TEMPLATE 4: ACTION PLAN

Case number: **2019RO360942**

Name of the Organisation under review:

Bucharest University of Economic Studies (BUES)/Academia de Studii Economice din Bucureşti (ASE)

Organisation's contact details:

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Telephone: +40021.319.19.00

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Web link to published version of University's HR Strategy and Action Plan: hrs4r.ase.ro

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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	757 researchers **927 PhD. students**
Of whom are international (i.e. foreign nationality)	89 (foreign PhD. students)
Of whom are externally funded (i.e. for whom the organisation is host organisation)	2
Of whom are women	441 researchers 505 PhD. students
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	242
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	23
Of whom are stage R1 = in most organisations corresponding with doctoral level	515
Total number of students (if relevant)	22409
Total number of staff (including management, administrative, teaching and research staff)	1427
RESEARCH FUNDING (figures for most recent fiscal year)	€
Total annual organisational budget	72,397,797
Annual organisational direct government funding (designated for research)	651,239

Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	555,131
Annual funding from private, non-government sources, designated for research	96,107

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

BUES is considered the most important economic higher education institution from Romania and one of the most renowned economic universities in South-Eastern Europe. The University is accredited by the Romanian Agency for Quality Assurance in Higher Education, which has granted a High Confidence Rating to our university. BUES has 12 Faculties, where nearly 22,000 students can attend study programs in Romanian and foreign languages. As a research-intensive university, the mission of BUES is to consolidate its status as a Central and Eastern European hub of excellence in the fields of Economic and Administrative Sciences.

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 Charter and Code	STRENGTHS and WEAKNESSES
Ethical and professional aspects	free text maximum 500 words Strengths • Bucharest University of Economic Studies is governed through its Charter, which includes a distinct chapter (Chapter XVI) with provisions on ethics, aspects related to freedom of research, professional responsibility, conflicts of interest, incompatibility, non-discrimination and equal rights, intellectual property. • The institution has a code of ethics (https://etica.ase.ro/). The researchers know the ethical principles and the deontological code of the research staff from the BUES. • The researchers and the auxiliary staff engaged in research activities within the institution benefit from the support of the Ethics Commission, in case of complaints or appeals. The Commission shall adopt a decision and communicate the resolution to all interested parties.

	• At the level of the institution we have the "Regulation on the organization, operation and financing of scientific research", Internal Operational Procedure 160/2013 - "Providing information on the funding opportunities for research projects", which regulates professional aspects specific to scientific research. • BUES researchers are familiar with the strategic goals governing their research environment and funding mechanisms, and they obtain all the necessary approvals before starting their research or accessing the resources. Researchers are aware of the contractual provisions, legal obligations, laws and regulations regarding working conditions, as well as the requirements and conditions of funding bodies. • There are clear procedures regarding copyright, co-authorship and plagiarism: Internal Operational Procedure 166/2013 - "Procedure for publishing periodicals", and Internal Operational Procedure 247 - "Anti-plagiarism verification". Weaknesses • There are not specific guidelines in the internal procedures regarding professional responsibility taking into account the trends at European and national level regarding open data, open access, open science, etc. • The internal procedures do not address in specific manner the failure in research matter.
Recruitment and selection	free text maximum 500 words Strengths • Recruitment procedures for teaching staff/ researchers are established by law, the standards are clearly specified, and they are in agreement with the principles set out in the Code of Conduct for the Recruitment of Researchers. • The following can apply for associate R&D positions: people who have professional and scientific value recognized in the field, even if they do not have the necessary qualifications – a PhD diploma. According to the Competition Framework Methodology, the experience of the candidate in other institutions can be taken into account • The recruitment and selection at BUES are based on clear and transparent procedures based on the legislation in force in Romania

