

## HR Excellence in Research

# GAP Analysis (Charter and Code Checklist)

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### Case number

2024RO223209

### Name Organisation under review

The Oncology Institute „Prof. Dr. Ion Chiricuță” Cluj Napoca (IOCN)

### Organisation's contact details

Republicii 34-36, Cluj-Napoca, Cluj, 400015, Romania

### Date endorsement charter and code

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## GAP Analysis overview

The Charter and Code provides the basis for the Gap analysis. In order to aid cohesion, the GAP Analysis principles 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**

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**Ethical and Professional Aspects**

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Status

1. Research freedom

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

2. Ethical principles

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

3. Professional responsibility

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

4. Professional attitude

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

Status

5. Contractual and legal obligations

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

6. Accountability

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

7. Good practice in research

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

**Status****8. Dissemination, exploitation of results**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	<p>At IOCN, the dissemination of knowledge is considered a key responsibility of both academic staff and researchers. This activity is assessed as part of the annual individual performance evaluation.</p> <p>However, IOCN currently lacks a dedicated strategic framework for the valorization and dissemination of research outcomes — including a component focused on the commercialization process, from initial concept to the development of innovative technologies.</p>	<p>The results of research projects implemented at IOCN are disseminated through the institute's official website and other communication channels. Additionally, IOCN regularly organizes scientific and educational events and actively participates in national and international forums focused on science, technology, inventions, and innovation. Areas for Improvement: Establish a structured framework and set of procedures for the dissemination and valorization of research results, including mechanisms for commercialization. Promote the development of strategic partnerships to facilitate IOCN's integration into innovation clusters and thematic research networks, thereby increasing the effectiveness of research valorization. Provide dedicated funding opportunities for early-career researchers to support the creation of innovative products and services. Develop a dedicated dissemination section on the IOCN website, within the Research category, to showcase research outputs, impact, and visibility.</p>



**Status****9. Public engagement**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	National support legislation -National Strategy for Research, Innovation and Smart Specialisation 2022-2027 -Law nr 183/2024 on the status of research and development staff Internal regulations The strategic plan 2022-2026 includes specific objectives and concrete actions for the dissemination and communication of research, innovation, and education activities. The external promotion of the IOCN (periodical press-releases, public conferences, media, workshops in european projects) has to be permanently improved.	Initiative undertaken IOCN has developed and implemented multiple partnerships with public and private sector organizations to enhance its visibility and reputation within the community. The institute has also continued its promotional efforts through international online platforms specializing in healthcare research. Proposals for improvement: External promotion of the IOCN(periodicals, public conferences, media).

**10. Non discrimination**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	Respecting the fundamental values stated in the Charter and the Code of Ethics and Professional Hospital Deontology, IOCN does not allow or encourage any form of discrimination.	Initiative undertaken Ensuring gender equality Non-discriminatory criteria in the selection process National legislation -National Strategy for Research, Innovation and Smart Specialisation 2022-2027 -Law nr 183/2024 on the status of research and development staff Internal recommendation The Strategic Plan for Institutional Development 2022-2026 Internal procedure regarding recruitment and selection criteria

**Status****11. Evaluation/ appraisal systems**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	According to national legislation, the evaluation of research staff is primarily the responsibility of the coordinators within the research departments, and is subsequently integrated into the institute's annual management performance evaluation process.	The internal quality assurance system for research and innovation activities provides for the interrelationship of internal regulations with other documents relevant to IOCN. The annual performance evaluation reports of each department are integrated into the annual self-evaluation report of the manager.

