

HR Excellence in Research

| Internal Review

Internal Review

Case number

2022RO742937

Name Organisation under review

Alexandru Ioan Cuza University of Iasi

Organisation's contact details

Bd. Carol I no 11, Iasi, 700506, Romania

Submission date to the European Commission

14/10/2022

1. Organisational Information

Please provide an update of the key figures for your organisation. Figures marked * are compulsory.

STAFF & STUDENTS	FTE
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research *	1815
Of whom are international (i.e. foreign nationality) *	74
Of whom are externally funded (i.e. for whom the organisation is host organisation) *	1
Of whom are women *	984
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor. *	445
Of whom are stage R2 = in most organisations corresponding with postdoctoral level *	413
Of whom are stage R1 = in most organisations corresponding with doctoral level *	957
Total number of students (if relevant) *	25587
Total number of staff (including management, administrative, teaching and research staff) *	2905
RESEARCH FUNDING (figures for most recent fiscal year)	€
Total annual organisational budget	79401916
Annual organisational direct government funding (designated for research)	914560
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	3493455

RESEARCH FUNDING (figures for most recent fiscal year)

€

Annual funding from private, non-government sources, designated for research

4132

ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)

Alexandru Ioan Cuza University of Iași (UAIC) is the oldest university in Romania (founded in 1860), which opened the modern stage of Romanian higher education. The current academic structure of UAIC includes more than 25000 students studying in 15 faculties (Cycle I – 84 bachelor study programs, Cycle II – 130 fields/programs of studies of MASTERS), and Cycle III - 14 Doctoral schools on 27 domains of doctorate and postdoc).

Since 2011, UAIC has been classified by the Ministry of Education as an advanced research and education university. The University shows great openness to internationalization by collaborating on teaching and research activities with 574 universities from 68 countries.

2. Strengths and weaknesses of the current practice

Please review the strengths and weaknesses under the 4 thematic areas of the Charter and Code, as provided by your organisation in the initial assessment phase. When doing so, you should do not only look back, but also consider new priorities, strategic decisions, etc. which may further influence the action plan. Please also provide a brief commentary in the "Remarks" column if major changes have occurred versus the initial plan.

Note: Click on the name of each of the four thematic headings of the Charter & Code to open the editor and provide your answers in the Internal Review for Interim Assessment dedicated section.

Ethical and professional aspects*



Strengths and Weaknesses (Initial Phase)

Strengths and Weaknesses (Interim Assessment)

Strengths and Weaknesses (Award Renewal, max 500 words) *

One of the strengths of UAIC, revealed by the 2022 C&C Survey, is that researchers adhere to the fundamental ethical practices and principles of their disciplines, as well as to ethical standards as documented in the different national or institutional Codes. The Code of Ethics is part of the UAIC Charta. Professional responsibility is also ranked higher and is an indicator of the fact that researchers make efforts to ensure that their research is relevant to society and is based on good practice in research and accountability. UAIC has specific structures and appropriate procedures to act in order to ensure academic integrity. The concept of academic integrity refers to the quality of being honest and adhering to the university's stated values and principles as well as deciding and acting in accordance with them to promote the university's mission and goals and to achieve its goals. The UAIC's Code of Ethics promotes the principles of university ethics at all levels, loyalty to the university, professional integrity, fair competition, transparency of procedures and their results, and impartiality. To further strengthen the culture of integrity a special course on ethics and academic integrity is embedded in every academic curriculum (bachelor, master, and doctoral level) and professional software is used to identify plagiarism (Integrity, an Enformation service developed in partnership with Turnitin). The academic freedom of UAIC and the members of the university community is guaranteed by law (Charta UAIC, Law no.1 of national education). Academic freedom means the freedom of teaching, research, and learning, embracing the following aspects: the choice of topics and methods of study and research, the interpretation, publication, and transfer of research results, and the free expression of opinions, under the conditions of respect for university ethics, participation in educational and research activities, their organization and coordination, the free choice of courses and specializations by students. A non-discrimination policy is embedded in national and institutional regulations in order to ensure that researchers will not be discriminated against based on their gender, age, ethnicity, religion, etc. The UAIC Publishing House plays a very important role in the dissemination of the results of our academics through books and own academic journals.

