GAP ANALYSIS - OVERVIEW

Case number: 2024RO190832

Name Organisation under review: Universitatea Politehnica Timisoara

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SUBMISSION DATE: 31/01/2024

DATE ENDORSEMENT CHARTER AND CODE: 06/02/2024

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.

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?	Implementation: ++ = **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, list any national/regional legislation or organisational regulation currently impeding implementation	Initiatives undertaken and/or suggestions for improvement:

Ethical and Professional Aspects

	Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
1. Research freedom	Implementation: ++ = **fully** implemented	The academic staff of the Universitatea Politehnica Timisoara (UPT) has the complete freedom to carry out research activities, to develop and submit research projects, to choose the research programs and competitions in which they would like to participate. The institutional framework consists of the procedures and the administrative structures responsible for the management of the research activities: the Research & Development Department (DCD), the Structural Funds Projects Office, research centers (entities without legal personality). The management of research activities and the specific research practices are not prescribed within a unitary framework nor widely disseminated so that young researchers could be guided and, first and foremost, assisted in the correct understanding and approach of the research freedom.	UPT organizes training sessions in the field of research ethics, addressed to doctoral students and young researchers. The UPT regulation on the elaboration of doctoral theses contains guidelines regarding the ethics of research and the avoidance of plagiarism. Free access to Web of Science, Scopus, Science Direct and other international databases is provided for staff and students. **National legislation:** ● Law no. 319/2003 regarding the status of the research and development staff, art. 1, paragraph (1) and art.4. **Internal regulations:** ● The University Charter (chapter 3.2, art. 42) and the Code of ethics and university professional deontology (chapter 4.1.2, art. 18- 21) ● The Ethics and Academic Integrity Commission (CEIA) with its own organization and functioning regulations. **Suggestions for improvement:**

		Apart from from those resulting from probable intellectual property rights and financing limitations, research freedom is unrestricted. Scholars are allowed to pursue their interests-based research and to take part in grant applications. One of the primary obstacles is the lack of government funding for research, which makes it challenging to get involved in initiatives, particularly as a project director, given the intense competition.	1) Creating a dedicated space on the UPT website – *Research* section, with relevant information on the freedoms, limitations and opportunities for the research activity. 2) Include a feedback mechanism, such as a contact form or email address, to allow users to provide input, ask questions, or report any issues or inaccuracies encountered. Regularly review and respond to feedback to ensure continuous improvement.
2. Ethical principles	Implementation: ++ = **fully** implemented	At UPT, researchers show proper respect to the acknowledged ethical practices and principles corresponding to the fields in which the research activity is performed, in accordance with the Code of ethics and university professional deontology. Their implementation is supervised by the Ethics and Academic Integrity Commission (CEIA), which is an internal advisory structure. Although documents regarding the principles of ethics and professional conduct are disseminated at UPT level, communication must be improved in order to raise awareness and facilitate the understanding of both C&C and the aforementioned principles.	**Current practice:** UPT master and doctoral students attend compulsory courses in ethics and academic integrity. Courses are optional for undergraduate students. UPT uses specific softwares *(Turnitin, iThenticate)* designed to effectively detect and prevent plagiarism. Plagiarism check is performed for the final thesis, at all study cycles. UPT has in place an Ethics Committee (CEIA), which is an independent organism formed by academic staff and students. The Ethics codes represents an Appendix to the UPT Charter, according to Higher Education Law no. 199/2023. **Regulation of the Organization and Functioning of the Ethics and Deontology Committee of the Politehnica University of Timisoara** *(Annex 1 of the Carta of UPT)* **National legislation:** ● Law no. 206/2004 (updated) on good conduct in scientific research, technological development and innovation; ● GO no. 57/2002 regarding scientific research and technological development, art. 5, paragraph (3); **Internal regulations:** ● The University Charter and the Code of ethics and university professional deontology; ● The regulation of organization and functioning of CEIA **Suggestions for improvement:**

			1) Creating a dedicated page on the UPT website, with relevant information about the ethics principles and practices and the CEIA activity. 2) Foster a culture of ethical research within the academic community
3.Professional responsibility	Implementation: ++ = **fully** implemented	Plagiarism and self-plagiarism are strictly prohibited by the UPT Charter. UPT regularly monitors the flow of publications at institution level, which helps it to analyse the intensity and originality of the scientific production. The guidelines regarding the compliance with the principles of intellectual property rights and how to use research data and results shall be collected in a common section of the UPT website to be accessed by the whole UPT community. The university has the mechanisms (regulations, procedures, software tools (Turnitin)) to control the professional responsibilities in terms of research activities. Turnitin has been used successfully for many years.	**Current practice:** The Innovation and Technological Transfer Centre (CITT) offers supervision / guidance to the faculties and research centres regarding the valorisation of the research results in the socio-economic environment. UPT has implemented 5 projects funded through the Human Resource Development Sectorial Operational Program (POSDRU) for doctoral and postdoctoral researchers regarding the development of skills and attitudes towards research participants to courses in research ethics, equal opportunities, intellectual property rights). In Romania, according to the present Higher Education Law no. 199/2023, art. 69 only habilitated doctors or professors can supervise PhD students. In UPT we find about 150 PhD coordinators and around 700 PhD students. Consequently, each PhD supervisor has in average 5 students to supervise (Source: UPT doctoral school). In the framework of the INOHUB project there were courses on "Professional responsibility". (https://inohubdoc.upt.ro/page1.html#content08-6p **National legislation:** ● Law no. 319/2003, art. 23; ● Law no. 64/1991 regarding the patents of invention, republished, art. 31; ● Law no. 84/1998 regarding trademarks and geographical indications, republished, art. 1, art. 36; ● Law no. 8/1996 on copyright and related rights , republished, art. 13, art. 181, art. 190.

