## **TEMPLATE 4: ACTION PLAN**

Case number: 2021RO668627

Name Organisation under review: Transilvania University of Braşov

Organisation's contact details: B-dul Eroilor nr.29, 500036 Brasov, Romania

**SUBMISSION DATE: JULY 2022** 

## 1. Organisational Information

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

STAFF & STUDENTS	FTE
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research	1447
Of whom are international (i.e. foreign nationality)	36
Of whom are externally funded (i.e. for whom the organisation is host organisation)	1
Of whom are women	679
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	5
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	25
Of whom are stage R1 = in most organisations corresponding with doctoral level	493
Total number of students (if relevant)	20284
Total number of staff (including management, administrative, teaching and research staff)	1312
RESEARCH FUNDING (figures for most recent fiscal year)	€
Total annual organisational budget	59397868
Annual organisational direct government funding (designated for research)	745157
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	2394785
Annual funding from private, non-government sources, designated for research	193725

## ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)

Transilvania University of Braşov (UNITBV) is the largest comprehensive public university in the central region of Romania, offering courses (bachelor, master and PhD) in 43 domains of science in the major fields of engineering, social sciences, humanities, arts, medicine, mathematics, and sports. UNITBV's research is focused on sustainable development, being supported by the state-of-the-art infrastructure of the university's Research & Development Institute, one of the largest research platforms in South-Eastern Europe. While UNITBV history incorporates the scientific, industrial, and cultural traditions of the region, its focus is currently defined by aspirations for innovation, inclusiveness, and relevance for the contemporary society.

# 2. STRENGTHS AND WEAKNESSES OF THE CURRENT PRACTICE:

Please provide an overview of the organisation in terms of the current strengths and weaknesses of the current practice under the four thematic headings of the Charter and Code at your organization.

Thematic heading of the	STRENGTHS and WEAKNESSES
Charter and Code	
_	<ul> <li>STRENGTHS</li> <li>UNITBV is a comprehensive university in which researchers follow the recognized ethical practices and ethical principles applying to the fields in which they conduct research, in line with the University's Code of Ethics and Deontology, the Code of Ethics for Research in Social Sciences &amp; Humanities and the standards of the Ethics Commission for Clinical Studies. Since 2021, in line with the Order of the Minister of Education No. 5255 / 10.09.2021, UNITBV has a dedicated strategy for preventing and combating plagiarism.</li> <li>Academic freedom is a core institutional value, stated by the Charter of Transilvania University of Braşov (UNITBV). The teaching and research staff has the freedom to carry out research, to choose their research topics, to develop and submit research projects, to decide on the research programmes and competitions in which they participate.</li> <li>In line with the University Charter and the Code of Ethics and Deontology</li> </ul>
	<ul> <li>no form of discrimination is allowed or encouraged at UNITBV. Various internal programmes aim to support disadvantaged and vulnerable students and staff.</li> <li>The Intellectual Property Office advises and assists researchers for a thorough understanding of the principles and regulations and for patenting the research results.</li> <li>The Project Management Office provides guidance and supervision in accessing and implementing research projects, grants, and research contracts with the industry. All administrative (including financial) implementation of the projects, grants and contracts are monitored by project officers, employees of the Project Management Office.</li> <li>UNITBV operates according to national regulations for the budgetary control of public funding institutions. The budget and annual expenditures are public information, available in detail, on a national online platform and on the university website. All expenditures for research are subject to internal approvals and internal and/or external audits, in line with grants agreements or contractual provisions.</li> </ul>
	<ul> <li>UNITBV's Committee on Occupational Safety and Health provides internal guidelines and procedures for implementing safe working practices, in line with the national legislation. All researchers are trained by the Occupational Safety and Health Officers on specific measures regarding the safety working procedures.</li> <li>Disseminating the research results is a main responsibility of UNITBV's teachers and researchers. This activity is assessed as part of the annual individual performance appraisal, data being collected in an internal online platform. The assessment of the dissemination and exploitation of the research results promotes internal transparency (all reported data are available on the intranet and can be accessed by colleagues).</li> </ul>

