

TEMPLATE 2: HR STRATEGY - ACTION PLAN

Name of the Organisation under review: Babeş–Bolyai University (Universitatea Babeş-Bolyai din Cluj-Napoca - UBB)

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Web link to published version of organisation's HR Strategy and Action Plan:

<http://cercetare.ubbcluj.ro/en/human-resouces-strategy-for-researchers/>

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1. ORGANISATIONAL INFORMATION

Please provide a limited number of 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	206 full-time equivalent (and + 1183 PhD students)
Of whom are international (i.e. foreign nationality)	9 of the above mentioned 206
Of whom are externally funded (i.e. for whom the organisation is host organisation)	7 of the above mentioned 206
Of whom are women	135 of the above mentioned 206
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	44 of the above mentioned 206
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	89 of the above mentioned 206
Stage R1 = in most organisations corresponding with doctoral level	December 2016 1183 active doctoral students
Total number of students (if relevant)	October 2016: 29914 bachelors 7788 master 1283 doctoral 358 further development + conversion
Total number of staff (including management, administrative, teaching and research staff)	3108 (+96 full time equivalent adjuncts)
RESEARCH FUNDING (figures for most recent fiscal year)	€

<i>Total annual organisational budget</i>	<i>99 231 988 EUR</i>
<i>Annual organisational direct government funding (designated for research)</i>	<i>2 993 583 EUR</i>
<i>Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)</i>	<i>17 046 272 EUR</i>
<i>Annual funding from private, non-government sources, designated for research</i>	<i>396 748 EUR</i>
ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)	
<p>UBB is a public research-intensive, comprehensive, and multicultural university, located in Cluj-Napoca, Romania. It is the oldest (its academic tradition can be traced back in 1581), the largest, and one of the most prestigious Romanian universities. UBB is ranked as the best Romanian university, both in the national metaranking of the Ministry of Education and Research (2016) and in the metaranking of the Ad-Astra Association of Romanian Researchers (2017), and a constant presence in international rankings (e.g., the first Romanian university in Times Higher Education, US-News, ARWU/Shanghai Ranking, Leiden Ranking, CWUR, Nature Index, Webometric).</p>	

2. NARRATIVE (MAX. 2 PAGES)

Please provide an overview of the organisation in terms of the current strengths and weaknesses of the current policy and practice under the four thematic headings of the Charter and Code at your organization.

UBB's activity is governed by the applicable national legislation (e.g., The National Law on Education – no. 1/2011, the Law no. 319/2003 regarding the Status of employees working in research and development, other applicable laws, minister's orders, etc.) and by different institutional provisions included in the University Charter, the Ethical Code, other codes/strategies/regulations, and the decisions made by the Governing Board and-or by the university Senate. At institutional level, when it comes to ethics, recruitment, working conditions and training & development, most of the regulations targeting specifically the researchers are part of the more general regulations targeting all academic staff in the same documents, with a few exceptions (e.g., UBB Strategy for Research, Development, and Innovation – 2016-2020).

For the purpose of this initiative, between November 17 and 22, 2017, a survey was conducted in UBB regarding research. The online questionnaire contained 32 items, out of which 24 assertions concerning aspects of the research activity, and 3 were open questions. The sample consisted of 140 respondents, 34,3% academics, 20,0% researchers and 32,9% doctoral students. The results of the survey reveal that the subjects believe that the aspects outlined in the European Researchers Charter and in the Code of Conduct for Researchers Recruitment are generally implemented at an average level. They are of the opinion that the best-represented aspects are those relating to equal opportunities for women and men in the recruitment for research positions, the flexibility of the work schedule, the accessibility of information regarding the recruitment process, and the freedom to propose research topics and carry out the research. Issues considered as requiring extra attention are those regarding salary income, access to career counselling services within the institution, material resources and appropriate conditions for conducting research.

