HR Excellence in Research

GAP Analysis (Charter and Code Checklist)

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Case number

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Name Organisation under review

Institute of Cellular Biology and Pathology "Nicolae Simionescu"

Organisation's contact details

Bogdan Petriceicu Hasdeu, nr. 8, BUCURESTI, 050568, Romania

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GAP Analysis overview

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

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

- Status: to what extent does this organisation meet the following principles?
- Implementation (++ , +/- , -/+, --) :
 - ++ fully implemented
 - +/- almost but not fully implemented
 - -/+ partially implemented
 - -- insufficiently implemented
- GAP: In case of --, -/+, or +/-, please indicate the actual "gap" between the principle and the current practice in your organisation.
- **Implementation impediments**: If relevant, please list any national/regional legislation or organisational regulation currently impeding implementation.
- Initiatives undertaken/new proposals: If relevant, please list any initiatives that have already been taken to improve the situation and/or new proposals that could remedy the current situation.

Status

Ethical and Professional Aspects

1. Research freedom

Initiatives undertaken/new **Implementation GAP / Implementation impediments** proposals - Lack of funding for access to all publications, consumables needed to carry out research. - Cumbersome procurement legislation and procedures. - Insufficient funding for young Establish a dedicated space on people at the beginning of their careers - The management and the website of the ICBP-NS, practices specific to research activities are not brought together section Research, with relevant in a unified framework and are not widely disseminated to enable information on the means made guidance, primarily to young researchers, to become comfortable available by the ICBP-NS to from the beginning of their careers with the correct ensure freedoms and understanding and approach to freedom of research. opportunities for research activity. National/regional legislation or organisational regulation currently +/- almost but not fully i... Organization of training sessions impeding implementation - Law No. 98/2016 on public in research ethics for PhD procurement which does not provide flexibility for customization students and young researchers of the type of consumables needed depending on the results of when they start working in the the research at different stages; - The State Budget Law Institute. Legislative proposals to allocating to the Romanian Academy a budget for all subordinate ensure flexibility of public research institutes, including the ICBP-NS. The allocated budget procurement in research. is mostly for salary expenses, and only to a small extent for the needs of upgrading equipment, maintenance and research consumables.

2. Ethical principles

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i	- The Code of Ethics contains elements to be updated in line with the 2023 edition of the European Code of Conduct for Research Integrity, including elements related to integrity Although documents on the principles of ethics and professional conduct are disseminated at the level of the ICBP-NS, communication needs to be improved to raise awareness and understanding of these and the European Code of Conduct principles.	Adding integrity-related elements to the Code of Ethics to promote the moral status that researchers should have (honesty, fairness and dignity). Organize mandatory ethics and integrity courses. Establish a dedicated space on the ICBP-NS website, Research section, with relevant information on how to apply the ethical principles and the work.

3. Professional responsibility

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	The socio-economic responsibility aspects of the research activity are insufficiently developed in the internal documents with which the ICBP-NS operates, also insufficiently monitored and disseminated to the research staff.	Update procedures for research, innovation activities to clarify/evidence the researcher's responsibilities for costeffectiveness in relation to outputs. Develop procedures and organise training sessions to raise staff awareness of social and economic responsibility Broadening access to scientific databases to include high-impact publications. Development of the ICBP-NS electronic platform with dedicated facilities to combat plagiarism and self-plagiarism. The Scientific Council will assign precise responsibilities to members for guiding and monitoring the integration of young people in the work of the Institute.

4. Professional attitude

Implementation

GAP / Implementation impediments

Initiatives undertaken/new proposals

+/- almost but not fully i...