			Internal regulations: ● The UPT Charter and the Code of ethics and professional ethics.
4. Professional attitude	Implementation: ++ = **fully** implemented	The UPT Strategy and the Rector's Management Plan 2024-2029 have established strategic objectives concerning the human resources that represent the academic staff of UPT. In order to create a positive atmosphere for research activities, all parties involved must identify and select human resources for the best outcomes, operate with professionalism and respect towards their colleagues, and be honest and accountable at all project development phases. Throughout the process, a specific function is played by the project manager, whose performance is enhanced by being given support for the research process, which helps to ensure the quality of the outcome and the accomplishment of the intended aim.	**Current practice:** Information on the funding of the research activities is provided by the DCD / Research & Development Department and DRI/ Department of International Relations and also and also through the newsletter published quarterly by DCD. **National legislation:** ● OG no. 57/2002; ● HG no. 1265/2004 for the approval of the methodological norms regarding the contracting, financing, monitoring and evaluation of the programs, research-development and innovation projects and of the actions included in the national plan of research-development and innovation; ● OG no. 119/1999 regarding internal / managerial control and preventive financial control, republished; ● Order MFP no. 923/2014 for the approval of the General methodological norms regarding the exercise of the preventive financial control and of the Specific Code of professional norms for the persons who carry out the activity of self-preventive financial control, republished; ● Law no. 69/2010 on fiscal-budgetary responsibility, republished. **Internal regulations:** ● Rector's decision regarding employment. ● The Rector's Management Plan 2020-2024; ● The Rector's Management Plan 2024-2028; ● The procedure of the Internal Public Audit Service regarding the conduct of internal public audit missions; ● UPT Charter.
5. Contractual	+/- = **almost but not fully** implemented	Each member of the UPT academic staff has an employment contract for the standard/basis	**Current practice:** The DCD / Research & Development Department and DRI/ Department of International Relations offer supervision /

and legal obligations		workload and / or several employment contracts of a definite period for the research activity. Internal guidelines shall be provided to define the rights and responsibilities of the researcher/institution/funder regarding the project outputs and results, depending on the type of funding contract / service contract. If these responsibilities are ignored, it may have a detrimental impact on the research project since the terms and conditions of the contract or other relevant documents may not be known. The researcher must perform this task, even though there are instances when the bureaucratic load makes it difficult to recognise the value. Employment contracts, research agreements with the public or private sector, and other documents are examples of the different forms that contain contractual and legal duties that are coordinated, agreed upon, and signed by researchers and/or collaborators.	guidance to faculties and research centers regarding the valorisation of research results in the socio-economic environment. **National legislation:** ● Law no. 544/2001 regarding the free access to the information of public interest, updated; ● OG no. 57/2002, art. 29, art. 30, art. 31, paragraph (1) and (2); ● Law no. 64/1991, republished; ● Law no. 84/1998 republished; ● Law no. 8/1996, republished. The MLSS Order no. 2171/2022 regarding the approval of the framework model of the individual employment contract (for permanent and temporary periods on publicly funded projects and with third parties), updated. **Internal regulations:** ● Collective work contract at branch level (2017); ● Rector's decision to empower each project director to submit a project proposal; ● The regulation regarding the habilitation and eligibility of a doctoral supervisor. **Suggestions for improvement:** 1) Developing a specific section with pertinent data on the administration of research projects and the procedure of funding research on the UPT website. 2) Ensure that research protocols comply with relevant regulations, guidelines, and ethical principles to protect the rights, safety, and well-being of research participants.
6. Accountability	+/- = **almost but not fully** implemented	As an organisation that receives public funding, UPT complies by the laws governing public money' budget supervision and transparency. Employment contracts, research contract templates, and other forms are regularly adjusted to the legal framework in accordance with national and European legislation.	**Current practice:** The approach by which internal regulations can correlate with extra documentation relevant to UPT is outlined in the internal system of quality assurance for the educational, research, and innovation activities.

			Every step of the project's implementation is checked for compliance and accuracy by the Financial-Accounting Department. The reports on the implementation of the projects (both at management and at technical level) together with the internal audit report are sent to the funding authorities at the stages specified in the project the end of the year. **National legislation:** ● OG no. 119/1999, republished; ● Law no. 69/2010, republished; ● OUG no. 34/2017 regarding the financial management of the non-reimbursable external funds related to the Financial Mechanism European Economic Area 2014-2021 and to the Norwegian Financial Mechanism 2014-2021. **Internal regulations:** ● Code of ethics and professional ethics of the university; https://www.upt.ro/img/files/etica/HS_nr.158-16_11_2023_CODUL_DE_ETICA_DEONTOLOGIE.pdf **Suggestions for improvement:** 1) Updating the electronic project / program management system;
7. Good practice in research	+/- = **almost but not fully** implemented	With the assistance of department heads and deans, as well as the Department of Occupational Health and Safety and Department of Administrative Control, UPT maintains ideal working conditions. The security of employee personal information falls under the jurisdiction of the IT department. UPT is in the process of providing researchers with access to a backup system for data storage. Writing certain rules about the provisions of the General Regulation on data protection, or GDPR, is still required at the UPT level. Every research field has its own distinct procedures along with special tactics and security schemes. Every activity emphasises the	**Current practice:** Annual report on risk inventory updates. Report on annual risk management. IT consulting and personal data protection services. Each field has its own best practices that guarantee the harmonisation of actions to the desired result through a minimum consumption of actions, material, and human resources. These practices are influenced by European Directives adopted in national legislation through specialised institutional rules. **National legislation:** ● Law no. 319/2006 on occupational safety and health, updated.

