

Strengthening Integrity and Combatting Corruption in Higher Education
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TOOLKIT ON ENHANCING TRANSPARENCY AND ACCOUNTABILITY IN HUMAN RESOURCE MANAGEMENT FOR HIGHER EDUCATION INSTITUTIONS

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CHAPTER ONE: PREAMBLE AND RATIONALE FOR THE TOOLKIT

Rationale and General Aim

The university has a duty to uphold and promote internally quality teaching and research, which includes having measures and processes in place that secure its own integrity and the ethical behavior of all constituents in all domains of university life. Human Resources Management can play an important role in this, by monitoring 'ethical professional practice' in different places of the university infrastructure.

Development

The Toolkit '**Transparency and Accountability in Human Resources Management**' aims at promoting accountability and transparency in Human Resources Management, and has two foundations: first, in line with the philosophy underlying the ETINED project¹, the proposed toolkit has a principle based approach, in which each action line or concrete example of good practice is aligned to positive ethical policy guidelines; secondly, it builds upon the '**Toolkit for HR Management**' developed within the framework of the TEMPUS ATHENA² Project, which provided best practices for HR Management in Universities in Armenia, Moldova and Ukraine, however without tackling ethical issues.

Moreover, the desk research of available documents in English resulting from quality assurance reviews of Armenian universities (Institutional Self Evaluation Reports; External Audit or Review Reports) and in-depth interviews conducted with the top management of eight Armenian universities provided first-hand information on the state of the art of human resources management at universities and highly contributed to the development of the Guidelines and Toolkit.

Specific Objectives and Target Group

The Toolkit '**Transparency and Accountability in Human Resources Management**' aims at promoting accountability and transparency in higher education institutions (HEIs), by providing real life examples of ethical behaviour, and the supporting personnel policies and tools. It wants to contribute to developing HR policies and tools in relation to the Code of Ethics, developed in the above PCF project³. It provides hands-on information on the good practices available in HRM in European universities and a conceptual framework for further analysis and development of the current HRM practices available at Universities in Armenia. It is specifically targeting HRM and Personnel Managers and their staff or Vice Rectors with the supervision of ethical and professional behavior of staff in their remit. It may however also provide assistance and guidance to individual staff members.

¹ See <http://www.coe.int/en/web/ethics-transparency-integrity-in-education>

² See <http://www.athena-tempus.eu/images/ATHENA%20HRM%20Toolkit.pdf>

³ See <http://www.coe.int/en/web/yerevan/strengthening-integrity-and-combatting-corruption-in-higher-education-in-armenia>

Structure of the Toolkit

The structure of the Toolkit reflects its aim and purposes as described above. Chapters two, three and four are to be seen as Guidelines for setting up effective and fit-for-purpose HR management tools in the HEIs, according to basic ethical and professional principles. They consecutively deal with “Key ethical principles and behaviour”, “Samples of unethical and unprofessional behaviour”, and “Tools for Promoting and Stimulating Ethical Behaviour”.

Chapter five provides an overview of current models, trends and practical examples of HR management in European universities.

Chapter Six finally provides a conceptual framework for further development of HRM in Armenian universities. It may therefore be called *a sample Toolkit of HRM*, to be adapted by *the* different universities to make it meet their individual needs.

The Annex finally contains a possible scenario for a step-by step implementation of a Strategy & Action Plan for Human Resource Management.

RECOMMENDATIONS:

Recommendation 1.1 University's own Codes of Good Conduct & Ethical Behavior

The HEI has adopted its own Code of Good Conduct or Ethical Behavior and has widely circulated it.

Recommendation 1.2 Visibility of the university's own ethical codes

The Code of Conduct is clearly visible on the university's website and due reference is made to its existence in other internal publications. Moreover, the Code of Conduct is duly disseminated within the University community.

Recommendation 1.3 Piloting various provisions of university's ethical code and its further implementation.

Committee of ethics has been formed. Various ethical misconduct cases have been addressed properly and there is a visible positive change among university community members towards proper understanding of Code of Ethics.

CHAPTER TWO: KEY ETHICAL PRINCIPLES AND BEHAVIOUR

A higher education institution should have a policy on what constitutes ethical behaviour, which is based on agreed principles that have been implemented throughout the institution. The foundations for this are the academic values that are shared by most higher education institutions, and which are in line with the rights and responsibilities of citizens in the country where the institution is situated. These values are based on a system of democracy and basic human rights, equality and freedom of expression. It is the task of the Human Resources Management to provide support for the implementation of ethical policies and principles in the institution's daily operations.

As the Toolkit addresses the daily practice of HR management, it may be useful to start from a list of basic items that the HR manager or other person in charge of personnel and staff at a HEI has to deal with. The list underneath does not aim at being complete but certainly shows the main concerns of a HR manager, when dealing with individual cases of people employed in one or other capacity by the university (management and teaching staff, clerical workers, technicians and vocational staff).

Depending on the precise function and responsibilities of a university staff member or employee, some of the areas covered here will be more relevant than other. It will mainly concern the people who either as a teacher, support person or administrative staff, which, are also in direct contact with students.

The following are an (non-exhaustive) list of professional and (un)ethical 'attitudes', notions and terms in the ethical sphere which may be considered as relevant in HRM.

a) Democratic and Ethical Governance and Management of the Education System and Educational Institutions, *such as:*

- **transparency and accountability:** usually taken together as the two main principles for an organization, in its policy and individuals' behaviour, as part of their role in a modern society, especially for organizations providing a public service; the former refers to their openness towards users of their services and the general public; the latter expresses a feeling or attitude of responsibility towards the same
- **collegial decision making:** reaching a decision involving shared responsibility
- **conflict of interests:** a state of affairs where persons are in a situation, where they cannot make a good judgment or act accordingly, because of their affiliation or contractual agreement with two (or more) different parties, with conflicting or diverging interests; this is however an item that can be heavily influenced by the individual's own culture or traditional environment
- **competitiveness and cooperativeness:** role and attitude towards other organizations (but also within the own organization), usually seen as most productive when interpreted as working in a spirit of cooperation, also towards its 'competitors' (colleagues, other universities).

- **stewardship of assets, resources and the environment:** the job of supervising or taking care of an organization or its property, materials and equipment.
- b) **Fairness and Equity:** impartial and just treatment or behaviour without favouritism or discrimination, *such as:*
- **discrimination** on the basis of race, religion or other convictions, gender, etc.
 - **gender balance:** occurrence of both sexes, in even distribution
 - **(lack of) bias:** prejudice for or against one person or a group, especially in a way considered to be unfair
 - **nepotism:** the practice of favouring relatives or friends, especially by giving them jobs
- c) **(Academic) Integrity:** being honest and having strong moral principles in academic (university) settings, *such as:*
- **ethical conduct (in research/teaching):** conduct of teacher, researcher relating to or in line with moral principles
 - **(avoiding) plagiarism:** copying someone else's work and passing it on as one's own; also in relation to research
- d) **Peer Reviews (for promotion, recruitment, evaluations, etc.):** evaluation of scientific, academic, or professional work by others working in the same field
- e) **Professional Responsibility:** the fact of having a duty to deal with something, or having responsibility towards someone
- f) **(Corporate) Social Responsibility:** the duty a person has towards an organization, its management and colleagues, and his relation to society from a professional context
- g) **Professional Development:** the process of growing or advancing, in one's working life
- h) **Whistleblowing:** often considered as the hallmark issue in the employee's rights and obligations towards its organization. Is therefore also the area where there may be/is a (potential) conflict of interests between the employee's obligation and loyalty towards his employer or colleagues, and his moral duties to the public or towards society at large.

RECOMMENDATIONS:

Recommendation 2.1 Familiarity with ethical principles & practice

All types of staff and faculty at all levels should be familiar with the basic principles and practices usually associated with ethical behaviour.