#### **WEAKNESSES**

- Reduced frequency of training sessions and raising awareness events, especially for researchers in their early-stage career on topics related to professional responsibility, including plagiarism avoidance, relevance of the research topics, open science, discrimination risks, application stages for grants and administrative or technical regulations for grants proposals.
- Most of internal employment and occupational safety regulations are in Romanian, English versions being needed for a proper induction of international researchers.
- The Intellectual Property Office services need better dissemination among researchers.
- The IT backup services cover the data on servers managed by the IT Department, some local storage devises not being included.
- The technological transfer, in particular the capitalization of patents in the industrial environment is at low levels.

# Recruitment and selection

#### **STRENGTHS**

- All positions (researchers and teaching staff with research duties) are
  occupied by open competition, applying UNITBV's internal regulations,
  drawn up in accordance with the national legislation and obeying the
  principles of transparency, non-discrimination, equal opportunities and
  quality standards specific to the level of the vacant job.
- According to the type of the open position a mixt of advertising channels are used: the university's website, Official Gazette of Romania, dedicated national platforms, national newspapers, Euraxess platform, LinkedIn institutional account.
- All recruitment advertisement specifies details on the recruitment and selection process (including deadlines, documents to be submitted, selection criteria and the evaluation procedure, deadlines for results, appeal procedure, etc.). All the results are published on the university website (in the career dedicated section).
- Selection committees are appointed according to their expertise and are approved by the Executive Board and by the University Senate (for researchers with tenure contracts).
- UNITBV's selection criteria take account of the candidates' whole range of
  experience. Quantitative evaluation criteria are used, as well as qualitative
  criteria that address the professional and personal qualities of the
  candidates.
- Fostering the internationalization activities is a strategic priority for UNITBV, meant to stimulate the participation of the university staff in international teaching and learning, scientific or educational events, as a premise for developing the international cooperation, improving the visibility of the university and enhancing quality.
- Postdoctoral researchers' appointments follow clear rules, according to national and internal regulations. The duration of the work contract (for Romanian postdoctoral researchers) and the duration of the fellowships awarded (for international postdoctoral researchers) are established by internal regulations and selection methodologies.

#### **WEAKNESSES**

 Most of the job ads and contest documentation are in Romanian, limiting the access of international applicants. The vacant positions are advertised

- on Euraxess for all project-based positions and only occasionally for open positions funded by UNITBV.
- The communication channels for advertising open positions (mandatory by law) are not entirely efficient. In addition, the ads for the open positions are published in a format (also imposed by law or national online platforms) which do not always allow a clear presentation of the working conditions and the career development prospects.
- No explicit requirements regarding the gender balance are included in internal regulations.
- No detailed information referring to the career development prospects is included in the advertisements for the open positions.
- There are few presentations on rules, procedures and standards governing the recognition of formal and non-formal qualifications within the context of international mobility.
- Professional experience (length of service) is required for research positions, according to Law 319/2003 (Law on the Status of Research and Development Personnel).

## Working conditions

#### **STRENGTHS**

- At UNITBV, the academic profession includes two main types of activities, i.e., research and teaching, with equal recognition and professional status.
- Collective and individual labour contracts regulate the research activity within UNITBV; all researchers, regardless of contract type, have the same employment rights and obligations according to the Romanian Labour Regulations (Law No. 51/2003), National Law of Education (Law No. 1/2011), Law on the Status of Research and Development Personnel (Law No. 319/2003) and in line with internal regulations (General Internal Regulations).
- There are different types of incentives for the teaching and research staff financed by UNITBV, according to the performances of each employee:
- monthly increase of the basic salary for one year based on the number and type of publications;
- monthly increase of the basic salary for one year for project managers who obtained at least 80% of the maximum score of the grants competition;
- additional remuneration of the activity in grants and research projects;
- amounts for expenses related to the research activity;
- reimbursement of expenses for participation in international conferences;
- payment of fees for publishing articles in ISI WoS (Clarivate Analytics) listed journals.
- Gender balance is a strategic priority of UNITBV, according to the Gender Equality Plan. Gender is not an evaluation criterion, and no gender discrimination is being made during recruitment and selection.
- International mobilities are highly encouraged for PhD students and academic staff of Transilvania University of Brasov, with a particular focus on Erasmus+ mobilities, participation in conferences, and international scientific events, training or other activities undertaken abroad or in international teams.
- Co-authorship is taken into consideration as evaluation criterion for research results in each academic field. The order of the authors and the status of main author differ from filed to field (first author, corresponding author, last author, etc.)