In order to strengthen the link between university and society, future steps need to be done. A community center university action is drafted to ensure that research results are disseminated to the unspecialized public and the university is involved in resolving societal challenges and addressing the most pressing issues in society today. Since 2013, UAIC annually organizes

large-scale events in public places in the city, such as the researcher's night (MSCA) (eg. Researchers' Night in Romania 2014-2015. Do you speak science? RoTalkScience) for bringing research and researchers closer to the public, increase the interest of young people in science and research careers, others.

Another area that UAIC needs to address more is the evaluation/appraisal system (other than minimal national standards). At this moment a robust institutional evaluation/appraisal system for researchers (FTE) is in place, but not a similar one for teaching staff. Moreover, in 2018 UAIC developed an online platform for reporting research results, necessary to ensure the efficiency and transparency of the evaluation process and institutional reports. The platform needs to be improved for better use of data. In 2022, UAIC won a project for the digitalization of the institution, through investments in modernizing the digital infrastructure, and the modernization and implementation of IT service within the UAIC until 2025. The project will also ensure the institutional framework for training digital skills of members of the academic community by updating, developing and providing training programs in the field of digital skills and advanced digital skills, but also developing, modernizing, and updating services IT and communications to facilitate access to the academic environment and to increase the quality of education and research services until 2025. Also, current UAIC's practices on data management and cybersecurity policy needs to be audited and updated.

Regarding best practices in research, there are internal documents/procedures useful for guiding researchers to achieve their tasks, published on the research-dedicated web page (<https://www.uaic.ro/cercetare/>).

Remarks (max 500 words)

The Carter & Code Survey carried out in 2022 reveals that Ethical principles (9.82 out of 10) and Professional responsibility (9.63 out of 10) are ranked by UAIC researchers as top strengths among ethical and professional aspects.

The weaknesses identified by researchers are related with Public engagement (8.75 out of 10) and Evaluation/appraisal systems (8.12 out of 10).

Recruitment and selection*



Strengths and Weaknesses (Initial Phase)

Strengths and Weaknesses (Interim Assessment)

Strengths and Weaknesses (Award Renewal, max 500 words) *

All job openings are presented on the UAIC website in advance (<https://www.uaic.ro/angajariuaic/>), The Official Monitor of Romania and in a local newspaper, according to the law, so that all candidates have enough time to prepare their applications. All research positions (vacancies on the research contracts) are published on EURAXESS and on the Ministry of Research, Innovation, and Digitization (<http://www.research.gov.ro/>) webpage and include a description of requirements, working conditions, and entitlements. After each selection stage each candidate is informed about the status of their application (pass/fail with reasons in case of failure), final stage included. After the final stage detailed feedback is provided based on candidate request. Criteria for recruitment are transparent, open, diversified based on seniority level of the position and are aligned with national and international criteria. Positions of full-time researcher, associate professor, and professor are published both in Romanian and in English. Positions of assistant professor and lecturer are considered to be published in English as well in order to facilitate international job seekers.

Selection commissions combine experience in all topics covering the open position. For associate professor and professor positions, members from other universities (at national and international level) are included. In general, selection committees consist of the head of department or the dean of the faculty involved in the vacancy to be filled and four other members. Being an advanced research university, the research component is emphasized- but is not exclusive. For teaching vacancies, candidates have to prove teaching skills and research skills. Participation of practitioners in selection commissions has not been considered as national regulations requirement, for teaching and research positions, all members are academics or full-time researchers.

In 2019, UAIC adopted the Regulation on the organization and conduct of advanced research postdoctoral programs within Doctoral Schools. Candidates declared admitted following the admission contest to the postdoctoral programs, become postdoctoral researchers and are enrolled in the doctoral schools for 24 months. Also, through the National CDI Program (PNCDI III), pillar I, 19 young researchers accessed a tool dedicated to postdoctoral researchers, entitled Postdoctoral Research Projects (PD), funded for 24 months.