		significance of safety, with personal safety coming first.	● HG no. 1425/2006 for the approval of the methodological Norms to apply the provisions of the Law on occupational safety and health no. 319/2006; ● Law no. 53/2003 - Labor Code , republished; ● OUG no. 96/2003 regarding the protection of motherhood in the workplace, updated;
8. Dissemination, exploitation of results	+/- = **almost but not fully** implemented	At UPT, the knowledge dissemination represents one of most important responsibilities of the academic staff. This activity is evaluated within the annual performance appraisal. UPT holds a television station (Tele UPT) and has its own publishing house (Politehnica). In addition, the journal series of UPT faculties contribute to the dissemination of research results. The valorisation and distribution of research outputs, including the commercialization stages from concepts to cutting-edge technology and targeted marketing, are not specifically targeted by UPT's plan yet. Each year the Rector's report is published on the research side, listing all research projects, researcher activities, etc.	**Current practice:** Through funding for institutional development, UPT stimulates the participation of researchers in various scientific events (e.g. conferences, workshops etc.) and the publication of scientific articles under Open Access. DCD and DRI offer support to all UPT researchers in the process of the valorisation of research results, based on the transfer of innovative technologies. According to the survey performed, during their entire career, the UPT academic staff declared that they have published more than 50 indexed articles (31.03%), between 41 and 50 index articles (20.69%), and less than 10 articles (10.34%). All the research assistants published less than 10 articles whereas the pure researchers published between 21 and 30 articles. The total number of articles published in UPT in 2022 and indexed in Web of Science is 354. The dissemination of information in UPT is done through the website, namely: - through Intranet - only UPT members have access to information - through Notice Board area - open to the public Dissemination of calls and information related to research is done through the Newsletters of the Research Department and DRI: - http://www.research.upt.ro/assets/files/News9.pdf

			- https://international.upt.ro/wp-content/uploads/2023/10/Newsletter_DRI_10_2023.pdf **National legislation:** ● Law no. 319/2003, art. 24, letter i).
9. Public engagement	+/- = **almost but not fully** implemented	The UPT Strategy and the Rector's Management Plan for the period 2024-2025 provides specific objectives and measures for the dissemination and communication of research, innovation, education . Each year the Rector's report is published on the research side, listing all research projects, researcher activities, etc. Good communication between the public and researchers is essential to understanding the role that research plays in society's progress and to garnering support and respect for it. Reporting on the expenditure of funds during the study process is the responsibility of the researcher who receives public funding. Raising public interest in the subject of research and helping people comprehend the entire process from the perspectives of success, financial profitability, current obstacles, and research activity failures are additional important factors to take into account.	**Current practice:** The purpose of research is to create and innovate to accomplish goals that benefit the broader public, and to appropriately notify the public about this. This is only feasible if one has a clear knowledge of its significance and that, like any other required administrative task, it is a part of the researcher's responsibilities. The Marketing Department, with its own marketing and branding services, the Poli TV, Public Relations Service / Communication Office, International Relations Department ensure the popularization of scientific activities and results at UPT level and faculties. UPT representatives participate in public events. **National legislation:** ● OG 57/2002 art. 7; ● Law no. 319/2003, art. 24, letter i). **Suggestions for improvement:** 1) Development of an interface on the UPT site. 2) Provide enhanced education with comprehensive educational materials that clearly explain the research process, potential risks and benefits, and their rights as researchers. 3) Conduct ethics impact assessments as part of the research planning process to proactively identify and address potential ethical challenges and implications. 4) Foster collaborative ethical decision-making processes that involve researchers, participants, community representatives, and other stakeholders.

10. Non discrimination	Implementation: ++ = **fully** implemented	As was indicated above, UPT does not permit or support discrimination of any kind. It acknowledges the core values outlined in the UPT Charter, the Code of Ethics, and the university's professional deontology.	**Current practice:** Support for students with disabilities; Possibility to work part time; Non-discriminatory criteria in the selection process. http://www.upt.ro/img/files/carta/2023/HS%20272-21_12_2023_CARTA-UPT.pdf **National legislation:** ● Law no. 53/2003, chapter II, art. 5, republished; ● Law no. 202/2002 on equal opportunities and treatment between women and men, republished. ● HG no. 1339/2023 regarding the approval of the Contest Framework-Methodology for the occupation of vacant teaching and research positions in higher education; **Internal regulations:** ● The UPT Charter and the Code of ethics and university professional deontology;
11. Evaluation/ appraisal systems	+/- = **almost but not fully** implemented	The system of evaluating teaching and research staff is primarily the responsibility of the department and is then consolidated in the faculty performance evaluation report, as per the national legislation (which specifies the autonomy of the faculties in the HR policy). The lack of abilities and knowledge that should be considered for professional growth is not identified by the self-assessment and individual evaluation method. There may be overlaps or redundancies because the researchers must complete multiple assessment forms and reports each year to report the individual performance. A computerised system for filling out the self-assessment report and extra individual evaluation reports is not available at UPT.	**Current practice:** The internal system of quality assurance for the educational, research and innovation activities outlines the way internal regulations can corroborate with additional documents relevant to UPT. The annual staff performance appraisal reports prepared at faculty level are integrated into the annual quality report at UPT level by the Quality Assurance Office. The following self-assessment and performance reporting tools are used: - the self-assessment report, with common template elaborated at UPT level; - the minimum-standards compliance checklist approved by Ministerial Order Nr. 6129/2016, corresponding to the respective scientific field [CNATDCU commission]; - the individual list of publications and patents (template of CNFIS reporting); - the individual annual job description (FIAP). **National legislation:**