Ethical and Professional Aspects

The University's Ethical Code includes provisions governing research freedom (Art.3 & 4), ethical principles (Art. 2), professional responsibility (Art. 21 (a), (b), (c); Art. 22; Art. 26; Art. 27), contractual and legal obligations (Art. 40 (1), (2)), accountability (Art.21 (d), (e), (f)) and non-discrimination (Art.33 (a); Art. 38; Art. 39). Also, UBB's Strategy for Research, Development, and Innovation - 2016-2010 includes provisions about Ethical and Professional Aspects.

All and any complains and appeals can be addressed to the Ethics Committee. Based on the institution's Ethical Code and the additional applicable decisions, the Ethics Committee makes a decision and communicates it to all stakeholders.

Intellectual property rights and co-authorship are governed by the UBB policy regarding intellectual property rights – Senate’s Decision no. 5707/2017 and by the Ethical Code, alongside three other internal decisions and two applicable national laws.

Recruitment and Selection – Open, Transparent, and Merit-Based Recruitment

UBB’s Strategy for Research, Development, and Innovation - 2016-2010 (i.e., UBB Research Strategy) includes provisions about the dissemination and exploitation of research results.

The recruitment and selection process is governed by a methodology, which is applied throughout the university, with all positions advertised (regardless their fixed term or permanent status). This includes National Law on Education (no. 1/2011), Law no. 319/2003 regarding the Status of employees working in research and development, Government Decision no. 457 regarding the Framework for recruitment and hiring for teaching and research positions, Decision no. 13506, Order no. 6129/2016 and a Methodology, the latter three documents applicable at institutional level. All the afore-mentioned documents include provisions regarding recruitment, selection, transparency, judging merit and recognition. Aspects regarding variations in the chronological order of CVs and recognition of mobility experience and qualifications and seniority are not covered by these documents, so we plan to address them in the internal documents to be produced. Nevertheless, these documents include broad provisions applicable for all hired teaching and research staff; thus the specific requirements regarding researchers are only partially implemented.

Gender balance has not been fully/explicitly considered a formal regulation so far, neither at national, nor at institutional level. However, equality of opportunity for both genders is strongly encouraged for all employee categories, including the managerial and decision-making levels. At this time, there is no formal policy regarding gender-based equal chances during recruitment and during all stages of a career. However, one of the priorities for the next year is to elaborate and develop a gender-informed strategy both in terms of recruiting valuable researchers and assuring them equal work conditions. At this stage the majority of research staff at UBB are women (see Section 1, above).

Working Conditions and Social Security

The collective labour agreement also includes provisions regarding the contractual and legal obligations of all employees (researchers included) alongside good practices in research and non-discrimination.

Provisions regarding working conditions and social security of researchers are currently included in several documents, national legislation and internal, institutional decisions. For example, provisions regarding the recognition of the profession are found in the Ethical Code (Art. 32 (a)), in the Collective Labour Agreement, in Law no. 319/2003 (Art. 6, 7, 8), the Decision of the Governing Board no. 4602/2017 (the Status of the Researcher) and in the Senate’s Decision no. 5717/2017. Some provisions of the Ethical Code also apply to the research environment (Art. 7(1)), alongside the GB Decision no. 17020/2017 regarding the stimulation of research/competitiveness and excellence in UBB, and two more pieces of national legislation. However, due to the high degree of unpredictability of national funding, UBB has encountered several setbacks in ensuring the equipment and facilities required for the best research performance possible. The working conditions for researchers have recently been addressed – the university has started implementing a flexible career path system (it started being piloted in the academic year 2016 – 2017). Moreover, the collective labour agreement allows for flexible working hours. Furthermore, several internal and public institutional documents include provisions regarding the researchers’ expected professional attitude. However, UBB still has to improve and universalize the access conditions offered for disabled researchers.

Stability and permanence of employment are ensured by Law (National Labour Code) and also through decisions at institutional level (Senate’s Decision no. 5717 regarding the status of researchers hired for a permanent position). The same is applicable for funding and salaries (Law no 153/2017 regarding the staff paid from public funding, Government Decision no. 583/2015 for approving the National Research-Development-Innovation Plan for 2015 – 2020, GD no. 327/2003 regarding the capping based on which direct salary costs are calculated for contracts funded from the budget).