The chronological variation of the CV is not a selection criterion. Abilities acquired through academic, research, and practical experiences are considered and are dependent on the level of seniority of the position.

By attracting practitioners and researchers towards a teaching and research career, our university has diversified its merit evaluation criteria, incorporating transversal abilities such as teamwork, supervision, knowledge transfer, and dissemination. UAIC aims to improve the selection criteria through capitalization of the whole candidate/researcher experience in order to put more value on creativity, mobility, multidimensional careers, and micro-qualifications.

Remarks (max 500 words)

The Carter & Code Survey carried out in 2022 reveals that Transparency (Code) (9.01 out of 10), Recruitment (8.90 out of 10) are ranked by UAIC researchers as top strengths among recruitment and selection aspects.

The weaknesses identified by researchers are related with Variation in the chronological order of CV's (Code) (8.39 out of 10) and Judging merit (Code) (8.06 out of 10).

Working conditions*



Strengths and Weaknesses (Initial Phase)

Strengths and Weaknesses (Interim Assessment)

Strengths and Weaknesses (Award Renewal, max 500 words) *

Participation in decision-making bodies, recognition of the profession, stability and the permanence of employment and gender balance are top strengths of UAIC working conditions and social security and were high rated in all C&C Surveys.

All UAIC researchers are recognized as professionals and treated accordingly. In order to encourage and to improve the research activities, UAIC has implemented a series of measures such as: internal grants (since 2017), awarding authors of scientific articles published in journals with high impact factor (since 2020), awarding a grant for teams who won a contract (since 2019).

UAIC is constantly concerned with ensuring and developing a modern research infrastructure. For example, 3 new Research Units were created/upgraded under the Projects funded by the Competitiveness Operational Program (POC) – structural funds, as follows: iTransfer Technology Transfer Center, RECENT AIR - Research Center with Integrated Techniques for the Investigation of Atmospheric Aerosols in Romania and RaaS-IS center - Cloud center and massive data infrastructures.

Participation in decision-making bodies represents an indicator for ensuring the interests of employees. Academic staff (including students) and researchers are represented in the University Senate, Faculty Councils and Department Councils."Unio" Trade Union from UAIC represents their members' interests in issues regarding the working conditions and salary negotiations. The academic community is regularly informed through the "UAIC's internal newsletter" about the Decisions of general interest of the Executive Office of the Board of Administration, as well as the Decisions of the University Senate from the previous month.

Each job description includes a specific list of tasks and responsibilities, within which research is a mandatory activity in the standard workload. UAIC promotes staff stability and the permanence of employment. At the legislative level, they are assured by national law (Law no. 1/2011, Law no. 319/2003) and specific regulations at UAIC level. UAIC also pays attention to gender balance and equity in the institution. In response to this goal, in 2022 was developed the Gender Equality Plan (2022-2025), in agreement with the European Commission's Gender Equality Strategy 2020-2025.

Access to career advice is crucial for sustainable employability and career development. At UAIC, each researcher has to periodically self-evaluate the academic performance and the fulfilment of the specific standards of the position in accordance with national and UAIC's criteria. However, over the last two C&C Surveys, access to career advice received the lowest score among employees (7,16 in 2011, 7.22 in 2022), which emphasize the need for better guidance during academic path, with specific approaches for each career level. Advice in career should bring interest for research, which is a competitive field.

Teaching represents an essential activity in dissemination of knowledge and one of the most important dimensions in the higher education system. Thereby, it is necessary to maintain a balance between teaching duties and research activities. When the teaching load is very high, employees have less time to focus on research, striving to find a balance between teaching and research. This phenomenon must be analyzed in relation to the increasing number of students, the minimum number of teaching hours stipulated by the legislation and financial efficiency. As a solution to the excessive teaching responsibilities, the university imposed a maximum of two teaching norms per year (the national legislation allows three teaching norms) and a standard workload for research activities, but it is still necessary to conceive strategies in order to reduce the teaching load and to ensure that these duties are adequately remunerated and correlated with student numbers.