**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.**

**Status****12. Recruitment**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	<p>The filling of all positions at IOCN is carried out through public competitions, in accordance with the institution's internal regulations, which are aligned with national legislation and uphold the principles of transparency, non-discrimination, equal opportunity, and position-specific quality standards. Due to national legislation granting universities and faculties autonomy over human resources policies, the scope of HR management at the hospital level is limited. However, this is partially addressed through methodological and procedural management actions. The Human Resources Department (RUNOS) is responsible for the administrative aspects of promotion, recruitment, and selection processes. However, it does not currently play a role in developing human resources policies. In the context of research projects implemented at IOCN, recruitment and selection procedures are conducted in accordance with the specific requirements outlined in the funding guidelines. A comprehensive review of the recruitment, promotion, and selection procedures and practices for all IOCN-specific roles is recommended, to ensure alignment with the principles of Open, Transparent, and Merit-based Recruitment (OTM-R).</p>	<p>Initiatives undertaken -All positions are filled by public competition, applying the IOCN internal regulations, developed in accordance with national legislation that respects the principles of transparency, nondiscrimination, equal opportunities and quality standards specific to the level of the position. Suggestions for improvement: -Internal guide of good practice in recruitment -Improved version of the current Methodology for research personnel recruitment - Development of the OTM-R Strategy</p>



**Status****13. Recruitment (Code)**

<b>Implementation</b>	<b>GAP / Implementation impediments</b>	<b>Initiatives undertaken/new proposals</b>
++ fully implemented	Recruitment processes at IOCN fully respect the principle of equal opportunity, ensuring transparency and openness to all candidates without discrimination, in accordance with national legislation and European Union standards. Job announcements are published on the EURAXESS platform, the official portal <a href="https://jobs.mcid.gov.ro/">https://jobs.mcid.gov.ro/</a> , and the IOCN institutional website. Each announcement includes a detailed description of the available position, the associated responsibilities and activities, the competition timeline, a relevant bibliography, a clear outline of the recruitment procedure, and a complete list of required application documents.	The recruitment of personnel is coordinated by human resources department which establish the procedure of recruitment, starting with job announcement, the selection stages and ending with the actual hiring and provides all.

**14. Selection (Code)**

<b>Implementation</b>	<b>GAP / Implementation impediments</b>	<b>Initiatives undertaken/new proposals</b>
++ fully implemented	At the level of research, selection is made based on skills and experience, competitiveness, each candidate benefit from equal opportunities in the recruitment, without discrimination. The competition committee evaluates the candidate according to some well-defined criteria, respects gender and age equality, without discrimination.	Any person who meets the competition entry criteria may take part in the competition without discrimination, both internal and external.

**Status****15. Transparency (Code)**

<b>Implementation</b>	<b>GAP / Implementation impediments</b>	<b>Initiatives undertaken/new proposals</b>
++ fully implemented	Each stage of the recruitment and selection process is conducted in accordance with current legislation and is guided by the principles of transparency, communication, accessibility, and fairness. In the research domain, selection is based on candidates' skills, experience, and competitiveness, ensuring equal opportunities and a non-discriminatory approach for all applicants. The results of the selection process are displayed on the institutional noticeboard and published on the IOCN website, providing all candidates with the opportunity to submit appeals.	

**16. Judging merit (Code)**

<b>Implementation</b>	<b>GAP / Implementation impediments</b>	<b>Initiatives undertaken/new proposals</b>
+/- almost but not fully i...	The methodology for the recruitment of research personnel will address the current imbalance between quantitative and qualitative criteria in the assessment of merit, ensuring a more equitable and comprehensive evaluation framework.	A more balanced and comprehensive version of the current Methodology for research personnel recruitment.

