

PROGRESS REPORT HRS4R ACTION PLAN - 2021

1. ORGANISATIONAL INFORMATION. *Please provide a limited number of key figures for your organisation. Figures marked * are compulsory.*

STAFF & STUDENTS	FTE
<i>Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research *</i>	320
<i>Of whom are international (i.e. foreign nationality) *</i>	8
<i>Of whom are externally funded (i.e. for whom the organisation is host organisation) *</i>	23
<i>Of whom are women *</i>	204
<i>Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor. *</i>	90
<i>Of whom are stage R2 = in most organisations corresponding with postdoctoral level*</i>	89
<i>Stage R1 = in most organisations corresponding with doctoral level*</i>	November 2020: 1195 active doctoral students
<i>Total number of students (if relevant) *</i>	October 2020: 33.664 bachelors, 9.837 master, 2320 doctoral, 910 further development + conversion
<i>Total number of staff (including management, administrative, teaching and research staff) *</i>	3271
RESEARCH FUNDING (figures for most recent fiscal year)	€
<i>Total annual organisational budget</i>	135.948.000
<i>Annual organisational direct government funding (designated for research)</i>	3.332.500
<i>Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)</i>	17.410.800
<i>Annual funding from private, non-government sources, designated for research</i>	855.900
ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)	
<p>UBB is a world-class, comprehensive, multicultural university organized in three lines of study - Romanian, Hungarian, German - providing courses also in other languages, featuring cultural, scientific, technological and vocational dimensions. The academic activities are carried out in the frame of 22 faculties. The headquarter is in Cluj-Napoca, but UBB has more than 15 campuses all over the country. The 2020-2024 Strategic Plan's primary objective is the further strengthening of the world-class profile of UBB. According to the</p>	

results of the international rankings published in 2020, UBB has maintained its leading position of Romanian universities for the fifth consecutive year.

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.

2.A. Ethical and professional aspects

The strength of the ethical environment in UBB centers on the fact that a new paradigm, focused on prevention, better communication and mediation instead of post-factum sanctioning, became the guiding principle of the activity of ethical bodies within the University.

Therefore, the emphasis is placed on four dimensions:

- (1) A better conveying of the ethical values on which the University bases its activity to the academic community. The Ethical Committee organized a series of dissemination workshops to discuss the key issues arising from the application of the Ethical code and the Anti-Discrimination Guide, the ways of raising ethical issues, and the role of the newly established Ombudsman. Also, the legal rules pertaining to research and teaching ethics were grouped in a [Codex](#) to be easily accessible for all those interested. For students, a user-friendly [PPT](#) with the main rules of avoiding plagiarism, to be used when drafting their final papers or dissertations, is disseminated during the exam periods.
- (2) The investigation of ethical rules is approached from a different perspective: mediation or conciliation is employed when conflicts arise among staff or personnel (the newly established position of University Ombudsman has a prevailing role in this), and only as a last resort does the Ethics Committee conduct a proper sanctioning procedure. The results are already encouraging, some conflicts could be avoided and the parties could be brought to the conciliation table by the Ombudsman.
- (3) Sanctions are applied when serious infringement of ethical rules occur and no alternative satisfactory redress mechanism are available. The committee has also assisted the national ethical organisms ([CEMU](#) for ethical university management and [CNECSDTI](#) for research ethics) to reach decisions in complex cases.
- (4) Implementation of training for internal personnel addressing gender equality issues in the academia based on the newly elaborated Gender Equality Guide (Administrative Council Decision no. [11981/30.09.2021](#)).

Ethical aspects are also largely addressed in the amendment to the Recruitment methodology for open teaching and research positions (Senate decision no. [17911/2020](#)). The current methodology regulates the impartiality criteria of the members of the selection committees more clearly.

Overall, the new paradigm centered on prevention and ADR, coupled with zero tolerance to unethical behaviors is the main strength of the ethical environment at UBB.

As weaknesses, the current under-developed national ethical culture in the Romanian academic environment makes UBB's efforts more difficult; also, historically, UBB, on its turn, had gaps in identifying and sanctioning in an adequate way unethical behavior. Therefore, a certain lag is expected to occur with regards to the effect of internal policies. The culture of identifying and properly reporting unethical behavior is still developing, so the dissemination efforts employed recently are met sometimes with reluctance and distrust due to historic avoidance of dealing with complicated and complex cases. Another weakness is the low availability of internal trainings and courses on different ethical aspects of academic life. In the past few years there have been several such courses launched, but there is a need for regular trainings in order to raise awareness.

Remarks

We want to stress the fact that the outreach efforts of the Ethical Committee and of the Ombudsman have had positive outcomes, as an increased number of members of the UBB community reach out to these two ethical mechanisms for advice or guidance to prevent unethical behaviors. The number of complaints submitted to the ethical committee has also increased, which proves a growing trust in the role of these mechanisms to solve problems.