Remarks (max 500 words)

The Carter & Code Survey carried out in 2022 reveals that Participation in decision-making bodies (8.59 out of 10), Recognition of the profession (8.52 out of 10) are ranked by UAIC researchers as top strengths among working conditions.

The weaknesses identified by researchers are related with Acces to career advice (7.22 out of 10) and Teaching (6.59 out of 10).

Training and development*



Strengths and Weaknesses (Initial Phase)

Strengths and Weaknesses (Interim Assessment)

Strengths and Weaknesses (Award Renewal, max 500 words) *

A significant investment has been made in researcher development with the implementation of two projects focused on developing innovation capacity and increasing the competitiveness in research-development and the impact of research excellence at UAIC. The projects are delivered collaboratively by internal and external specialists, offering a tailored suite of workshops, courses, events and resources to researchers. The programme complements the technical and discipline-specific training that researchers receive at department level, focusing on wider transferable skills like project funding and management, patent and intellectual property rights, technology transfer, and research communication.

Mobilities are a valuable contribution to the professional development of our academics and professionals. UAIC UM seeks to continuously expand the available mobility opportunities for its community, via its active participation in university networks and associations (see e.g. the Coimbra Group, EUA – European University Association, Utrecht Network, International Association of Universities, University Agency of Francophony) and European funding programmes (e.g. ERASMUS+; European Universities - EC2U).

The Office for the Management of Research Activities continuously collects information on training, courses, webinars on the development of transversal skills, which it provides to the academic community via email and through a dedicated web page (<https://www.uaic.ro/cercetare-training-webinar/> (<https://www.uaic.ro/cercetare-training-webinar/>)).

More emphasis needs to be placed on the advisory in the academic career development, especially for postdocs and early-stage researchers, and on the employability of PhD candidates. Also, the senior researchers would benefit more on personalized orientation which would support their multiple roles as supervisors and research managers. One important challenge for the future is to strengthen the cooperation between the faculties and the doctoral schools

Researchers have found it challenging to apply for international research funding. Even though researchers have been supported by the Office for the Management of Research Activities through the complexity of funding terms and requirements, more intensive support on applying international competed research funding is needed to provide.

Remarks (max 500 words)

The Carter & Code Survey carried out in 2022 reveals that Continuing professional development (9.53 out of 10) and Supervision and managerial duties (8.40 out of 10) are ranked by UAIC researchers as top strengths among training and development aspects.

The weaknesses identified by researchers are related with Access to research training and continuous development (7.85 out of 10) and Supervision (7.39 out of 10).

Have any of the priorities for the short- and medium term changed? (max 500 words)

There are no priorities for the short- and medium term that have been changed.

Have any of the circumstances in which your organisation operates, changed and as such have had an impact on your HR strategy? (max 500 words)

There are no significant issues that had impacted UAIC HR strategy.

Are any strategic decisions under way that may influence the action plan? (max 500 words)

At this momemnt there are no strategic decisions under way that may influence the action plan.

3. Actions

Please consult 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 as well as the status of the indicators. If any actions have been altered or omitted, please provide a commentary for each action. You can also add new objectives.

Note: Choose one or more of the principles automatically retrieved from the GAP Analysis with their implementation ratings.

Proposed ACTIONS

Action 1	GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
Audit of evaluation/appraisal system for researchers	11. Evaluation/appraisal systems	2024/Q2	Human Resources Department; The Institute of Interdisciplinary Research	Evaluation criteria for researchers
	Current Status	Remarks		
	IN PROGRESS	Re-check criteria for evaluation/appraisal system for researchers (other than minimal national standards) to meet the C&C + OTM-R principles.		

Proposed ACTIONS

Action 2

Development of an evaluation online platform

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
11. Evaluation/appraisal systems 16. Judging merit (Code)	2024/Q4	Scientific Research Activities Management Service (SMACS); Department heads; Faculties heads	Researchers' activity results online platform
Current Status	Remarks		
EXTENDED	The development of an online platform for reporting research results is necessary to ensure the efficiency and transparency of the evaluation process.		

