

TEMPLATE 1 – GAP ANALYSIS

Name Organisation under review: **Alexandru Ioan Cuza University of Iasi**

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SUBMISSION DATE:15.11.2017

DATE ENDORSEMENT CHARTER AND CODE: 29.03.2011

Please provide the date when your organisation officially endorsed the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers.

PROCESS

The HRS4R process must engage all management departments directly or indirectly responsible for researchers' HR-issues. ¹ These will typically include the Vice-Rector for Research, the Head of Personnel, and other administrative staff members. In addition, the HRS4R strategy must consult its stakeholders and involve a representative community of researchers ranging from R1 to R4², as well as appoint a Committee overseeing the process and a Working Group responsible for implementing the process.

Please provide evidence of how the above groups were involved in the GAP-analysis: e.g. names, meeting dates, or consultation format. In addition, indicate how the Committee and Working Group are composed.

On 29th March, 2011 Alexandru Ioan Cuza University of Iași, represented by Rector, Professor Vasile Ișan, PhD, and Vice-Rector for Research and Innovation, Professor Gheorghe Popa, PhD, signs the Declaration of commitment to The European Charter for Researchers and The Code of Conduct for the Recruitment of Researchers. 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 continues it's work until now. The steering committee was led by Vice Rector for Research and Innovation, Professor Dumitru Luca, PhD, and since 2016 by new elected Vice- Rector Professor Ionel Mangalagiu, PhD. The members of the steering committee are:

- Marina SARBU, Director of Human Resources Department;
- Elena Radu Felice, Head of Research and Project Management Department;
- Associate Professor, Romeo Asiminei, PhD, Department of Sociology;
- Associate Professor, Ruxandra Ciulu, PhD, Department of Management.

During February and March 2012 the steering committee conducted the first 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. Based on the GAP analysis an action plan has been developed and approved by the Executive Board of the University Administrative Council. On 10.04.2014 Alexandru Ioan Cuza University of Iași was awarded with the HR Excellence in Research logo. In October 2017 the steering committee conducted a new GAP 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 and on Open, Transparent and Merit-based Recruitment of Researchers. Based on these results, compared with the GAP analysis from 2012 the steering

¹ The term 'Human Resources' is used **in the largest possible sense**, to include all researchers (Frascati definition: Proposed Standard Practice for Surveys on Research and Experimental Development, Frascati Manual, OECD, 2002) disregarding the profile, career ,level', type of contract etc. etc.

² For a description of R1-R4, please see

http://ec.europa.eu/euraxess/pdf/research_policies/Towards_a_European_Framework_for_Research_Careers_final.pdf

committee updated the action plan. The action plan was approved by the Executive Board of the University Administrative Council in November 2017.

GAP ANALYSIS

The Charter and Code provides the basis for the Gap analysis. In order to aid cohesion, the 40 articles have been renumbered under the following headings. Please provide the outcome of your organisation's GAP analysis below. If your organisation currently does not fully meet the criteria, please list whether national or organisational legislation may be limiting the Charter's implementation, initiatives that have already been taken to improve the situation or new proposals that could remedy the current situation. In order to help the organisation's recruitment strategy, a specific self-assessment checklist is provided for Open, Transparent and Merit-Based Recruitment.

European Charter for Researchers and Code of Conduct for the Recruitment of Researchers : GAP analysis overview

Status: to what extent does this organisation meet the following principles?	+ = fully implemented +/- = almost but not fully implemented -/+ = partially implemented - = insufficiently implemented	In case of -, -/+, or +/-, please indicate the actual "gap" between the principle and the current practice in your organisation. If relevant, please list any national/regional legislation or organisational regulation currently impeding implementation	Initiatives already undertaken and/or suggestions for improvement
Ethical and Professional Aspects			
		2012	2017
1. Research freedom	+	8.99	9.12
2. Ethical principles	+	9.62	9.75
3. Professional responsibility	+	9.58	9.64
			2013 Action Plan: Drawing up an internal regulation on intellectual property rights and results exploitation. Undertaken actions: 1. Operational procedure for recording the results of R & D activities in UAIC at DCMP (2016); 2. Procedure for the preparation and approval of patent applications (2017); 3. Obligation to use software that detects plagiarism. Plagiarism Procedure (2016)

