

TEMPLATE 3: INTERNAL REVIEW

Name Organisation under review:

ALEXANDRU IOAN CUZA UNIVERSITY OF IASI/ UNIVERSITATEA „ALEXANDRU IOAN CUZA”DIN IASI

Organisation's contact details:

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

English: <http://www.uaic.ro/en/cercetare/european-charter-and-code-for-researchers/>

Romanian: <http://www.uaic.ro/cercetare/carta-europeana-cercetatorului-si-codul-de-conduita-pentru-recrutarea-cercetatorilor/>

Web-link to organisational recruitment policy (OTM-R principles):⁴⁵ English:

<http://www.uaic.ro/en/cercetare/european-charter-and-code-for-researchers/>

Romanian: <http://www.uaic.ro/cercetare/carta-europeana-cercetatorului-si-codul-de-conduita-pentru-recrutarea-cercetatorilor/>

SUBMISSION DATE TO THE EUROPEAN COMMISSION: 15 NOVEMBER 2017

1. ORGANISATIONAL INFORMATION

STAFF & STUDENTS	FTE
<i>Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research</i>	1047
<i>Of whom are international (i.e. foreign nationality)</i>	48
<i>Of whom are externally funded (i.e. for whom the organisation is host organisation)</i>	0
<i>Of whom are women</i>	568
<i>Of whom are stage R3 or R4¹ = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.</i>	106
<i>Of whom are stage R2 = in most organisations corresponding with postdoctoral level</i>	120
<i>Of whom are stage R1 = in most organisations corresponding with doctoral level</i>	821
<i>Total number of students (if relevant)</i>	23.124
<i>Total number of staff (including management, administrative, teaching and research staff)</i>	1883
RESEARCH FUNDING (figures for most recent fiscal year)	€
<i>Total annual organisational budget</i>	55.142.194
<i>Annual organisational direct government funding (block funding, used for teaching, research, infrastructure,...)</i>	35.764.800

¹ http://ec.europa.eu/euraxess/pdf/research_policies/Towards_a_European_Framework_for_Research_Careers_final.pdf

<i>Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)</i>	4.279.183
<i>Annual funding from private, non-government sources, designated for research</i>	11.795
ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)	
<p>The Alexandru Ioan Cuza University of Iași is the oldest higher education institution in Romania. Since 1860, the university has been carrying on a tradition of excellence and innovation in the fields of education and research. With over 23000 students (BA, MA, PhD students) the university enjoys high prestige at national and international level and cooperates with over 250 universities world-wide.</p> <p>Alexandru Ioan Cuza University of Iași is well-known/renowned both at national and international levels for the research experience of its prominent specialists in the fields of Natural Sciences and Mathematics, Social Sciences and Humanities as well as Economics.</p>	

2. NARRATIVE (MAX. 2 PAGES)

Starting with its mission ('to promote the ideas of free society') and vision ('educating the mind in the free thinking spirit'), the Alexandru Ioan Cuza University (hereby named UAIC) genuinely aims at promoting the values of freedom and meritocracy, intuitively promoting equality of chances and gender balance. Prior to the adoption of the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers, UAIC made significant steps in this direction by creating non-discriminatory procedures and by engaging in projects in order to promote gender equality (e.g. STAGES).

Research is a key component for UAIC and the University is acknowledged at national and international levels for its performance (e.g. Webometrics citations – 3rd place in Romania and no 435 in Europe out of 12000 universities worldwide). Also, the university has been constantly ranked as one of the top 3 universities in Romania (out of 98 higher education institutions) for different criteria, mainly linked to teaching and research.

In the past ten years, teaching and research staff has been involved in hundreds of national and international projects through 24 research and excellence centers, whose results are published in prestigious journals. UAIC has been keen on stimulating performance in research, on encouraging an interactive and creative teaching approach and on attracting valuable specialists to the academic world, all contributing to excellence in its field.

Since the adoption of the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers in 2011 and, more recently, by starting the implementation of the OTM-R principles, UAIC has formalized some procedures that were previously included in other approaches or they were not clear/consistent enough. Also, the adoption of the C&C and OTM-R provisions have created the premises for continuing to develop policies and procedures for research staff and for continuing to support research as a key component at UAIC.

The reevaluation of the internal environment concerning the C&C principles conducted in 2017 reflected positive changes on all of the four categories, proving that UAIC is engaged on a positive trend towards applying the C&C principles within the organization (see Tables 1 and 2).