Overall, we believe this new approach is an improvement and will have more impact on fostering the culture of integrity in UBB.

2.B. Recruitment and selection

Strengths and Weaknesses

Throughout the implementation phase, UBB has focused on filling in the gaps in the existing national framework for the recruitment and selection of researchers. Therefore, in 2020-2021, various procedures and methodologies for the recruitment and selection of researchers have been formalized at the university level. Certain aspects in the recruitment methodology have been clarified as how the application process for open positions is conducted, administrative issues related to competitions, the adjustment of the procedures to better fit in with the new conditions imposed by the pandemic situation, the simplified application process through the university's online platform.

Strengths:

A new [Strategy for Research, Development and Innovation](#) (2021-2024) was adopted by the University Senate. This strategy provides for the transformation of UBB into a platform for attracting prestigious teachers and researchers, from the country or abroad. In this regard, UBB will support both the reintegration of valuable Romanian researchers from abroad (through existing programs or through its own mechanisms, for instance the STAR-UBB Institute's fellowships, the program of collaborating researchers, the program of adjunct professors), as well as a policy for recruiting the best researchers from the country and abroad. In accordance with the new strategies all open positions are advertised in English as well. Simultaneously, updates were made on the evaluation criteria for researchers as well. The University's new Strategy for Research (2021-2024) now expands on the priority taken by RDI in the University's activity. Emphasis is placed on impact evaluation and on world-class contribution. The principles of the Leiden Manifesto for bibliometrically-informed peer-review are implemented.

Currently, there are two documents in the drafting phase: one regarding an improved recruitment and selection regulation for part time and full-time teaching positions, and a policy regarding the recruitment of researchers through headhunting.

A special attention is paid to the recruitment of postdoctoral researchers. By a decision of the Administrative Council (ACD no. [17.901/14.12.2020](#)), a special unit (URME Commission - with members selected from the Scientific Council of UBB and from the Council of Doctoral Studies of UBB) was set up. After a rigorous analysis, the unit proposed a set of measures (ACD no. [8307/19.07.2021](#)) for strengthening and developing the postdoctoral activities, including recruitment, monitoring and evaluation of postdoctoral activities.

Lastly, the gender dimension was fully addressed in the University's new [Gender Equality Guide](#), while the selection process for researchers has been qualitatively improved through the ethical measures provided by the internal regulations (see in 2A).

Weaknesses: While new regulations are already in place, their implementation is still too slow. There are two components that should be considered: (a) academic, and (b) administrative. On the academic part there is a need for launching trainings for staff members involved in selection processes. With regards to

administrative measures, we still lack efficient, easily available online tools that could facilitate the administrative part of applications and would considerably decrease bureaucracy.

Remarks

A number of action plans or operational measures adopted in the last year now require rigorous implementation. For example, in the case of postdoctoral activities, at least the following three actions must be considered: attracting more consistent resources for research postdoctoral programs of excellence; strengthening the status of the postdoctoral researcher; intensifying public-private collaboration in research programs and a more active support for research with impact on the society. It is also imperative to widely present and popularize vacant teaching or research positions (at all levels). In this sense, we want to use more consistently the Euraxess platform, but also the opportunities offered by UBB's recent membership in THE GUILD academic network (twenty one of Europe's most distinguished research-intensive universities in sixteen countries), as well as the EUTOPIA alliance of European universities. The combined measures proposed in this direction can be also found in the new internationalization strategy, recently adopted by the University Senate (Senate Decision SD no. [32/15.03.2021](#)).

2.C. Working conditions

Strengths and Weaknesses

As planned, the adoption of the Human Resources Policy for teachers and researchers in 2019 ([link](#)) provided a framework for some objectives related to working conditions: encouraging mobility, supporting the mobility of the staff within the institution, access to continuous training in research and development, intellectual property rights, inclusive working conditions, funding and salaries, teaching, fostering teamwork, stimulating improvement of teaching-research activities through mentoring and peer support, petitions/complaints, participation in decision-making bodies.

UBB put in place a set of measures to mitigate the effects of the unpredictability of funding identified in the initial phase as an obstacle to maintain the research infrastructure necessary for creating good working conditions for researchers; the university has committed 25 million lei in 2020 to a significant upgrade of some teaching and research laboratories, and also committed to support the research activity carried out in accredited research centers/institutes through a specific Research Support Fund.

The flexible career path piloted in 2016-2017 has been fully implemented through the adoption in 2020 of The [Individual Academic Career Plan](#), directly linked to a yearly Seed Grant Program; the Program ensures that each member of the academic staff with a permanent position is awarded an annual grant worth 1000 EUR to aid academic advancement.

