutions in the different research professions</li> </ul>
<b>39. Access to research training and continuous development</b>	-/+ partially implemented	The university offers a system of permanent training courses contributing to the professional development, the improvement of their capacity of professional insertion and the reinforcement of their competences to pilot research programmes.  The university offers support and training to researchers in programme management and project development.	<ul style="list-style-type: none"> <li>• The university will adapt to changes in the research sector to offer appropriate support.</li> </ul>

<p><b>40. Supervision</b></p>	<p>-/+ partially implemented</p>	<p>Staff at the University can choose from a wide range of training courses, which will continue to be expanded, in particular to include newly-recruited lecturers, but also a wider audience for domains such as open science.</p>	<ul style="list-style-type: none"> <li>• A performance report of the College of Graduate Schools will be made public:</li> <li>• Training of doctoral candidates, thesis supervision committee, creation of doctoral programmes. These actions will be better publicised.</li> <li>• -The university will offer a support system for early-career .</li> <li>• Designation of referent who will accompany lecturers during the first year .</li> </ul>
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