	Results 2012	Results 2017
General score for Charter and Code	8.04	8.27
General score for The European Charter for Researchers	8.15	8.27
General score for The Code of Conduct for the Recruitment of Researchers	7.97	8.32

	Results 2012	Results 2017
Ethical and professional aspects	8.77	9.06
Recruitment and selection	7.97	8.30
Working conditions and social security	7.41	7.72
Training and development	7.99	8.09

Ethical and Professional Aspects

Based on the results of the internal analysis, the ethical and professional aspects rank first at University level (9.06 out of 10) and the top three scores for all 40 principles are from this category (see Table 3).

Table 3 – The top principles and general conditions at UAIC level

Position	Score	Principles and general conditions	Attributes
1	9.75	Ethical principles	The European Charter for Researchers Principles and conditions applicable to researchers Ethical and professional aspects
2	9.64	Professional responsibility	
3	9.59	Responsibility	

This proves that UAIC is historically engaged in a process of applying ethical principles on all fields (research included) and that the C&C come to consolidate its pathway.

Recruitment and Selection

From Recruitment and Selection perspective, this is the category that recorded the highest growth between 2012 and 2017. This is due to intensified connections at international level and to meritocracy promoted at organizational level, which create the premises for a more diverse workforce.

Working Conditions and Social Security

This is the most category with the most growth potential at UAIC level. Having the highest score in 2012 (7.41), it ranks second in 2017 in terms of growth (to 7.72) and its growth potential is still very good. In this category we find some of the reasons Romania is not very attractive for international researchers due to the low level of income that can be obtained (some limitations through regulations at national level). Also, the teaching load is very high, which leaves little time to focus on research when the researcher is a full time teacher and researcher (see Table 4).

Table 4 – The top principles and general conditions at UAIC level

Position	Score	Principles and general conditions	Attributes
39	7.27	Financing and salaries	The European Charter for Researchers Principles and conditions applicable to employers and funders Working conditions and social security
38	7.16	Access to career consultancy	
40	6.96	Teaching	

Training and Development

Supervision is proven to be extremely useful at UAIC for PhD and post-PhD researchers, but it is not formalized for the other researchers. Also, all staff would feel that the university could invest more in trainings (internal or external).

3. ACTIONS

In the following table please find the renewed list of actions starting from the ones proposed in 2014 as part of our HRS4R, updated with actions that will continue the path of our University towards full implementation of the C&C and OTM-R principles.

Principle	Needed actions	Who/when (initially established)	KPI ²	2017	Current status
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 / 1 st of September 2014	Regulation on intellectual property	Two internal operational procedures were approved: 1. Operational procedure concerning the manner of recording results of research & development activities at UAIC (at DRPM Department) (2016) 2. Systemic procedure concerning the drawing and approval of invention patent requests (2017)	Completed
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 / 1 st of September 2014	Plagiarism penalty system	Since March 2016, higher education institutions in Romania must use academic anti-plagiarism software to check PhD theses (Blackboard Learn, the SafeAssign component e.g. https://class.feaa.uaic.ro/webapps/login/). Some faculties (e.g. Faculty of Economics and Business Administration) use this software for checking plagiarism also for bachelor and master thesis and even for individual/group projects.	Completed
4	Drawing up a procedure for informing about national and international financing lines within departments.	Research and Project Management Department / 1 st of September 2014	Procedure for informing about national and international financing opportunities	Information is sent through e-mail to e-mail groups within the faculties.	Completed
5	Drawing up an operational procedure at	Research and Project Management Department, Legal	Operational procedure at university level on the recording of R&D	Operational procedure concerning the manner of recording results of research & development activities at UAIC (at DRPM Department) (2016)	Completed

² Key Performance Indicator (KPI)

	university level on the recording of R&D activities results in the Register for R&D activities results at national level.	Office, Financial Department / 1 st of December 2014	activities results	Link to the website: http://dcmp.uaic.ro:8081/apex/f?p=100	
7	Drawing up a procedure for informing about ethical and deontological aspects at department level through annual workshops.	Ethics commission / 1 st of September 2014	Procedure for informing about ethical and deontological aspects	Currently working on establishing the UAIC Commission for Bio-Ethics in Research (experiments that imply animals in the labs) Regulations according to the EU standards we prepared and currently working on a draft of regulation for the Commission to function, drawing on the experience of other universities in Romania (UMF, USAMV).	Ongoing
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 / 1 st of December 2014	Procedures for obtaining accreditation from the National Authority for Personal Data Protection	To be considered for implementation in 2018.	Not started
8, 31	Create a structure for technological transfer within the university.	Executive Board of the Administrative Council / 1 st of December 2014	Technological Transfer Structure	One PhD candidate was hired full time. The first innovation and technological transfer infrastructure (ITT) will be inaugurated in 2018 in the IT field through a project financed through structural funds.	Ongoing
9	Create a web page for making research	Media Department, Research and Project	UAIC's research web page for general public	http://www.uaic.ro/registrul-de-evidenta-rezultatelor-activitatii-de-cercetare-dezvoltare/	Completed