In terms of international mobility, in 2019-2020, the university has signed several MOUs with universities in order to provide more diverse opportunities for academic mobility to interested employees. As a weak point we can mention that certain legislative barriers have prevented the implementation of some measures (for example, longer mobility periods are not currently formally recognized as secondments, thus a researcher going outside the country for a research mobility will have to suspend their employment contract). Fostering teamwork and supporting mobility within the institution have been also encouraged through the establishment of Academic Schools, designed as trans-faculty/department units that stimulate academic coordination and cooperation across the major scientific domains for an integrative development.

As for the access to training in the field of research and new pedagogical methods, from 2019 members of academic staff can benefit from the professional development opportunities offered by the Centre for Innovation in Teaching and Learning. The Centre launched several trainings in academic writing, the use of digital and online methods in teaching etc.

With reference to inclusive working conditions, the university provides working conditions adapted to people with disabilities and is open in providing the flexibility they need to successfully carry out their activities. According to the university's gender equality guide, working conditions should be made flexible for parents with small children. While many policies are already adopted (anti-discrimination, gender equality), further steps should be taken to disseminate these guides' content.

Regarding the salary system, the university took advantage some changes in national legislation that allowed for all researchers' work to be exempt from certain taxes, which increased their net income.

The university has also formalized the petitioning methodology within university regarding the process of complaints from the part of academic staff through ACD [3975/26.04.2021](#).

Remarks (max 500 words)

Starting with the academic year 2021-2022, the university closely monitors teaching and research responsibilities in order to avoid overburdening employees. The data collected will offer a better understanding of the researchers' workload and will allow for more efficient measures to be taken in order to better predict their needs.

Very recently, the UBB Senate approved a document containing a set of measures applicable to UBB employees in order to ensure their mental well-being (Senate decision no. [105/2021](#)). The provisions of this plan of measures must be implemented starting with the academic year 2021-2022.

2.D. Training and development

Strengths and Weaknesses

Access to career counselling continues to be provided mainly to doctoral students, but further steps have been taken to also offer it to postdoctoral researchers. The mentoring activity carried out by many academics and researchers in our university has been formally recognized through its inclusion in the Individual Academic Career Plan, in complementarity with the informal supervision taking place within research grants.

Since the initial phase UBB has created two more centers in order to provide support for students, researchers, and teachers: the StudHub Learning Centre and the Volunteer Office. The StudHub Learning Centre was created to offer support to students in achieving their academic goals, while simultaneously providing space for individual and small group learning activities. The Centre launches individual and group counselling, training programs in time management, stress management, presentation techniques, note taking, learning techniques etc., all aiming to provide students with skills that help them overcome difficulties in integrating into university life, thus reducing the dropout risk. The Volunteer Office provides the framework for students and academic staff to enroll in volunteering activities (teaching, research, administrative and social) carried out within and outside the University.

Within the Centre for Career Counselling, professional and personal development workshops are offered on a regular basis to all employees to provide psychological and educational support. The importance of researchers being involved in the teaching was reinforced again in 2021 through the Procedure for the competitive tendering of teaching and research positions in UBB.

The university also took steps to ensure different training opportunities for its staff through the Distance Learning and Life Long Learning Centre of the University: such as English language specialty courses (EMI – English Medium Instruction provided by the British Council), Advanced Academic Teaching Skills (AATS, provided by Euroexam International), but also courses on general data protection regulation and others.

For increasing the quality of teaching, the Centre for Innovation in Teaching and Learning offered, during 2020 and 2021, a series of courses aimed at improving online teaching and examination skills. As part of the new pedagogical framework launched at UBB, an important partnership with EON Reality LTD

<https://eonreality.com>) was recently approved , and consequently UBB established the UBB-EON-XR Academic Center for Higher Education (ACD no.398/14.01.2021), which organizes training sessions to use VR and AR technologies in teaching, research, and services to the community. Among its activities, the training of a number of 700 academics was assumed by the American partner. This training will provide important skills for researchers willing to use virtual and augmented reality in their work. Already more than 300 academic members participated in these trainings and we are currently launching them towards students as well.

The university also focused on accessing funding for better training and development opportunities for its community' members. Programs such as the Postdoctoral Advanced Fellowship Program ([link](#)) have been implemented continuously at UBB since 2017. Also, ERDF- funded projects such as “Entrepreneurship for innovation through doctoral and postdoctoral research” ([link](#)) provided young researchers the opportunity to better their capacity for entrepreneurship.

Remarks

Regarding the training and the development activities, a predictable plan of activities should be assumed at the university level.

The supervision of students (especially Master and Ph.D. students) by researchers mainly takes place within the research grants. The supervision and the managerial duties of researchers are now regulated by The Individual Academic Career Plan (as supervised/mentored research, or other team activities).

Institutional provisions recently adopted by the university (at the proposal of the Scientific Council) guide, efficiently and effectively, early stage researchers for obtaining performances that allow them to develop in their careers (e.g., Set of indicators for assessing professional quality of candidates for the position of researcher https://cercetare.ubbcluj.ro/wp-content/uploads/2020/06/Indicatori-calitate-profesionala-aplicanti_2020.pdf)

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.

