The Human Resources Strategy for Researches

for incorporating

The European Charter for Researchers

The Code of Conduct for the Recruitment of Researchers

Report

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Human Resources Strategy for Researchers

Report on phases 1 and 2

Founded *Per libertatem ad veritatem,* in a time of scientific effervescence and emulation of great European ideas, Alexandru Ioan Cuza University of Iaşi, the easternmost modern Humboldtian academic institution, has been a bridge between the secular values of the civilised Western society and the spiritual beliefs shared by the local people. Carrying part of our country's culture, reverberating European traditions and achievements, Alexandru Ioan Cuza University of Iaşi has turned into a forum of free ideas, a unity of education in the spirit of that which is true, good and beautiful, as well as an emblematical landmark of this region.

Academic Offer. Today, with its fifteen faculties (Biology, Chemistry, Computer Science, Economics and Business Administration, Geography and Geology, History, Law, Letters, Mathematics, Philosophy and Social-Political Sciences, Physical Education and Sports, Physics, Psychology and Education Sciences, Orthodox Theology, Roman-Catholic Theology), Alexandru Ioan Cuza University of Iaşi offers to more than 27000 Romanian and foreign students with inquisitive minds a large diversity of academic programmes, whose aim is to open their way towards personal fulfilment and social recognition.

The main academic and research fields are: Mathematics and Natural Sciences, Social Sciences and Law, Humanities and Arts, Engineering Sciences (geological engineering and technical physics). Our university offers 94 BA programmes, 167 MA programmes and 26 PhD fields. 5 BA programmes and 17 MA programmes are taught in a foreign language, such as English or French.

Research. Alexandru Ioan Cuza University of Iaşi was ranked by the Ministry of National Education as **a university of advanced research and education**. 12 out of its 17 research fields that were nationally assessed in 2011 ranked among the top three, which placed our university among the top 12 universities in Romania. Interdisciplinary research and developing projects at the borderline between exact sciences and humanities are considered highly important. Our primary research fields are in accordance with both the *National Strategy for Research* and the *European Union* priorities. Examples

include: micro- and nano-structured natural and artificial systems; natural environment and biodiversity; fundamental structures in Mathematics and Computer Science; free-market fundamentals; "reconstruction" of classical humanism; materials science.

Scientific research is conducted by: a) the research departments of each faculty; b) the interdisciplinary research departments and the Center for European Studies; c) the centres for student research and training (Agigea, Potoci, Tulnici, Rarău, Iaşi); d) the Botanical Garden, and e) the University Museum.

The interdisciplinary research departments' benefits from infrastructure of: two research platforms ARHEOINVEST and MEDIAEC, two laboratories ACVAPUR and LAICA, as well as two other research infrastructures RAMTECH and CERNESIM.

A significant number of major projects were initiated and supported, both financially and logistically, by our university: *Monumenta Linguae Dacoromanorum, Dictionaries - Encyclopedias,The Romanian Multimedia Prosodic Atlas(AMPRom), Editing and Translation Studies - TRADITIO, the Cucuteni Culture etc.*

All research units have been provided with state-of-the-art equipment that has been acquired by means of national programmes and structural funds. Alexandru Ioan Cuza University of Iaşi also provides students, academics and researchers with access to the most important on-line libraries.

Scientific results and findings were disseminated by publishing books and articles, defending PhD theses and acquiring patents. Most articles were published in high prestige international journals or in the 47 ISI or BDI journals of our university. Moreover, Alexandru Ioan Cuza University Publishing House received the highest award at the Romanian Book Saloon.

Alexandru Ioan Cuza University of Iaşi is the beneficiary of 7 projects within FP6, 17 projects within FP7, 2 projects INTAS, 2 COST actions, others.

Our university coordinated an ITN project, in which 9 ESR and 1 ER have been trained in Iasi. Also, UAIC is a partner in 3 IRSES ongoing projects –International Research Staff Exchange Scheme that provides a total number of 66 seconded researchers' months.

