



No. 1127/30.01.2023

D E C I S I O N
on supplementing, updating, and implementing decisions concerning
research-competitiveness-excellence

Considering the ongoing need to promote research, competitiveness, and excellence at Babeş-Bolyai University, in order to raise its visibility and academic impact in the international sphere of education and research,

The Administrative Council of Babeş-Bolyai University of Cluj-Napoca, convened in the meeting of 30 January 2023,

DECIDES:

The following annual programmes previously approved by the Administrative Council¹ to support research, competitiveness and excellence at UBB are maintained at institutional level:

1. UBB programmes² fostering research, competitiveness and excellence:
 - 1.1. Research funding through development grants provided to UBB journals with international indexing;
 - 1.2. UBB programme to foster competitiveness by offering highly competitive grants;
 - 1.3. Fostering research, competitiveness, and excellence at UBB through academic grants and awards for UBB employees.

Detailed information on the programmes is provided in Addendum 1 to the present decision. The internal procedure for implementing Programme 1.3. is provided in Addendum 2 to the present procedure.

2. The UBB programme for co-funding research, development, innovation, and institutional development projects at UBB. The co-funding procedure is provided in Addendum 3 to the present decision.

RECTOR,
Professor Daniel DAVID, PhD

¹ AC Decision No. 7465 of 25.04.2016 — approving the UBB programmes for supporting research, competitiveness and excellence, and AC Decision No. 21040 of 31.10.2016, AC Decision No. 15450 of 10.09.2018, AC Decision No. 19298 of 07.10.2019 on the allocation of funds for the co-funding of research, development, innovation, and institutional development projects at UBB; AC Decision No. 1671/22.02.2021 on the completion and implementation of decisions relating to research, competitiveness, and excellence;

² AC Decision No. 7465 of 25.04.2016 was supplemented by AC Decision No. 11048 of 13.06.2016 (Programme 1.2.); amended/supplemented by AC Decision No. 17020 of 11.09.2017, AC Decision No. 4402 of 19.03.2018, AC Decision No. 7460 of 08.05.2018, AC Decision No. 1633 of 04.02.2019, AC Decision No. 19298 of 07.10.2019 (Programme 1.3.);

Babeş-Bolyai University programmes promoting research-competitiveness-excellence

I. *Research funding through development grants provided to UBB journals with international indexing*

The following criteria must be met for a journal to be defined as a UBB journal:

- 1 The publication of the journal has been approved by an academic unit of UBB (and/or by UBB's central administration), and the journal operates in conformity with international editorial practices.
- 2 The journal refers explicitly on either one of its covers to its UBB affiliation and/or to one of the UBB academic units, including by including visual identity symbols of UBB (e.g., logo).

Each UBB journal listed in *Web of Science* may receive funding in the form of development grants, based on the following model:

- (a) Journal indexed in *Web of Science (Core Collection)*, with an impact factor and article influence score over 0, and *Scopus* and/or (b) journal indexed in both *Web of Science (Arts & Humanities Citation Index)* and *Scopus* and *ERIH PLUS* - **Type A grant**;
- (a) *Web of Science* journal (*Core Collection*) with an impact factor above 0, but with no influence score and/or (b) *Web of Science* journal (*Arts & Humanities Citation Index*) - **Type B grant**;
- (a) *Web of Science (Core Collection)* journal indexed in *Science Citation Index Expanded*, *Social Sciences Citation Index*, or *Emerging Sources Citation Index*, with no impact factor - **Type C grant**.

The maximum funding allocated to each type of grant depends on the workload, which, in theory, increases as the journal becomes more popular, as shown by higher scientometric indicators, which also correlate with a better ranking.

For type A grants, the maximum amount of 40,000 lei is allocated for one year, and the expenses cover:

- Salary expenses related to the editorial process (including those related to managing the journal's website);
- Printing costs (not eligible for online journals);
- Indexing and dissemination expenses.