Timing (at least by year's quarter/ semester)	Responsible Unit	Indicator (s) / Target(s)	Current status NEW/ IN PROGRESS/ COMPLETED/ EXTENDED	GAP Principles	Remarks
		1 HR Strategy* for Researchers published online			
January – June 2018	Scientific Council (SC), Vice-rector for research		COMPLETED		A first draft of a Human Resources Strategy was completed by the end of 2017 with a delay due to the number of people involved in the process.
July – September 2018	Centre for Research Management (CRM), SC	1 Report	COMPLETED		The completed draft was circulated to the academic community by e-mail, staff by the Vice-rector in charge of Research.
September 2018	Governing Board (GB)		COMPLETED		The final version of the Human Resources Policy for teachers and researchers at Bolyai University was adopted by the Administrative Council of the University on 25 th , 2019. The document is available online at https://cercetare.ubbcluj.ro/content/uploads/2021/06/EN-Anexa-HCA_politica-HR_25.03.2019_Daniel
Starting with October 2018	CRM		IN PROGRESS		After the adoption, the Policy has been operationalized through procedures for hiring, internal competitions, non-discrimination, ethics, periodic research evaluation, internal accreditation procedures for research units, employee/student/researcher well-being and others.
		1 Ethical Code of the Researchers OR one section regarding research in the current Ethical Code			
January – June 2018	SC Ethical Committee		COMPLETED		
July – September 2018	SC		COMPLETED		The drafted document was analyzed by the Ethical Committee of the University and by legal experts. In the second phase, the document was made public for the academic community was informed via e-mail.

September 2018	GB		COMPLETED		The new Code of Ethics was approved by the Senate of the University in De
Starting with October 2018	SC Ethical Committee		COMPLETED		The document has been made public both on the Ethics Committee's webs dedicated HRS4R website. The Ethical Committee (through the President o and the Ombudsman) has organized a series of online meetings to further community the changes and novelties of the new Ethics Code.
January – December 2018	CRM, SC, Center for Technological and Cognitive Transfer (CMTTC)	1 Analysis report disseminated internally	COMPLETED		<p>The Scientific Council has elaborated an analysis of the research programs document has been made public via the dedicated HRS4R website, at https://cercetare.ubbcluj.ro/wp-content/uploads/2020/05/Analiza-program-cercetare-la-Universitatea-Babe%26c8%99-Bolyai.pdf (text available only in</p> <p>Based on a methodology approved by the University Senate (https://www.ubbcluj.ro/ro/infoubb/files/InfoUBB_2020_09/2020_09_11_ind_Metodologia_pentru_(re)acreditarea_unitatilor_de_cercetare-dezvoltare_inovare_din_UBB_Senat.pdf), an evaluation of the Research Centers/Instit university was carried out. A number of centers/institutes were institution https://cercetare.ubbcluj.ro/wp-content/uploads/2021/04/2021_03_22_HCA_2733_privind_lista_unit%C4de_cercetare_acreditate_la_nivel_UBB.pdf</p>
January – March 2019	SC, Vice-rector for research	1 Set of measures, based on the planned HR Strategy for Researchers and the existing UBB Research Strategy	COMPLETED		A set of measures were proposed for increasing the impact of the research as: financial incentives for the publications in best journals (Nature/Science in WoS ans similar); financial support for the WoS indexed journals of the post-doctoral and advanced fellowships under the coordination of STAR Institute of Advanced Studies in Science and Technology); annual prizes for the best for the professors and the researchers of the university, rewarding the research through the individual academic career plan, introducing a "seed grant" for the implementation of the individual academic career plan, developing STEAM approaches related to scientific research; stimulating artistic research performances;
April 2019	GB		COMPLETED		<p>https://cercetare.ubbcluj.ro/wp-content/uploads/2021/04/2021_02_22_HCA_1671_privind-completarea-implementarea-unor-decizii-legate-de-cercetare-competitivitate-excelen%26c8%99-1.pdf</p> <p>https://cercetare.ubbcluj.ro/wp-content/uploads/2021/01/2020_09_14_HCA_12841_privind_aplicarea_ultime_de_cercetare.pdf</p> <p>https://www.ubbcluj.ro/ro/infoubb/files/InfoUBB_2020_10/2020_10_12_ind_Ghidul_de_accesare_%26c8%99i_utilizare_a_granturilor_de_tip_seed_a_dezvoltare_UBB_2020.pdf</p> <p>https://www.ubbcluj.ro/ro/infoubb/files/InfoUBB_2020_07/2020_07_06_Regulamentul_privind_%26c3%AEntocmirea_statelor_de_func%C8%9Bii_ale_educativ_%26c8%99i_de_cercetare_la_%26c3%AEenv%C4%83%C8%9B%C4%83m_frecven%C8%9B%C4%83_Senat.pdf</p> <p>https://cercetare.ubbcluj.ro/wp-content/uploads/2020/07/HCA-privind-criteriile-mecanismelor-de-rezidenta-artistica-la-nivel-UBB_CA_14.10.2019.pdf</p>