International Relations. Due to its high level of efficiency and performance, Alexandru Ioan Cuza University of Iaşi has developed partnerships with more than three hundred academic institutions worldwide and has actively promoted the development of European Higher Education. **Privileged partnerships** have been established with universities from Germany (Freiburg, Heidelberg, Jena, Konstanz), France (Bordeaux, Lille, Lyon, Montpellier, Nancy, Paris, Poitiers), Italy (Bari, Bologna, Padova,

Pavia, Perugia, La Sapienza Roma), Spain (Barcelona Autonoma, Granada, Complutense Madrid, Rey Juan Carlos Madrid, Salamanca), Holland (Groningen, Leiden) and Austria (Graz, Innsbrusk, Viena).

According to the internationalization criteria formulated by the **QS World University Rankings**, in 2010 Alexandru Ioan Cuza University of Iaşi ranked 273rd at a global level.

Alexandru Ioan Cuza University of Iaşi is also a member of internationally renowned academic associations, such as: **Coimbra Group, Utrecht Network, Francophone University Agency, European University Association, and International Association of Universities.** Our university has even hosted events organized by some of the associations mentioned above.

Within the framework of the „Eugene Ionesco" scholarship programme financed by the Romanian Government, Alexandru Ioan Cuza University of Iaşi has received 112 beneficiaries from about 20 countries since the implementation of the programme six years ago.

By means of the European programme for transnational cooperation and mobility in higher education, **LLP – ERASMUS**, Alexandru Ioan Cuza University of Iaşi has managed to send abroad more than 15% of the Romanian outgoing students, thus being ranked by the European Commission among the top 100 participating universities.

Alexandru Ioan Cuza University of Iaşi is also one of the 10 universities of the European Union that coordinates 3 ERASMUS Mundus Action 2 programmes: EMERGE (2011), IANUS and EDEN (2012). The consortia coordinated by Alexandru Ioan Cuza University of Iaşi comprise 52 academic and public institutions from 18 countries.

Human Resources

Our research personnel is made up of about 839 teaching staff, 85 young researchers, 1567 PhD students (45 coming from EU and non-EU), 105 postdoctoral researchers (1 from EU). They carry out research activity within the 15 scientific research departments subordinated to the Faculties and the two Departments for Interdisciplinary Research subordinated to the University Senate.

HRS4R Timeline

On 29th March, 2011 Alexandru Ioan Cuza University of Iaşi, represented by Rector, Prof.dr. Vasile Işan, and Vice-Rector for Research and Innovation, prof.dr. Gheorghe Popa, signs the Declaration of commitment to *The European Charter for Researchers* and *The Code of Conduct for the Recruitment of Researchers*. The University starts the five steps process of implementation of The Human Resources

Strategy for Researches as member of the second cohort together with 61 other European organizations. Internal analysis is the first step of this process.

A steering committee was established in University for incorporating The European Charter for Researchers and The Code of Conduct for the Recruitment of Researchers.

The steering committee is led by (new elected) Vice Rector for Research and Innovation, Prof.dr. Dumitru Luca and the members are:

- Marina SARBU, Director of Human Resources Department

- Elena Radu Felice, Head of Research and Project Management Department

- Romeo Asiminei, Ph.D, senior lecturer, Department of Sociology, Faculty of Philosophy and Social Political Sciences

- Ruxandra Ciulu, Ph.D, senior lecturer, Department of Management, Marketing and Business Administration, Faculty of Economics and Business Administration

During February and March 2012 the steering committee conducted the internal analysis based on the principles and the general provisions of the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers.

From February until May 2013 the steering committee performed the correlation between the internal analysis and the provisions' of the Charter and Code in order to generate the action plan. The action plan was approved by the Executive Board of the University Administrative Council in June 2013.

HRS4R Internal analysis

In order to perform the internal analysis, the steering committee designed a questionnaire based on the 40 principles and general conditions of the Charter and Code, distributed on four dimensions: (1) Ethical and professional aspects; (2) Recruitment; (3) Working conditions and social security; (4) Training. Each principle was transformed into a statement. Respondents were asked to evaluate the statements based on a grid between 1 (totally disagree) and 10 (totally agree). In addition, five independent variables (faculty, position, years in the organization, age, sex) were added.