Proposed ACTIONS

Action 3

Update data management and cybersecurity policy

GAP Principle(s)

Timing (at least by year's quarter/semester)

Responsible Unit

Indicator(s) / Target(s)

4. Professional attitude

7. Good practice in research

2023/Q4

Digital Communications, Statistics and Informatization Service

Data management and cybersecurity policy

Current Status

Remarks

NEW

Data management and cybersecurity policy updated and disseminated among researchers

Proposed ACTIONS

Action 4

Improve selection advertising to facilitate international job seekers.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
14. Selection (Code)	2024/Q1	Human Resources Department	Academic positions of assistant professor and lecturer will be advertised both in Romanian and English.
Current Status	Remarks		
NEW	Academic positions of assistant professor and lecturer will be advertised both in Romanian and English as well in order to facilitate international job seekers		

Proposed ACTIONS

Action 5

Improving judging merit system through capitalization of the whole candidate / researcher experience

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
16. Judging merit (Code)			
17. Variations in the chronological order of CVs (Code)	2024/Q3	Human Resources Department	Evaluation criteria for admission and for periodical evaluation of researchers
18. Recognition of mobility experience (Code)			
19. Recognition of qualifications (Code)			

Current Status

Remarks

EXTENDED

Development of evaluation criteria (other than minimal national standards) to meet the C&C + OTM-R principles in order to put more value on creativity, mobility, multidimensional careers and micro-qualifications

Proposed ACTIONS

Action 6

Improving the research infrastructure (quantitatively and qualitatively)

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
23. Research environment 24. Working conditions	Q4 2023, Q4 2024	Faculties/Institute	Number of research platforms Number of research centers Value of investments in research infrastructures (EUR)
Current Status	Remarks		
IN PROGRESS	This a continuous process		

Proposed ACTIONS

Action 7

Stimulate participation in European projects, including structural and national funds

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
23. Research environment	Q4 2023, Q4 2024	Scientific Research Activities Management Service (SMACS); Department heads; Faculty heads	Number or project proposals submitted Number of projects financed Value of project financed (EUR)
26. Funding and salaries			
Current Status	Remarks		
IN PROGRESS	This a continuous process. Informations regarding funding opportunities are available through UAIC's website and periodical newsletters. The Department for Research and Project Management is responsible to inform academic staff of the active scientific research programmes, the calendar of actions, call for proposals, etc.		

Proposed ACTIONS

Action 8

Oversee to maintain a balance for gender representation at all organizational levels through measures to ensure equal opportunities for men and women, without ignoring the quality and competency principles.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
27. Gender balance	Q3, 2022	University Administrative Board	Procedure for maintaining a balance for gender representation
Current Status	Remarks		
COMPLETED	Gender Equality Plan		

Proposed ACTIONS

Action 9

Drawing up a strategy for career planning for researchers and teaching staff

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
28. Career development	2024/Q1	University Administrative Board; Human Resources Department	Strategy for career planning for researchers and teaching staff
30. Access to career advice			
38. Continuing Professional Development			
39. Access to research training and continuous development			
Current Status	Remarks		
EXTENDED	Create a procedure to guide employees during academic path, with specific approaches for each career level and type of contract		

Proposed ACTIONS

Action 10

Audit of teaching loading

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
24. Working conditions	2023/Q3	University Administrative Board; Human Resources Department	Strategy for teaching and research workload
33. Teaching			

Current Status

Remarks

EXTENDED

The University Administrative Board and Human Resources Department will start to review the current norm hour system and will draft a strategy in order to reduce the teaching load and to ensure that these duties are adequately remunerated and correlated with student numbers

Proposed ACTIONS

Action 11

Drawing up a procedure for communicating complaints about working conditions, hierarchical relations.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
34. Complains/ appeals	2025/Q1	Human Resources Department	Procedure for complaints

Current Status	Remarks
IN PROGRESS	Drawing up a procedure for communicating complaints and improving working conditions. This procedure will also include references to a Concern & Complains Point and an Ombudsperson

Proposed ACTIONS

Action 12

Drawing up a procedure for supervision of researchers.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
40. Supervision	2024/Q3	University Administrative Board	Procedure for supervision of researchers

Current Status

Remarks

IN PROGRESS

Formalize supervision for teaching & research staff. PhD and post-PhD students benefit from supervision mechanisms and supervisors, whereas for teaching & research staff there is no formal supervision procedure.