Recommendation 2.2 Openness and collaboration

The university is willing to share its progress in innovation and research with members of the national and international community in a spirit of collaboration.

CHAPTER THREE: SAMPLES OF MISBEHAVIOUR AND UNETHICAL ATTITUDES

This chapter helps identify different forms and examples of misbehaviour, unethical, inappropriate and unprofessional practice as they occur in day-to-day situations, where management, faculty and staff are concerned. It doesn't cover all aspects of personnel misbehaviour and unethical attitudes, but rather aims at providing some hints and guidelines on the possible context and actions to undertake. For each type of unethical behaviour, etc. the link is made to the issue covered by the (corresponding) Code of Ethics/set of ethical or professional principles/procedures. At the same time, preventive and corrective actions are proposed, whereas for various (serious) breaches or violations, examples are given of disciplinary measures.

Unethical or unprofessional behaviour:

a) Governance and management

Protectionism, favouritism and nepotism during the recruitment, promotion, university award giving or decision making processes.

Examples of the above are:

- appointing, promoting or giving awards to *unqualified* individuals or to those with a conflict of interest (such as relatives, friends) who are in managerial positions,
- recruiting or promoting faculty or staff (relatives, friends) who do not meet the minimum standard requirements,
- giving priority to commercial or entrepreneurial benefits and ventures for the university over its own ethical codes or regulations,
- hiding/not declaring on having family ties or any other kind of conflict of interest with people that might affect or are affected by the decisions made, etc.

Preventive and corrective actions:

The University should have a whole play of preventive and corrective measures in place (Code of conduct, regulations on recruiting, promoting and award giving of staff, hierarchy organograms and reporting procedures, etc.), for the various degrees of breaches or violations of university regulations, which range from 'preventive suspension in the interest of the service' to 'exemption from an office' and 'dismissal from the university'.

b) Academic integrity, honesty and respect for others:

In the field of teaching/related to the teaching and research role of universities/staff:

- lying to supervisors and colleagues
- misrepresenting the working hours

- misusing the University resources for personal or commercial information
- taking bribes
- hiding information
- falsifying reports and records
- plagiarism
- discriminating and harassing colleagues/students

Preventive and corrective actions:

Academic integrity, honesty and respect for others should be promoted throughout the University by various stakeholders such as University management, faculty representatives and students. The University should establish institution wide policies and procedures articulating the University/faculty staff and students responsibilities with corresponding legal remedies. Student engagement in academic integrity/honesty will trigger the process from inside the academia. Anti-plagiarism software should be available for the detection of plagiarism and breach of copyrights. The University should establish processes that encourage the academic community to report on any suspected violation in a secure way, avoiding being subjected to persecution by the governing bodies.

c) Staff-students relationship /student matters

Discrimination or unfair treatment of categories of students on unethical or arbitrary grounds, such as:

- discrimination on age, race, gender, social and financial backgrounds,
- harassment, such as comments implying sexual orientation, sexist comments, unnecessary touching or callings, etc.
- making the student feeling patronized, threatened and being affected by the unequal treatment,
- providing unequal opportunities for students
- using specific language that might be offensive for students, etc.

Preventive and corrective actions:

The students that have been somehow affected by the above mentioned actions should have the right to take up the complaint to the respective authorities of the University. The University should ensure that a holistic approach has been adopted to secure the rights of both academic staff and students, taking due care that students do not abuse this right, by unjustly accusing their professors. There should be a general policy and regulations on Disciplinary procedures and on how to handle complaints to regulate not only general cases, but also cases concerning sexual harassment, unfair treatment, etc. In cases where the student doesn't take up the complaint for fear of being persecuted by the administrative/academic staff, there should be procedures on allowing the third party (Dean, Vice-dean, Head of the Chair, Student Council, etc.) to raise the issue and take up the complaint. In the case where the complaint is justified by facts, corrective actions should be

taken by the Senior Management of the University according to the adopted regulations and procedures.

d) Towards authorities and the broader society

Conflict of Interest:

There is a conflict of interest for a member of staff when he or she can control or influence the University's decisions or actions in order to obtain a personal advantage. This may be the case when the employee has a personal interest, which may also be financial, that overlaps or conflicts with his or her engagement within the University.

Preventive and corrective actions:

Example of a generic directive in execution of a Code of Conduct in an EU University:

In the relevant internal regulations of the public EU university in question, the employee must completely refrain from participating in internal discussions about the positioning of the University, and may not have a voice in the negotiations (between the two parties, the university and the business partner) especially where it concerns the property and exploitation rights of the outcomes resulting from a potential cooperation.

Thus, ideally, the University should have regulations (as a separate policy document or as a part of their regulatory acts) on conflict of interest, identifying and addressing the areas of potential conflict of interest and have mechanisms for preventing and refraining from a conflict of interest.

RECOMMENDATIONS:

Recommendation 3.1 Ethical behaviour: from theory to practice

Every staff member of the university should show an exemplary attitude which is in line with his or her position at the university, in relation to the management, colleagues, students and the broader community.

Recommendation 3.2 Preventive and corrective actions

The university management and officeholders ensure the presence of preventive and corrective measures against any form of offence or misbehaviour.

Recommendation 3.3 Promotion and rewarding policy

The University must have a rewarding system that stimulates staff that excels in their core tasks (teaching, research, service to the community). This however is without prejudicing people, nor withholding a proper basic salary to the general mass of staff.

Recommendation 3.4 Involvement of internal and external stakeholders (staff, students, employers)

The university has to keep the active engagement of both staff and students in university life, while allowing for relevant stakeholders from the professional world to make a proper contribution.

CHAPTER FOUR: TOOLS FOR PROMOTING AND STIMULATING ETHICAL BEHAVIOUR

Rules and regulations alone do not solve all issues of ethical conduct. **A culture of ethical behaviour** is needed, comparable but also complementary to the quality culture in teaching and research. The creation and stimulation of positive values and attitudes will certainly contribute to this, but are of course not sufficient on their own. They must be underpinned by clear and unrelenting rules and regulations.

Human Resource Management is part of the administrative schemes and processes that regulate the life of an organization, with a consistent and comprehensive set of rules and procedures in place. Notwithstanding this, agreements and regulations of a more informal and political nature can be equally supportive of ethical and professional behaviour. The non-exhaustive list underneath provides a context, in which ethical behaviour can flourish.

Positive supportive attitudes and measures

- Availability of a proper promotion and rewarding policy

University staff who distinguish themselves, or who excel in what they are doing (teaching, research, project work) want to be rewarded for their extra efforts. Management has to find ways to differentiate staff compensation, in order to further stimulate good practice.

Collegiality: presence of joint or collaborative actions

In matters like decision-making, implementing new rules and regulations, taking preventive or corrective measures, joint or collaborative actions provide a better foundation for support or acceptance than if one person or sole group decided or acted for all.

- Involvement of internal stakeholders (staff and students) in university life

The active engagement of the educational staff and the student corps in all levels of university management is a guarantee for commitment and allegiance to the university's values and specific objectives.

- Labour relations/Representation of employees (trade unions)

An organization is expected to have channels that enable negotiations on issues of labour or personnel to have an effect on the entire personnel. Trade Unions enable just this. Meanwhile, the Trade Unions should have clear policies and effective mechanisms for accomplishing their mission that are promoted throughout the University.

- Involvement of external stakeholders, e.g. the professional world

Engagement from the professional world ensures a continuous update of standards and good practice.

- Collaborative relationship between HRM, Ethics Committee, Quality Assurance unit, University management

In a lot of HEIs the boundaries between (what is the remit of) the HR department and the Personnel department are blurred. It is recommended that the HRM liaises with other units or departments also concerned with staff matters.