	• In the internal *Methodology of periodic evaluation of the quality of BUES teaching and research staff*, there are specified aspects about rewards and incentives: employment, positions, salaries, allowances • The positions opened are published on the University's website, together with the evaluation criteria for each position, the relevant regulations, the competition commissions, the programming of the tests and the results. • Stability of the workforce • National and internal regulations encourage mobility, as well as bilateral agreements and cooperation in research Weaknesses • The professional, transdisciplinary, inter-sectoral mobility as part of the academic career should be better promoted.
Working conditions	free text maximum 500 words **Strengths:** • The profession of researcher is recognized by national law, and researchers are recognized as professionals. • Research infrastructure: facilities, access to international databases, information sessions on the use of databases • Continuing professional training programs, research / English masters • Support for researchers who do not have their domicile in Bucharest – rent-free accommodation in BUES premises • Benefits for children of teachers and BUES employees – admission fee exemptions, recreational (holiday) programs. • Benefits for employees: flexible program, gym, canteen, cultural activities, part-time working, parking, online platforms, sabbatical year, accommodation in tourist areas (Predeal, Covasna) Stability of employment contracts, and specific career development • Equal gender representation at all levels of staff, including management, based on a policy of equal chances at recruitment and in the later stages of the career. • Adequate participation and representation in decision-making bodies • Adequate training for teaching and coaching activities as part of the professional development of researchers. **Weaknesses:** • Limited access to specific research infrastructure –research software (insufficient number of licenses)

	• There are limited facilities for disabled teachers and researchers in all buildings - direct access from the parking lot • Counselling in the academic career and support mechanisms for career development • Lack of specific guidelines regarding co-authorship and intellectual property rights aligned to the trends in open data, open access, open science, etc.
Training and development	free text maximum 500 words **Strengths:** • Researchers are represented in the Senate, the Scientific Council, the Board of Directors - guest status without voting rights for the union representative; • There are specific procedures for carrying out and endorsing research projects; • The institution carries out several types of activities aimed at training and professional development, especially of young researchers: scientific seminars in doctoral schools, information sessions on competitions in national and European programs in the field of research - development and innovation. • Researchers in their training phase have a regular relationship with their supervisor and senior researchers pay particular attention to their role, as supervisors, mentors, leaders or project coordinators • Researchers are given the opportunity for professional development and for improving their employability through access to measures for the continuing development of skills and competencies **Weaknesses:** • The standard workload of the lower academic positions includes many teaching hours in relation to the time that can be allocated for research.

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: hrs4r.ase.ro

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 quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
Free text -100 words max	Retrieved from the GAP analysis			
Updating recruitment and internal evaluation criteria to incorporate aspects related to: mobility, atypical career path, doctorate outside the University, career development	P18, P19, P20, P28, P29	Q2 2020	Human Resources Division + Academic Evaluation Office	- revision of the alignment in the HR policies and recruitment criteria with the rule of law in force
Increasing the number of researchers post PhD. students	P21	Q3 2021	BUES Doctoral School	- Information sessions on postdoctoral opened positions and funding opportunities
Ensuring continuity and simplifying the library endowment process (semi-annual / annual)	P23, P24	Q1 2021	BUES library	-Extending the mobile access option (from home) to 70% of the databases accessible on campus in the next 2 years; -Increasing the number of publications accessible directly online by 10 % in the next 2 years.
Increasing the number and accessibility (flexible program) for counselling programs in the academic career and management of research activities	P23, P29, P30	Q1 2021	Human Resources Division + Research and Innovation Management	- Increasing by 15% the number of employees benefiting from the programs of continuous professional