Proposed ACTIONS

Action 13

Developing a mentoring programme.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
37. Supervision and managerial duties			
38. Continuing Professional Development	2024/Q4	Human Resources Department	Mentoring programme policy
40. Supervision			

Current Status	Remarks
NEW	Developing a mentoring programme for specific target groups across faculties and service departments. Researcher mentoring program will aim to pair experienced researchers (as mentors) with colleagues at an earlier career stage (as mentees), to provide guidance, specific skills and knowledge that will enhance the mentee's career and personal growth.

Proposed ACTIONS

Action 14

Training on supervisory skills.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
39. Access to research training and continuous development	2024/Q1	Human Resources Department	Training on supervisory skills programme
40. Supervision			
Current Status	Remarks		
NEW	Training on supervisory skills and support for researchers entering supervisory positions. Offering to supervisors (including new Deans, Department Directors, Principal Investigators, PhD Coordinators, managers etc.) supervision training and correct tooling and skills to enhance the career development of their staff.		

Proposed ACTIONS

Action 15

Enhance the support for PhD students and postdoctoral researchers.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
36. Relation with supervisors			PhD students and postdoctoral support programme.
39. Access to research training and continuous development	2024/Q1	Doctoral schools	
40. Supervision			

Current Status	Remarks
NEW	Enhance the support to PhD students and clearly define the responsibilities between the doctoral schools, the faculty and the supervisor. Develop workshops for PhD coordinators to help them provide good supervision to their PhD students throughout their doctoral programmes.

Unselected principles:

- 1. Research freedom 2. Ethical principles 3. Professional responsibility 5. Contractual and legal obligations 6. Accountability
- 8. Dissemination, exploitation of results 9. Public engagement 10. Non discrimination 12. Recruitment 13. Recruitment (Code)
- 15. Transparency (Code) 20. Seniority (Code) 21. Postdoctoral appointments (Code) 22. Recognition of the profession

25. Stability and permanence of employment 29. Value of mobility 31. Intellectual Property Rights 32. Co-authorship
35. Participation in decision-making bodies

The extended version of the reviewed HR Strategy for your organisation for the next 3 years, including the OTM-R policy must be published on your organisation's website.

Please provide the link to the dedicated webpage(s) on your organisation's web site *:

URL *:

<https://www.uaic.ro/cercetare/carta-europeana-cercetatorului-si-codul-de-conduita-pentru-recrutarea-cercetatorilor/>
(<https://www.uaic.ro/cercetare/carta-europeana-cercetatorului-si-codul-de-conduita-pentru-recrutarea-cercetatorilor/>)

If your organisation has already filled in the OTM-R checklist in the Initial Phase, please also indicate how your organisation is working towards / has developed an Open, Transparent and Merit-Based Recruitment Policy. Although there may be some overlap with a range of actions listed above in the action plan (as emerged from the Gap Analysis), please provide a short commentary demonstrating the progress of the implementation versus the initial phase.

Comments on the implementation of the OTM-R principles (Initial Phase)

Comments on the implementation of the OTM-R principles (Internal Review for Interim Assessment)

Comments on the implementation of the OTM-R principles (Internal Review for Award Renewal)

UAIC carefully monitors compliance with the recommendations and principles of OTM-R of the internal recruitment policies. Our university has been applying OTM-R-like principles in recruitment and selection, so the OTM-R principles have not been a major change for UAIC.