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

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	<p>Researchers have the possibility to temporarily interrupt their professional activity for personal reasons and may return to the same position or area of activity, subject to institutional provisions. Variations or discontinuities in the professional trajectory of candidates are not penalized, provided they are transparently documented through supporting materials such as employment contracts, seniority certificates, official decisions, or equivalent evidence.</p>	<p>IOCN has open attitude regarding the interruption of the activity of researchers either to work in another hospital/university or for personal reasons and gives them the opportunity to return in the same position or same area of activity. The experience gained abroad, in another university or hospital, can be useful for research carrier because it can offer the possibility of training work teams made up of young people.</p>

**Status****18. Recognition of mobility experience (Code)**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	<p>The Institute of Oncology 'Prof. Dr. Ion Chiricuță' Cluj-Napoca (IOCN) fosters an environment of excellence for collaboration and cooperation by actively engaging with relevant European and international initiatives, while promoting professional recognition and strengthening its capacity for innovation. IOCN strongly supports the mobility and collaboration of research staff through both incoming and outgoing internships, research exchanges, and participation in scientific conferences and international events. These activities aim to identify strategic partners and to promote sustainable, mutually beneficial collaborations. Furthermore, European and international training opportunities are highly encouraged, with IOCN providing financial support to facilitate researcher mobility and international exposure.</p>	<p>IOCN promotes the exchanges of experience and cooperation with other hospital research centers/personalities/doctors with expertise in international medical field.</p>



**Status****19. Recognition of qualifications (Code)**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	<p>Within the Institute of Oncology 'Prof. Dr. Ion Chiricuță' Cluj-Napoca (IOCN), the recruitment and selection of research personnel are grounded in the principles of academic excellence, transparency, and merit. Qualification and specialization in a clearly defined scientific field are considered fundamental prerequisites for occupying any research position. These criteria ensure that all members of the research community possess the necessary expertise, skills, and professional background to contribute meaningfully to the institute's strategic objectives and scientific mission. Compliance with these standards is mandatory for all research staff, reflecting IOCN's commitment to maintaining high levels of competence, credibility, and international competitiveness in its research activities.</p>	<p>For the recruitment of personnel employed on a fixed-term basis within research projects, the Institute applies internal procedures aligned with the specific requirements of each program or funding scheme. These procedures are developed in accordance with the eligibility conditions and recruitment criteria stipulated in the official guidelines of the respective projects or funding bodies. Through these temporary, project-based contracts, the Institute engages both researchers and auxiliary staff essential for the implementation of scientific activities, as well as for fulfilling project-specific administrative or management responsibilities. This approach ensures both compliance with external funding provisions and the efficient allocation of human resources tailored to the specific needs of each research initiative. Suggestions for improvement: -Internal guide of good practice in recruitment -Improved version of the current Methodology for research personnel recruitment - Development of the OTM-R Strategy</p>

**Status****20. Seniority (Code)**

<b>Implementation</b>	<b>GAP / Implementation impediments</b>	<b>Initiatives undertaken/new proposals</b>
++ fully implemented	Seniority, the professional achievements in the career and the contribution to the IOCN prestige and visibility by research activities are essential in recruitment and in promotion of human resources.	IOCN promotes all its employees based on well known, clear, merit-based professional criteria, in compliance with the national and institutional standards for each research position.

**21. Postdoctoral appointments (Code)**

<b>Implementation</b>	<b>GAP / Implementation impediments</b>	<b>Initiatives undertaken/new proposals</b>
++ fully implemented	Given the profile of our institution, the only positions that postdoctoral students can take on are those for a defined period within research projects. The same recruitment and selection procedure, as well as the researcher's law, apply within the projects.	IOCN creates facilities for research, providing the possibility to access funds for research projects.

**Working Conditions and Social Security**

**Status****22. Recognition of the profession**

<b>Implementation</b>	<b>GAP / Implementation impediments</b>	<b>Initiatives undertaken/new proposals</b>
++ fully implemented	IOCN has its own Strategic Plan to promote high-quality research services. Research plays a significant role in this strategy, along with the Research strategy and development of the research facilities. IOCN develops and promotes all types of research from fundamental to translational and clinical. All these activities ensure future human resources development for the hospital's research fields. The research strategy aims to encourage creativity and innovation at the multidisciplinary level to achieve outstanding scientific achievements permanently. Researchers are encouraged to disseminate their results through open-access institutional policy, institutional support for publication fees, and broad participation in scientific meetings, conferences, and contests.	