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● Law no. 53/2003 - Labor Code, republished, art. 17, paragraph (3), letter e) and paragraph (4);
● Order no. 6143/2011 regarding the approval of the Methodology for annual evaluation of teaching and auxiliary teaching staff activity, updated;
● The Law of Higher Education no. 199/2023, chapter V, art. 213-215
● HG 789/2011 regarding the approval of the Evaluation Methodology for the purpose of classifying universities and ranking of study programs, art 3. and art 6.
Internal regulations:
● Rector's decisions regarding employment requirements;
● University Charter;
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<tr>
<td colspan="4">**Recruitment and Selection**</td>
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<td>12. Recruitment</td>
<td>Implementation:
++ = **fully** implemented</td>
<td>The recruitment procedures and conditions are clearly stipulated on the UPT website and agree with the national legislation and the criteria imposed at national level in terms of minimal requirement for each academic/research position.
In terms of hiring, there is a very well-developed procedure in place that lays out in detail the requirements that must be satisfied for every grade and pay step, for every post (research or learning), and through institutional procedures and legal frameworks. When called upon, the human resources department is approachable, professional, and well-organized.
However, the national legislative framework imposes what is regarded to be a drawn-out and bureaucratic employment process.</td>
<td>There is consistency regarding the applicability of clear principles and recruitment conditions, some of them being previously detailed, such as the principle of non-discrimination and professional ethics:
1) https://www.upt.ro/img/files/hs/2024/HS%20nr.28-21.03.2024.pdf
2) http://www.upt.ro/Informatii_concursuri_366_ro.html</td>
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<td>13. Recruitment (Code)</td>
<td>Implementation:
++ = **fully** implemented</td>
<td>The recruitment process for teaching, administrative and research staff is transparent,</td>
<td>The recruitment procedures, starting with the job advertisement, continuing with the competitive selection</td>
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		equal opportunities for all candidates and efficient in general.	stages, and ending with the actual hiring, are like those used in the European community, on the same model of transparency, accessibility, and fairness. Example for the ongoing employment process: 1. http://www.upt.ro/Informatii_concurs-de-ocupare-a-posturilor-didactice_2125_ro.html 2. http://www.upt.ro/Informatii_anunturi-privind-organizarea-concursului-pentru_487_ro.htm 3. https://www.upt.ro/img/files/hs/2024/HS%20nr.28-21.03.2024.pdf
14. Selection (Code)	+/- = **almost but not fully** implemented	Academic and research personnel are selected just on the basis of their qualifications and expertise in a given field, in accordance with CNATCU criteria. Depending on their experience, expertise, and area of expertise, the members of the selection committees are appointed for a limited time. Furthermore, the date of graduation is irrelevant in the selection process, with equal chances going to recent graduates as well as older ones.	In UPT, competition is used to fill all positions. The university charter's professional competency principle is implemented in the hiring and advancement of all categories. Methodology for conducting competitions to fill positions in research and teaching at Universitatea Politehnica Timisoara. 1. https://www.upt.ro/img/files/hs/2024/HS%20nr.28-21.03.2024.pdf 2. http://www.upt.ro/img/files/2023-2024/concursuri/cd_sem1_2023-2024/Acte%20necesare%20concursuri%20didactici%20nedeterminata.pdf
15. Transparency (Code)	Implementation: ++ = **fully** implemented	Having access to all the information required to engage in the recruitment process, equal possibilities throughout, and a lack of prejudice and competition are all made possible by the principle of transparency. The candidate receives notification of the selection results right away, and they are promptly posted on the university website.	Transparency is achieved by posting on the institution's website the announcement of the availability and opportunities that UPT offers, the gradual posting according to the stages of the selection process, the early announcement of the steps to be taken and the necessary documents, the results being announced and posted for the public immediately and giving the possibility to be challenged, as part of the transparency in the process. 1. http://www.upt.ro/img/files/2023-2024/concursuri/cd_sem1_2023-2024/Lista_posturi_concurs_cadre_didactice_per.nedeterminata_sem.I_2023-2024.pdf 2. http://www.upt.ro/Informatii_anunturi-privind-organizarea-concursului-pentru_487_ro.html

16. Judging merit (Code)	Implementation: ++ = **fully** implemented	Depending on the employment role, candidates are chosen based on a set of clearly specified criteria, including prior experience in the relevant field. The background of the candidate is another factor that the university takes into consideration. Candidates from the industrial sector have the opportunity to contribute to scientific advancement through their inventions, patents, and other contributions, and they will be given the same opportunities as those with more experience in higher education or in management roles in research and innovation. There is no instability even if the ratio of research to instructional activities varies.	Merit is assessed based on both quantitative and qualitative professional accomplishments, giving individuals who have not conducted research in a long time the same opportunities as those who have had more time to publish widely and achieve more in the field. Nonetheless, in compliance with institutional and national rules, each researcher (equivalent to an associate or full professor) must meet certain standards, typically in relation to publications and/or research contracts. 1. http://www.upt.ro/img/files/2018-2019/concurs/gr_merit/HS_119_18.04.2019_Metodologie-gradatii-de-merit-cadre-didactice.pdf 2. https://www.upt.ro/Informatii_concurs-pentru-gradatii-de-merit-2024_2388_ro.html
17. Variations in the chronological order of CVs (Code)	Implementation: ++ = **fully** implemented	A researcher might suspend their work for a variety of reasons, and their ability to resume in the field will depend on the calibre of their prior work and the factors that motivated their return.	In this regard, UPT is flexible, allowing a researcher to reenter the field following a period of absence for specific causes. When resuming academic work after a sabbatical caused by employment in the private sector or at another university, the experience gained can be beneficial. Nonetheless, in compliance with institutional and national rules, each researcher (equivalent to an associate or full professor) must meet certain standards, typically in relation to publications and/or research contracts. 1. https://www.upt.ro/Informatii_reglementari-referitoare-la-ciclul-de-doctorat_271_ro.html 2. http://www.upt.ro/img/files/2012-2013/studenti/HS_38_Codul-drepturilor-si-obligatiilor-studentului-din-UPT2-1.pdf 3. http://www.upt.ro/img/files/legislatie/2012/OMECTS_3.223_din_8.02.2012_Met_recun_perioade_studii_strainatate.pdf 4. http://www.upt.ro/Informatii_documentele-doctoranzilor-inmatriculati-incepand-cu-anul-201_286_ro.html