The target segment consisted of employees of the Alexandru Ioan Cuza University of Iaşi, who are involved in research activities (teachers, researchers, doctoral students, post-doctoral students). A non-

probabilistic sample (convenience samples type) was constructed proportionally to the number of employees involved in research activities in each faculty. The questionnaires were distributed by the members of the steering committee to all researchers from university. The final number of questionnaires collected was 253 cases (researchers from all levels) out of 827 total numbers of researchers (therefore, 31 %).

The European Charter for Researchers is a set of general principles and requirements which specifies the roles, responsibilities and entitlements of researchers as well as of employers and/or funders of researchers. The aim of the Charter is to ensure that the nature of the relationship between researchers and employers or funders is conducive to successful performance in generating, transferring, sharing and disseminating knowledge and technological development, and to the career development of researchers. The Charter also recognizes the value of all forms of mobility as a means for enhancing the professional development of researchers.

The Code of Conduct for the Recruitment of Researchers consists of a set of general principles and requirements that should be followed by employers and/or funders when appointing or recruiting researchers. These principles and requirements should ensure observance of values such as transparency of the recruitment process and equal treatment of all applicants, in particular with regard to the development of an attractive, open and sustainable European labour market for researchers, and are complementary to those outlined in the *European Charter for Researchers*.

The European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers
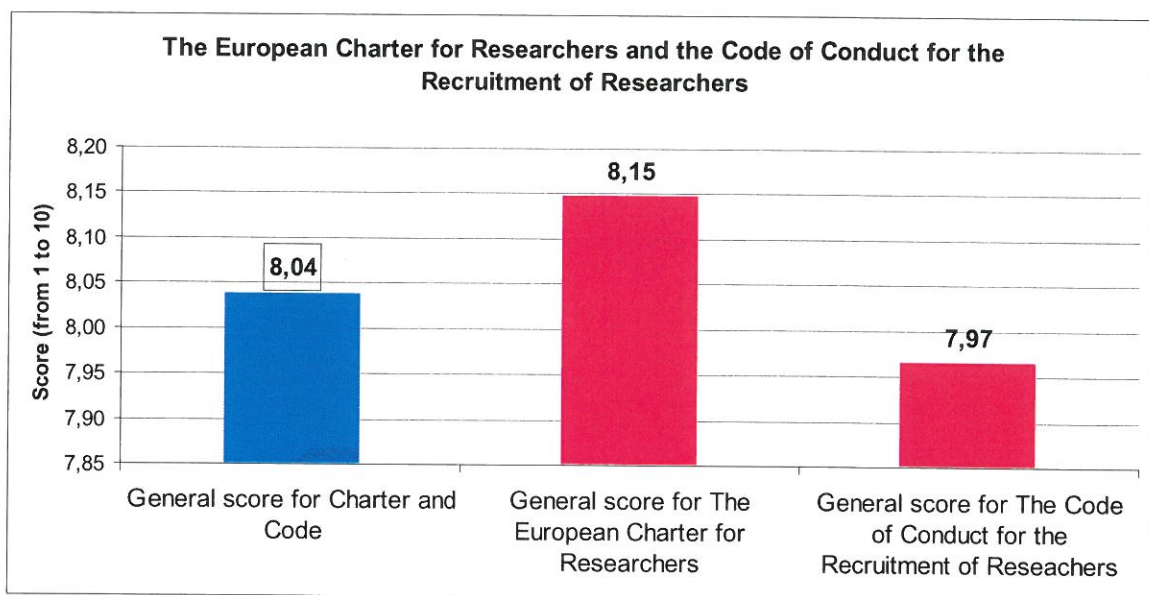
The total score recorded after the evaluation of all 40 principles and conditions is 8.04 (on a scale from 1 (minimum) to 10 (maximum). The overall score for the principles and conditions underlying the *European Charter for Researchers* is 8.15. From all indicators of the *Charter*, the highest score was recorded by "ethics" - 9.62 and the lowest score was recorded for the "teaching" principle - 6.61. Moreover, these two indicators represent the extremes of all the 40 principles and conditions. The overall score for the *Code of Conduct for Researchers Recruitment* is 7.97, much lower than the one recorded by the *Charter*. The highest score of the *Code* was registered by "transparency" - 8.34, while the lowest was "merit evaluation" - 7.47.