Still, the implementation of C&C and OTM-R has provided the opportunity of making thorough internal analyses (2012, 2017, 2022), which can only be useful for determining the future actions that we need to take in order to evolve at organizational level. The result is the HR Strategy of UAIC, established in line with our strategic and operational plans, as well as with C&C and OTM-R principles.

All existing recruitment guidelines and policies are conveniently available on the university website. All documents, from national legislation to internal procedures, from the position announcement to the final results, are gathered in the same web page.
<https://www.uaic.ro/angajariaic/> (<https://www.uaic.ro/angajariaic/>)

Please be aware that your OTM-R policy should be 'embedded' into the institutional HR strategy at the award renewal phase. The extended version of the reviewed HR strategy including the OTM-R policy and actions should be published on your organisation's website.

4. Implementation

General overview of the implementation process: (max. 1000 words)

The HR strategy of UAIC reflects its orientation towards ethical principles, transparent processes (recruitment and selection included), improving working conditions and facilitating training and development for all employees, researchers in particular. The internal review was conducted three times (2012, 2017, 2022) and the entire academic community was invited to take part. A Charter & Code survey was design back in 2011 and used every time in order to evaluate the dynamics of employees' perception of the degree of implementation in the university of the C & C principles.

The steering committee has been active since 2011, after the letter of commitment was submitted. It has been conducted by the Vice-Rector for scientific research and knowledge transfer programs and supported by the Human Resources Director, by the Scientific Research Activities Management Service (SMACS), as well as by specialists in the field. The committee meets regularly and, given the extent of activities involved, we can envision extending the committee to more members in order to support implementation. In June 2022, funding was obtained from the Ministry of Education for an 18-month project that aims to support the current internal review and the implementation process and to increase the degree of awareness of the C & C principles in the university.

The HR strategy of UAIC is fully in line with the organizational strategic plan and operational plan and The Charter, The Code and OTM-R are referred to in the HR strategy as guiding lines.

The community has been regularly informed about the principles of the C & C and OTM-R and will continue to be informed (online or through training sessions). Each researcher will be involved in the implementation phase as overall results come from individual small wins. Also, they are the ones who will be able to signal is a certain principle is not met, which will allow room for analysis.

The implementation of C&C is an action included annually in the UAIC OPERATIONAL PLAN for the Vice-Rectorate for scientific research and knowledge transfer programs.

The steering committee, with support from the University Administrative Board, is overseeing the process and reports if some of the actions are not in line with the schedule. Actions that need to be taken are approved by the University Administrative Board.

UAIC will create a monitoring system for the principles included the in the C&C and in OTM-R in order to have a clearer view on the overall process, as well as to identify areas for improvement.

UAIC will continue the implementation of the action plan and will deliver any documents required by the European Commission in order to provide a clearer view on the current situation on implementation at UAIC.

Make sure you also cover all the aspects highlighted in the checklist, which you will need to describe in detail:

Note:Click on each question of the checklist to open the editor.

How have you prepared the internal review?*



Detailed description and duly justification (max. 500 words)

A Charter & Code questionnaire was developed in 2011. The questionnaire is composed of the operationalization of the 40 principles that form the Charter and the Code. This questionnaire was used in the internal analysis – C & C survey - in 2012, in 2017 and in 2022.

For the present internal review, the C & C Survey questionnaire was distributed online in March 2022 to all researchers and teaching staff of the university. 206 researchers answered the questionnaire. The steering committee analyzed the results of the questionnaire. The analysis concerned both the current assessment and a transversal perspective by comparing the results of previous studies. Furthermore, the results were analyzed by the vice-rector for scientific research programs and knowledge transfer and an action plan emerged from the findings and from the UAIC's HR strategy. The proposed action plan also aims to address the principles that have performed less well in C & C Survey.

In order to support the current internal review and the implementation process a project proposal was submitted to the Romanian Ministry of Education. In June 2022, funding was obtained from the Ministry of Education for an 18-month project that aims to support the current internal review and the implementation process and to increase the degree of awareness of the C & C principles in the university.