- Although there are procedures at institutional level to manage the research process at the substructure level, there are projects where the involvement of several departments plus the support of administrative departments is needed. Thus, it is necessary to have a procedure for the implementation of projects, coupled with the need to continuously inform researchers about their responsibilities for the implementation of a project, and for the exploitation of research results for the benefit of society. - Monitoring the parallel implementation of several projects subject to the specific regulations of the funding lines accessed is difficult to achieve in the absence of an electronic project management tool. National/regional legislation or organizational regulation currently impeding implementation - the legal regulations related to the financing mechanisms of grant-funded projects are not always respected, leading to cash-flow bottlenecks necessary to achieve the objectives as assumed in the financing contracts. - Law No 98/2016 on public procurement that does not provide flexibility for customization of the type of consumables needed depending on the results of research at different stages

Establish a dedicated space on the ICBP-NS website, Research section, with relevant information on the steps to follow in the process of identifying research opportunities. The implementation of a project implementation procedure, coupled with the need to continuously inform researchers about their responsibilities in the implementation of a project, and to exploit the research results for the benefit of society. Create an electronic project/programme management system that can be accessed on the intranet and that provides permanent information on the availability of resources (human, financial, material), deadlines for deliverables, milestones.

5. Contractual and legal obligations

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i	- The employment contracts make no reference to the know-how created at the level of the Institute and the parties that set it up. Provisions on know-how are only laid down in the grant contracts Intellectual property issues are only brought to the attention of researchers in activities that result in publications, patents There is no internal guidance on the internal regulations concerning the implications/obligations of the researcher/institution/funder with regard to the results obtained in the context of different types of funding/service contracts for research and innovation activities	Inclusion of know-how and intellectual property issues in job descriptions Develop an internal guide on internal regulations on the implications/obligations of the researcher/institution/funder on the results obtained in the context of different types of funding/service contracts for research and innovation activities. The implementation of a project implementation procedure, coupled with the need to continuously inform researchers about their responsibilities in the implementation of a project, and to exploit the research results for the benefit of society. Creation of a dedicated space on the ICBP-NS website, Research section, with relevant information on the steps to follow in the research process completed by obtaining results involving intellectual property rights.

6. Accountability

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
insufficiently impleme	- Insufficient staff awareness of socio-economic responsibility - public financial information is not updated on the existing web page, it will be included in the updated version currently being produced.	Creation of an electronic project/programme management system, with a component for tracking research deliverables and a component related to transparency and efficiency of financial resources. Management and practices specific to research activities, together with transparent and efficient financial management, are recommended to be brought together in a unified framework - the system OP - and to be widely disseminated. Update procedures for research, innovation activities to clarify/evidence the researcher's responsibilities for cost-effectiveness in relation to outputs Organise information sessions to raise staff awareness of socio-economic responsibility. Update the project website with a special section dedicated to financial transparency.

7. Good practice in research

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i…	 - there is no General Data Protection Regulation - GDPR - there is no backup system for storing research information/data. - obsolete backup system for storing information/research data Data protection systems need to be up-dated as the whole research data platform is being updated as a structure. 	Drafting a General Data Protection Regulation - GDPR to transpose the legal provisions at the Institute level. The organization of training sessions on occupational safety conditions and prevention of existing risks will be recorded and published on the ICBP-NS website Annual report on the progress of the risk management process. up-to-date information/data backup and storage system, including data protection and security systems

8. Dissemination, exploitation of results

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	- The ICBP-NS website does not have a user-friendly interface, with outdated information and without a platform containing structured data in terms of the research areas addressed There is no integrated communication plan to disseminate the results of the research carried out at the Institute No affiliations to international research networks/innovation hubs	Developing a communication plan, identifying means and target groups in order to maximise the exploitation of research results Encourage the establishment of partnerships to integrate the IBPC-NS into innovation clusters and thematic hubs/networks to enhance the exploitation of research results. Update and development of the IBPC-NS website: - structured, clear, with important and detailed information about the activity, history and present and future plans so that the vision of the IBPC-NS is transparent to visitors; - reorganisation of scientific information into a modern research platform - Creation of a dedicated space on the IBPC-NS website, within the Research section, for the dissemination and exploitation of research results

9. Public engagement

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	- There is no integrated communication plan to disseminate the results of the research carried out at the Institute The ICBP-NS website does not have a user-friendly interface, with outdated information and without a platform containing structured data in terms of the research areas addressed.	Develop a dedicated space on the ICBP-NS website, for the exposure of research results/ideas by periodically monitoring the progress of applied research and informing the specialised public at all stages of the research.