The general principles and requirements from *The European Charter for Researchers* are clustered into two categories:

1. General Principles and Requirements applicable to Researchers;

2. General Principles and Requirements applicable to Employers and Funders.

The European Charter for Researchers
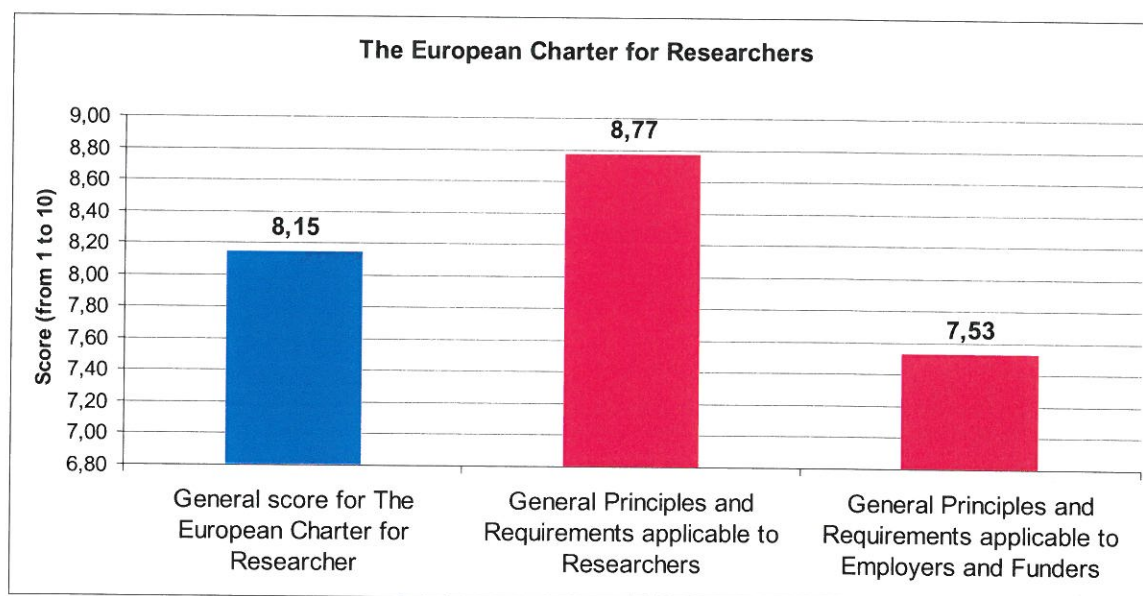
The analysis of the *European Charter for Researchers*, depending on the addressability of the principles and the general terms, shows a significant difference between those aimed at researchers and those aimed at employers. Thus, the general principles and conditions applicable to researchers recorded a

higher score-8.77, compared with the score recorded by the ones applicable employers and funders - 7.53. Of course, a discussion can be made towards a possible overbid, because in the case of the principles and general terms applicable to researchers, we are rather handling with a self-evaluation.

The European Charter for Researchers and *The Code of Conduct for the Recruitment of Researchers* are based on four dimensions: (1) Ethical and professional aspects; (2) Recruitment; (3) Working conditions and social security; (4) Training.

The European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers

Score (from 1 to 10)