			Division	training -2 programs of continuous professional training and counselling for employees
Improving the communication regarding the programs of continuous professional training and counselling that BUES offers to the employees.	P23	Q3 2020	Human Resources Division + Research and Innovation Management Division	-3 annual information sessions - increasing by 10% the number of participants in information sessions
Formulating realistic criteria for awarding the sabbatical year, taking into account the incidence of funding through research contracts at the University level.	P24	Q4 2020	Human Resources Division + Research and Innovation Management Division	- revision of the procedure for awarding the sabbatical year in line with the applicable law, as the case may be
Ensuring alternative ways for the access of disabled researchers to research areas,	P23, P24	Q4 2021	Social Division	-2 routes verified -2 routes adapted
Strategy for Research, Development and Innovation - 2020 - 2030	P36, P39	Q2 2020	Research and Innovation Management Division	- A strategy for Research, Development and Innovation - 2020 - 2030
Developing a Guide to good practices in research	P3, P4, P5, P6, P7, P8, P31, P32	Q2 2021	Research and Innovation Management Division	- A guide to good practices in research
Actions on information security, data protection and free access.	P3, P7	Q2 2021	Legal and Administrative Contentious Division+ Research and Innovation Management Division	- Revision of the internal specific procedures with specific provisions regarding information security and protection of research data as well as the

				Free Access publication rules and facilities.
Employment of at least 10 researchers at the beginning of the career (in the next 3 years) and reducing the number of hours on the assistant level (according with Law no. 288/2004 regarding the organization of university studies)	P33	Q3 2021	Human Resources Division	-at least 10 teachers will advance in career in the next three years - reduction of the number of hours on the assistant level by 5% in the next 2 years.
Updating the procedure for solving the requests or individual complaints of employees with provisions regarding negotiation, reconciliation/mediation a conflicts.	P34	Q2 2020	Legal and Administrative Contentious Division	- One procedure updated
Intensifying the presence of BUES researchers at European Researchers' Night.	P9	Q3 2020	Research and Innovation Management Division	- 10% increase in number of researchers involved in BUES actions at European Researchers' Night
Organizing actions to promote the research results to the general public at the Researcher's Day.	P9	Q4 2020	Research and Innovation Management Division	-2 actions to promote the research results to the general public at the Researcher's Day or other events.
Increasing the visibility of websites of research centres and Research and Innovation Management Division	P9	Q4 2020	Research and Innovation Management Division	- 2 actions to promote the websites in Q4 2020.
Updating the recruitment and selection criteria in research projects	P13, P14, P15, P16, P27	Q4 2020	Research and Innovation Management Division	Updating the Internal Operational Procedure-12 of the Research and

				Innovation Management Division - Recruitment and selection of personnel
Completion of the Regulation on the organization, operation and funding of scientific research with articles on monitoring the progress of research projects and with provisions regarding the continuous professional development of researchers	P6, P8, P36, P38, P39	Q4 2020	Research and Innovation Management Division	- One regulation updated
Improve the visibility of the recruitment process, including introducing jobs section on the university website.	P13, P14, P15,	Q3 2021	Human Resources Division/ IT Division	- A jobs section on the main page of BUES website

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.

As an organization wishing to obtain the HRS4R certification, Bucharest University of Economic Studies has analysed the extent to which the internal recruitment policies are aligned to the OTM-R principles and recommendations. The University already applies most of the OTM-R principles or similar principles in the recruitment and selection of researchers, so HRS4R certification does not involve a major change in human resources management policies, and it will continue to be part of the overall strategy of the University. However, the elaboration of HRS4R documentation created the opportunity for internal analyses (in the years 2018 and 2019) that are useful in shaping the future evolution of the human resources management involved in research and development activities in accordance with the OTM-R principles.

The implementation of the OTM-R principles will be achieved by adopting some of the measures included in the Action Plan:
- Revision of the recruitment and internal evaluation criteria to incorporate aspects related to: mobility, atypical professional path, doctorate outside the University, etc.;
- Updating the specific procedures and regulations of the BUES regarding the scientific

> research activity;
> - Developing a specific strategy in the field of research - development, as a partial strategy of the general strategy of the University.
>
> Through the proposed approach, the Action Plan ensures that the strategic and operational plans of the University are correlated with the OTM-R principles.