For type B grants, the maximum amount of 20,000 lei is allocated for one year, and the expenses cover:

- Salary expenses related to the editorial process (including those related to managing the journal's website);
- Printing costs (not eligible for online journals);
- Indexing and dissemination expenses.

For type C grants, the maximum amount of 10,000 lei is allocated for one year, and the expenses cover:

- Salary expenses related to the editorial process (including those related to managing the journal's website);
- Printing costs (not eligible for online journals);
- Indexing and dissemination expenses.

The amount already spent annually by UBB to support the respective journal through other institutional mechanisms is deducted from the annual grant.

The funding application is submitted by the official representatives of the journal, following the publication of the *Journal Impact Factor* by *Clarivate Analytics/Journal Citation Reports* for the application year, to the UBB Scientific Research Management Centre, for the UBB Scientific Council. The funding application will include: (1) the type of grant requested; (2) eligibility for the type of grant requested (according to Web of Science/*Journal Citation Reports*, *Scopus*, and *ERIH PLUS*); (3) the number of manuscripts submitted to the editorial office between June of the previous year and June of the current year, broken down into international and domestic submissions; (4) approval rate and (5) amount requested, broken down by eligible categories of expenditure (also indicating other existing funding from UBB). Documents evidencing the status of UBB journal will also be enclosed with the application. Applications must be submitted by the end of September, and results will be announced by the end of October. Failure to submit the application in September will make the journal not eligible for funding in that year. The deadlines set out in the present document may be subject to change by the relevant vice-rector's office in relation to the month of publication of the *Journal Impact Factor*.

The UBB Scientific Council will review the application and approve the grant and budget it considers appropriate, considering the available UBB budget, the estimated workload based on the number of manuscripts managed, and scientometric indicators (e.g., impact factor/influence score). The allocation of the grant is subject to the availability of UBB funds.

II. UBB programme to foster competitiveness by offering highly competitive grants

In order to boost the uptake of competitive national and international research grants, with substantial funding (minimum €1,000,000), the difference between the overhead of over 23% of the grant and the UBB overhead of 23% is allocated to an institutional support fund for research-competitiveness-excellence, allocated to the

respective grant and/or other relevant activities at UBB, part of the research support fund.

III. Fostering research, competitiveness, and excellence at UBB through academic grants and awards for UBB employees

In order to stimulate research, competitiveness, and excellence at UBB and achieve a significant quantitative and qualitative leap for UBB in international university rankings, the following mechanisms for boosting academic performance at UBB will be implemented:

(1) Grants fostering competitiveness for UBB employees and (2) UBB annual excellence awards.

(1) Grants fostering competitiveness for UBB employees

UBB will award academic grants to its employees as follows:

- *Science/Nature* publications – €10,000 per article (*document type: article, review*³) if the corresponding author is affiliated with UBB; €5,000 per article if the first author is affiliated with UBB; €1,500 per article if the second author is affiliated with UBB; €1,000 per article if at least one of the authors after the second author is affiliated with UBB.
- *Web of Science* journals (*Science Citation Index Expanded, Social Sciences Citation Index and Arts & Humanities, document type: article, review**)
 - Q1 – €1,000 per article if the main author⁴ is primarily affiliated with UBB; €700 per article if one of the co-authors is primarily affiliated with UBB; the grant amount increases by 10% for articles published in journals indexed in the Nature Index ranking and for those in the top 10% in their field, according to AIS;
 - Q2 – €700 per article if the main author is primarily affiliated with UBB; €400 per article if one of the co-authors is primarily affiliated with UBB;
 - Q3 – €250 per article if the main author is primarily affiliated with UBB; €150 per article if one of the co-authors is primarily affiliated with UBB;
 - Q4 – €100 per article if the main author is primarily affiliated with UBB; €50 per article if one of the co-authors is primarily affiliated with UBB;
 - Quartiles Q1 - Q4 are based on the article influence score (AIS) for the year of publication.

³Only quantitative reviews (e.g., meta-analyses) will be eligible for awards. The provision applies as of 2022.