Institutional regulations provide evaluation schemes – moreover, the job description (which is a mandatory legal annex to the labour agreement as per Romanian legislation) includes a clear list of tasks and responsibilities. UBB’s Scientific Council also ensures research predictability by applying a public set of pre-defined criteria for evaluating institutionally funded research grants.

Training and Development

In what concerns the researchers’ career development, UBB is currently working on a new Human Resources Strategy, which will also include a strategy for career progress for all types of researchers.

The access to career advice is currently available mainly to doctoral students. UBB has a unit offering career counselling and assistance during the job-application process (CCARMA), which is oriented only towards the students. Furthermore, there are two more centres within the university – the PSY-TECH Clinic and the Expert centre - which offer various types of counselling for both students and employees of the university. Academics and researchers also offer, upon request, individual career counselling (this latter is scheduled to be implemented as a duty in the job descriptions).

UBB’s Charter identifies the decision-making bodies and processes researchers can be a part of. The collective labour agreement includes provisions regarding the continuous professional training of the employees (Ch. VII, Art. 72).

The value of mobility is fully recognised, as stipulated in the national legislation. Many scholarship programmes involve mobility for professional development, including research. UBB’s Charter includes provisions regarding a sabbatical year, while the institutional evaluation procedures reward research stages abroad and external collaborations.

There are clear rules and processes implemented for appointment of early career researchers (who obtained their PhD within the previous five years). Most such appointments are for fixed duration, but there have been many cases of post-doctoral researchers who moved on to a permanent teaching/research position within the institution.

Teaching of students by researchers has been recently encouraged through a GB decision (no. 4602/2017) regarding full-time researchers whose salaries are paid for by the faculties.

Supervision mainly takes place within the research grants and mainly informally – supervised/mentored research (or mediated through other types of activities, such as meetings, group presentations, etc.). The supervision and managerial duties of researchers are detailed in their individual job descriptions, but there are no institutional-level regulations regarding this aspect.

UBB constantly organises research training and continuous development events, with opportunities to attend being extended to the researchers. Last but not least, institutional provisions make sure that early stage researchers know clearly to whom they can refer for the performance of their professional duties and for being adequately informed.

3. ACTIONS

Please provide a list of all actions to be undertaken in this HR strategy. The list must be accompanied by an extended version in which the actions are described in more detail. The overview must contain at least the following headings: Title action – timing – Responsible Unit – Indicator(s) / Target(s).

<i>Title action</i>	<i>Timing (at least by year’s quarter/semester)</i>	<i>Responsible Unit</i>	<i>Indicator(s) / Target(s)</i>
<i>1. Drafting of the Human Resources (HR) Strategy for Researchers, which will include/follow the provisions of the European Charter and Code for Researchers</i>			<i>1 HR Strategy* for Researchers</i>