If your organisation already has a recruitment strategy which implements the principles of Open, Transparent and Merit-Based Recruitment, please provide the web link where this strategy can be found on your organisation's website:

> URL:
> http://senat.ase.ro/Media/Default/Hotarari%20Senat/2018/20181129/Hot.%20nr.203.%20sed.%20Senat%20din%2029.11.2018_Metod.conc.oc.post.did..pdf

4. IMPLEMENTATION

General overview of the expected implementation process:

> (free text, 1000 words maximum)
>
> The Action Plan reflects the orientation of the Bucharest University of Economic Studies towards ethical principles, transparent processes of recruitment and selection, improvement of working conditions and facilitating the training and development of the human resources involved in the research-development activity within the University.
>
> The HRS4R process was started at the initiative of the Vice-Rector for Scientific Research, Development and Innovation, through an institutional project that included:
>
> 1. A **Steering Committee** which supervises and coordinates the actions of elaborating the main documents of the HRS4R process at institutional level (GAP analysis, Action Plan, OTM-R and Strategy) and implements the Action Plan. **The Steering Committee is made of**:
>
> - Roxana SÂRBU, PhD Professor, Vice-Rector for Education
>
> - Dorel PARASCHIV, PhD Professor, Vice-Rector for Liaison with the Social and Business Environment, Cooperation with Students
>
> - Ion SMEUREANU, PhD Professor, Vice-Rector for Development of the IT Infrastructure and Logistics

- Constantin Marius PROFIROIU, PhD Professor, Vice-Rector for International Relations

- Vasile RĂILEANU, PhD Professor, Vice-Rector for Economic and Financial Management

- Mihai ROMAN, PhD Professor, Director of the Council for Doctoral Studies

2. A **Working Group** – in charge with the monitoring the implementation of the main actions included in the Action Plan elaborated within the HRS4R institutional project. The following are part of the Working Group:

- A research coordinator of the Working Group;

- Head of Research and Innovation Management Division;

- Four researchers in charge of elaborating the documents within the HRS4R institutional project and monitoring the implementation of the actions within this plan;

- Head of Human Resources Division;

- Head of Academic Evaluation Office.

The Steering Committee will supervise and support the Working Group and the implementation of the Action Plan according to the timetable. A matrix of responsibilities will be elaborated, in which the divisions responsible for implementing the actions and those involved in their implementation will be detailed. The Action Plan will be approved by the University's Board of Trustees, and the actions planned for each calendar year will become part of the annual operational plan of the divisions responsible for implementation.

The Steering Committee became active in 2019, after the formal start of the HRS4R process. The Steering Committee regularly oversaw the HRS4R specific documentation process and it will continue to have this responsibility throughout the implementation period. Also, the Working Group will have quarterly meetings (usually provided in the last week of the quarters) during the implementation, in order to carry out stage analyses of the implementation of the actions foreseen in the plan for those quarters. If the case, the Working Group notifies major deviations / difficulties in the process of implementing the actions, and the Steering Committee will analyse these deviations and will propose the corrective measures.

The academic community will be regularly informed about the Charter & Code and OTM-R principles both during the pre-implementation period and during the implementation period. The objective of the Steering Committee and the Working Group will be to inform each researcher by all the specific means (information sessions, trainings, informative materials) on the evolution of the implementation. The process of implementing the plan will involve each researcher at the University both as a source of validation of the implementation of the proposed actions to eliminate / reduce the gaps, and as a source of signalling of potential difficulties / obstacles during the implementation.

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?	free text 500 words maximum The Working Group will hold quarterly meetings (in the last week of each quarter). For each quarterly meeting, the divisions involved in the implementation of the Action Plan will inform on the status of the implementation of the actions for which they are responsible. The coordinator of the Working Group will summarize this information about the stage of implementation of the HRS4R project in order to inform the Steering Committee. During the quarterly meetings, the quarterly progress report will be analysed in order to compare the proposed stage of the implementation of the actions with the existing real stage, to determine the negative deviations and to take corrective measures so that the deadlines assumed by the elaborated schedule are respected. In case the Steering Committee will notify major deviations in the process of implementing some proposed actions, then the Steering Committee will propose complementary measures for repositioning the process on track.
How do you intend to involve the research community, your main stakeholders, in the implementation process?	free text 500 words maximum The research community will be involved in the implementation process, along with the other stakeholders at the institutional level, through: - the involvement of the vice-deans in charge of the research activity and the directors of research centres in updating the regulation for the organization and functioning of the scientific research; - the involvement of the specialized departments and divisions in providing the information needed to elaborate the main documents of the HRS4R process, but also in the implementation phase of the Action Plan (for each important action, the components of the structural organization responsible for the implementation phase are specified in the plan);