Reciprocal rights and duties

It is especially in the routine and daily relationship between the organization, its management and employees or staff that there is a need for 'moral foundations', which have consequences in all spheres of the university life in which ethical principles apply.

The following are the prevailing **rights of the employee**, each time confronted with the ethical issues in the specific areas of work that are at play:

- "fair pay based on concepts of autonomy, competences, equity, qualifications, etc."
 Compensation for work such as pay, extra perks
- "safety in the workplace"
 Working conditions and occupational health and safety
- "due process in the workplace based on concepts of respect, fairness and honesty"
 Selection, promotion, firing and disciplinary and grievance proceedings
- "privacy based on concepts of respect, freedom and autonomy"
 Equal opportunity, data protection, work-life balance, whistleblowing, harassment
- "Right to meaningful work"
 Respect for the individual in his or her working environment
- "right to trade union representation and support, collective bargaining and the right to strike"
 Organization of labour, participation in the organization's decision-making

The employee-employer relationship is a two-sided relationship, based on mutual obligations. The following are a selection of **the employee's duties** in relation to the employer, each time with the ethical issues that are at play.

- "duty to comply with the labour contract"
 Acceptable level of performance and quality of work, loyalty to the organisation

- "duty to comply with the law"

Bribery

- "duty to respect the employer's property"

Unauthorized use of the employer's resources for private purposes, fraud, theft, embezzlement

Examples from the business world

Business organisations have useful experience in managing people, from the point of view of performance, competitive spirit, result-oriented behaviour. While it remains true that not-for-profit organisations like universities have other (and most of us would agree higher) aims than being profitable, such as promoting of advanced knowledge, personal development and employability of graduates, undoubtedly much can be learned from the way companies have to be self-reliant and sustainable.

The role of HRM in supporting ethics at the HEI

As the Code draws on existing policies and processes, employee concerns and employment law, HR has a role in assisting the Ethics function with developing or updating content. The following are practices where HRM is involved on its own or in cooperation with the Personnel department, and other relevant units (e.g. Ethics Committee).

Performance management and appraisals

- the HRM checks whether the application of ethical values is assessed, as part of the employee's appraisal
- develop a rewards system for ethical behavior such as remuneration, promotion or 'ethics' rewards

Reporting and communication mechanisms

- the HRM reports either to its hierarchy or directly to the Board
- the HRM uses the multiple channels of internal communication

Effective partnerships between HRM and Personnel department (and Quality Assurance unit).

- The organogram of the organization shows the links between HR management, Personnel department, QA unit

Key obstacles to successful partnerships are different approaches to problem analysis, communication failure and a perception of competition. The good relationship and communication between the various units and services that have a stake in staff and personnel issues is therefore essential.

RECOMMENDATIONS:

Recommendation 4.1 Culture of ethical behaviour

Quality education needs to be underpinned by a culture of ethics and ethical behaviour, if it wants to achieve its objectives of excellence in teaching and learning.

Recommendation 4.2 Employees' rights and duties

The relationship between the university and its faculty and staff, especially the latter's rights and duties, is regulated by the individual contract of the employee, of which his adherence to the Codes of Ethical Behaviour is an integrated part.

Recommendation 4.3 Innovative approaches in HRM

The university management shows an openness towards innovative approaches to HR management that stimulate the employee or other staff member, and have a positive effect on the latter's performance, competitive and cooperative spirit, and result-oriented behaviour.

CHAPTER FIVE: HUMAN RESOURCE MANAGEMENT: BASIC CONCEPTS, TRENDS AND MODELS IN HEIS

In this chapter we present a brief overview of basic concepts and trends in human resource management, focusing on models in use and concrete examples in the public sector. The aim is to contribute to accountability and transparency solutions in staffing approaches.

Growing importance of HRM in the organization

Human Resource Management is getting increasing attention in organisations, whether they are private or public. A basic overview of HRM evolution and trends may guide us on how to deal with specific HR issues in a higher education setting, especially where ethics and ethical behaviour are concerned.

Vanderstraeten (2014)⁴ distinguishes four dimensions of HRM, which each have their characteristics and are influenced by the organisational environment in which they are used. The identified dimensions (approaches) can be considered as complementary, with each dimension having an added value on the subject of HRM. These dimensions cover the whole range of activities that the HR manager can develop, and they may occur separately or conjointly with other dimensions.

A first dimension handles the instrumental and administrative aspects of HRM, whereas the second dimension approaches the human side of the enterprise or organization. A third dimension mainly deals with the strategic and goal-directed aspects of HRM, whereas the fourth dimension goes more profoundly into the cultural and structural elements of the organization.

The Instrumental dimension

The instrumental side of HRM stands for a smooth administrative service by competent and efficient management and staff, which enables the organization's core activities. Few organizational structures are experiencing faster developments than HRM, and the impact from the social and economic environments in which organizations (including universities) are operating has grown.

For example, Europe's higher education is increasingly becoming an indicator of a country's economic prosperity, and the organization of HE provision, including its personnel management, is becoming a key factor in what is commonly called the modernization process of HEIs.

⁴ A. Vanderstraeten, Human Resource Management and Performance, Academia Press, Gent, 2014

Impact of the education policy of the European Union on HRM

The work organization of universities is seen by the European Council⁵ as crucial in making HEIs more responsive to societal demands, mainly through necessary processes to improve their quality, competitiveness and the employability of their graduates. The ET 2020 agenda, which is the European Union policy on how Education and Teaching (ET) contributes to reaching the economic and social targets set by the European Union, puts an equal emphasis on social responsibility and accountability as on skills development, which brings it within the scope of HRM.

Source: EURYDICE, ET 2020 (2016); on the EU indicators for ET2020
see <http://ec.europa.eu/social/main.jsp?catId=822&langId=en>

HRM Developments and their impact on the Personnel department

- Current HRM is influenced by the 21st century's new organizational developments: from an executive function HRM has been upgraded to a more strategic function (Vanderstraeten, 2014) within organizations. A consequence is that HR managers become part of the decision-makers, as members of the organization's management. A second major development is the increasing influence of information and communication technology (ICT), requiring sophisticated software programs that support the processing and interpretation of HRM data.
- The changed status has also made HRM more accountable, and customer-oriented, which goes beyond the mere selection, recruitment and promotion of staff of an organisation. This development has made the HRM an indispensable service for the personnel department and by the nature of its work HRM also contributes to the human and social fabric of the organization, through labour regulations, pay and other rewards for work, and care for personnel well-being.

HRM Information system (HRMIS)

With the explosion of information technology, integrated approaches to HRM have been created, which aim at bringing together automated recruiting, performance management and reward systems. Though full customization remains expensive, initial high investment costs in the end usually prove very cost-effective. The main options are an installed on-site solution (which can be costly as it requires installation and maintenance) or a software-as-a-service option, which is accessible on the internet. It is important to take also into account the 'support features' (including training), as the technology can be complicated and changes every now and then. Source: www.workforce.com, September 2012

Human Resource management and Internal Quality Assurance

⁵ European Council of Ministers of the European Union

- HRM in higher education is undergoing similar evolutions as Quality Assurance: from an emphasis on processes and procedures attention has shifted to customer satisfaction, awareness raising of quality (in a general sense) and its management.
- The latest revision of the European Standards and Guidelines for Quality Assurance (2015)⁶, which is the regulatory framework for implementing and monitoring quality processes in European higher education institutions, introduced the new paradigm of student-centred learning, which aims at fostering a culture of quality. Ideally this goes hand in hand with engaging also other internal stakeholders such as faculty and staff, through HRM.