How have you involved the research community, your main stakeholders, in the implementation process?*



Detailed description and duly justification (max. 500 words)

At UAIC all strategic lines, all policy and procedures, including HR Strategy, have an action holder from the higher management level (Rector, Vice-Rectors, University Administrative Board, Deans, Head of Departments and so on) depending on the issue and level of complexity. Moreover, the University Senate – representing the academic community - is consulted regularly and decides on the strategic lines of the university.

The HSR4R steering committee, managed by the Vice-Rector for scientific research and knowledge transfer programs, and supported by the Human Resources Director and by the Office for Management of Research Activities (SMACS) is overseeing the implementation process.

In general, the UAIC academic and research community participate actively in the process of initiation, amendment and adoption of all procedures in the university. The academic and research community is involved in a variety of ways in the HSR4R implementation process: from creating input (through various forms of consultations) for developing new policies to the recipient of actions to raise awareness of the importance of the principles of the Charter and the Code.

Do you have an implementation committee and/or steering group regularly overseeing progress?*



Detailed description and duly justification (max. 500 words)

The HSR4R steering committee has been active since 2011. It has been conducted by the Vice-Rector for scientific research and knowledge transfer programs. The steering committee was composed of two teaching staff (a specialist in human resources and a sociologist), the head of Scientific Research Activities Management Service (SMACS) and the Director of the Human resources Department. From July 2022 the steering committee was extended with new members: it is still conducted by the Vice-Rector for scientific research and knowledge transfer programs, coordinator of the Office for management of Research activities, four teaching and research staff who are responsible for the four thematic areas (Ethical and Professional aspects; Recruitment, Working conditions and social security and Training) and a representative from Human Resources Service.

The committee meets regularly, quarterly or as often as needed, including within the framework of a project that aims to support the HRS4R in the university.

Is there any alignment of organisational policies with the HRS4R? For example, is the HRS4R recognized in the organisation's research strategy, overarching HR policy

*



Detailed description and duly justification (max. 500 words)

The HR strategy of UAIC is fully in line with the organizational strategic plan and operational plan and The Charter, The Code and OTM-R are referred to in the HR strategy as guiding lines. The HRS4R is embedded in the University strategic plan.

Though HRS4R is not specifically named as such in all University documents which have to do with Ethical and Professional aspects; Recruitment, Working conditions and social security and Training, the principles of The Charter, The Code and OTM-R are firmly included and observed.

How has your organisation ensured that the proposed actions would be also implemented?*



Detailed description and duly justification (max. 500 words)

Once the HSR4R process is assumed by the University management (Rector, Vice-Rectors, University Administrative Board, Senate), the activities are implemented. The HSR4R steering committee is overseeing the implementation process of different actions. The HSR4R steering committee will request regular updates from the different responsible units.

The implementation of the activities presented in the Action Plan will be certified and their progress monitored by the amended documents coherent with the C&C, and also by the HSR4R steering committee.

How are you monitoring progress (timeline)?*



Detailed description and duly justification (max. 500 words)

The HSR4R steering committee will monitor the implementation process of different actions through regular updates requests from the different responsible units. In turn, the HSR4R steering committee will be regular reporting the progress to the Vice-Rector for scientific research and knowledge transfer programs and / or to the University Administrative Board.

How will you measure progress (indicators) in view of the next assessment?*



Detailed description and duly justification (max. 500 words)

The indicators and targets are described in action plan. The HSR4R steering committee will monitor the progress through indicators and targets described in action plan and through a new C & C survey.

How do you expect to prepare for the external review?*



Detailed description and duly justification (max. 500 words)

The HSR4R steering committee will organize the site visit. It will make arrangements for meetings with representatives of the university management, with key stakeholders involved in the implementation of the HR Strategy and policies and with representatives of the academic community. The HSR4R steering committee will accompany the experts throughout the site visit and will deliver any documents required in order to provide a clearer view on the current situation on implementation of the HRS4R at UAIC.

There is national funded project that aims to support the HRS4R in the university and which has a distinct activity regarding the site visit.

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