1.1. Drafting	Month 1 – Month 6	Scientific Council (SC), Vice-rector for research	1 Draft of the HR Strategy* for Researchers
1.2. Consultation of UBB research community	Month 7 – Month 9	Centre for Research Management (CRM), SC	1 Report A minimum of 50% individuals consulted
1.3. Adoption	Month 9	Governing Board (GB)	Adoption minutes
1.4. Dissemination	Starting with Month 10	SC	number of emails sent (target of 3 rounds of e-mails) number of explanatory texts published on UBB's dedicated webpage
1.4 Implementation	Starting with Month 10	CRM	1 HR Strategy* for Researchers published online
2. Drafting of the Ethical Code of the Researchers OR addition of a section regarding research to the current Ethical Code, which will include/follow the provisions of the European Charter and Code for Researchers			1 Ethical Code of the Researchers OR one section regarding research in the current Ethical Code
2.1. Drafting	Month 1 – Month 6	SC Ethical Committee	1 Ethical Code of the Researchers OR one section regarding research in the current Ethical Code
2.2. Consultation of UBB research community	Month 7 – Month 9	SC	percentage of individuals consulted (minimum of 50% of the staff)
2.3. Adoption	Month 9	GB	adoption minutes
2.4 Dissemination	Starting with Month 10	SC Ethical Committee	6 dissemination sessions regarding the new provisions
3. Improving exploitation of research results			
3.1. Analysis of the efficiency of research programmes from the point of view of scientific publications and of knowledge transfer towards society	Month 1 – Month 12	CRM, SC, Office for Technological Transfer (OTT)	1 Analysis report disseminated within the University
3.2. Drafting a set of measures for increasing the impact of research activity carried out within UBB	Month 13 – Month 15	SC, Vice-rector for research	1 Set of measures, based on the planned HR Strategy* for Researchers and the existing UBB Research Strategy
3.3. Adoption of the set of measures under 3.2.	Month 16	GB	adoption minutes
3.4. Implementation and monitoring of the adopted measures	Starting with Month 17	Vice-rector for research, CRM, OTT, SC, Deans	every three months- periodical monitoring of the impact of the adopted measures, in terms of output: number of scientific publications, direct citations, citations in patents, number of patents, number of spin-off companies, number of start-ups, etc.
4. Drafting of a monitoring mechanism for aspects regarding research ethics			1 Internal set of practices and procedures regarding research

			<i>ethics, based on the planned Ethical Code of the Researchers</i>
4.1. Drafting	Month 10 - 11	SC, Ethics Committee	<i>number of regular (bi-monthly) meetings of SC and Ethics Committee</i>
4.2. Adoption	Month 12	GB	<i>adoption minutes</i>
4.3. Piloting	Month 13 - 15	CRM, SC	<i>1 piloting report</i>
4.4. Dissemination	Month 16	CRM, SC	<i>email messages sent to all stakeholders (minimum of 50% of the stakeholders informed) number of dissemination sessions organised</i>
4.5. Implementation	Starting with Month 17	CRM, SC	<i>number of monitored cases (every three months)</i>
5. Adding to the internal set of practices and procedures regarding OMT-R recruitment, in accordance to the European Charter & Code for Researchers			<i>1 Set of internal, specific practices and procedures regarding OMT-R recruitment of researchers, based on the planned HR Strategy* for Researchers and the exiting UBB Research Strategy</i>
5.1. Elaboration of procedures regarding OMT-R recruitment of researchers	Month 1 – Month 6	SC, Human Resources Department (HR), Vice-rector for research	<i>number of distinct procedures changes/elaborated</i>
5.2. Adoption	Month 9	GB	<i>adoption minutes</i>
5.3. Piloting	Starting with Month 10	CRM, HR	<i>1 piloting report</i>
5.4. Implementation of practices for OMT-R recruitment of researchers	Starting with Month 13	CRM, HR, Vice-rector for research	<i>the official decision of the GB regarding the implementation of the measures proposed</i>
6. Quality Assurance of researchers recruitment process according to OMT-R			
6.1. Determining the indicators regarding the applicants' professional quality	Month 1 – Month 2	CRM, SC	<i>1 Set of indicators used for the evaluation of applicants' professional quality, based on the planned HR Strategy* for Researchers and the existing UBB Research Strategy</i>
6.2. Publishing on Euraxess of all open research positions	Permanently	CRM	<i>number of positions published / year</i>
6.3. Using as many instruments as possible for promoting open research positions	Permanently	CRM, HR	<i>list of instruments used</i>
6.4. Collecting statistical data regarding the applicants	Permanently	CRM, HR	<i>1 database for data collection 1 Statistical report (Month 22)</i>
6.5. Minimizing the bureaucratic aspects connecting to recruitment of candidates	Permanently	CRM, HR	<i>list of bureaucratic procedures simplified or eliminated (once per year) , based on an internal analysis of the existing procedures</i>
7. Drafting of a mechanism for monitoring and evaluation of efficiency of the Researchers' Recruitment Strategy			