The People dimension

A key factor in HRM is motivation of employees, which is about finding ways to stimulate them to work for the benefit of the organisation. While there are several ways to influence the employees' behaviour, some actions provoke a mere compliance from the staff member with the employer's wishes, while other push staff to actual commitment and active involvement. The people-oriented model may lead to greater participation, more formal collaboration (e.g. joint working groups, contribute to project work) and an engagement to look for solutions to problems.

According to Appelbaum (2000)⁷ people perform well when they possess or can develop the necessary "knowledge and competence" (ability or competence), when they get the right "incentives and stimuli" (motivation), when they 'have the opportunity to make joint decisions and participate' (participation).

Empowering employees is a strong impulse to get them more involved. It is often the result of respecting the autonomy of the employee, which leads to a 'soft contract' approach, in which the manager or head is more seen as a facilitator.

A study about increasing staff motivation

In a famous article '*One More time: How Do You Motivate Employees?*', written in the Harvard Business Review of 1968 and reprinted in 2003 Herzberg⁸ begins with the following remark: "Forget praise. Forget punishment. Forget cash. You need to make their job more interesting."

Distinguishing between what satisfies a person in his job, and what dissatisfies, the main elements in the former, the study found, are achievement, recognition, the work itself and responsibility.

⁶ http://www.eurashe.eu/library/esg_2015-pdf/

⁷ Appelbaum, E., Bailey, T., & Kalleberg, A. (2000). *Manufacturing advantage. Why high-performance work systems pay off*. Ithaca, Cornell University Press.

Herzberg, F. (1968), '*One more time: How Do You Motivate Employees?*', *Harvard Business Review*, 46 (1), 53-62.

OECD on the importance of performance management in the public sector:

The following incentives appear to have an impact on the performance motivation of employees:

- The job content or job relevance: the scope and difficulty of tasks, extent of decision-making, competencies required, ownership, room for independent action
- Work conditions and environment, such as flexible working time, team work, low hierarchy pressure
- Attitude of leadership or management: consideration for the employee's work, information, participation & delegation, social consideration
- Attractive and promising career development perspectives
- Fair and performance-related compensation or pay

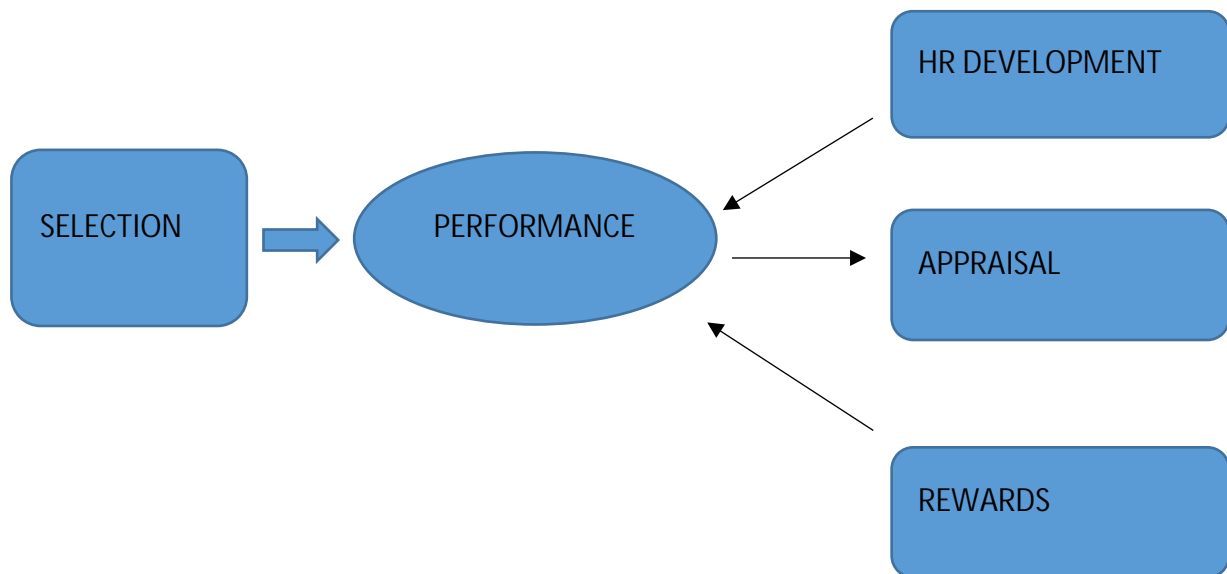
Source: OECD, Human Resource Management Working party 2002

The Strategic dimension

From a strategic point of view the HR manager plays a central role in the organization, and this in view of achieving performance results. In this lies a major difference with the role of the manager of the personnel department, who is more an administrative head.

Two prevailing models in HRM have a strong impact on the concept of strategic HRM, the Michigan or Tichy model, and the 'Beer' or 'Harvard' model (A. Vanderstraeten, 2014). According to the first ('Michigan') the HRM strategy and the HRM policy are essential to the organization, and are also subject to external forces which may be political, cultural and economic. With this model the HRM cycle includes four functions, namely 'selection, appraisal, remuneration and development', which must be embedded in the strategy and structure of the organization. These elements are located on three organizational levels: strategic, managerial and operational level.

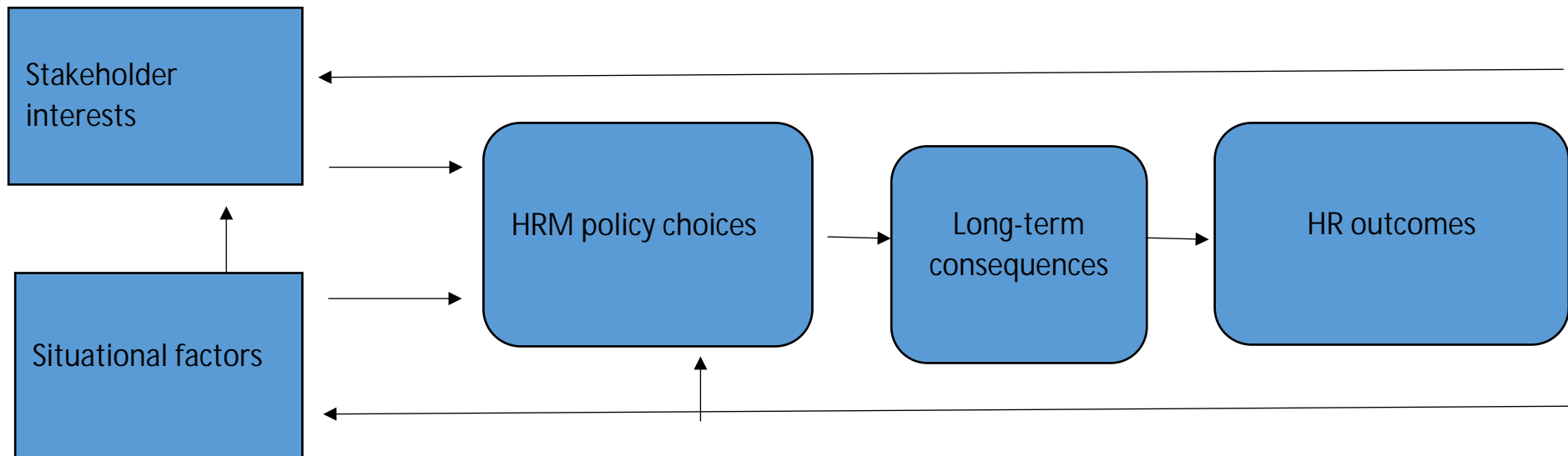
The Michigan model of Human Resource management (Fombrun et al., 1984)⁹



⁹ Vanderstraeten, id. p. 158 (figure 12) from: Fombrun, C.J., Tichy, N.M. & Devanna, M.A. (1984). *Strategic Human Resource Management*. New York, Wiley.

The other model ('Harvard' model) gives more importance to the general management nature of HRM, and pays more attention to strategy, stakeholders and the external environment.