					https://cercetare.ubbcluj.ro/wp-content/uploads/2020/07/HCA_Implementarea_sistemului_STEM-la_UBB_CA_1.04.2019.pdf
Starting with May 2019	Vice-rector for research, CRM, OTT, SC, Deans		COMPLETED		All the above measures are implemented starting with the academic year
		1 Internal set of practices and procedures regarding research ethics, based on the planned Ethical Code of the Researchers			
October – November 2018	SC, Ethics Committee		COMPLETED		The monitoring mechanisms were drafted by the Ethics Committee after the new Code of Ethics. Starting with December 2021 an administrative structure (Ethics and Anti- will be established by a Senate decision.
December 2018	GB		COMPLETED		The final version of the document was adopted by the Administrative Council. The document has been published on the university's website at https://cercetare.ubbcluj.ro/wp-content/uploads/2021/06/EN-HCA_mecanisme_monitorizare_etica_27.05.2020_mada.pdf
January – March 2019	CRM, SC		EXTENDED		The Ethical Committee is currently working on a report as part of their annual
April 2019	CRM, SC		COMPLETED		The monitoring mechanisms were part of the dissemination sessions organized by the Ethics Committee to further inform the academic community about the new Code of Ethics novelties. Between March 23, 2021 and April 15, 2021 a number of six dissemination sessions on our Academic Schools were organized by the Head of Ethics Committee and the Ombudsman of our university. The participants were stakeholders and professors with the courses of ethics and academic integrity from all the 22 faculties
Starting with May 2019	CRM, SC		IN PROGRESS		5 monitored cases, one case is still under monitoring.
		1 Set of internal, specific practices and procedures regarding OMT-R recruitment of researchers, based on the planned HR Strategy for			

		Research Strategy			
January – February 2018	CRM, SC		COMPLETED		The set of Professional quality assessment indicators for candidates/applications for the research/teaching positions at UBB has been public on the university's website at https://cercetare.ubbcluj.ro/wp-content/uploads/2020/06/EN-Indicatori-calitate-profesionala-aplicanti_2018.pdf
Permanently	CRM		IN PROGRESS		All open positions advertised in the research projects implemented at UBB are advertised on Euraxess.
Permanently	CRM, HR		IN PROGRESS		All open positions in the research projects being implemented at UBB are advertised on the university's website at https://www.ubbcluj.ro/ro/infoubb/posturi_vacante/posturi_cercetare , and on the national Ministry of Research's website at https://jobs.research.gov.ro/ .
Permanently	CRM, HR	1 Statistical report	IN PROGRESS		An IT platform was created and it will be functional starting with January 2021. In the application, we will collect statistical data regarding the applicants (including their scientific achievements)
Permanently	CRM, HR		IN PROGRESS		During the year 2020, as a consequence of both the implementation of the HR Strategy adopted by the management team of the university (available here) and the pandemic situation, there were measures put in place to ensure a smaller administrative burden, especially through the digitization, where possible and allowed by the recruitment process.
		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			
January – March 2018	CRM, SC, HR, Vice-rector for Research		COMPLETED		All research positions, including research fellowships and scholarships, are advertised in competition, with procedures and decisions validated by the Scientific Council, the rectorate for research and the University Senate. The Scientific Council submits a report covering these activities to the Vice-rector for research. Research on hiring/awarding and at 1-year intervals are monitored. Longer-term evaluations are performed under the procedure https://senat.ubbcluj.ro/wp-content/uploads/2018/03/nr.-9474-privind-Regulamentul-privind-%C3%AEntocmireea-statelor-de-functii-personalului-didactic-%C8%99i-de-cercetare-din-UBB-la-nivelul-de-%C3%AEnv%C4%83%C8%9B%C4%83m%C3%A2ntul-cu-frecven%C8%9B%C8%99
April 2018	GB		COMPLETED		An internal procedure for monitoring and evaluation of the HRS4R was proposed by the vice-rector for HR and vice rector for RD&I.
April 2018	GB		COMPLETED		The procedure was adopted by the vice-rector for HR and vice rector for RD&I.
May – June 2018	CRM, HR		COMPLETED		The HR department made a first report on the efficiency of the research recruitment procedure for the academic year 2020-2021. Some measures some improvements are proposed. (document)