4. Professional attitude	+	8.52	8.78	2013 Action Plan: Drawing up a procedure for informing about national and international financing lines within departments. Undertaken actions: Procedure for informing about national and international financing opportunities by institutional email address (newsletter)
5. Contractual and legal obligations	+	8.10	8.55	2013 Action Plan: 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. Undertaken actions: 1. Operational procedure for recording the results of R & D activities in UAIC at DCMP (2016)
6. Accountability	+	9.44	9.59	
7. Good practice in research	+	8.86	9.25	2013 Action Plan: Drawing up a procedure for informing about ethical and deontological aspects at department level through annual workshops. Undertaken actions: In progress: establishment of the Committee UAIC Bio-Ethics in Research (experiments involving laboratory animals). EU Compliant Legislation has been analyzed. A draft of a Commission Regulation is in progress.
8. Dissemination, exploitation of results	+	8.58	8.97	2013 Action Plan: Drawing up an internal regulation on intellectual property rights and results exploitation. Undertaken actions: 1. Operational procedure for recording the results of R & D activities in UAIC at DCMP (2016); 2. Procedure for the preparation and approval of patent

					<p>applications (2017)</p> <p>2013 Action Plan: Create a structure for technological transfer within the university.</p> <p>Undertaken actions: First Infrastructure for Innovation and Technology Transfer (ITT) will be set up in 2018 in the IT field through a project funded by structural funds.</p>
9. Public engagement	+		8.13	8.78	<p>2013 Action Plan: Drawing up a procedure for promoting latest research results available to the general public, where each faculty should propose an item.</p> <p>Undertaken actions: The media department receives information from the faculties and DCMP for press releases or promotions on the UAIC website. http://www.uaic.ro/registruled-evidenta-rezultatelor-activitatii-de-cercetare-dezvoltare/</p>
10. Non discrimination	+		8.87	8.85	
11. Evaluation/ appraisal systems	+/-		7.76	8.16	<p>2013 Action Plan: Conclude development of the online platform for individual reporting of researchers' results.</p> <p>Undertaken actions: UAIC has financed from its own funds, a 2-year project titled <Software Service Platform for the Centralization of Scientific Activity Reporting at UAIC> with completion in 2017.</p>
<p>Recruitment and Selection – please be aware that the items listed here correspond with the Charter and Code. In addition, your organisation also needs to complete the checklist on Open, Transparent and Merit-Based Recruitment included below, which focuses on the operationalization of these principles.</p>					
12. Recruitment	+		8.05	8,55	

13. Recruitment (Code)	+		8.07	8,30		
14. Selection (Code)	+		7.72	8,39		
15. Transparency (Code)	+		8.34	8,65		
16. Judging merit (Code)	+/-		7.47	7,82	The evaluation/ appraisal systems needs to be improve and aligned with specialized scientific standards	2013 Action Plan: Conclude development of the online platform for individual reporting of researchers' results. Undertaken actions: UAIC has financed from its own funds, a 2-year project titled <Software Service Platform for the Centralization of Scientific Activity Reporting at UAIC> with completion in 2017. A re-check criteria (other than minimal national standards) will be started in order to meet the C&C + OTM-R principles.
17. Variations in the chronological order of CVs (Code)	+		7.88	8,04		
18. Recognition of mobility experience (Code)	+		8.09	8,33		
19. Recognition of qualifications (Code)	+		8.06	8,18		
20. Seniority (Code)	+		8.05	8,48		
21. Postdoctoral appointments (Code)	+		8.09	8,22		2013 Action Plan: Drawing up a set of regulations / a methodology on post-doctoral studies

							Undertaken actions: A regulations / methodology on post-doctoral studies is in progress based on the postdoctoral programs developed within the projects funded by the European Social Fund through the Sectorial Operational Program Human Resources Development 2007-2013
Working Conditions and Social Security							
22. Recognition of the profession	+		8.15	8,43			
23. Research environment	+		7.32	7,29			2013 Action Plan: Improve research infrastructure (quantitatively and qualitatively) needed for top research at university level. Undertaken actions: Continuous process: three infrastructures created through the Structural Funds and the FP7 program: 1. Integrated Center for Environmental Science Studies for the North East Development Region – CERNESIM; 2. Research Center for Advanced Materials and Technologies – RAMTECH; 3. Center for Gender Equality in Science
24. Working conditions	+		7.28	7,33			2013 Action Plan: Improve facilities for disabled researchers Undertaken actions: UAIC has created and upgraded its infrastructure for disabled researchers
25. Stability and permanence of employment	+		8.20	8,36			
26. Funding and salaries	+		6.80	7,27			2013 Action Plan: Stimulate participation in European projects, including structural and