The Harvard model of Human Resource Management (Beer et al., 1984)¹⁰



¹⁰ Vanderstraeten, id. p. 159 (figure 13) from: Beer, M., Spector, B., Lawrence, P.R., Mills, D.Q. & Walton, R.E. (1984). *Managing Human Assets*. New York, Free Press.

Strategic HRM pays a particular attention to the relation with stakeholders (which includes the employees or staff), and is therefore open to discussion and consensus. An organization (with its HRM) that takes into account opinions of (multiple) stakeholders has to meet their expectations, which are sometimes contradictory.

The Organizational dimension

HRM being about the management of both the organization and its 'people', it is logical that attention is given to their relationship, which somehow has to be synergetic (Vanderstraeten, 2014). Whereas the people-oriented approach treats the employees' functioning as a question of motivation, the organizational dimension puts the emphasis on how the people function in the organization. However the organizational dimension also brings more responsibility and autonomy for the HEIs, and the classical bureaucracy has to give way to autonomy and flexibility.

In the public sector the New Public Management paradigm (NPM) with its emphasis on effectiveness, efficiency and accountability has brought a revolution, which is far from being generally accepted, but will certainly have an increasing impact in the future.

Some innovations for public HR management:

- Making HRM in the public sphere more similar to business practice
- Fostering decentralization by giving units greater responsibility
- Achieving a new balance between quality and performance via skills development
- Replacing life-long careers by contractual agreements with employees
- Promotion not based on seniority only but on the basis of competencies and through temporary contracts
- Introducing mandates, management by objectives, project management

Source: A. Vanderstraeten, Human Resource Management and Performance, (2014)

RECOMMENDATIONS

R 5.1 Consensus on the role and functioning of HRM

Building of consensus between management, staff and other stakeholders on the role of HR management: consultation and constant dialogue is needed for this.

R 5.2 ICT in HR management or Integrated HRM IS (information system)

The university has an integrated approach to HRM by bringing together automated recruiting, performance management and reward systems.

R 5.3 HRM fit for all employees

Devices of HRM targeted at career development, etc. should serve the interests of all employees, and not only those in higher positions.

R 5.4 Adoption of HRM on a business model

Try out some of the methods of business-like HRM on a voluntary basis before certain things are enforced on staff (e.g. flexible working hours).

R 5.5 Collegiality

Create an atmosphere of collegiality among faculty and employees, and provide opportunities for collegial decision-making and solution-probing.

R 5.6 information, delegation, participation

Work out operational objectives for the different stages or processes of HRM.

R 5.7 professional development

Organize seminars for middle management focusing on HR techniques and appropriate skills development.

CHAPTER SIX: TOOLKIT FOR HUMAN RESOURCE MANAGEMENT

A. Developing policies and tools for HR Planning and Recruitment

Introduction

All aspects related to Human Resources (its management, planning and scope, including the selection, recruitment, promotion and development of faculty and staff) are underpinned by the university's overall staff policy and form part of the University's Strategic Plan for Development, its policies, relevant regulations and internal laws.

The Toolkit thus provides an overview of all issues affecting the career of university faculty and staff, and examples of standard good practice in higher education institutions having developed their own Human Resource Management system, with Internal Regulations (on faculty selection, ranking and appointment, promotion and development).

Internal regulations, procedures, supporting documentation

The university's internal regulations determine the conditions of service or employment of faculty and other staff. The following describes the format of the HR planning and related staff policies and some of its procedures (what should be included and what not). The detailed procedures (on recruitment, evaluation, staff trainings, attestations, etc.) are adopted by the relevant bodies (on central or department level) and they should be made public. At every stage of the process, due care must be given to all forms of documentation supporting the process, on the side of the university and of the concerned staff member(s).

These internal regulations cover the following for academic staff: faculty selection and appointment, duties and responsibilities, performance evaluation, promotion and development, dismissal, appeals procedures. The same for administrative personnel (including management positions), but there are also separate regulations, along the same lines as for teaching staff (with different criteria), and in addition special attention is given to remuneration (salary scales, fringe benefits), induction for new employees, keeping and updating of staff records and of individual staff files.

1. HRM regulations for academic and other teaching staff

1.1 Recruitment, selection, promotion and appointment

Rationale: A HEI that sets high standards for excellence in teaching and research will benefit from a highly selective and multi-layered selection process. In view of wide recruitment (and especially beyond the own university), the HEI will pay great attention to a broad advertising of the vacancy for academic staff, insisting on the required specialist knowledge from the candidate, the scrutiny of which has to be carried out by the faculty selection committee. During the selection due care is given to all evaluating criteria within the three-fold mission of the university, namely teaching, research and service to the community. It is important to observe the prescribed procedures well, in order to avoid that complaints are lodged by unsatisfied candidates, excluding this way any form of discrimination, for whatever reason

(religious, racial, gender-based, status or background), and also to properly 'record' (write down) the full decision-making process and the ultimate conclusions.

Faculty promotion (ranking) is based on competency, qualifications, experience and other relevant factors for the function, taking care to apply always minimum criteria for the position offered. Advancement in rank (promotion) is preferably not just a matter of routine or seniority, but is principally based on merit. The candidate must show a degree of excellence in teaching/research which distinguishes him or her from colleagues or other candidates. In order to make this prevail, there must be a policy for also recruiting outside the own university, and not automatically to prefer the university's own graduates. Fair and undisputed recruitment and promotion actions require strict procedures and regulations in terms of criteria, follow-up and deadlines.

1.2 Criteria, procedures and documentation required

Faculty are appointed according to their academic qualifications (in the relevant field) and professional work experience. The above criteria (qualifications, experience) are judged in relation to the program and course(s) into which the selected person will be appointed. For each of the positions in the faculty ranking, minimal requirements have to be set, in the following areas: required qualifications, academic and other relevant work experience, scientific publications, etc. The positions in the hierarchy may vary, depending on the HEI's profile, but are generally as follows:

Lecturer, assistant professor, associate professor, professor.

Apart from the above minimum criteria fitting the level and position applied for (faculty chair, professor, associate professor, assistant professor, other teaching staff) the following is a (sample) list of what is taken into account for recruitment, selection, promotion of faculty.

- student ratings of the applicant's teaching practice and course evaluations by peers
- efforts for professional development, such as following (voluntary and targeted) additional trainings
- membership of professional organizations, and forms of volunteering
- the amount and quality of individual and group-based research
- scientific publications in national or international journals or magazines
- knowledge of other languages than the mother tongue (e.g. when teaching international classes, teaching at partner universities)

Procedures: A good procedure for recruitment or promotion will consist of clear submission guidelines, which involves a special Selection Committee dealing with individual applications, constituted by academic staff, mostly holding a higher rank than the applicant, or peers (for those with the rank of professor), one of which at least should be external and from the discipline of the candidate. For a teaching position, effective teaching qualities are to be given the highest weight. Services to the community, to the own university and self-development are also important. There are further clear guidelines of how and in what timeframe the applications will be judged.

Applications must be well-documented by the applicant, and should be according to requirements fixed and communicated well beforehand. They should also be attested appropriately, by the applicant's relevant hierarchy.

Samples of Internal Regulations concerning:¹¹

Faculty selection procedure

Faculty members constitute a Selection Committee, which selects the best candidate for a specific post, on the basis of internal regulations and criteria fixed beforehand. The nomination is approved by the Faculty or Department Council. The Head of the Institution (Rector, President) will approve the appointment/appoint the selected person.

Statutory recruitment and election of university staff

The procedure of selecting and appointing personnel often consists of two 'rounds', an internal and an external one. The purely internal selection procedure is a first option, and follows the consideration that the personality and professional qualities of the university's own staff are already known. There is a feeling that they should first get an opportunity to apply, as it is seen as an opportunity to reward staff of the university, by giving them an advancement.