	hot results available to the general public.	Management Department / 1 st of September 2014	information	
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 / 1 st of September 2014	Procedure for making latest research results available to the general public	Completed
11	Evaluation/appraisal system	Human Resources Department / March 2018	Evaluation criteria for full-time researchers or for teaching & research staff	Not started
11, 16	Conclude development of the online platform for individual reporting of researchers' results.	Research and Project Management Department / 1 st of December 2014	Online platform for individual reporting of researchers' results	Ongoing
11, 16	Development of an evaluation system based on the above-mentioned online platform	Department heads, faculties / 1 st of December 2014	Researchers' activity results evaluation system	Ongoing
16	Judging merit	Human Resources Department / March 2018	Evaluation criteria for admission and for periodical evaluation of researchers	Not started
21, 22	Drawing up a set of regulations / a methodology on	Research and Project Management Department, Doctoral	Regulations / methodology on post-doctoral studies	Completed
			Post-doctoral programs were deployed within co-financed projects from the European Social Fund through the Sectoral Operational Program	

	post-doctoral studies	Studies Department / 1 st of December 2014	Number of research platforms Number of research centers Value of investments in research infrastructures (EUR)	Human Resources Development 2007-2013 and UAIC complied with the project provisions. Continuous process. Three infrastructures were created through structural funds and through the FP7 program: 1. The integrated study center for environmental science for the North-Eastern region OF Romania – CERNESIM (POSCCE ID 901) – http://cernesim.uaic.ro and https://www.erris.gov.ro/cernesim.uaic.ro 2. Research Center on Advanced Materials and Technologies - RAMTECH (POSCCE ID 501) http://www.ramtech.uaic.ro 3. Following the implementation of the FP7 project STAGES (Structural Transformation to Achieve Gender Equality in Science, GA 289051/2011) between 2012 and 2015, the first center for research, monitoring and documenting concerning gender equality in academia and research was created: Center for Gender Equality in Science - http://www.stages.csmcd.ro/	Ongoing
23	Improve research infrastructure (quantitatively and qualitatively) needed for top research at university level.	Research and Project Management Department, Interdisciplinary departments, Departments / 15 th of December, each year	Examples of best practice guides for research	Analyze research projects and choose which ones we will work with.	No started.
23	Publish examples of best practice guides for research at university and department levels.	Research and Project Management Department, Interdisciplinary departments, Departments / 1 st of December 2014	Facilities for disabled researchers	Consider options in 2018. For the moment, only the required legal standards (e.g. access ramp) are met.	Ongoing
24	Improve facilities for disabled researchers	University Administrative Board/ 1 st of September 2014	Number or project	Continuous process	Ongoing
26, 33	Stimulate	Research and Project			Ongoing

27	participation in European projects, including structural and national funds	Management Department, Department heads, Faculty heads / 1 st of December 2014	proposals submitted Number of projects financed Value of project financed (EUR)	Center for Gender Equality in Science - http://www.stages.csmcd.ro/ The first center for research, monitoring and documenting concerning gender equality in academia and research.	Ongoing
28, 30, 38, 39	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. Drawing up a strategy for career planning for researchers.	Research and Project Management Department, Department heads, Faculty heads / 1 st of September 2014	Procedure for maintaining a balance for gender representation	A strategy will be considered as a separate document in 2018-2019. There is a formal framework, established through the Department for Student Services and Alumni (DSSA). The basic principle of DSSA is to integrate student services all along the academic experience of the student: <ul style="list-style-type: none"> • career orientation before admission to the university • services during university years (undergraduate, master, PhD) • graduation • insertion on the labor market and integration in the Alumni community of UAIC http://www.uaic.ro/studenti/cariera/	Ongoing