⁴Main author: the first author, or corresponding author, or, in fields where standard practice requires it, the last author, or any of the authors in fields where authors are not clearly separated. The definitions of UEFISCDI and/or those of CNATDCU by field may also be considered.

- Publications by UBB authors in UBB journals eligible for grants must optimise established professional ethics and thus avoid any new potential conflicts of interest that may emerge/be generated in the context of these grants (e.g., in the review process, by artificially proliferating the number of volumes or publications in a volume, etc.). The UBB Scientific Council may investigate these conflicts of interest by referral and/or on its own initiative.
- The publications considered will be those published after 1 October 2017 and indexed in Web of Science at the time of application. The date of publication of the article is calculated, in order of priority, according to: (1) the paper's published date (including the ASAP and/or uncorrected proof online date, if available), (2) if the paper doesn't clearly indicate the publication date, then the date of the issue/number to which the paper is assigned will be used.
- Researchers who hold (as directors, co-directors, coordinators, executive directors, deputy directors, or other titles involving administrative duties within the grant) research grants with a total value of more than €100,000 for the current year (including AGC grants already awarded in that year) may use AGC grants in categories Q3 or Q4 only to fund the publication fees for Open Access articles.
- Grants will be awarded each month for titles published and indexed at the time of application. The main author from UBB decides how the grant will be used; if the main author is not from UBB, then the co-authors from UBB agree on how the grant will be used. If the corresponding author is affiliated with UBB, the decision is made by the corresponding author. If there are several corresponding authors affiliated with UBB, they shall agree together on how to use the grant.
- If the main author of the paper is a UBB doctoral student affiliated with UBB, and the list of co-authors includes the author's scientific supervisor, then the grant will be awarded to the latter. If the main author is a UBB doctoral student affiliated with UBB and the list of co-authors of the paper does not include the doctoral student's scientific supervisor, but does include a member of UBB staff, then the grant is awarded to the latter, with the amount that corresponds to the main author. If the main author of the paper is a UBB undergraduate/master's student and the list of co-authors includes a staff member of UBB, then the grant is awarded to the staff member as the main author. If the main author is not from UBB, and the co-authors include a UBB student (affiliated with UBB), then the co-authors from UBB, teaching staff or researchers, shall determine how the grant will be used, considering the student's contribution to the article. In all the situations described above, the persons appointed to manage the grant are required to use the amount awarded for the doctoral student's contribution in the benefit of their doctoral programme, or in the benefit of the research programme of the student involved, following prior agreement with the student in question, if they are still enrolled at UBB.

- Eligible grant expenses are:
 - Participation in conferences/scientific events/participation in scientific on-site activities;
 - Purchase or subscription to scientific publications;
 - Development of research-development-innovation laboratories;
 - Open access publication costs for Q1 and Q2 *Web of Science* publications according to AIS where the main author is from UBB. These expenses are also eligible for co-authorship, in proportion to the role of UBB in the publication, with the approval of the vice-rector responsible for scientific research;
- Grants are subject to the availability of financial resources each year.

(2) *UBB Annual Excellence Awards*

- 1.1. *Annual Award for Excellence in Scientific Research;***
- 1.2. *Annual Award for Teaching Excellence;***
- 1.3. *Annual Award for Innovative and Cultural Services to Society;***
- 1.4. *Annual Award for Excellence in Administration.***

A maximum of one award is granted for each faculty per year for teaching excellence and service to society/community, and a maximum of one award is granted for scientific excellence for faculties with up to 99 tenured teaching staff (both permanent and fixed-term contracts), a maximum of two awards in each category for faculties with more than 100 tenured teaching staff, and one award for researchers who are not eligible for faculty awards. For the research staff, proposals are made by the Operating Panel of the UBB Scientific Council.