10. Non discrimination

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i	- The procedures are not updated with regard to gender criteria.	Update on Gender Criteria Procedures.

11. Evaluation/ appraisal systems

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i	- Partially functional evaluation system for research staff	Update of the internal staff performance appraisal procedure. Establish a system to improve performance by using modern methods/means.

Recruitment and Selection - please be aware that the items listed here correspond with the Charter and Code. In addition, your organisation also needs to complete the checklist on Open, Transparent and Merit-based Recruitment included in a separate section, which focuses on the operationalization of these principles.

12. Recruitment

GAP / Implementation impediments Implementation Initiatives undertaken/new proposals - The recruitment process is conditional on the approval of posts in the establishment plan and budget allocations for - Consolidation of the existing strategy permanent posts. - Open, Transparent and Merit-Based and procedures in a document regarding Recruitment Policy is not completed and published on to OTM-R Policy - Publishing of the ICBP-NS website - Even though the principles of Open, OTM-R Policy on ICBP-NS website -Transparent and Merit-Based Recruitment Policy are Elaboration internal guide setting out largely contained in the recruitment, promotion, selection clear OTM-R procedures and practices procedures and practices for all types of positions specific for all types of positions - Training to the posts in the ICBP-NS, reformulations are needed to sessions for the OTM-R policy be fully in line with the requirements of the OTM-R. - It is -/+ partially implemented provisions. - Statistics of OTM-R training necessary to complete some administrative tasks of the courses attendance will be separately -Human Resources Department corresponding to some Update of the ICBP-NS Methodology for requirements of the OTM-R. National/regional legislation filling research vacancies, for full or organisational regulation currently impeding compliance with OTM-R policies implementation The State Budget Law allocating to the Complete the administrative tasks of the Romanian Academy a budget for all subordinate research Human Resources Department for the institutes, including the ICBP-NS. The allocated budget is implementation of the mandatory mainly intended for salary expenses as long as the posts requirements of the OTM-R. in the organigram are approved and not blocked by

budgetary restrictions.

13. Recruitment (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i	- There is a need to increase the visibility of vacancies for researchers on the ICBP-NS website Even if the advertisements are published in all the online media specific to research, it is often necessary to republish the advertisements, making it difficult to recruit candidates The ads do not describe in detail the working conditions and career development prospects.	Development of an online application toolkit on IBPC-NS website Organizing events such as ICBP-NS Open Doors and sending information materials on career development opportunities within ICBP-NS for students in their final years at the relevant faculties. Participation in the Romanian Academy conferences, as well as in other academic events and job fairs dedicated to researchers, including at European level to popularize the Institute's activities and attract young people. Filling in advertisements with information on working conditions and career development prospects

14. Selection (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i	- For the specific conditions of posts outside the organisation chart, competitions organised on posts included in the framework of non-reimbursable projects, no training is organised beforehand for the members of the Commission The composition of the evaluation committees rarely includes experts from outside the Romanian Academy and from the private sector, given the nature of the ICBP-NS research activity, i.e. basic research.	Organise preliminary training sessions for the members of the Evaluation Committee for the recruitment of non-organisational research staff. Inclusion of health experts in the Evaluation Commissions as final beneficiaries of the results of the research carried out by the ICBP-NS.

15. Transparency (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i	Not specified in detail in the text of the advertisement are the professional and career development opportunities that ICBP-NS can offer.	Filling in advertisements with information on working conditions and career development prospects

16. Judging merit (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	The current criteria do not include issues related to fundraising, socio-economic accountability, research management.	Include in the selection procedure, where appropriate, criteria related to fundraising, socioeconomic accountability, research management.

17. Variations in the chronological order of CVs (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i…	the ICBP-NS procedure for filling permanent or temporary research vacancies within or outside the organisation chart does not contain a distinct reference to the issue of variations in the CV timeline	The ICBP-NS procedure for filling vacant research posts, permanent or temporary, within or outside the organisation chart will be completed with separate reference to the aspect of variations in CV chronology.