Starting with June 2018	CRM, CS, HR		ONGOING		The monitoring and evaluation of the strategies started in the academic year 2018-2019.
September – December 2018	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	COMPLETED		In July 2020 the University's Senate adopted a set of norms regarding the implementation of the Individual academic career plan (https://senat.ubbcluj.ro/wp-content/uploads/2020/07/HS-nr.-9474-privind-Regulamentul-privind-%C3%AEntocmirea-statelor-de-func%C8%9Bii-ale-personalului-didactic-%C8%99i-de-cercetare-din-UBB-la-%C3%AEenv%C4%83%C8%9B%C4%83m%C3%A2ntul-cu-frecven%C8%9B%C4%83.pdf) adopted in July 2020 have been implemented.
September 2018	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	COMPLETED		According to the Senate's July 2020 decision, the individual academic career plans and departmental organizational charts and pay plans include such formalisation of supervision duties.
Starting with October 2018	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	ONGOING		The norms regarding the guidelines for implementing the Individual academic career plan (https://senat.ubbcluj.ro/wp-content/uploads/2020/07/HS-nr.-9474-privind-Regulamentul-privind-%C3%AEntocmirea-statelor-de-func%C8%9Bii-ale-personalului-didactic-%C8%99i-de-cercetare-din-UBB-la-%C3%AEenv%C4%83%C8%9B%C4%83m%C3%A2ntul-cu-frecven%C8%9B%C4%83.pdf) adopted in July 2020 have been implemented. Subsequent career plans and departmental organizational plans and pay plans. Subsequent procedures are drafted by the University's Centers dedicated to career development/opportunities, counselling, and evaluation for internal assessments/competitions. The latter are set to be adopted by March 2021.

June – October 2018	SC, Vice-rector for research	1 Set of indicators, based on the planned HR Strategy for Researchers and the existing UBB Research Strategy	COMPLETED		The University has started to implement a program dedicated to funding individual development plan through a seed grant. The guidelines for accessing the seed grants are available here .
November 2018 – March 2019	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	ONGOING		The first round of seed grants has its reports due at the end of October 2018. The analysis and institutional report set to be completed by the end of November 2018.
January – March 2018	SC, Vice-rector for Research	1 Structure, based on the planned HR Strategy for Researchers and the existing UBB Research Strategy	COMPLETED		The University set up a Unit for Recruitment, Monitoring and Evaluation of doctoral activity at Babes-Bolyai University (set-up document available here).
April – June 2018	SC, Vice-rector for	1 Regulation,	COMPLETED		A general guideline for postdoctoral studies has been adopted and is available https://senat.ubbcluj.ro/wp-content/uploads/2019/06/Regulament-progr

	research, CRM	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>postdoctorale_modificate-Senat.pdf. Additionally, most UBB hosts postdoctoral funded and selected under external rules – mainly from national sources (https://uefiscdi.gov.ro/proiecte-de-cercetare-postdoctorala) and EU (Mainly Horizon 2020) but also other types of EU funds such as http://starubb.institute.ubbcluj.ro/380-6-13-124146-cercetare-doctorala-si-postdoctorala-de-calitate-inovativitate-pentru-piata-muncii/).</p> <p>However, some necessary measures at the national level are still missing; the activity of mentoring up to the doctoral level is regulated, the activity of mentoring researchers from the postdoctoral phase onwards is not yet addressed for the national law.</p>
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Conclusion questions

Have any of the priorities for the short- and medium term changed ?

The programme of the current rector, elected in March 2020, called **ProUBB+ Program – World-class University through Trust and Openness**, set the new course for the development of the university. The new directions included a new framework for evaluation of excellence, the support for a more pronounced internationalization of the education and research activity, while also attracting stakeholders, such as economic actors or public bodies, to participate in re-shaping the curriculum either via involvement in teaching and research, or by contributing as advisors. These changes made the academic community more dynamic.

In April 2020, UBB was accepted into **The Guild of Research Intensive Universities** (www.the-guild.eu), a consortium of twenty one high prestige research-intensive European universities from sixteen countries, while in October 2021 UBB joined **EUTOPIA** (<https://eutopia-university.eu>), a European University Alliance of nine prestigious and dynamic European universities). The short and medium term priorities of the university are now related to our assumed objectives and obligations in these two European alliances. On the other hand, Babeş-Bolyai University of Cluj-Napoca (UBB) is the first five-star university confirmed in Romania by the international QS STAR audit of the British company Quacquarelli Symonds (QS). This position (confirmed in July 2021) also commits the university to further develop and consolidate its world-class profile.

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

In March 2020, a new Rector was elected by the staff of the university. His programme, titled **ProUBB+ Program – World-class University through Trust and Openness**, was supported by over 70% of UBB staff. In broad terms, this program proposed the definitive anchoring of UBB in the European / international academic area, as a world-class university, continuing the commitment to tradition and excellence of the

university's founders. After the new rector and his management team took over the mandates, the provisions of the **ProUBB+ Program** were taken over in the new strategic plan of the university for the next 4 years (2020-2024).