The granting principles/criteria established by the Scientific Council/Teaching Council/Council for the Relationship with Society (socio-economic and socio-cultural components) and the Administrative Council of UBB are as follows:

(1) for Scientific Excellence: main/concept author of *Web of Science* articles or chapters of books/scientific books indexed in the Book Citation Index (*Web of Science*) or WorldCat. Within each faculty, decisions will be made based on the journal's impact factor (or its prestige where an impact factor does not exist or does not provide a reasonable basis for comparison) and the number of libraries that own the chapters/books in question. With equal performance, attracting national/international grants constitutes an advantage. For nationally-relevant fields, Scopus/Erih Plus indexed publications or leading national publications of proven/documentary prestige, as well as chapters of scientific books/books published by leading national publishers, may also be considered.

(2) for Teaching Excellence: peer and student evaluation of teaching activity, funding from services, national/international awards for sports and/or artistic achievements, educational books/materials published by leading publishers, and teaching staff performance in teaching students and/or other criteria set by the faculties.

(3) for Innovative and Cultural Services to Society: professional projects with companies, organisations, public or private institutions; events organised in collaboration with companies; literary creation; theatre performances; film and media performances; musical performances; artistic/cultural performances; sports performances; funding raised from community services; other criteria established by faculties.

(4) for Excellence in Administration: excellent evaluation by management, exceptional results in current activities, involvement and/or major contribution to institutional development, initiative, positive attitude, loyalty towards the institution. Proposals relate to the UBB-central administration and are submitted at the level of the UBB Rector's Office.

Every faculty/SC operates its criteria based on the principles/criteria outlined above and submits the relevant proposals. Proposals must be accompanied by explicit mention of the achievements underlying the nomination (list of articles/volumes/contracts/awards/evaluations/etc.). Award nominations may also be submitted by the university's Rector's Office.

Nominations are subject to approval by the Scientific Council/Teaching Council/ UBB Council for the Relationship with Society, respectively the UBB Administrative Council Office. The awards will be announced in a ceremony held by the UBB Rector's Office, with explicit reference to the achievements underlying the nominations (list of articles/volumes/contracts/awards/evaluations/etc.).

INTERNAL PROCEDURE
on the awarding of grants to support the competitiveness of UBB employees

- Applicants will submit to the Centre for the Management of Scientific Research (CMCS) a free-format letter providing the following details:
 - ✓ Article identification data, including at least the title, journal name, DOI, WOS code – only articles visible in Web of Science are eligible;
 - ✓ The amount requested and the status of the UBB author(s) (main author or co-author) and the quartile where the journal is ranked; the subject area for classification should also be specified (at the discretion of the signatory);
- The submission will be signed by the applicant (the main author affiliated with UBB, if applicable); if the paper does not have a main author affiliated with UBB, the submission will be signed by all authors affiliated with UBB**, will explicitly specify who will be the grant holder, and will be submitted in both .pdf and editable formats by email to CMCS;
- CMCS will check compliance with quartiles Q1 - Q4 using the available lists of journals ranked by sub-field, ordered according to their impact score (AIS), relevant for the year of publication, available at: <https://uefiscdi.gov.ro/scientometrie-baze-de-date>
- The payment in lei will be based on the average exchange rate of the National Bank of Romania (BNR) from the month before the application is submitted;
- Once the applications have been submitted and the accuracy and veracity of the data has been verified, the CMCS invites applicants to sign the relevant grant agreements;
- Grant agreements will be collected at the CMCS level and forwarded to the General Administrative Directorate/Rector's Office for approval (in terms of financial resources) and signing, no later than the 5th day of the month following the month when the application was submitted (e.g. 5 March for applications submitted in February this year). After approval, they can start the process of committing the requested expenditure.
- The annual awarding of grants is contingent upon the availability of funds at the institutional level.