	<ul> <li>The academic staff, including researchers and PhD students are represented in the University's decision-making bodies (e.g., Board of Research and Development Institute, the Scientific Council, Senate, Council of the Interdisciplinary Doctoral School, etc.).</li> </ul>
	WEAKNESSES
	<ul> <li>The teleworking/remote working and home working conditions are not clearly communicated to all employees (mainly after the abrogation of the regulations in place during the restrictions caused by Covid-19 pandemic).</li> <li>Institutional investments for developing the R&amp;D research infrastructure were at a relatively low level in the last decade.</li> </ul>
	<ul> <li>Reduced inclusion of gender equality issues in training, internships, events, etc.</li> </ul>
	<ul> <li>There is no formal career development policy for the researchers' career development process.</li> </ul>
	<ul> <li>Most of the internal regulations on IPR are in Romanian.</li> </ul>
Training and	STRENGTHS
development	<ul> <li>Doctoral students are provided with guidance and feedback from the supervisor and the advisory committee as stated in the regulations of the Interdisciplinary Doctoral School.</li> <li>Senior researchers are supported to develop their mentoring and tutoring skills and to manage their time so as to perform multi-faced tasks and duties efficiently.</li> <li>There is a constant concern to develop researchers' skills and competences to ensure success and performance in their career. Researchers can participate in multiple training career development programmes funded by the university or by national and international funds. Participation in mobility for training, conferences, workshops, meetings, using research infrastructure, etc. is encouraged and financed by UNITBV.</li> <li>For each early-stage researcher there is a direct supervisor to provide</li> </ul>
	feedback and guidance.
	WEAKNESSES
	<ul> <li>The training aiming to improve senior researchers' competences to provide personalized and efficient mentoring and to develop their leadership is provided occasionally.</li> </ul>
	<ul> <li>Participation in continuous training activities is usually decided on an individual basis and is not part of a department/research centre training</li> </ul>

# 3. ACTIONS

The Action Plan and HRS4R strategy must be published on an easily accessible location of the organisation's website.

Please provide the web link to the organisation's HR Strategy dedicated webpage(s):

\*URL: <a href="https://unitbv.ro/en/hrs4r-human-resources-strategy-for-researchers.html">https://unitbv.ro/en/hrs4r-human-resources-strategy-for-researchers.html</a>

programme.

Please fill in a sum up list of all individual actions to be undertaken in your organisation's HRS4R to address the weaknesses or strengths identified in the Gap-Analysis:

Proposed ACTIONS	GAP Principle(s)	Timing (at least by year's	Responsible Unit	Indicator(s) / Target(s)
		quarter/semester)		
Organizing awareness events for sharing best practices and discussing ethical related issues in fundamental and applied research.	P2 Ethical principles	S1, S2, S3, S4	R&D Institute Board	At least 4 events (one per semester)
Updating the internal regulations in line with international provisions in terms of professional responsibility, relevance of the research for communities and society and transfer of the research results to society.	P3 Professional responsibility	End of the second year implementation of the action Plan	R&D Institute Board	Updated regulations for the operation of the Research and Development Institute of Transilvania University of Brasov
Supporting the senior researchers, mentors and tutors, including the doctoral supervisors to promote professional responsibility and developing leadership skills (as time management, leading by objectives, inspiring, and enhancing teams' creativity).	P3 Professional responsibility P37 Supervision and managerial duties P40 Supervision	S1, S2, S3, S4	R&D Institute Board, Doctoral School Board	At least 4 events – meetings, workshops, training sessions (one per semester)
Training sessions on technical and administrative aspects of research projects development and tools for identifying funding calls. Raising researchers' awareness by training sessions on social responsibility for transparent and efficient financial management of the allocated budgets.	P4 Professional attitude P6 Accountability	S1, S2, S3, S4	Project Management Office, Research Centres Coordinators	At least 4 training sessions (one per semester)
English translation of the General Internal Regulations (including documentation on occupational safety, recruiting and selection process, IPR).	P5 Contractual and legal obligations P7 Good practice in research P12 Recruitment P31 Intellectual Property Rights	S1, S2, S3, S4	The Language Centre, Coordinators of UNITBV administrative structures	Most of internal regulations translated into English
Direct information (by email) of the new employees on the services provided by the Intellectual Property Office.	P3 Professional responsibility P5 Contractual and legal obligations P8 Dissemination, exploitation of results P31 Intellectual Property Rights	S1, S2, S3, S4	Coordinator of the Intellectual Property Office	At least 4 information sessions (by e-mail) transmitted to researchers