18. Recognition of mobility experience (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	The ICBP-NS procedure for filling permanent or temporary research vacancies within or outside the organisation chart does not contain a separate reference to mobility experience.	The ICBP-NS procedure for filling vacant research posts, permanent or temporary, within or outside the organisation chart will be completed with a separate reference to the mobility experience aspect.

19. Recognition of qualifications (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i	the ICBP-NS procedure for filling permanent or temporary research vacancies within or outside the organisation chart does not contain a distinct reference to the recognition of formal and non-formal professional qualifications.	The ICBP-NS procedure for filling vacant research posts, permanent or temporary, within or outside the organisation chart will be completed with a separate reference to the criterion related to the recognition of formal and non-formal professional qualifications.

20. Seniority (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i…	The questionnaires for the written test do not include issues related to the candidate's vision of professional development.	Inclusion in the written test questionnaire of aspects related to the candidate's vision of professional development.

21. Postdoctoral appointments (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i…	- Due to funding from different sources (projects, programmes, fellowships) there is no uniform criteria for the selection of postdoctoral staff There are no conditions for setting the maximum duration of appointment/activity in such a post except those set by programmes/projects.	Develop mobility programmes for R&D and innovation and/or other complementary skills for young researchers at postdoctoral level. Organize a Young Researchers Club to be a vehicle for their integration in the ICBP-NS research teams, to facilitate participation in mobilities, in events such as the Young Researchers Ideas Scholarship, Nicolae Simionescu Scholarship.

Working Conditions and Social Security

22. Recognition of the profession

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i	- Evaluation of researchers' performance is done in a traditional way, without ensuring full transparency, which leads to subjective assessments of stakeholders.	Updating the performance appraisal system for all professional levels.

23. Research environment

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i	- Although the management and practices specific to research activities are well organised, they are not widely disseminated to enable young researchers in particular to be guided, from the beginning of their careers, to become comfortable with the correct understanding and approach to freedom of research The ICBP-NS infrastructure needs to be partially updated through ongoing projects that do not fully cover the identified needs - Although remote working conditions are regulated for RDI activities, including for PhD students and part-time researchers (fixed-term employment contracts), there are no internet facilities for this type of activities as well.	Development and implementation of internal regulations on remote working conditions and development of institutional information capacity for remote working. Establish a dedicated space on the website of the ICBP-NS, Research section, with relevant information on the means made available by the ICBP-NS to ensure freedoms and opportunities for research activity. Broadening access to scientific databases to include high-impact publications. Development of remote intranet facilities.

24. Working conditions

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i	More benefits can be implemented for ICBP-NS employees to make the workplace more attractive and to increase creativity and willingness to devote more resources to research, e.g: - Including remote working - Sabbatical, etc.	Development and implementation of procedures on teleworking conditions/capacity building for teleworking and home working.

25. Stability and permanence of employment

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i	- Lack of a procedure for remote hybrid working National/regional legislation or organisational regulation currently impeding implementation Labour Code, limiting the conclusion of more than 3 successive fixed-term employment contracts	Develop a hybrid and remote working procedure.

26. Funding and salaries

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i…	The ICBP-NS must update the Internal Management Control Committee so that it can closely monitor the development of researchers and identify as soon as possible the errors that occur in terms of remuneration of employees, so that there are no unjustified discrepancies between those who have the same position and find the most advantageous solutions to create the most advantageous offers to stimulate young researchers.	Updating procedures, regulations so that they are more responsive to the needs of researchers at the Institute, to ensure that errors are avoided and to offer the most advantageous conditions for stimulating young researchers.

27. Gender balance

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented		

28. Career development

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i	- Participation in continuous training activities is decided on an individual basis and is not part of a training strategy applicable to the Institute as a whole Evaluation of progress is ensured by traditional methods that do not correspond to modern means of feedback	Developing a comprehensive career development policy to provide the methodological framework for organising the work of researchers for career advancement Development of a feedback system for evaluating and reviewing the progress of early-stage researchers.