Ethical and professional aspects	8,77
Recruitment	7,97
Working conditions and social security	7,41
Training	7,99
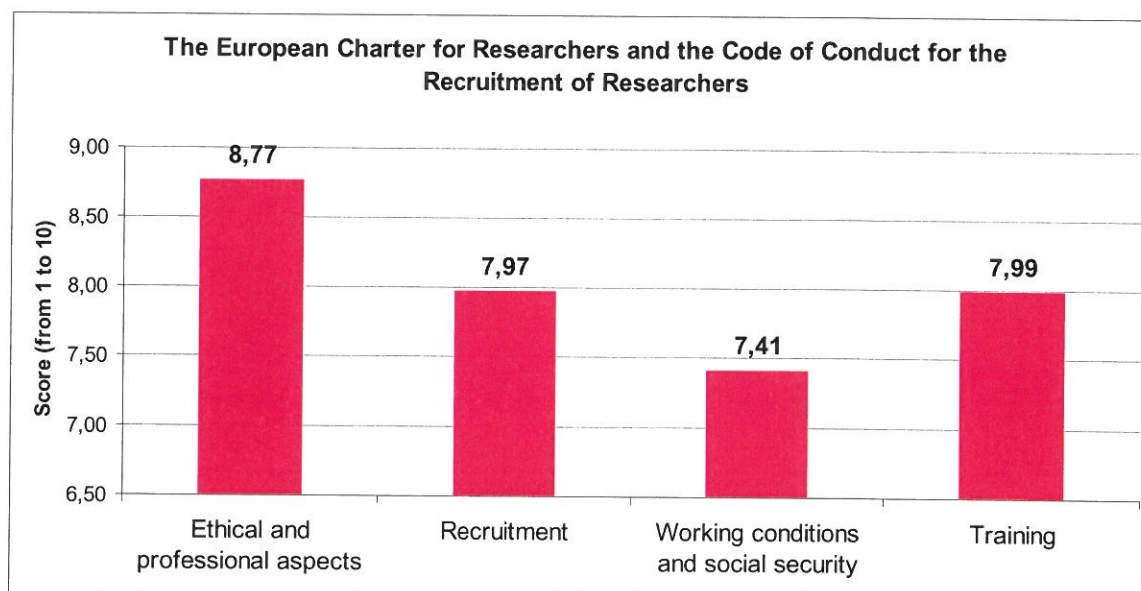
The scores recorded by the four dimensions underlying the *European Charter for Researchers* and the *Code of Conduct* are quite varied. The highest score is recorded by the "ethical and professional issues" - 8.77. Moreover, if we would rank all scores of the 40 principles and conditions, the top three positions would be occupied the indicators related to the "ethical and professional" dimension, while the last three places would be occupied by indicators related to the "working conditions and social security" with the lowest score - 7.41. The dimensions "training" and "recruitment" record very close scores, 7.99, 7.97 respectively, very close to the overall average (8.04).

Rank	General Principles and Requirements	Score	Attributes
1	Ethical principles	9,62	The European Charter for Researcher Principles and Requirements applicable to Researchers Ethical and professional aspects
2	Professional responsibility	9,58	The European Charter for Researcher Principles and Requirements applicable to Researchers Ethical and professional aspects
3	Accountability	9,44	The European Charter for Researcher Principles and Requirements applicable to Researchers Ethical and professional aspects
...			
38	Access to career advice	6,84	The European Charter for Researcher Principles and Requirements applicable to Employers and Funders Working conditions and social security
39	Funding and salaries	6,80	The European Charter for Researcher Principles and Requirements applicable to Employers and Funders Working conditions and social security
40	Teaching	6,61	The European Charter for Researcher Principles and Requirements applicable to Employers and Funders Working conditions and social security

HRS4R gap analysis

The gap analysis was carried out by the steering committee and consisted of analysis of national legislation in force and regulations of the University in relation to the principles of the Charter and code. The steering committee has produced a summary document in which have been listed the 40 principles of the charter and code. For each principle have been identified relevant national legislation, university regulations and score of that principle in the survey. Depending on these factors was determined whether new action is needed. Necessary actions, where appropriate, have been detailed, as well as time frame and responsible actors. The analysis framework has been discussed in steering committee. From this document was extracted the Action Plan that was submitted to the university management.

HRS4R Action plan

The action plan developed by the steering committee was adopted at the meeting of June 19, 2013 by the Executive Board of the University Administrative Council.

Monitoring Every 6 months, the steering committee will evaluate the state of the actions included in the action plan, will determine the gaps (between the projected and the obtained outcome) and will suggest future actions. Afterwards, the steering committee will report to the Executive Board of the University Administrative Council, who will analyse, improve and approve the actions proposed by the steering committee.