Extending the current system of research data backup for local storage devices (located in Faculties or Departments)	P7 Good practice in research	\$1, \$2, \$3, \$4	IT Office, Departments and Faculties	Extended data backup system for storage devices located in Faculties or Departments
Better internal visibility of the support services provided by the Business and Technological Incubator and the Intellectual Property Office.	P8 Dissemination, exploitation of results P31 Intellectual Property Rights	S2, S4	Business and Technological Incubator, Intellectual Property Office	At least two information sessions (onsite or online on services provided by the Business and Technological Incubator and the Intellectual Property Office)
Development of the dedicated section on the R&D Institute website with a step-by-step guide for companies interested in partnerships.	P8 Dissemination, exploitation of results	S3	R&D Institute Board, Communication Office	Dedicated section on the R&D Institute website with a step-by- step guide for companies interested in partnerships
Organizing events aiming to facilitate dialog between citizens and researchers on chosen topics.	P9 Public engagement	S2, S4	R&D Institute Board	At least two events aiming to facilitate dialogue between citizens and researchers on chosen topics
Organizing awareness raining events aiming to promote inclusiveness and nondiscrimination.	P10 Non discrimination	52, 54	Departments and Faculties, Ethics Committees, Gender Equality Working Group	At least two awareness raining events aiming to promote inclusiveness and non-discrimination
Updating internal regulations and methodologies to be in line with OTM-R policy	P12 Recruitment P14 Selection	S3, S4	Vice-rector for Research, Vice- rector for education, R&D Institute Board HR Department	Updated internal regulations and methodologies to be in line with OTM-R policy
Using European/international online platforms and social media to advertise vacant positions.	P12, P13 Recruitment	S1, S2, S3, S4	Vice-rector for Research, HR Department, Project managers, Heads of Departments	Using Euraxess, social media and other international platforms to advertise vacant positions
Presentations of rules, procedures and standards governing the recognition of formal and non-formal qualifications within the context of international mobility.	19. Recognition of qualifications	S3, S4	Legal Office, Continuous Learning Department	At least two presentations
Periodical training for professional development of researcher	P23 Research environment	S1, S2, S3, S4	Research Centres	All Research Centres organize/host at least two training events per year, addressing identified needs for professional development

Institutional investments for developing the R&D research infrastructure (as, for example applying for funds under the national dedicated calls).	P23 Research environment	S1, S2, S3, S4	Vice-rector for Research, R&D Institute Board	At least one major grant for developing research infrastructure by the end of the action plan initial phase implementation
Develop and communicate more clear internal regulations on teleworking/remote working conditions and home working	P24 Working conditions	S2, S4	HR Department, Legal Office	Al least two information sessions (online or onsite) on internal regulations on teleworking/remote working and home working conditions
Inclusion of gender equality issues in training, internships, events dedicated to research staff. Organizing events, information sessions and debates on institutional policies to encourage and sustain the worklife balance. Inclusion of gender equality issues in the content of research projects, grants and contracts and promoting an equal number of women and men in the project teams.	27. Gender balance	S1, S2, S3, S4	Gender Equality Working Group Departments and Faculties, Ethics Committees	Activities and results according to the UNITBV Gender Equality Plan
Developing the career development policy for researchers.	P28 Career development P30 Access to career advice	S4	HR Department, Legal Office, R&D Institute Board	UNITBV's Career development policy for researchers
Development by department/research centres of formal training plan for researchers.	P38 Continuing Professional Development	S3, S4	Departments, Research Centres	The formal plan for researchers' training
	1	1		