18. Recognition of mobility experience (Code)	Implementation: ++ = **fully** implemented	Researchers and the university advantages of the experience sharing that occurs between UPT and other universities both locally and globally, as well as from participation in conferences and other activities. Mobility and cooperation with researchers in related or complimentary fields are encouraged by UPT. Mobility aids in evaluating a candidate's quality in selection contests without acting as a determining or quantitative requirement.	The University supports researchers through financial support for mobilities, a real help for those who face financial and other impediments. The period spent by the UPT academic staff in conducting research abroad is reduced. 31.03% spent no period abroad or up to 1 month. Most UPT academic staff spent abroad 1 to 6 months of doing research (37.93%). However, 10.34% spent more than 3 years in conducting research abroad. The research assistants have an even more international research experience, 66.67% of them declaring none or up to 1-month international experience.
19. Recognition of qualifications (Code)	Implementation: ++ = **fully** implemented	A candidate must be qualified and have specialised in a particular field of study or industry from the time of recruitment and must continue to do so throughout their career. in accordance with **National Centre for Recognition and Equivalence of Diplomas** (CNRED) criteria.	Methodology for recruitment and selection at UPT: 1. https://www.upt.ro/img/files/hs/2024/HS%20nr.28-21.03.2024.pdf 2. http://www.upt.ro/img/files/2023-2024/concursuri/cd_sem1_2023-2024/Acte%20necesare%20concursuri%20didactici%20nedeterminata.pdf 3. https://cnred.edu.ro/en/home-4/
20. Seniority (Code)	+/- = **almost but not fully** implemented	Having something of an official position requires not just professional accomplishments but also years of experience and contributions to the field in which one works. UPT has managed through the procedures stipulated in the new charter to offer the possibility to the professors who have reached 65 years of age to remain active (http://www.upt.ro/img/files/carta/2023/HS%20272-21_12_2023_CARTA-UPT.pdf).	UPT is quick to promote and advance its staff members as well as everyone else engaged in the activities of the organisation. Nonetheless, in accordance with institutional and national rules, minimum requirements for senior researcher positions (or equivalent to associate/full professor) must be met; these requirements typically take the form of publications and/or research contracts, depending on the field of research. https://www.edu.ro/sites/default/files/anexa%20ordin%206.129_2016%20standarde%20minimale.pdf The extension of the activity in UPT can be done in the following way: - doctoral coordinators who are over 65 years are employed at the Doctoral School

			- professors who are 65 and still have significant research activities become Emeritus Professors
21. Postdoctoral appointmen ts (Code)	+/- = **almost but not fully** implemented	Through incorporating them into UPT's research structures and making advanced research resources more accessible to them, the proposed institutional programme aims to enhance postdoctoral researchers' career growth chances and advanced research components. Transitional postdoctoral status is granted primarily to support further professional development chances for a research career, but it also serves to address the demands of the local, regional, and national business communities. Funding, however, may be a problem for post-doctoral submissions.	Postdoctoral programs provide the institutional framework for the development of advanced research after the completion of studies university doctoral programs in specific doctoral fields within Council for Doctoral Studies (CSUD). UPT creates ways for accessing funds for the development of postdoctoral programs by national or internal projects (UPT), international projects, or at the initiative of the economic environment. The activity of post-doctoral researchers will be monitored during the implementation phase of the program, to improve scientific research capacity, but also diversify post-doctoral training methods from the viewpoint of entrepreneurial skills. The university will continue to apply for funding of postdoctoral researcher, such as the previous and existing initiatives. 1. http://www.upt.ro/img/files/posdru/id137070/docu mente/Activitati_asociate_mobilitatilor-vers1.pdf An example of good practice was the InoHub project where there was also a post-doc component, the methodology of the section can be seen in the link below: 2. https://inohubdoc.upt.ro/assets/files/Metodologie-deselectieInoHubDoc.pdf
Working Conditions and Social Security			
22. Recognition of the profession	Implementation: ++ = **fully** implemented	UPT actively promotes research through the work of its academic faculty and, more importantly, through its internal structures like CSUD. There has been a shift in how research is perceived as contributing to economic development and society as a whole as a result of all the initiatives made in this area. Financial benefits and technical support are provided to those directly involved, who are continuously pursuing performance and specialisation. Academic and research roles have	The framework for career growth is excellent; it is predicated on research accomplishments and stability gained through experience.

		professional equivalents as well, all of which promote intellectual achievement. Recognising professional worth at all levels is very important to UPT.	
23. Research environment	+/- = **almost but not fully** implemented	In addition to providing facilities and tools, UPT also offers courses to help students to improve their education or gain the skills required for innovation, research, and development. To promote awareness of research opportunities and the development of professional collaborations, courses and working groups are arranged, to which all researchers and teaching staff are invited. The national legal framework places limitations on the purchase of capital assets with regard to finance sources and procedures.	Maintaining the ideal framework for the efficient operation of all institutional structures, for researchers as well as for learners and teachers alike, is one of UPT's other main priorities. To promote awareness of research opportunities and the development of professional collaborations, courses and working groups are arranged, to which all researchers and teaching staff are invited. The aim of many of these trainings is to teach researchers how to apply for financing (national and/or European), which makes them more accessible and can involve a greater number of participants. Funds acquired from projects allow easier purchasing of capital assets. UPT also aims to provide researchers to keep up with the ever-changing and evolving technique and technology.
24. Working conditions	+/- = **almost but not fully** implemented	The UPT working conditions and social security revealed the following results of the survey: (i) most respondents completely agree with the working and social security conditions in UPT, (ii) the highest score is reported for the stability of employment conditions in UPT (25 out of 36 respondents completely agree), (iii) the smallest score is associated with career advice and job placement assistance to researchers. (UPT offers such a support for its students, but for a smaller extent to the research staff).	The working conditions are closely tied to the working environment, and UPT is concerned with creating successful ones. Working conditions have been modified over time in response to results, always keeping the welfare of employees in mind. A number of buildings have been purchased in recent years and are undergoing renovations. There are proposals to build and make available new research facilities.
25. Stability and permanence	+/- = **almost but not fully** implemented	In a competitive market economy, research also suffers in terms of stability and sustainability, as well as individual security. UPT makes a thorough	The academic staff holding the positions of professor and associate professor are all employed on contracts of indefinite