When this first round gives no satisfactory results, an external recruitment is launched via the media or the web. For every recruitment of academic staff all categories of 'electors' have a seat in the selection committee, including the students.

Faculty promotion

Promotion comes after a prescribed number of years, and is by preference not merely a routine, or based on seniority only, but primarily on merit. A faculty member qualifies for promotion on the basis of competency, qualifications, experience and other relevant factors. It is therefore important that the criteria are publicly announced well in advance, and that they are clear and transparent.

Advancement in rank may depend on the following:

Fulfilling the specific and minimal criteria for the rank, evidence of competency in teaching, evidence of positive contribution to the individual's program area and discipline, participation in professional and scientific work related to one's discipline, contribution to research and scholarly publications.

1.3 Faculty and other teaching staff evaluations

Great attention must be paid to the transparent and regular evaluation of academic and other teaching staff, especially though not exclusively, for beginning staff. Staff evaluation may take different forms, but normally includes an (anonymous) evaluation of lessons by students, and

¹¹ Samples of internal regulations on HRM, adapted from a European university (EUC)

occasionally 'class observations' by a person superior in rank. All this must be duly recorded, and the results kept in the staff member's individual file at the personnel department.

2. Main issues for administrative, technical and other staff/administrative personnel

Unlike for academic staff, there may be different contractual arrangements for support staff and for individuals with an 'executive' or managerial function (heads of departments, units, etc.) who have no or only limited academic or teaching duties.

2.1 Recruitment, selection, promotion

The relevant department, together with the Human Resources department, will develop proper job descriptions, for each administrative position, laying down minimal criteria and describing the processes for the selection and appointment. Important factors may be a Diploma in the area of specialization and relevant work experience. Recruitment may be initiated in various ways, but the relevant department will always be involved in setting the job profile, and in some stages of the recruiting process. Documentation when hiring (and ultimately for the university records/ employment department) can vary, but generally they comprise the following:

- the employee's application form
- attestation of Qualifications and education received,
- attestation of training and experience
- a copy of the employment contract
- the annual evaluation of the employee

2.2 Employee ethics; duties and responsibilities

A person employed by the HEI has to behave in accordance with the university ethics, as described in the Code of Ethical Conduct presented to the employee, when signing an employment contract.

The contract may comprise among others the following duties and responsibilities:

- maintaining correct professional relationships with students, staff and other colleagues;
- carrying out all duties related to the job with efficiency, professionalism and keep abreast of professional developments in one's field;
- using the university equipment and materials with utmost care;
- abiding with the university's Code of Ethical Behaviour.

2.3 Salaries and fringe benefits:

Also from an ethical point of view it is essential that university staff and employees, as the most valuable assets of a HEI, are remunerated according to their qualifications, capacities and competences. Therefore a proper salary scale (whether according to official scales or under a contract of employment), duly based on the above criteria, and depending on the university's resources, also fringe benefits such as social security, pension schemes, are all important means to keep the engagement of the employee towards his employer. Salaries will be determined in an objective way, and be tiered, reflecting the applicant's individual capacities and the category in which he is to be employed.

Proper and fair remuneration will also act as a buffer against possible temptations of unethical behaviour purely for pecuniary reasons.

3. Remunerations, labour conditions, well-being of staff

3.1 Remunerations in line with the job

The university should aim at offering decent salaries to all staff members.

The university should consider offering social security benefits system complementary to the salary, comprising among others health insurance, a basic pension and the usual benefits awarded to employees in the private sector.

The university system should allow for some flexibility in wage setting in order to be able to reward outstanding performance or contributions (e.g. for researchers). Means to achieve this are a. o.:

- Fixed term contracts for statutory employees to alternate with contracts of indefinite duration
- A working environment that leads to improved results and that stimulates outstanding performance/excellence for high-profile positions in both academia and governance. An integrated HR policy which is flexible and output-oriented will ensure this.

3.2 Measures in support of equality and diversity among staff

The university has to guarantee equal career opportunities to all staff in equal positions, while respecting diversity, and without any discrimination on the basis of gender, race, religion, specific orientation or personal views.

Special care should be given to a proper gender balance in all positions and ranks, considering the low representation of women in the highest professorial ranks and in senior management positions. An effective gender policy and action plan should pay attention to the following areas that have an immediate effect on equality and diversity: information and communication provision, mentoring, decision-making, recruitment and promotion.

The university has to have a policy plan and supportive measures regarding staff with disabilities, throughout the entire university workforce. This will entail removing all possible physical and mental barriers for people with disabilities. The areas in which this plays are among others the recruitment and selection processes, accessibility to university provisions and awareness raising.

3.3 Measures for beginning faculty

The university pays a great deal of attention to assisting and monitoring young and beginning teaching staff, whether it is their full-time or just part-time occupation (e.g. PhD researchers). An in-house teacher training unit is most appropriate for this, providing basic training in pedagogical skills to more advanced specialized courses, e.g. using I.T. in classrooms, peer assessment training.

It is important that the evaluation and appraisal system in place at the university consistently and in a systematic and continuous way monitors the young teacher's enhancement in teaching practice and his or her development of a broad set of competencies, associated with excellence in teaching.

3.4 Measures stimulating research capacities and management of research

The young researcher or postdoc student often has to show good management skills, as they are expected to attract and coordinate (sometimes international or inter-sectoral) research projects. They should therefore develop the necessary skills in financial management of the project grants, next to sector- and discipline-specific skills.

4. Training and professional development

The university aims at providing quality training to its junior staff, as part of its strategy to create a community of academic learning and research, which is well-prepared for education provision in a challenging and competitive higher education environment at national and international levels. One of its instruments therefore is to offer continuing professional development, within the university's human and financial capacities. Especially for academics, pressure to excel in teaching and research (including publications) is high, which means that a stimulating and collegial working environment is necessary. This is in line with the paradigm of lifelong learning, which allows young professionals to grow in the job. Factors that tend to stimulate them on this road are foreseeable career opportunities, and the provision of career development and planning on an individual basis.

5. Participation in decision-making and complaints procedures

Academics and management staff expect to be able to participate fully in decision-making on the institutional and faculty or department level, in line with their range of activities and their position at the university. They are also sensitive to a stimulating work environment, and therefore expect that there are mechanisms in place to guarantee this.

The university has a complaints and appeals committee that helps solve work-related conflicts, and deals with any disputes and grievances that may occur. It is highly recommended to appoint the Head of the Ethics Committee as ombudsperson at institutional level, who is familiar with the specific working environment. This person may also be a

counsellor, whose job it is to put into practice the university's psychosocial welfare policy. In any case, the ombudsperson should have a high level of autonomy and avoid conflicts of interest with the position he/she holds at the University. The focus may then be on preventing unacceptable behaviour such as bullying, forms of harassment, etc.

RECOMMENDATIONS

R 6.1 Work environment, Competence management, Salary structure

Human Resource management see it as their responsibility to be mindful of the university work environment, to nurture and manage competences of faculty and staff and to wield their salary and awards structure accordingly.

R 6.2 Diversity, Equal terms for the same work, Gender Equality

The university's and its management's approach to Human Resources will be characterized by openness and respect for the individuality of each person, guaranteeing equal terms for equal work, gender equality and consideration for diversity of opinions and attitudes.

B. Developing a Human Resource Strategy and Action Plan: focus on Academic Staff

HEIs that aim at equipping their Human Resource Management with the necessary management tools will develop a comprehensive strategy and action plan.

The Annex 1 to the Toolkit provides a scenario for the *Introduction & Implementation of a Strategy & Action Plan for HRM* spread over three years. The university's comprehensive HR strategy and action plan sets out the priorities in its HR management for a mid-term period (3 to 4 years), and commits itself to an internal self-evaluation. The phasing and timeline will however depend on the university's profile and the state of affairs of its resources.