Principle	Needed actions	Who/when	KPI[1]
3, 8, 31	Drawing up an internal regulation on intellectual property rights and results exploitation.	Faculty of Law, Legal Office, Research and Project Management Department / 1st of September 2014	Regulation on intellectual property
3, 8, 31	Improve the code of ethics and professional deontology by introducing new means for penalizing plagiarism.	Law Faculty, Legal Office, Research and Project Management Department / 1st of September 2014	Plagiarism penalty system
4	Drawing up a procedure for informing about national and international financing lines within departments.	Research and Project Management Department / 1st of September 2014	Procedure for informing about national and international financing opportunities
5	Drawing up an operational procedure at university level on the recording of R&D activities results in the Register for R&D activities results at national level.	Research and Project Management Department, Legal Office, Financial Department / 1st of December 2014	Operational procedure at university level on the recording of R&D activities results
7	Drawing up a procedure for informing about ethical and deontological aspects at department level through annual workshops.	Ethics commission / 1st of September 2014	Procedure for informing about ethical and deontological aspects
7	Drawing up procedures for obtaining accreditation from the National Authority for Personal Data Protection, (useful for researchers that collect personal data and information).	Human Resources Department, Research and Project Management Department, Legal Office, Office for Structural Funds / 1st of December 2014	Procedures for obtaining accreditation from the National Authority for Personal Data Protection
8, 31	Create a structure for technological transfer within the university.	Executive Board of the Administrative Council / 1st of December 2014	Technological Transfer Structure
9	Create a web page for making research hot results available to the general public.	Media Department, Research and Project Management Department / 1st of September 2014	UAIC's research web page for general public information

[1] Key Performance Indicator (KPI)

No.	Action	Responsible / Deadline	Deliverable / Indicator
9	Drawing up a procedure for promoting latest research results available to the general public, where each faculty should propose an item.	Media Department, faculties / 1st of September 2014	Procedure for making latest research results available to the general public
11, 16	Conclude development of the online platform for individual reporting of researchers' results.	Research and Project Management Department / 1st of December 2014	Online platform for individual reporting of researchers' results
11, 16	Development of an evaluation system based on the above-mentioned online platform	Department heads, faculties / 1st of December 2014	Researchers' activity results evaluation system
21, 22	Drawing up a set of regulations / a methodology on post-doctoral studies	Research and Project Management Department, Doctoral Studies Department / 1st of December 2014	Regulations / methodology on post-doctoral studies
23	Improve research infrastructure (quantitatively and qualitatively) needed for top research at university level.	Research and Project Management Department, Interdisciplinary departments, Departments / 15th of December, each year	Number of research platforms; Number of research centres; Value of investments in research infrastructures (EUR)
23	Publish examples of best practice guides for research at university and department levels.	Research and Project Management Department, Interdisciplinary departments, Departments / 1st of December 2014	Examples of best practice guides for research
24	Improve facilities for disabled researchers	University Administrative Board/ 1st of September 2014	Facilities for disabled researchers
26, 33	Stimulate participation in European projects, including structural and national funds	Research and Project Management Department, Department heads, Faculty heads/ 1st of December 2014	Number or project proposals submitted; Number of projects financed; Value of project financed (EUR)
27	Oversee to maintain a balance for gender representation at all organizational levels through measures to ensure equal opportunities for men and women, without ignoring the quality and competency principles.	Research and Project Management Department, Department heads, Faculty heads / 1st of September 2014	Procedure for maintaining a balance for gender representation

28, 30, 38, 39	Drawing up a strategy for career planning for researchers.	University Administrative Board, Department heads, Faculty heads / 1st of December 2014	Strategy for career planning for researchers
29	Drawing up a procedure to increase international visibility, mainly by online means (web pages) for faculties / departments / research groups in order to attract foreign researchers.	Faculties / departments / research groups / 1st of December 2014	Procedure to increase international visibility
32	Re-examination of performance evaluation criteria by awarding co-authors equal points to the sole author.	University Administrative Board / 1st of September 2014	Procedure for awarding co-authorship
34	Drawing up a procedure for communicating complaints about working conditions, hierarchical relations and payment for activities.	Human Resources Department / 1st of September 2014	Procedure for complaints
35	Drawing up a procedure for making financial (national or international) decisions for research more transparent.	University Administrative Board / 1st of September 2014	Procedure for making financial decisions for research more transparent

RECTOR

Prof. univ. dr. Vasile IŞAN