of employment		effort to supply this necessary component, which ultimately results in worker empowerment. Exceptional outcomes from short-term projects have regularly resulted in a permanent post inside one of the university's structures. While research-only posts are financed while active projects are underway, all academic positions are permanent (if a PhD credential is available). Academic staff employment opportunities are flexible, which encourages their involvement in research projects. The flexibility of the working hours and programme is authorised at the faculty level in accordance with the present national legislation (i.e., the autonomy of the faculties in the HR policy).	duration. The lecturers employed for an indefinite duration represent 70% of the total lecturer positions At the beginning of the academic year at UPT it was voted in the University Senate the HS 126/22.09.2023 in which there were 556 full academic staff (professor, asssoc. prof, lecturer, assistant), 45 associate academic staff (different positions) and 403 vacant positions. (https://www.upt.ro/img/files/hs/2023/HS_126_22_09_2023_aprobare-state-de-functii-CD-si-planuri-invat-2023-2024.pdf). The employment contracts for the auxiliary staff (researchers, technicians, laboratory assistants) are in general for an indefinite duration, like the contracts of the administrative staff. **National legislation:** ● Law no. 53/2003 - Labor Code, republished,, art. 86, paragraph (1). **Internal regulations:** **https://www.upt.ro/img/files/carta/2023/HS%20272-21_12_2023_CARTA-UPT.pdf**
26. Funding and salaries	+/- = **almost but not fully** implemented	Starting with the position lecturer /assistant professor, the academic staff has a permanent position in UPT. Teaching assistants can have either permanent, or a temporary position. The research staff can also have either permanent, or a temporary position. All the academic staff from UPT sample have a permanent position, while half of the research assistants have a temporary position. Permanent positions represent 91.67%.	Through adopting independent judgements, UPT provides resources and training, as well as advantages from its own efforts, to employees who deliver output and performance. This exceeds the typical restrictions set by the national laws, which are viewed by many as inflexible, harsh, inadequate, and demoralising. Research initiatives may bring extra benefits. Research Performance Management Portal (https://rpmp.upt.ro/auth/login?redirectTo=%2Fprofile)
27. Gender balance	+/- = **almost but not fully** implemented	During the academic year 2022-2023 UPT recorded 551 academic staff and 45 research assistants (according to the Rector's report	No discrimination of any kind exists, and UPT goes to great measures to maintain this principle and provide equal opportunities to everyone wishing to pursue a career in academia, teaching, or research. The European strategy on

		released in 2023). Beside the academic staff, 17 researchers are employed by the Institute of Renewable Energy inside UPT. In Romania, the academic staff performs both teaching and research activities. Therefore, the total number of persons performing research activities in UPT in 2022-2023 is 613. The following analysis considers the 36 completed surveys by the UPT academic staff and researchers (equivalent with a response rate of 6%). Out of the 36 respondents, 29 represent academic staff. Within the academic staff, 72.4% are males, and 27.6% females. Most of respondents have a full professor degree (12). There is a perfect equilibrium between males and females when analyzing the research assistants' sample. The age of academic and research staff members varies from 25 to 65 years (females: 31 - 61 years; males: 25-65 years). The dominant group of researchers lies in the interval 35 - 44 years.	gender equality 2020–2025, the national strategy on the promotion of equal opportunities and treatment between women and men, the provisions of Law 202 of 2002 on equal opportunities and treatment between women and men, and the new directions supported by Horizon Europe on gender equality plans are all taken into consideration in UPT's strategic plan on gender equality, which runs from 2022 to 2025. http://www.research.upt.ro/assets/files/PlanEgGen_en.pdf
28. Career development	+/- = **almost but not fully** implemented	In UPT a person can have multiple roles. For example, academic staff can be involved in the institutional managements, as well as in the administrative (research related) activities, as research project coordinator. PhD students can also be involved in teaching activities, although they are not part of the permanent academic staff. At the same time, academic staff might consider themselves as researchers. The 'research only' staff can also have multiple roles. Therefore, the 36 respondents can associate themselves either with one or more roles in the university.	Performance and stability are encouraged according to seniority and results through the possibility of advancement, UPT always supporting the maximum degree of material reward and not only, looking for solutions to reward those who make efforts to increase the prestige of the university. **National legislation:** ● Order no. 4139/2022 regarding the approval of the Methodology-framework for organizing the psycho-pedagogical training program in order to certify the competences for the teaching profession by the specialized departments within the accredited higher education institutions

			● Law no. 199/2023
			Internal regulations:
			● The UPT methodology regarding vacant teaching and research positions.
			   1. http://www.upt.ro/img/files/2023-2024/concursuri/cd_sem1_2023-2024/Lista_posturi_concurs_cadre_didactice_per.ne determinata_sem.I_2023-2024.pdf
			   2. http://www.upt.ro/Informatii_anunturi-privind-organizarea-concursului-pentru_487_ro.html

29. Value of mobility	+/- = **almost but not fully** implemented	The period spent by the UPT academic staff in conducting research abroad is reduced. 31.03% spent no period abroad or up to 1 month. Most UPT academic staff spent abroad 1 to 6 months of doing research (37.93%). However, 10.34% spent more than 3 years in conducting research abroad. The research assistants have an even more international research experience, 66.67% of them declaring none or up to 1 month international experience.	At all training levels, partnerships have been developed, and they have shown to be highly fruitful. The University will keep funding mobilisations for researchers, which is an invaluable resource to individuals who have financial or other challenges. The E3UDRES2 initiatives are one such ongoing support effort.
			   1. https://international.upt.ro/e%c2%b3udres%c2%b2/
			   2. https://international.upt.ro/mobilitati-see-studenti/
			   3. https://international.upt.ro/programe-intensive-mixte/
			   4. https://international.upt.ro/mobilitati-de-predare-si-formare-2023-2024/