7.1. Drafting the monitoring and evaluation procedures	Month 1 – Month 3	CRM, SC, HR, Vice-rector for Research	1 Set of procedures for the monitoring and evaluation of the OMT-R strategy, based on the planned HR Strategy* for Researchers and the existing UBB Research Strategy
7.2. Adoption	Month 4	GB	adoption minutes
7.3. Piloting	Month 5 – Month 6	CRM, HR	1 piloting report
7.4. Implementation	Starting with Month 6	CRM, CS, HR	1 Set of final procedures for the monitoring and evaluation of the OMT-R strategy, based on the planned HR Strategy* for Researchers and the existing UBB Research Strategy
8. Drafting of a mechanism for monitoring and development of researchers' professional career			
8.1. Drafting of a set of criteria and standards regarding researchers' career development	Month 9 – Month 12	SC, Vice-rector for Research	1 set of criteria and standards, based on the planned HR Strategy* for Researchers and the existing UBB Research Strategy
8.2. Formalizing the supervision activity of young researchers	Month 9	CRM, HR	Administrative formalisation of supervision duties (inclusion in job description OR assigning a specific number of hours per month), based on the planned HR Strategy* for Researchers and the existing UBB Research Strategy
8.3. Drafting of a coherent system of supporting career development	Starting with Month 10	SC, CCARMA, Psy-Tech, Expert Center, HR	Adopted and implemented actions regarding career development support, based on the planned HR Strategy* for Researchers and the existing UBB Research Strategy
9. Drafting of a mechanism for evaluating the efficiency of using the resources allocated for researchers' training and development			
9.1. Drafting of a set of indicators for evaluating resources' efficiency	Month 6 – Month 10	SC, Vice-rector for research	1 Set of indicators, based on the planned HR Strategy* for Researchers and the existing UBB Research Strategy
9.2. Carrying out an analysis regarding the efficiency of using the resources allocated for researchers' training and development	Month 11– Month 15	SC, Vice-rector for research	1 Report regarding the efficiency of using the resources allocated for researchers' training and development, based on the planned HR Strategy* for Researchers and the existing UBB Research Strategy
10. Designation of a structure responsible with the recruitment, monitoring and evaluation of the activity of postdoctoral resources			
10.1. Identification OR Establishing of a structure	Month 1 – Month 3	SC, Vice-rector for Research	1 Structure, based on the planned HR Strategy* for Researchers and the existing UBB Research Strategy

<p>10.2. Drafting of regulation and of a set of applicable procedures</p>	<p>Month 4 – Month 6</p>	<p>SC, Vice-rector for research, CRM</p>	<p>1 Regulation, based on the planned HR Strategy* for Researchers and the existing UBB Research Strategy 1 Set of procedures and specific provisions, based on the planned HR Strategy* for researchers and the existing UBB Research Strategy</p>
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* The HR Strategy for Researchers will be an administrative document based on the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers.

As the establishment of an Open Recruitment Policy is a key element in the HRS4R strategy, please also indicate how your organisation will use the Open, Transparent and Merit-Based Recruitment Toolkit and how you intend to implement/are implementing the principles of Open, Transparent and Merit-Based Recruitment. Although there may be some overlap with a range of actions listed above, please provide a short commentary demonstrating this implementation.

If your organisation already has a recruitment strategy which implements the principles of Open, Transparent and Merit-Based Recruitment, please also list the web link where this strategy can be found

Actions addressing the implementation of Open, Transparent, Merit-Based Recruitment principles:

Our university is strongly committed to use the Open, Transparent, and Merit-Based Recruitment Toolkit (OMT-R Toolkit) for several purposes (most of the components are already used in UBB). First, we will use the principles and guidelines included in the Toolkit to make sure that we implement all the components, both in the “spirit” of the toolkit as well as in the “letter” of the toolkit. Then, we will use the checklist both as a self-assessment tool and as a benchmarking tool, namely we will use it not only to assess progress, but also to make sure that progress is made in the right direction.

The step by step guide will be used as reference, and will be used to the greatest extent possible (some steps may already be implemented and some might not be possible to be implemented because of the applicable national legislation). The examples of good practices will be used for increasing understanding and clarity of the entire process our university is about to undertake.