The new strategic plan of the university contains ambitious strategic objectives, including a dynamic and more open approach in the field of Human Resources. As such the new leadership promotes internationalization, by attracting academia members from all over the world to become associates at the UBB. On the other hand, the new leadership strongly promotes the implication of PhD-students in the teaching process, but also of different specialists from economic partners, or from future employers. The new, more dynamic approach already started showing its result despite the COVID-19 pandemic.

Are any strategic decisions under way that may influence the action plan?

In the first two years of the elected rector's term, the focus of the management team was on the infrastructural development of the university (through the endowment of our academic laboratories, the purchase of a new building for the Faculty of Law, the set-up of a new research base at Coronini on the Danube river, the construction of a new academic campus, etc)

For the last two years of the term, the strategic decision of the management team is to focus on the development of human resources. Thus, a special attention will be paid to the training, development and strengthening of the human resource in the university, as well as for attracting early stage researchers and highly qualified researchers on the most important scientific topics that the university wants to develop. The application of the Individual Academic Career Plan will have its first results in the forthcoming years, therefore changes in the evaluation policy could be applied based on the Plan's outcomes.

Comments on the implementation of the OTM-R principles

Babeş-Bolyai University took important steps for implementing the open, transparent and merit-based recruitment practices with regard to research positions. The following three principles are clearly presented in our new [HR Policy](#):

OPEN: Research vacancies must be advertised clearly, openly and widely to ensure to reach a wider pool of candidates.

TRANSPARENT: the recruitment process is simple and clear. External candidates must have access to the same information as internal candidates.

MERIT-BASED: selection for roles must be based on the Researchers' merit. The selection panel must ensure that the best possible candidate will get the position.

Our HR recruitment plan offers, in a precise manner, guidelines and transparency about the overall recruitment process for all potential candidates, clearly outlining our recruitment and selections procedures, giving them an understanding of what to expect, not only for the job position contest, but also for the development of their career in UBB, in order to encourage them to come and work at UBB. In this respect, we put in the light:

- a) what Openness, Transparency and Merit-Based Recruitment means to us;
- b) which are those National regulations related recruitment and selection, with a special emphasis of the potential constraints that may affect the application process;
- c) the fact that this plan is a live document, being adapted and updated as and when necessary (with respect to National and European regulations).

4. Implementation

General overview of the implementation process:

For the implementation process of the Action Plan for the HR Strategy for Researchers the following entities were involved at the top management level: University Senate, Administrative Council, Director's Board. By decisions of the top management entities, the following committees/councils were established and directly involved in the implementation of the Action Plan: Scientific Council, Ethical Council, Qualitas Center for Academic Development and Quality Assurance, Implementation and Coordination Committee for HRS4R, a Gender Equality Committee and a Unit for Recruitment, Monitoring and Evaluation (URME) of the post-doc activities.

The following administrative departments/units at the university level supported the activities of the above mentioned committees/councils: Center for the Management of the Research Activity, Human Resources Department, Financial Department, Legal Department.

Day by day activities of the members of the above committees and of the administrative departments, followed by weekly or/and monthly staff meetings for monitoring the progress was the main approach for implementing the actions of the plan.

How have you prepared the internal review?

The internal review was prepared by a group consisting in a coordination/steering committee (composed by the vice-rector for HR, vice-rector for competitiveness, vice-rector for the finance, coordinated by the vice-rector for RDI) and a support and implementation committee (composed by the president of the Scientific Council, the president of the Ethic Committee, the director of Qualitas Center (in charge with the policies for university development and quality management), the deputy director of the Administrative services (in charge with legal aspects), the head of the HR Department, the head of the Center for the Management of Scientific Activities, the head of the Financial Department and members of the above mentioned centers and departments. The two committees worked to prepare the internal review (through periodic activities and meetings).

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

After the Action Plan for implementing the HR Strategy for Researchers was adopted, under the coordination of the vice-rector for RD&I, all the actions assumed in the Action Plan were considered for implementation. Following the implementation schedule, the proposed working directions were discussed and the necessary actions were started. Firstly, the **Human Resources Policy for Professors and Researchers at Babeş-Bolyai University** Cluj-Napoca and the **UBB Code of Ethics and Professional Conduct** (document compatible with the Researcher's Charter and Code of Conduct) were adopted.

Then, a **new Operational Procedure regarding the recruitment and selection of staff for the vacancies within the research projects** was implemented at Babeş-Bolyai University.

In the same time, a **Mechanisms for monitoring the ethics aspects at Babeş-Bolyai University** was adopted by the Administrative Council, on the recommendation of the UBB Ethics Committee and the UBB Scientific Council.

After a large debate in the research community, under the auspices of the UBB Scientific Council, **an Analysis of the research programs at Babeş-Bolyai University** and a document stipulating the **main Professional quality assessment indicators for candidates/applications for the research/teaching positions at UBB** were approved.