						<p>national funds</p> <p>Undertaken actions: Continuous process. Procedure for informing about national and international financing opportunities by institutional email address (newsletter)</p>
27. Gender balance	+		7.48	8,11		<p>2013 Action Plan: 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.</p> <p>Undertaken actions: 1. Center for Gender Equality in Science was created. 2. Re-evaluating procedure for the appointment of selection committees.</p>
28. Career development	+		6.86	7,30		<p>2013 Action Plan: Drawing up a strategy for career planning for researchers.</p> <p>Undertaken actions: Strategy for career planning for researchers is in progress</p>
29. Value of mobility	+		7.65	7,99		<p>2013 Action Plan: 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.</p> <p>Undertaken actions: UAIC strongly supports internationalization and researcher mobility (COST Actions, ERASMUS mobility programs)</p>
30. Access to career advice	+		6.84	7,16		<p>2013 Action Plan: Drawing up a strategy for career planning for researchers.</p> <p>Undertaken actions: Strategy for career planning for researchers is in progress</p>

31. Intellectual Property Rights	+		7.80	8,02		2013 Action Plan: Drawing up an internal regulation on intellectual property rights and results exploitation. Undertaken actions: 1. Operational procedure for recording the results of R & D activities in UAIC at DCMP (2016); 2. Procedure for the preparation and approval of patent applications (2017); 3. Obligation to use software that detects plagiarism. Plagiarism Procedure (2016)
32. Co-authorship	+		7.85	8,08		
33. Teaching	-/+		6.61	6,96	The teaching loads are set by the national regulations.	A revised teaching load strategy will be undertaken within the limits of the national regulations.
34. Complain/ appeals	+		7.42	7,58		
35. Participation in decision-making bodies	+		7.65	8,15		
Training and Development						
36. Relation with supervisors	+		8.16	8,07		
37. Supervision and managerial duties	+		7.90	8,16		
38. Continuing Professional Development	+		9.37	9,46		2013 Action Plan: Drawing up a strategy for career planning for researchers. Undertaken actions: Strategy for career planning for researchers is in progress

39. Access to research training and continuous development	+	7.39	7,47	2013 Action Plan: Drawing up a strategy for career planning for researchers. Undertaken actions: Strategy for career planning for researchers is in progress
40. Supervision	+/-	7.20	7,28	Supervision for young researchers is carried out more informally than formal (the observation does not apply to PhD students and postdoctoral students) Formalize supervision for teaching & research staff. PhD and post-PhD students benefit from supervision mechanisms and supervisors, whereas for teaching & research staff there is no formal supervision procedure.
Any additional issues				

00 – results from 2012 GAP Analysis; 00 – results from 2017 GAP Analysis

Template 1 – Annex: Open, Transparent and Merit-based Recruitment Check-list³

OTM-R checklist for organisations

	Open	Trans- parent	Merit- based	Answer: ++ Yes, completely +/- Yes, substantially -/+ Yes, partially -- No	Suggested indicators (or form of measurement)
OTM-R system					
1. Have we published a version of our OTM-R policy online (in the national language and in English)?	x	x	x	++	RO: http://www.uaic.ro/cercetare/carta-europeana-cercetatorului-si-codul-de-conduita-pentru-recrutarea-cercetatorilor/ EN: http://www.uaic.ro/en/cercetare/european-charter-and-code-for-researchers/

³ <http://ec.europa.eu/euraxess/index.cfm/services/researchPolicies>

2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?	x	x	x	x	x	++	There are clear OTM-R procedures and practices for all types of positions described in National legislation and University documents. The latest update is on 28.09.2017
3. Is everyone involved in the process sufficiently trained in the area of OTM-R?	x	x	x	x	x	++	- Existence of training programmes for OTM-R: 4 mutual learning seminars for steering committee members and one training for university management staff. - Number of staff following training in OTM-R: 32 university management staff followed training in OTM-R
4. Do we make (sufficient) use of e-recruitment tools?	x	x				++	Web-based tool for (all) the stages in the recruitment process: All positions are advertised on the university website (http://www.uaic.ro/angajariuic/) and on Ministry of National Education (http://jobs.edu.ro/) In addition the research positions are advertised on EURAXES Any interested researcher can subscribe to the university's website to receive related information to open positions.
5. Do we have a quality control system for OTM-R in place?	x	x	x	x	x	++	Each selection and each application is reviewed by the Human Resources Department, by a specialized faculty committee, by the legal office, by the vice-rector and by the selection committee
6. Does our current OTM-R policy encourage external candidates to apply?	x	x	x	x	x	+/-	All university recruitment and selection procedures and practices in university do not discriminate between internal or external candidates. Trend in the share of applicants from outside the organization: 12.4% (14) external candidates in 2015; 6.4% (6) external candidates in 2016; 32.9% (28) external candidates in 2017
7. Is our current OTM-R policy in line with policies to attract researchers from abroad?	x	x	x	x	x	+/-	All university recruitment and selection procedures and practices in university do not discriminate abroad candidates Trend in the share of applicants from abroad: In last