****Note.** If an author has multiple affiliations for an article, the amounts described in section III.1 are awarded in full if the primary affiliation is with UBB, or 50% if the primary affiliation is not with UBB. "Primary affiliation" describes a situation where an author is on record with more than one affiliation and indicates that one of the affiliations is listed as more prominent than the other. The criteria for deciding primary affiliation in the framework of this grant programme are, in order of priority:

(1) UBB is listed in the text of the article or in the WoS entry for that article as “primary affiliation” or with an equivalent term suggesting UBB’s priority over other affiliations;

(2) if the author is provided with an institutional email address, it is that of UBB and not of another institution;

(3) if the institutions are not listed in alphabetical order or in the order dictated by the authors’ order, and UBB is first;

(4) The text of the article specifies where the activities were conducted, with the clear contribution of the UBB author, and those activities were predominantly carried out at UBB and not at the other partner institutions; in the application, the applicant shall indicate their primary affiliation and provide information on the activity conducted at UBB.

(5) there is no indication of the possible precedence of one affiliation over the others

– in which case they are all considered “primary.”

**Procedure for granting co-funding for
research, development, and innovation (RDI) projects at UBB**

Definition: Co-funding = own funding invested in the project by the applicant (coordinator and/or partner).

1. Any research team at UBB may apply for co-funding from the UBB Rector's Office, both for project applications as a partner in a consortium and as a consortium coordinator or sole applicant. Projects must be RDI or involve RDI activities, and the application must be submitted before the funding application is submitted.
2. Co-funding may not be applied for in projects where co-funding may also be covered in kind, in which case UBB does not need to commit financial resources to the projects. Before applying for co-funding from UBB, applicants must first apply to UEFISCDI/ministries/other public institutions that offer co-funding (if such schemes are available). Co-funding is not granted for projects that do not have a specific section for "indirect costs/overheads." For grants receiving co-funding from UBB, the 16% and 24% overhead percentages are no longer eligible to be returned to the project director/manager; if the co-funding does not exceed the amount derived from the 16% and 24% overhead percentages, then the balance up to that amount may be returned to the project director/manager, in accordance with UBB decisions with reference to the overhead in RDI grants.
3. The application process for co-funding consists of the following steps: submit an application to the UBB Centre for the Management of Scientific Research (CMCS), enclosing the project file, list of partners, description of the funding line, total budget and co-funding share requested from UBB, including a description of the criteria in point 5 (a-e).
4. The UBB Scientific Council will set up an analysis committee with an advisory role for the UBB Rector's Office. The committee will include researchers with experience in international research projects, who will carry out the evaluation according to the criteria outlined in point 5.
5. The criteria for allocating co-funding are as follows (a maximum of 100 points):
 - (a) The project team's experience in the field (examples: articles published in journals with major impact, books available in a considerable number of libraries,

international invention patents, the total amount contributed to UBB from previous projects, the academic and financial success of previous projects, etc.), along with the expected potential of the results for UBB's ranking in international rankings. Co-funding is only granted to teams whose project leaders and/or members deliver IE (Extended International Impact) results for UBB, according to the Scientific Council's assessment scale https://cercetare.ubbcluj.ro/wp-content/uploads/2021/07/evaluare_generic_UBB_iulie2021-1.pdf.

Teams whose project manager is from UBB, or which include a large number of UBB employees, are given priority for co-funding. A large consortium is a plus, as it is a predictor for future partnerships;

- Maximum 25 points;
- (b) Contribution to the sustainable development of UBB human resources (e.g., with a focus on young researchers) and UBB strategic research infrastructure, including the stimulation of UBB multi-, inter-, or transdisciplinary research (e.g., by involving several accredited UBB research units, with an emphasis on excellence);
 - Maximum 25 points;
- (c) The profile of the funding line and the funder (e.g., international funder, annual budget of the funder);
 - Maximum 10 points;
- (d) The total amount requested for co-funding, relative to the total amount of the project attributable to UBB, and the overhead attributable to UBB;
 - Maximum 20 points;
- (e) Alignment with the strategic directions of UBB (according to the UBB RDI Strategy), including the sustainable/ecological development programme – the UBB Goes Green Programme;
 - Maximum 20 points.

6. The co-funded amount will be negotiated individually with each project manager, subject to the UBB budget available for co-funding that year.