A special attention was paid to **a Gender Equality Plan**, well as to an **Operational Procedures strengthening and developing postdoctoral activities** and for a more dynamic recruitment, monitoring and evaluation in the postdoctoral programs.

Following the proposal of a [Gender Equality Committee](#) (approved by the Administrative Council of UBB), the Administrative Council of the university adopted on 30.09.2021 ACD no. 11981, the [Guide for Gender Equality](#) .

By a decision of the Administrative Council of the university on 14.12.2020, ACD no. [17901](#), a Unit for Recruitment, Monitoring and Evaluation (URME) of the post-doc activities was established. Later on, following the proposal of the Unit for Recruitment, Monitoring and Evaluation (URME) of the post-doc activities, the Administrative Council adopted an [Operational Procedure](#) for strengthening and developing the postdoctoral activities at Babeş-Bolyai University Cluj-Napoca.

By the above description it is obvious that a large number of people were directly or indirectly involved in this activity. Most of the activities of the above commissions were done by volunteer-engagement, with colleagues selected based on the professional expertise they had.

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

By a decision of the Administrative Council of the University (ACD no. [1812/23.02.2021](#)) an implementation committee and a coordination committee were approved. The two committees work together (by monthly activities) to implement the action plan and to monitor the progress in implementing the HR strategy.

Is there any alignment of organisational policies with the HRS4R?

In the recent adopted University's [Strategy for Research 2021-2024](#) the Human Resources Policies for Professors and Researchers at UBB, part of the Action Plan confirming the European Commission's Resources Award for Excellence is one of the strategic direction for the next four years. The same document is assumed by the strategic plan of the university for the period 2020-2024. (<https://www.ubbcluj.ro/files/Programul-ProUBB.pdf>)

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

Our university is strongly committed to implement and apply the Open, Transparent, and Merit-Based Recruitment Principles and the HRS4R for several reasons: First, most of the actions and the stipulations of the plan are assumed by formal decisions of the University Senate or of the Administrative Council; Then, as part of two prestigious networks/alliances of European universities (The Guild and EUTOPIA) we are strongly committed to implement and to apply the same standards and procedures as the distinguished research-intensive universities from these networks.

How are you monitoring progress (timeline)?

In this respect, we follow the checklist and the action plan, 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. Moreover, the day by day activities of the members of the implementing and support committees (in charge with the implementation of the strategy) and of the administrative departments of the university, will be supervised by weekly or/and monthly staff meetings for monitoring the progress for implementing the actions of the plan.

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

UBB Qualitas Center deals not only with the university development policies and quality management, but also the center collects data for academic purposes and/or to perform certain evaluations on the implementation of different measures or programs decided at university top management level. Using the resources of the Qualitas Center, as well as the data collected by other departments of the university or by our support electronic platforms we can measure the progress in the implementation of the plan and the assumed indicators. As a matter of fact, annually in the evaluation of the annual Operational Plan of the university most of the indicators are already reported.

How do you expect to prepare for the external review?

The external review of the HRS4R will be prepared with the help of the same implementation and support committees, by updating and adapting the documents to the precise moment of the evaluation. We will continue to act for a better knowledge and a deeper understanding of the principles underlying the process of open, transparent, and merit-based recruitment and the HR strategy for researcher.

Additional remarks/comments about the proposed implementation process:

The calendar for the implementation of the Action Plan has suffered some delays that were caused by two major factors: on one hand, the election process that concluded with the appointment of a new rector and a new management team, and, on the other hand, the Covid 19 pandemic.

The election process concluded at the beginning of 2020 brought with it a new, dynamic management team, focused on achieving high impact changes undertaken in the new Strategy for the 2021-2024 period. The new rector and his team took over their duties in March of 2020, but the set-up process took several more months to conclude. The new management team envisioned structural changes that took time to get off the ground. For instance, a new organizational chart, that defines the new hierarchical and operational relations between different administrative compartments, was developed, and in order to fully comprehend the synergies and relations among these units, the whole process took more than 8 months. Naturally, such structural changes affected the initial timeline of the implementation of the Action Plan, a fact that was assumed by the management team as a necessary set-back in order to create the right policy framework for a better, even if slightly delayed, implementation.

The pandemic situation was another factor that caused delays in the proposed calendar. The shift to mostly on-line activities, both academic and administrative, forced the management to focus their priority to finding fast solutions to ensure the proper transition to an on-line system, both for the staff and students. Efforts had to be made to extend the existing system used for distance learning courses to all courses, new procedures for on-line work had to be created in a short time, and this took precedence over all other activities. Once the system was put into place, we were once again able to focus on the ongoing projects, trying to take advantage of the opportunities offered by the new situation (for instance, the pandemic situation forced the university to accelerate its digitization process, which included measures that impacted the Action Plan).