	x	x	x	x	++	3 years we had received only one application from abroad, due to the working language (Romanian) and lower wages than the rest of the countries All university recruitment and selection procedures and practices in university do not discriminate between man or women candidates. Trend in the share of applicants among underrepresented groups (frequently women): 36.3% (41) women candidates in 2015; 39.4% (37) women candidates in 2016; 44.7% (38) women candidates in 2017
8. Is our current OTM-R policy in line with policies to attract underrepresented groups?	x	x	x	x	+/-	All university recruitment and selection procedures and practices in university do not discriminate between internal or external candidates. Trend in the share of applicants from outside the organization: 12.4% (14) external candidates in 2015; 6.4% (6) external candidates in 2016; 32.9% (28) external candidates in 2017
9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?	x	x	x	x	++	National legislation and university procedures and practices guarantee that the most suitable researchers are selected according to specific standards for positions and merit based.
10. Do we have means to monitor whether the most suitable researchers apply?						
Advertising and application phase						
11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?	x	x	x	x	++	The University have clear guidelines or templates for advertising positions www.uaic.ro/wp-content/uploads/2017/05/C-LISTA-INSCRIERI-POSTURILOR-CERC-PER-NEDET-CS-IIICS-II-SEM-II-2016-2017-1.pdf All information and documents are listed on the recruitment university webpage section
12. Do we include in the job advertisement references/links to all the elements foreseen in the relevant section of the toolkit? [see Chapter 4.4.1 a) of the OTM-R expert report ⁴]	x	x	x	x	++	All information and documents are listed on the recruitment university webpage section: National legislation, university procedures, positions, selection committees, results, other information.

⁴ <http://ec.europa.eu/euraxess/index.cfm/services/researchPolicies>

13. Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience?	x	x		-/+	<p>- The share of job adverts posted on EURAXESS; All research position are published on EURAXESS. The teaching positions are not published on EURAXESS at this moment.</p> <p>- Trend in the share of applicants recruited from outside the organisation/abroad: 12.4% (14) external candidates in 2015; 6.4% (6) external candidates in 2016; 32.9% (28) external candidates in 2017</p> <p>All positions are advertised on university website and are published in the Romanian Official Monitor Bureaucracy is kept to the minimum required by the legal framework</p>
14. Do we make use of other job advertising tools?	x	x		++	
15. Do we keep the administrative burden to a minimum for the candidate? [see Chapter 4.4.1 b) ⁴⁵]	x			++	
Selection and evaluation phase					
16. Do we have clear rules governing the appointment of selection committees? [see Chapter 4.4.2 a) ⁴⁵]	x	x	x	+/-	<p>The university has clear and transparent rules on how to select members of the selection committee: 5 members per committee; 3 members outside the institution; international members are welcome; members are experts in the field of the position. There are no specific requirements regarding the gender balance of the committees.</p> <p>Statistics on the composition of panels: 35% women, 65% men from all committees in 2017.</p>
17. Do we have clear rules concerning the composition of selection committees?	x	x	x	++	<p>The university has clear and transparent rules on how to select members of the selection committee: 5 members per committee; 3 members outside the institution; international members are welcome; members are experts in the field of the position; joint interests or kinship relations between candidates and members of the committee are not accepted</p>
18. Are the committees sufficiently gender-balanced?	x	x	x	-/+	<p>There are no specific requirements regarding the gender balance of the committees.</p> <p>Statistics on the composition of panels: 35% women, 65% men from all committees in 2017.</p>

19. Do we have clear guidelines for selection committees which help to judge 'merit' in a way that leads to the best candidate being selected?			x		++	For every position a clear and transparent set of scientific criteria is established. Based on this criteria and on the relevance of the arguments put forward by the candidates the selection committees judge the 'merit' in a way that leads to the best candidate being selected
Appointment phase						
20. Do we inform all applicants at the end of the selection process?		x			++	All applicants, regardless of outcome, are announced at the end of the selection process. The selection results are public and are published on the university website.
21. Do we provide adequate feedback to interviewees?		x			++	All applicants, regardless of outcome, receive feedback
22. Do we have an appropriate complaints mechanism in place?		x			++	Each post in the contest has an advertised calendar. This calendar provides for a minimum of 48 hours for complaints. Each complaint is recorded. Candidates must receive a response within 48 hours Statistics on complaints: 1 complaint (2017)
Overall assessment						
23. Do we have a system in place to assess whether OTM-R delivers on its objectives?					-/+	A system to assess whether OTM-R delivers on its objectives is in debate at the steering committee level

Authorized signatory for the Rector,

Prof. univ. dr. ~~Michael ONOFREI~~