	- informing members of the scientific community (researchers, PhD students, post PhD students) about the events organized by the Research and Innovation Management Division (Researcher's day each year, special information meetings,) both on the initiation of the process and on the stage of its implementation. In fact, all the components of the organizational structure at the university level will be involved in this 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.	free text 500 words maximum As previously shown, the HRS4R project has become an essential component of the University's strategic plan for the next strategic horizon. As a project undertaken at institutional level, it implies the alignment of all the policies, regulations and procedures of the University with the HRS4R principles, in case a potential gap is indicated.
How will you ensure that the proposed actions are implemented?	free text 500 words maximum The implementation of the actions identified in the Action Plan will be included in the operational, annual planning, control and monitoring of the involved divisions in the Action Plan. The Working Group will make quarterly evaluations regarding the status of the implementation of the proposed actions and it will inform every six months the Steering Committee in case of important deviations. The Steering Committee will propose the adoption of complementary corrective measures so that the reported deviations are eliminated.
How will you monitor progress (timeline)?	free text 500 words maximum In order to monitor the progress of the HRS4R project, a calendar will be elaborated. Quarterly, the Working Group will analyse the progress of the implementation / completion of the actions, comparing the actual stage of the implementation

	of the actions with the planned one and taking the necessary corrective measures. The quarterly information reports of the divisions will include: the planned deadlines for starting and completing the actions, the percentage progress in the implementation of the actions and the fulfilment of the specific indicators, the existing deviations in the implementation of the actions, the proposed measures to eliminate the existing deviations, regarding potential risks, implementation of actions and compliance with proposed deadlines.
How will you measure progress (indicators) in view of the next assessment?	free text 500 words maximum The degree of achievement of the specific indicators of each action will be one of the topics of each progress report for each six months' period. The indicators defined in the Action Plan will be transmitted to the divisions responsible for their fulfilment, according to the matrix of responsibilities. At the end of each year, the coordinator of the Working Group will elaborate and present to the Vice-Rector for Scientific Research, Development and Innovation an annual progress report regarding the indicators in the Action Plan. The Vice-Rector will submit this report for approval to the Steering Committee. If deviations from the planned deadlines for the achievement of the indicators are detected, the Vice-Rector for Scientific Research, Development and Innovation may propose for analysis and approval to the Steering Committee additional measures to ensure the fulfilment of the indicators assumed by the Action Plan.

Additional remarks/comments about the proposed implementation process:

(free text, 1000 words maximum) The implementation of the Action Plan will involve, as it can be seen from the previous points, the most important divisions of the University. The heads of these divisions will have the full responsibility in front of the Vice-Rectors and the University Board of Trustees regarding the completion of the implementation of the actions under this plan. The Action Plan becomes through its components a part of the University's annual plans and the entire

community will be involved in its achievement.

The implementation of the Charter & Code is not only the responsibility of a single person, of the Steering Committee and the Working Group, but will be treated at Bucharest University of Economic Studies as the responsibility of the entire academic and research community. Involvement of researchers and of PhD. students in the implementation process through special information events / sessions (including online on the University's virtual platforms) will allow the Working Group and the Steering Committee to benefit from valuable inputs in checking the implementation of actions and reducing/eliminating the identified gaps.

The internal monitoring of the actions taken to implement Charter & Code is part of the preparation process for the external evaluation of the implementation process. Preparing for the external evaluation of the Action Plan and its implementation from the Charter & Code perspective is part of the operational efforts of Bucharest University of Economic Studies to reach the strategic objectives in the field of research, development and internationalization.