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 / 1 st of December 2014	Procedure to increase international visibility	http://www.uaic.ro/en/absolventi/alumni-foundation/ http://www.uaic.ro/wp-content/uploads/2014/01/Erasmus-Policy-Statement.pdf Erasmus programs are highly active at UAIC, as this is the university with the largest number of outgoing students in Romania on Erasmus exchanges (http://www.cuzanet.ro/sub-lupa/dosar-de-presa/uaic-erasmus.html). Teaching, research and staff mobilities are equally extensive. Will be considered for 2018.	Completed
32	Re-examination of performance evaluation criteria by awarding co-authors equal points to the sole author.	University Administrative Board / 1 st of September 2014	Procedure for awarding co-authorship	Will be considered for 2018.	Not started
33	Teaching load	University Administrative Board / March 2018	Revise the teaching load within the limits of the national regulations.	Will be considered for 2018.	No started
34	Drawing up a procedure for communicating complaints about working conditions, hierarchical relations and payment for activities.	Human Resources Department / 1 st of September 2014	Procedure for complaints	Will be considered for 2018.	No started
35	Drawing up a procedure for making financial (national or	University Administrative Board / 1 st of September 2014	Procedure for making financial decisions for research more	To be considered, but quite difficult to implement (it depends on input from national and international authorities).	No started

	international) decisions for research more transparent.		transparent		
40	Supervision	University Administrative Board / March 2018	Procedure for supervision of all researchers	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.	No started
OTM-R 13	Publish on EURAXESS	Human Resources Department / March 2018	Procedure for publishing all positions with research content in both English and Romanian on EURAXESS.	Research positions on international projects are all published. Teaching positions with a research component to be added.	Ongoing
OTM-R 16 + 18	Gender balanced	Human Resources Department / March 2018	Procedure for the appointment of selection committees in order to ensure gender balance.	Re-evaluate procedure for the appointment of selection committees.	Not started
OTM-R 23	System in place to assess OTM-R objectives	University Administrative Board / March 2018	Establish clear guidelines, respondents and KPIs to assess the OTM-R objectives	Create the guidelines and publish them.	Not started

Comment on the implementation of Open, Transparent, Merit-Based Recruitment principles:

As member of the 2nd cohort of organizations involved in the development of HRS4R, UAIC has analyzed, assessed and started the integration of the recommendations and principles of OTM-R into the internal recruitment policies.

We are now formally submitting the report concerning the OTM-R implementation and our statement of commitment for the continuation of the process. Our university has been applying OTM-R-like principles in recruitment and selection, so this has not been a major change for UAIC.

Still, the implementation of C&C and OTM-R has provided the opportunity of making thorough internal analyses (2012 and 2017), which can only be useful for determining the future actions that we need to take in order to evolve at organizational level.

The result is the HR Strategy of UAIC, established in line with our strategic and operational plans, as well as with C&C and OTM-R principles.

4. IMPLEMENTATION (MAX. 1 PAGE)

The HR strategy of UAIC reflects its orientation towards ethical principles, transparent processes (recruitment and selection included), improving working conditions and facilitating training and development for all employees, researchers in particular. The internal review was conducted twice (2012, 2017) and the entire academic community was invited to take part.

The steering committee has been active since 2011, after the letter of commitment was submitted. It has been conducted by the Vice-Rector for Research and Innovation and supported by the Human Resources Director, by the Department for Research and Project Management, as well as by specialists in the field. The committee meets regularly and, given the extent of activities involved, we can envision extending the committee to more members in order to support implementation.

The HR strategy of UAIC is fully in line with the organizational strategic plan and operational plan and The Charter, The Code and OTM-R are referred to in the HR strategy as guiding lines.

The community has been regularly informed about the principles of the C&C and OTM-R and will continue to be informed (online or through training sessions). Each researcher will be involved in the implementation phase as overall results come from individual small wins. Also, they are the ones who will be able to signal if a certain principle is not met, which will allow room for analysis.

The steering committee, with support from the University Administrative Board, is overseeing the process and reports if some of the actions are not in line with the schedule. Actions that need to be taken must be approved by the University Administrative Board.

UAIC will create a monitoring system for the principles included in the C&C and in OTM-R in order to have a clearer view on the overall process, as well as to identify areas for improvement.

While waiting for the external review, UAIC will continue the implementation of the action plan and will provide any documents required by the European Commission in order to provide a clearer view on the current situation on implementation at UAIC.

Authorized signatory for the Rector,

Prof.univ.dr.Mihaela ONOFREI