**23. Research environment**

<b>Implementation</b>	<b>GAP / Implementation impediments</b>	<b>Initiatives undertaken/new proposals</b>
++ fully implemented	IOCN offers an excellent working condition and a suitable environment in terms of health and safety conditions and promotes fundamental rights and principles at work, with collective bargaining and social dialogue. Some limitations related to working conditions are given by the national legislation, especially in the salary range, and a limited number of new positions approved by the Ministry of Health.	Identifying and implementing opportunities for financing the expansion and modernization of research spaces and technologies.



**Status****24. Working conditions**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	<p>The work schedule of IOCN employees is established by the Internal Regulations. Organization of working time In IOCN, requests for a sabbatical or for working from home are approved by the IOCN management. The research center from the IOCN offer an excellent scientific environment capable of attracting and retaining young scientists. Offering excellent working conditions and a suitable environment in terms of health and safety conditions, the IOCN promotes fundamental rights and principles at work, with collective bargaining and social dialogue. There are create conditions according to national law, to support a good equilibrium between family life and career, especially for women researchers who has become mothers in the same time. IOCN employees have the right to: a) salary corresponding to the position held, including the right to salary regulated by the legislation specific to budgetary institutions; b) daily and weekly rest; c) annual vacation; d) promotion/advancement based on the results obtained in the evaluation of individual professional performances and an exam; e) dignity at work; f) equality of opportunity and treatment; g) information and consultation; h) professional training or the right to continuously improve one's professional training; i) consultation in order to determine and improve working conditions and the working environment; j) social protection; k) opinion; l) to constitute or join trade union, professional, cultural organizations, etc.; m) health and safety at work;</p>	<p>The university is constantly concerned with the creation of facilities and workspaces for researchers. Study on the satisfaction of IOCN employees and the capitalization and integration of its results in the institutional development plan/strategy and in the university's annual activity plans.</p>



**Status****25. Stability and permanence of employment**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	Within the institute there are permanent positions in the research departments. In addition to these permanent positions, we have fixed-term positions within research projects.	Some limitations related to working conditions given by the national legislation, especially in the salary range, and the limitation of access to the grants, represent weak points regarding the stability and permanence of employment.

**26. Funding and salaries**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	IOCN establishes the conditions of remuneration and financing through the collective labor agreement at the institute level, based on national legislation. Individual labor contracts are concluded with each employee individually for the position held.	Accessing research projects to increase salary income.

**Status****27. Gender balance**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	The organization and operation of IOCN is based on the principle of non-discrimination, respecting fairness and equal opportunities. The principle of nondiscrimination on the basis of sex or gender is respected both in the elections of the management structures, as well as in recruitment and in the conduct of hospital and research activities. However, the analyzes carried out so far show that the female gender predominates in most fields of research and management positions in IOCN.	Steps will be taken to raise awareness of the importance of gender identity and equal opportunity issues among members of the university community and awareness of the IOCN's open, transparent, merit-based policy

**28. Career development**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	IOCN supports the career development and training of multidisciplinary teams in research excellence and also the increasing the performance of scientific research, supporting excellence in research and innovation in medicine.	IOCN promotes the performance, professionalism and merit based on the prestige brought to the institution and specialty in which he is works

**Status****29. Value of mobility**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	IOCN creates an excellent environment for collaboration and cooperation, connecting with relevant European and international initiatives and sustains professional recognition and innovation capacity.	European and International training is highly encouraged indoors at the university, providing financial support for mobilities. Several mobilities are also supported by institutional development grants like Horizon.

**30. Access to career advice**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	Access to counselling and career guidance is offered by the Head of the department.	Dedicated Strategy for career development for researchers.