30. Access to career advice	+/- = **almost but not fully** implemented	The legal framework defines career stages for staff at HEIs based on qualifications and experience (LHEI 199/2023, Art. 200). There are four career stages in the academic field (assistant, lecturer, associate professor, professor) and five stages in research (research assistant, researcher, researcher 3rd degree, researcher 2nd degree, researcher 1st degree). The next table presents an equivalence in terms of research grade between the academic staff and the research activity only.	The counselling activity is conducted in compliance with the Law no. 199/2023, the UPT Charter, the Regulation on the Activity of the ECTS system, the University Code of Rights and Obligations of the UPT, and the Methodology on the organisation and functioning of the Career Counselling and Guidance Centre (CCOC) of the UPT.
			The CCOC centre, however, specialises in career counselling for recent graduates and students.
			Internal policies will be strengthened to provide more clarity, a researcher-focused approach, and committed counselling personnel for the counselling process.
			   1. https://www.cicoc.upt.ro/
			   2. https://www.facebook.com/zileleconsilieriiupt

		The structure of the UPT academic staff according to the present survey (that underlies the analysis) is: 12 professors, 7 associate professors, 9 lecturers, 1 assistant	
31. Intellectual Property Rights	+/- = **almost but not fully** implemented	UPT supports the protection of intellectual property rights through specialized assistance offered by internal or external expertise, and in some cases supports the costs of patent applications, copyright registration and so on if it estimates potential economic benefits. Through Industrial Property, Innovation and Technology Transfer Office (http://www.research.upt.ro/page45.html#extHeader16-7oe).	**Current practice:** CITT offers consulting services for the protection of intellectual property to UPT's academic staff. At the regional, national, and worldwide levels, CITT supports the development of innovative goods and technologies based on research findings and helps enhance collaboration with socio-economic partners. **National legislation:** ● Law no. 64/1991, republished ; ● Law no. 84/1998, republished; ● Law no. 8/1996, republished; ● Law no. 83/2014 regarding service inventions. **Internal regulations:** Regulation regarding the use of the results obtained from the research and technological development activity. **Suggestions for improvement:** 1) To create an UPT Intellectual Property Rights policy; 2) To strengthen the "train the trainer" system's intellectual property rights instruction provided to junior researchers at the department/faculty level;
32. Co-authorship	+/- = **almost but not fully** implemented	The fundamental idea should be as follows: regardless of a co-author's employment history, scientific degree, or writing order, contributions to the creation of publications and patents should be acknowledged and divided amongst co-authors in accordance with internationally accepted practices. This includes students, particularly doctorate students. Since it is important for each participant to fairly benefit from the right to be acknowledged and/or mentioned and cited, according to their actual	**Current practice:** In line with global research practices, UPT researchers are acknowledged as both independent and co-authors. The contributions of students and PhD students in terms of their rights as inventors of a patent are recognized. UPT intend to increase yearly with at least 5% of the number of articles with authors from UPT and from foreign institutions published in international journals and conferences and symposiums with recognized visibility (http://www.upt.ro/img/file/Proceduri/Strategy%20for%20Internationlisation_UPT_2021_2028.pdf)

		contribution, UPT does not have a co-authoring procedure that outlines how to determine each participant's actual contribution to obtaining a research result and their actual contribution as a co-author of a scientific paper.	**National legislation:** ● Law no. 8/1996, republished, art. 5, art. 6, art. 12 and 13. **Suggestions for improvement:** 1) To create a co-authoring procedure at UPT 2) To offer training for the application of the co-authoring procedure at department /faculty level;
33. Teaching	+/- = **almost but not fully** implemented	The education law specifies the number of teaching hours required for academic posts; extra teaching hours are compensated for on an individual basis. Laws set maximum rates for hours worked. PhD candidates who have a teaching percentage in their contract, with the option to increase it if needed, may be assigned to faculty members. In general, the dissemination of research knowledge is achieved due to the involvement of academic staff in both research and teaching.	The activity of the academic staff is evaluated annually based on criteria included in the assessment instruments applied at the institutional level (the self-appraisal report) and national level (Annex 3 CNATDCU). Beyond the very minimum necessary by law (which varies depending on the academic position), the researcher is free to decide whether and to what extent to participate in the educational process, which is supported by the UPT but not mandated. **National legislation:** ● MER order no. 5229/2020 for the approval of the methodologies related to the granting of the qualification certificate, the granting of the doctorate title, as well as the resolution of notifications regarding non-compliance with quality standards or professional ethics, including regarding the existence of plagiarism, within a doctoral thesis ● The Law of Higher Education no. 199/2023 **Internal regulations:** ● The internal quality assurance system for research, education and specific activities establishes interrelationships between the categories of basic activities (education and research) at the level of the departments / departments / faculties as well as between other documents valid at the level of UPT.
34. Complains/ appeals	+/- = **almost but not fully** implemented	Anything that goes against of the UPT Charter's Code of Ethics and Professional Deontology, as well as any deviation from the ethical standards governing university research, may be brought to the attention of the University Ethics Committee.	However, II is encouraged to explore alternative approaches of resolution, depending on the circumstances, up until the referral to the University Ethics Committee, all the while upholding the fundamental values of professional ethics and the equality of professors, researchers, and employees. There