The establishment of an Open Recruitment Policy is a key element in the HRS4R strategy. Please also indicate how your organisation will use the Open, Transparent and Merit-Based Recruitment Toolkit and how you intend to implement/are implementing the principles of Open, Transparent and Merit-Based Recruitment. Although there may be some overlap with a range of actions listed above, please provide a short commentary demonstrating this implementation. If the case, please make the link between the OTM-R checklist and the overall action plan.

Although some sections of UNITBV's OTM-R policy have been drafted, the approved version (in Romanian and English) is planned to be published on the university's website by the end of the first year of the Action Plan implementation. Currently, most of the principles of Open, Transparent and Merit-Based Recruitment are implemented and are clearly stated by the internal Methodology on recruitment and selection of candidates for teaching and research positions (updated in 2022 and available to all candidates on the public website:

https://www.unitbv.ro/documente/about/regulations/General Regulations/Metodologia posturi 25 .02.2022 engleza.pdf). Thus, the OTP-R system is in place, being reflected by current practices:

- members of selection committees, HR professionals and other academic staff are trained on procedures and areas of OTM-R and the hiring process;
- a range of e-recruitment channels is used (the university's website, dedicated national platforms, Euraxess platform, LinkedIn institutional account); all advertisements regarding research and academic job vacancies are published at least on the university website and on a national online platform using clear guidelines and templates;
- there are institutional Quality Assurance procedures for recruitment and selection;
- the competitive infrastructure and the reward system based on performance provide attractive working conditions and encourage external Romanian candidates to apply;
- there are clear rules regarding the composition of selection committees;
- the selection criteria are based on merit; both bibliometric indices and qualitative criteria are used:
- there are clear regulations on submitting complaints regarding the recruitment and selection process and clear deadlines for resolutions.

Ther are also improvements and steps to be made to have a fully functional and integrated OTM-R system:

- develop dedicated quality assurance procedures based on the approved OTM-R policy;
- translating internal documentation into English and publishing ads for open positions in English and using international e-recruitment platforms and social media;
- identifying specific recruitment and selection measures to attract underrepresented groups;
- presenting an integrated toolkit on job advertisements in line with the OTM-R policy;
- improving support actions in all stages of recruitment and selection, with a view to easing the process for candidates and to reduce the administrative burden (but staying in line with national regulations);
- in terms of gender balance, in some technical fields, there are more men than women, while in social sciences and humanities there are more women than men, reflecting the general gender distribution.

#### 4. IMPLEMENTATION

General overview of the expected implementation process:

In the process of HRS4R implementation, stakeholders' representatives and all management departments directly or indirectly responsible for researchers' HR-issues are involved, starting with the Gap analysis and the Action plan development and continuing with the Action plan implementation. However, the general scope of the process is to develop and consolidate a culture based on OTMR values and in line with the principles of the Charter & Code. A long-time

commitment is required, and we are aware that a sustainable transformation is a collective iterative process.

The general flow of the implementation process will be supervised by the Vice-rector for Research and IT, alongside with the Steering Committee (bringing together relevant managerial positions: Director of the Research & Development Institute, Director of the Doctoral Interdisciplinary School, Head of the Human Resources Department, Head of Project Management Office). The working group joined HR and legal experts, social science researchers with competences in quantitative and qualitative analysis. The initial working group will be dynamic in structure and will be extended involving relevant members who will constitute the Implementation Committee.