29. Value of mobility

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i	- There is a need for a more effective mobility strategy that encompasses all researchers' needs and sources of funding for mobility - Lack of mobility regulation in the ICBP-NS ROF	Update of the internal rules of the ICBP-NS on staff mobility Develop a more effective mobility strategy that encompasses all the needs of researchers, helping them to develop in their careers and to maximise their research development by creating the most advantageous opportunities. The strategy must include all sources of funding and regulate collaboration agreements with prestigious national and international institutions, as well as the implementation of more complex exchange programmes.

30. Access to career advice

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	- There is no provision for the development of a career plan, which becomes effective after employment, for the filling of a research post or for career advancement.	Entering into partnerships with industry stakeholders for workforce placement

31. Intellectual Property Rights

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i…	There is no financial reward mechanism for research inventors, but their work is recognised in annual activity reports and their participation in events organised in the country or abroad is supported.	Training with junior researchers, in the field of protection and exploitation of intellectual property rights, in the system of "training of trainers" at departmental level Creation of a dedicated space on the website of the ICBP-NS on the protection and exploitation of intellectual property rights

32. Co-authorship

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i	There are no training sessions on co-authorship at the level of the IBPC-NS that specify how to determine the actual contribution of each participant to a research output and the actual contribution as a co-author of a scientific paper, so that each can benefit from the right to be acknowledged and/or cited and quoted, according to the extent of his/her actual contribution, correctly determined.	Training in the application of a co-authorship procedure at the level of the ICBP-NS

33. Teaching

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented		

34. Complains/ appeals

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i…	The committees and administrative structures that may be involved in various types of conflicts/complaints arising among staff of the ICBP-NS are not popularised internally.	Publicise internally, via the intranet, the committees/structures and the regulations/instructions on their tasks

35. Participation in decision-making bodies

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i	The results of the work of decision-making bodies, consultation committees/bodies, information are not popularised within the ICBP-NS community.	Develop internally, via the intranet, a section dedicated to the publication of the activities of the committees/management structures and their decisions of public interest, structured by the operational areas of the Institute: education, research, innovation, human resources, administrative capacity.

Training and Development

36. Relation with supervisors

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	- The ICBP-NS has not developed a career development policy that mentions a training pathway tailored to career level and proposes a strategic approach to mentoring and supervision activities. National/regional legislation or organisational regulation currently impeding implementation GC no. 57/2002 lack of framework for implementation of supervision activities for postdocs, assistants and lecturers	Bringing together all resources dealing with training and professional development to include multidimensional career management tasks, including assisting young researchers from admission, mentoring, tracking progress and research results, career development counselling Organize periodical webinars dedicated to young researchers to update scientific progress on specific areas of knowledge of the research activity carried out at the level of all ICBP-NS departments.

37. Supervision and managerial duties

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i	Supervisory activities are not carried out systematically in the absence of a framework regulating the work of the supervisor and the mentee National/regional legislation or organisational regulation currently impeding implementation GO no. 57/2002 lack of framework for implementation of supervision activities for postdocs, assistants and lecturers	Developing a mentoring and career supervision strategy to strengthen the position of mentors Organise training programmes for mentors and leadership developers

38. Continuing Professional Development

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	- Participation in continuous training activities is decided on an individual basis and is not part of a training strategy applicable to the Institute as a whole There is no methodological framework for organising the work of researchers to support them in their career development There is no provision for the development of a career plan, which becomes effective after employment, for the filling of a research post or for career advancement.	Developing a comprehensive career development policy to provide the methodological framework for organising the work of researchers for career advancement Develop career-specific training programmes, including career planning tools.

39. Access to research training and continuous development

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	- Participation in continuous training activities is decided on an individual basis and is not part of a training strategy applicable to the Institute as a whole Although the ICBP-NS runs continuous training programmes, these are only to a small extent aimed at improving employability.	Developing a comprehensive career development policy to provide the methodological framework for organising the work of researchers for career advancement Organise interdisciplinary programmes aimed at improving employability by developing the skills and competences of young researchers

40. Supervision

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i	Evaluation of progress is ensured by traditional methods that do not correspond to modern means of feedback	Development of a feedback system for evaluating and reviewing the progress of early-stage researchers.