		It is advised that, in accordance with university hierarchy and only after the petitioning right has been fully utilised, the University Ethics Commission be consulted.	will be measures implemented to enhance the current Code with more information relevant to the research activity and to better disseminate the current regulations. 1. http://www.upt.ro/Informatii_etica-si-deontologie_164_ro.html 2. http://www.upt.ro/pdf/090119_PG_CorPrev.pdf
35. Participation in decision-making bodies	+/- = **almost but not fully** implemented	Researchers and staff members are included in the framework for making decisions based on the circumstances, and usual department and structure meetings are one typical and accepted practice. Representatives from the faculties and departments that comprise the UPT may be invited to attend sessions, contingent on the significance of the problems being discussed. In this approach, the interests of the public are served by a transparent decision-making process. However, there are also sensitive or pressing circumstances that call for managerial decision-making; in these cases, broad participation might compromise the effectiveness of the decision-making process. Voting is used to choose members of decision-making bodies (at various levels: department, faculty, senate, etc.).	In general, UPT makes decisions in the best interests of all parties through an open and transparent process that involves staff members, researchers, and instructors. The webpage for the current four-year election cycle (2024–2029) is: http://www.upt.ro/Informatii_alegeri-si-concursuri_578_ro.html Methodology approved for elections to decision-making bodies: http://www.upt.ro/img/files/hs/2023/HS_161_REGULAMENT%20ALEGERI_CD_2023.pdf
Training and Development			
36. Relation with supervisors	Implementation: ++ = **fully** implemented	The IOSUD framework clearly establishes the relationship between PhD student and supervisor, through a series of rights and obligations established from the signing of the study contract. http://www.upt.ro/Informatii_studii-universitare-de-doctorat_266_ro.html	Academic and research employees are members of existing research structures, each being led by a structure leader (senior investigators). Each doctoral student benefits from supervision and guidance by the coordinator and the guidance commission. In order to fill a teaching and research position or for career advancement, each candidate prepares a career plan, which comes into force once the position has been occupied. **National legislation:** ● OG no. 57/2002.

			Internal regulations: ● Regulation on the organization and conduct of doctoral university studies in UPT 1. https://www.upt.ro/Informatii_reglementari-referitoare-la-ciclul-de-doctorat_271_ro.html 2. http://www.upt.ro/Informatii_documentele-doctoranzilor-inmatriculati-incepand-cu-anul-201_286_ro.html
37. Supervision and managerial duties	Implementation: ++ = **fully** implemented	For the best outcomes in a short period of time, supervision and mentoring are provided for each human resource involved from the time of selection gradually increasing the duties of each position. Mentoring is based on the values of academic honesty and collegiality. Postdoctoral and PhD students are assigned a supervisor. Senior researchers oversee the work of other junior researchers who are employed by research departments or organisations.	Experienced and junior professors and researchers at UPT work well together by providing support to the younger generation. HR professionals can help spread awareness of this problem and provide assistance as needed. To provide researchers with more information about the current supervision methods, UPT will host workshops. The postdoctoral and doctorate institutional code is: 1. https://www.upt.ro/Informatii_reglementari-referitoare-la-ciclul-de-doctorat_271_ro.html
38. Continuing Professional Development	Implementation: ++ = **fully** implemented	In the field of research, the need to continuously change and the issues that come with it are essential. There is no evolution, no innovation without a permanent study of progress worldwide. This field had a dynamic that makes the researcher to be continually active and to keep up with all it is new.	Through acquiring software or equipments, subscribing to the primary online sources, setting up working groups, seminars, refresher courses, and the required equipment, UPT provides the required tools. There is a training plan for both administrative and academic staff at UPT : https://www.upt.ro/img/files/proceduri_instructiuni/proceduri/COD_UPT-PO-S-O-41.pdf
39. Access to research training and continuous development	+/- = **almost but not fully** implemented	The connection of young researchers and supervisors seems to be very strong in UPT. Almost all respondent completely or mostly agreed with the fact that they established a regular relationship with their supervisors and that supervisors build a constructive relation with the early-stage researchers. Furthermore, 28 out of 36 respondents continually update their skills	UPT has implemented FDI funded projects to ensure continuous professional development activities. In order to fill an academic position or for career advancement, each candidate prepares a career plan that includes continuing education activities. Moreover, workshops, intensive courses and lectures with Romanian or foreign guests are organized to develop certain components of the research activity.

		and most of them consider that UPT ensure a continuous training freely accessible.	Some research projects have included courses in continuous development, such as SIRAMM and InoHub: - https://www.siramm.unipr.it/ - https://inohubdoc.upt.ro/page1.html#content08-6p **National legislation:** ● Law no. 199/2023 **Internal regulations:** ● UPT Chart: https://www.upt.ro/img/files/carta/2023/HS%20272-21_12_2023_CARTA-UPT.pdf
40. Supervision	+/- = **almost but not fully** implemented	In order to facilitate the professional growth of junior researchers, UPT has developed a methodological framework for the arrangement of classes and activities related to doctoral programmes. As a result, the creation of a supervisory doctoral commission is required, whose duties complement those of the doctorate coordinator. Undergraduate, graduate, and doctorate students all receive assistance and mentoring through their specific annual job descriptions. UPT, through the Rector's Office, offers analysis and counseling for career advancement and preparation of the competition dossier. Every year, UPT performs the evaluation of the results and the impact of the teaching and research activity based on tools developed internally (self-assessment report) and at national level (evaluation report templates developed by CNATDCU committees). UPT has not developed a policy for the development of an academic career that pursues tailored training according to the career level and that suggests a strategic approach to the mentoring and supervision activities, despite the	Every applicant creates a career plan whether it's for a job promotion or academic post. After the post is filled, it is assessed by the evaluation committee and becomes effective. Every year, the effectiveness of the teaching and research activities is assessed, and department administrators offer suggestions for enhancing the outcomes. PhD candidates and postdoctoral researchers at UPT are encouraged to take courses that will help them advance their teaching careers, support creative approaches in higher education, foster an entrepreneurial mindset and set of skills, and strengthen their research teams' capacity for scientific discovery through cross-border collaborations. They additionally profited from job counselling sessions. Depending on the position to which the candidate is applying he will have to prepare for the application a career lecture, a course or if it is an assistant position even part of the applications (seminar, labs, etc).

| | | fact that doctoral schools and departments have examples of good practice.

Similarly, in the absence of a framework for the supervisor and mentoring activity, the supervisory activities are not extended to other positions that address an early stage of the research career (lecturers, assistant professors, and postdoctoral researchers). | |