The Strategy & Action Plan covers the university's three core activities, teaching and learning, research and service to the community. The three areas address the entire academic staff (professorial staff, scientific staff, lecturers and assistants, doctoral researchers, postdoctoral staff and researchers). Special attention is given to young researchers, and young professionals, as they are the future key persons in the life of the university, and therefore an essential part of the university's human resources.

A full-fledged Strategy & Action Plan should cover the following five fields, which were already dealt with in Part A of this Chapter: Recruitment and evaluation; Career prospects; Labour conditions; Training and development; Ethical and professional aspects.

In this part B we focus on some of these items specifically addressing the academic staff, throughout their career at the university. They are about recruitment and evaluation of teaching staff, promotion and career prospects, professional and ethical aspects.

1. Open recruitment

The whole recruitment process should be fair, straightforward and transparent. Faculties and departments are as a rule in charge of their own recruitment, making it a transparent peer-to-

peer exercise. However, an open recruitment policy will benefit from centralized application and selection procedures at university level. If the admission and selection procedures are clear, the faculty or department can fully concentrate on field- and subject-specific standards.

Apart from the official and strictly academic criteria for recruiting and promoting academic staff, the following more generic guidelines/ criteria may also be considered:

- experience or expertise gained through inter-sectorial or inter-disciplinary work
- all forms of international experience, including international mobility, project work and the knowledge of foreign languages
- professional, non-academic criteria which are also relevant for the post

2. Evaluation criteria for teaching and research

The university must recognize and support excellence in research, teaching and service to society. For this purpose:

- An institutional data collection system has been set up, which will facilitate data collection and monitoring, thus enabling more transparent and readily available evaluation and promotion records.
- The university's database system contains all staff and personnel details, including PhD registrations, research publications of staff, involvement in research project, etc.
- There must be a correlation between the tasks and duties of the individual academic and criteria used to evaluate his or her performance in research and teaching
- Evaluation standards must follow national and international benchmarking

3. Promotion and career prospects

The university should have an integrated approach to professional development and career guidance, especially for young professorial staff and young researchers

The university should therefore pay attention to:

- Individual career coaching, mentoring programs, and involve external stakeholders in this.
- Employability of doctoral graduates by providing relevant training alongside their teaching and research work.
- Raising awareness among young academics and PhD graduates for non-academic labour market experience

Support for young researchers:

Universities as recognized knowledge centres in their country have a duty to promote and sustain young researchers. It is therefore commendable that universities provide guidance and moral support to PhD students and other young researchers to connect internationally with colleagues, and funding authorities. Specific policies and mechanisms promoting this should be implemented throughout the University.

4. Ethical and professional aspects

4.1 Academic freedom and accountability

Academic freedom is an intrinsic feature of university life and is closely related to the autonomy of higher education institutions. Academic freedom is continually under threat, both from internal and external influences, such as conflicts of interest, and other forms of unprofessional or unethical behaviour.

The university management nourishes its independence, autonomy and academic freedom, and actively defends the ethical and professional standards of the academics. The university is also held accountable for the way it relates to society, and for its societal impact. The university therefore has a duty to incorporate public engagement and societal impact as an aspect of the teaching and research practice.

4.2 The university's accountability explained

There should be no contradiction between academic freedom and the university's accountability towards its governors/supervisors and providers of funding.

From this follows that the university (and its many constituents) have to abide by strict ethical standards, respecting internal and external regulations in teaching and research, and service to the community. For the individual academic and researcher this means to act according to the principles of scientific integrity, to respect intellectual property and engage in equitable partnerships (which can be either public or private). The university develops targeted policies in this respect, and may set up specific commissions and committees, such as an Ethics Committee, whose role it would be to monitor and follow up on the ethical and professional standards.

4.3 Open access and open resources

The (relatively new) practice of providing open access to publications and research results are not only a proof of accountability, but also a way to subject them to a form of quality control. Peer review of research results aims at the same. Open Resources make data collections and educational material available to other researchers and peer academics, and also the wider society, without infringement of privacy regulations and with respect for other data protection regulations. The above requires an appropriate IT infrastructure and systems for data management and control.

RECOMMENDATIONS

R 6.3 HR strategy covers the university's threefold mission

The University's HR management covers the university's three core activities, teaching and learning, research and service to the community. Young researchers and PhD students should be given prime consideration, as they are the university's investment in the future.

R 6.4 Promotion and recruitment of faculty

Faculty promotion and recruitment should occur on the basis of pre-determined criteria, while acknowledging the candidate's individual pathway, his or her teaching and research capacity and professional experience related to the field. Judgement by peers (professors of similar or higher rank, with at least one representative of the discipline) is most common.

The Ministry of Education and Science has necessary external mechanisms or indicators to monitor the implementation of policies enforcing the involvement of young researchers in research activities of the University. The mechanisms and indicators are directly linked to University funding.

R 6.5 Promotion and recruitment of other staff

Promotion and recruitment of non-teaching staff takes heed of the specific position that is offered, and the knowledge, skills and competences required for the particular job. Undue influences are avoided by taking a purely meritocratic viewpoint.

TOOLKIT Transparency and Accountability in Human Resource Management for Higher Education Institutions

GENERAL RECOMMENDATIONS

Chapter One 'Preamble'

Recommendation 1.1 University's own Codes of Good Conduct & Ethical Behavior

The HEI has adopted its own Code of Good Conduct or Ethical Behaviour and has widely circulated it.

Recommendation 1.2 Visibility of the university's own ethical codes

The Code of Good Conduct is clearly visible on the university's website and due reference is made to its existence in other internal publications. Moreover, the Code of Conduct is duly disseminated within the University community.

Recommendation 1.3 Piloting various provisions of university's ethical code and its further implementation.

Committee of ethics has been formed. Various ethical misconduct cases have been addressed properly and there is a visible positive change among university community members towards proper understanding of Code of Ethics.

Chapter Two 'Key ethical principles and behaviour within the university'

Recommendation 2.1 Familiarity with ethical principles & practice

All types of staff and faculty at all levels should be familiar with the basic principles and practices usually associated with ethical behaviour.

Recommendation 2.2 Openness and collaboration

The university is willing to share its progress in innovation and research with members of the national and international community in a spirit of collaboration.

Chapter Three 'Samples of Personnel Misbehaviour and Unethical Attitudes'

Recommendation 3.1 Ethical behaviour: from theory to practice

Every staff member of the university should show an exemplary attitude which is in line with his or her position at the university, in relation to the management, colleagues, students and the broader community.

Recommendation 3.2 Preventive and corrective actions

The university management and officeholders ensure the presence of preventive and corrective measures against any form of offence or misbehaviour.

Recommendation 3.3 Promotion and rewarding policy

The University must have a rewarding system that stimulates staff who excel in their core tasks (teaching, research, service to the community). This however, without prejudicing people, nor withholding a proper basic salary to the general mass of staff.

- Recommendation 3.4 Involvement of internal and external stakeholders (staff, students and employers)

The university has to keep the active engagement of both staff and students in university life, while allowing for relevant stakeholders from the professional world to make a proper contribution.

Chapter Four 'Tools for Promoting and Stimulating Personnel Ethical Behaviour'

Recommendation 4.1 Culture of ethical behaviour

Quality education needs to be underpinned by a culture of ethics and ethical behaviour, if it wants to achieve its objectives of excellence in teaching and learning.

Recommendation 4.2 Employees' rights and duties

The relationship between the university and its faculty and staff, their rights and duties, is regulated by an individual contract, of which adherence to the Codes of Ethical Behaviour is an integrated part.