**Status****31. Intellectual Property Rights**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	IOCN financially supports the protection of intellectual property rights, if applicable or if a potential for economic exploitation is estimated, including by providing specialized assistance for actions such as filing patent applications, copyright registration, etc. There is no mechanism for financially rewarding inventor researchers, but their activity is recognized in annual activity reports and their participation in invention events, organized in the country or abroad, is supported.	1) Development of a policy on the protection and exploitation of intellectual property rights, accompanied by appropriate implementation procedures. 2) Training of novice researchers in the field of protection and exploitation of intellectual property rights, in the "training of trainers" system at departmental level. 3) Creation of a dedicated space on the IOCN website 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...	Co-authorship is encouraged in the IOCN for people that are in the same department, between departments, or with research entites such as universities or research centers, because it adds value to research, confirms collaboration and teamwork.	1) Development of a co-authorship procedure at the IOCN level 2) Training in the application of a co-authorship procedure at the IOCN level



**Status****33. Teaching**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	Because IOCN's activity is medical services, young researchers are offered the opportunity to be mentored by the heads of research departments or to receive training at other institutions.	Developing a career mentoring and supervision strategy that would strengthen the position of mentors.

**34. Complains/ appeals**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	There is no Ombudsman institution at the IOCN level. Complaints and claims can be submitted to the hospital secretariat, and they will be analyzed within the Ethics Committee.	the procedures can be found: <a href="https://iocn.ro/documente-organizatoriale/">https://iocn.ro/documente-organizatoriale/</a>

**Status****35. Participation in decision-making bodies**

<b>Implementation</b>	<b>GAP / Implementation impediments</b>	<b>Initiatives undertaken/new proposals</b>
+/- almost but not fully i...	The activities of the decision-making bodies, commissions and information bodies have to be better disseminated throughout the IOCN community.	Researchers are represented in advisory and decision-making bodies, where they can defend and promote not only their own interests but also collective ones. The coordinator of the research and development department is invited to the steering committee. Suggestions for improvement 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

**Training and Development****36. Relation with supervisors**

<b>Implementation</b>	<b>GAP / Implementation impediments</b>	<b>Initiatives undertaken/new proposals</b>
++ fully implemented	Members of the research teams involved in grants and research projects are subordinate to the directors or project managers (senior or experienced researchers), the relationships between them (rights, obligations) being clearly defined in the research contracts they sign at the beginning of the project. The job description of each employee states the level of subordination.	

**Status****37. Supervision and managerial duties**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	The job descriptions of research department coordinators, project coordinators, and project managers list the tasks they must perform when coordinating qualified research personnel.	Developing a procedure for mentoring young researchers.

**38. Continuing Professional Development**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	Staff employed within IOCN are required to participate in professional training courses. In the field of research there is a constant concern and a continuous need for evolution and innovation	IOCN supports excellence by offering the members of the hospital the necessary tools for continuous improvement and the increase of innovative capacity: the necessary infrastructure and equipment, training and improvement courses, training programs, working groups, electronic subscriptions to bibliographic resources accessible online. Suggestions for improvement: 1) developing a comprehensive career development policy 2) developing training programs and course packages specific to each career level 3) publishing and updating an online course catalog

**Status****39. Access to research training and continuous development**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	IOCN supports, through various projects it runs, the training of human resources in areas of strategic interest through training courses at prestigious hospitals, interdisciplinary collaborations, strategic equipment purchases for alignment with international standards. At national level, very few research calls are opened, in some years there are no competitions and so access to grants, including mobility and training, is limited. However, training in European and international institutions is encouraged.	IOCN has implemented European projects to ensure continuous training activities. Suggestions for improvement: 1) developing a comprehensive career development policy 2) developing training programs and course packages specific to each career level 3) publishing and updating an online course catalog

**40. Supervision**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	The research department coordinator supervises the activity of young researchers and offers them career guidance.	Suggestions for improvement: 1) developing a comprehensive career development policy 2) developing training programs and course packages specific to each career level