The general flow for the 24 months implementation will be as follows:

- All academic community will be informed (by email) on the HRS4R process and will be directed towards the dedicated webpage to access in-dept information.
- For each proposed action, the steering committee will identify the key actors from the relevant responsible units (Research Centres Coordinators, IPR Office Coordinator, Project Management officers, legal advisor, etc.) to join the HRS4R Implementation Committee.
- A detailed calendar will be drafted by the Implementation Committee for each year of the implementation, with appointed coordinators, estimated dates of delivery, participants, logistics, other resources for events.
- Internal and external communication on actions, events and progress will be supported by the Communication Office (including updates on the dedicated webpage).
- The steering committee will perform continuous monitoring and periodical assessment of the progress during regular meetings (at least one per quarter). The governance bodies will be updated on the progress and consulted when needed.
- The main stakeholders (researchers and teaching staff with research duties) will be involved in each stage of implementation by formal and informal meetings and discussions.
   When required, additional actions will be added to the plan or slight changes will be performed.
- An interim and final report on Action plan implementation will be drafted by the Implementation Committee and approved by the Steering Committee; the reports will provide input for Interim Assessment documentation (to be submitted for external review).

Make sure you also cover all the aspects highlighted in the checklist below, which you will need to describe in detail:

Checklist	*Detailed description and duly justification
How will the implementation committee and/or steering group regularly oversee progress?	The Implementation Committee will bring together key actors for the efficient and timely implementation of the Action Plan. Based on the detailed calendar for each year of the implementation (with appointed coordinators, estimated dates of delivery, participants, logistics, other resources for events, etc.), the Implementation Committee will monitor and support the delivery of each proposed action. The Committee will have regular, at least quarterly meetings (onsite and online). The Steering Committee will coordinate the overall process, analysing and approving additional actions and/or corrections required for an effective and inclusive implementation. The Steering Committee will be responsible to inform and involve the university's governance bodies.
How do you intend to involve the research community, your main stakeholders, in the implementation process?	First, the entire academic community will be informed (by email) on the HRS4R process and will be directed towards the dedicated webpage to access in-dept information. Second, all proposed actions will be planned, organized and implemented together with the university's researchers and relevant internal and external stakeholders. Third, periodical updates on the progress will be disseminated using the UNITBV communication channels (emails, social media, newsletter, etc.). All members of the research community will be encouraged by the Implementation Committee to provide feedback on actions and to submit proposals for the long-term sustainability of the process.
How do you proceed with the alignment of organisational policies with the HRS4R? Make sure the HRS4R is recognized in the organisation's research strategy, as the overarching HR policy.	As resulted from the Gap Analysis and proposed in the Action Plan, there are current internal regulations, methodologies, procedures, and practices which need to be aligned with the HRS4R principles. The changes will be integrated in the current process of documentation updating, with a short timespan for some documents and a longer one for others (as, for example the Strategic Plan of the University which is drafted for a period of 4 years). As all management departments directly or indirectly responsible for researchers' HR-issues are involved in the implementation, they will act as key actors for the internal harmonization of regulations and practices.
How will you ensure that the proposed actions are implemented?	For each proposed action, a coordinator will be appointed and a detailed schedule will be drafted by the Implementation Committee. By continuous monitoring and periodical assessment of the progress, delays will be identified if occurred,

	and corrective measures will be taken by the Implementing Committee and the Steering Committee.
How will you monitor progress (timeline)?	Based on the detailed calendar of the implementation, each action will be assessed in terms of timeframe and quality of feedback received from the participants (in case of events) or actors involved in decision-making processes (in the case of documentation updates and/or development). By regular meetings of the Implementation Committee and the Steering Committee (at least one per quarter), the progress will be assessed, and corrective measures will be identified. Two reports (one interim, after the first year of implementation and one after the second year) will be drafted by the Implementation Committee and approved by the Steering Committee.
How will you measure progress (indicators) in view of the next assessment?	For each proposed action there are quantitative indicators which will be monitored by the Implementation Committee. The qualitative impact of the actions will be assessed by tailored measurement tools, such as feedback provided during events and/or collected by written forms. Furthermore, the mid- and long-term general impact of the HRS4R will be assessed by the general level of attractiveness for external candidates and the satisfaction level of the internal stakeholders.