Recommendation 4.3 Innovative approaches in HRM

The university management shows openness towards innovative approaches to HR management that stimulates the employee or other staff member, and has a positive effect on the latter's performance, competitive and cooperative spirit, and result-oriented behaviour.

Chapter Five 'HRM: basic concepts, trends and models in HEIs'

5.1 Consensus on the role and functioning of HRM

There is a consensus among management, staff and other stakeholders on the role of HR management: consultation and constant dialogue is needed for maintaining this.

R 5.2 ICT in HR management or Integrated HRM IS (information system)

The university has an integrated approach to HRM by bringing together automated recruiting, performance management and reward systems.

R 5.3 HRM fit for all employees

Devices of HRM targeted at career development, etc. should serve the interests of all employees, and not only those in higher positions.

R 5.4 Adoption of HRM items on a business model

Try out some of the methods of business-like HRM on a voluntary basis before introducing them full-scale (e.g. flexible working hours).

R 5.5 Collegiality

Create an atmosphere of collegiality among faculty and employees, and provide opportunities for collegial decision-making and solution-probing.

R 5.6 Information, delegation, participation

Work out operational objectives for the different stages or processes of HRM, such as information provision, delegation of powers and participation.

R 5.7 Professional development

Organize seminars for middle management focusing on HRM techniques and appropriate skills development.

Chapter Six A 'Developing policies and tools for HR Planning and Recruitment'

and B 'Developing a Human Resource Strategy and Action Plan'

R 6.1 Work environment, competence management, salary structure

Human Resource management see it as their responsibility to be mindful of the university work environment, to nurture and manage competences of faculty and staff and to wield their salary and awards structure accordingly.

R 6.2 Diversity, equal terms for the same work, gender Equality

The university's and its management's approach to Human Resources will be characterized by openness and respect for the individuality of each person, guaranteeing equal terms for equal work, gender equality and consideration for diversity of opinions and attitudes.

R 6.3 HR strategy covers the university's threefold mission

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R 6.4 Promotion and recruitment of faculty

Faculty promotion and recruitment should occur on the basis of pre-determined criteria, while acknowledging the candidate's individual pathway, his or her teaching and research capacity and professional experience related to the field. Judgement by peers (professors of similar or higher rank, with at least one representative of the discipline) is most common.

The Ministry of Education and Science has necessary external mechanisms or indicators to monitor the implementation of policies enforcing the involvement of young researchers in research activities of the University. The mechanisms and indicators are directly linked to University funding.

R 6.4 Promotion and recruitment of other staff

Promotion and recruitment of non-teaching staff takes heed of the specific position that is offered, and the knowledge, skills and competences required for the particular job. Undue influences are avoided by taking a purely meritocratic viewpoint.

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For the overview of trends and models in HRM (Chapter 5) I am greatly indebted to Prof. Alex Vanderstraeten, Ghent University, Faculty of Economics and Business Administration. Director of the School for Social Profit and Public Management.

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ANNEX: SCENARIO FOR INTRODUCING AND IMPLEMENTING A HRM STRATEGY AND ACTION PLAN

HR Management: Strategy and action plan

Overview of objectives, timing & responsible actors

Preparation phase
Preparation + implementation / ongoing activities
Implementation phase

RECRUITMENT, SELECTION AND PROMOTION	YEAR ONE	YEAR TWO	YEAR THREE	Responsible actor
1 ST OBJECTIVE: The university carries out a gap analysis concerning existing arrangements for the recruitment, selection and evaluation of teaching staff and other personnel.				Personnel department/HR unit
2 ND OBJECTIVE: The university develops and implements a comprehensive Strategy and Action Plan for HRM of recruitment, selection and evaluation of staff.				Personnel department/HR unit Council or Senate

3 RD OBJECTIVE: The university develops a clear view on the feasibility of organizing an open recruitment system for both professorial staff, senior administrative and management staff				Personnel department/HR unit
4 TH OBJECTIVE: The university develops an on-line job portal, where academic and senior administrative vacancies are put through an automated process				Personnel department/HR unit
5 TH OBJECTIVE: The university has the processes in place to screen a candidate's application for a new position or vacancy				Personnel department/HR unit
6 TH OBJECTIVE: The university regularly reviews its package offer for professorial staff, including the wage scales and the extra perks.				Personnel department/HR unit Faculty & University Council
7 TH OBJECTIVE: The university's central office and the departments guarantee easily accessible information in English on the job offerings, when recruiting new academic and research staff.				Personnel department/HR unit Communications department
8 TH OBJECTIVE: The university will develop good practice guidelines for the evaluation of individual teaching and research performance.				Personnel department/HR unit All faculties
9 TH OBJECTIVE: The university will set up a personalized evaluation or appraisal system and collect recommendations on this from staff and external stakeholders on a regular basis.				Personnel department/HR unit All faculties

CAREER PROSPECTS	YEAR ONE	YEAR TWO	YEAR THREE	Responsible actor
10 TH OBJECTIVE: The university has in place an integrated approach to professional development and career guidance, especially for young professorial staff and young researchers				Personnel department/HR unit All faculties Research unit (university/faculty level)
11 TH OBJECTIVE: The university communicates efficiently and openly about career perspectives within the university at both institutional and faculty/department level				Personnel department/HR unit Communication department All faculties
12 TH OBJECTIVE: The university communicates openly about career prospects in the non-academic labour market towards its graduates (including PhD graduates) and staff.				Personnel department/HR unit Communication department

LABOUR CONDITIONS AND SOCIAL SECURITY	YEAR ONE	YEAR TWO	YEAR THREE	Responsible actor
13 TH OBJECTIVE: The university initiates a fair and equitable pension rights plan for all staff having a contract of an indefinite period				Personnel department/HR unit Council
14 TH OBJECTIVE: The university undertakes innovative approaches at all levels in terms of selecting and hiring staff				Personnel department/HR unit All faculties
15 TH OBJECTIVE: The university launches policy plans for/concerning gender balance and staff with disabilities				Personnel department/HR unit All faculties
16 TH OBJECTIVE: The university ensures a better evaluation and recognition of teaching skills during recruitment processes and in the general appraisal system.				Personnel department/HR unit All faculties
17 TH OBJECTIVE: The university implements a fair and equitable system of workload and time allotted for the different tasks of academics in terms of teaching, research and service to the community.				Personnel department/HR unit Council Rector

TRAINING AND DEVELOPMENT	YEAR ONE	YEAR TWO	YEAR THREE	Responsible actor
18 TH OBJECTIVE: The university develops strategies for adequate training and professional development of young teachers and researchers.	Year 1	Year 2	Year 3	Personnel department All departments
19 TH OBJECTIVE: The university elaborates academic and managerial development for the professorial staff at all levels, and operates in close collaboration with the concrete working environment.				Personnel department All faculty
20 TH OBJECTIVE: The university organizes a programme on strategic leadership for senior management.				Personnel department Senior faculty & admin staff

ETHICAL AND PROFESSIONAL ASPECTS	YEAR ONE	YEAR TWO	YEAR THREE	Responsible actor
21 ST OBJECTIVE: The university incorporates societal impact and public engagement as aspects of teaching and research practice, which requires specific incentives and proper recognition in the evaluations.				Personnel department/HR unit All faculties
22 ND OBJECTIVE: The university's training programmes for teachers and researchers has sessions on scientific integrity and on professional responsibilities.				Personnel department/HR unit All faculties
23 RD OBJECTIVE: A Code of Conduct is made available that serves as a framework for good practice in the relationship supervisor – doctoral researcher.				Personnel department/HR unit Doctoral programmes All faculties
24 TH OBJECTIVE: The university develops an Open Data policy, and plans the elaboration of an efficient structure for the storage, access and processing of open data.				Personnel department/HR unit Communications department Library