4. IMPLEMENTATION (MAX. 1 PAGE)

Please provide an overview of the expected implementation process. You can use the following questions as a guideline in your description:

Through the decision of UBB’s Governing Board of November 6th 2017, a Committee was appointed for overseeing the ‘strengthened’ procedure for the implementation of the Human Resources Strategy for Researchers (HRS4R). Its members are: Prof. Daniel DAVID (coordinator, Vice-rector for research, competitiveness-excellence, and scientific publications), Prof. Rudolf GRAF (Vice-rector in charge of the German line of study, HR, and doctoral studies), Prof. Dan LAZĂR (Vice-rector in charge of Financing, European funding, and IT), and Assoc. Prof. Bálint MARKÓ (Vice-rector in charge of the Hungarian line of study, quality assurance, and university extensions,). Moreover, an extended working group (WG) was established, which has met weekly to fill in the application. The WG consists of managers and employees of centres within the university dealing with research management (Centre for Research Management) and research supervision (The Scientific Council), human resources (the university’s HR Department), university strategies (Centre for University Strategy and Quality Management - CUSQM), IT (The IT and Communication Office), legal aspects (the Legal office), representative of researchers at all levels, representatives of doctoral students, and others. CUSQM gathered all

information required from all university structures and compiled a first version of the application. The application was then discussed and edited by the entire WG and by the Committee. The Committee will continue its activity during the implementation phase (Month 1 – Month 24), overseeing the entire process on a regular basis. The University will make sure that researcher at all career levels will be duly represented and involved in all steps of the process.

The proposed Action Plan is in line with the current research & development policy of our institutions for the period 2016–2020. It has already been debated and adopted in the Governing Board and in the university Senate. This entails that the two bodies will continue to support the implementation process and adopt and implement the decisions required to reach the goal. **The overall logic of the implementation proposed by the Action Plan is to adopt two key strategies – mirroring the *European Charter and Code for Researchers* -, namely the *Human Resources Strategy for Researchers* and the *Ethical Code for Researchers*. Then, following these two documents, specific regulations will be elaborated and implemented.**

According to the specific action proposed to be taken, in the implementation process the university will involve researchers and academics, in order to complete the required analyses and reports, to define and develop the mechanisms proposed, while administrative staff will be involved in the piloting and dissemination stages. The implementation will be regularly monitored by a group appointed by the afore-mentioned Committee. If necessary, the monitoring group will receive the required support from any other units within the university. The Action Plan includes clear deadlines, with clear indicators, which will make monitoring and progress-assessing easier and more transparent.

UBB's Strategy for Research, Development and Innovation 2016-2020 (available in Romanian here: <http://cercetare.ubbcluj.ro/wp-content/uploads/2017/01/Strategia-de-Cercetare-Dezvoltare-Inovare-a-UBB.pdf>) includes several different objectives which overlap to some extent with the HRS4R. Firstly, our university aims to increase internationalisation/transnational networking (and attract more international researchers). Secondly, UBB aims to attract national and international remarkable researchers (while increasing, at the same time, the number and improving stability of R&D staff). Thirdly, the university's R&D units are currently being reorganised in order to create competitive research environments, while avoiding over-bureaucratisation and responsibility-overlapping. Consequently, monitoring the process will mean tracking the progress of the activities against the proposed deadlines, assessing the manner in which data was collected and analysed, whether deadlines were met in a timely manner, identifying and troubleshooting of possible drawbacks/issues, adjusting the methods used in the implementation (if need be) so that they are fit for reaching the desired objectives.

The ones responsible with the implementation and monitoring of the Action Plan will draft short intermediate and final reports (as applicable). The information included in these reports will be used to improve the implementation process. Moreover, these reports will be used as tools in the internal evaluation process, alongside the analysis of its impact on the target group (i.e. the human resource involved in research), which is to be carried out after the implementation period is completed.

All the reports above, as well as the one resulting from the implementation process, will be used as a basis for documenting and supporting the external evaluation process.