



THE GUIDELINES FOR HUMAN RESOURCE MANAGEMENT AT HIGHER EDUCATION INSTITUTIONS

*HRMinHEI Project - Modernisation of Higher Education
Institutions through enhancement of Human Resources
Management function*



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1. INTRODUCTION

The Guidelines for Human Resources Management (HRM) at higher education institutions (HEI) were developed by the consortium of the *Modernisation of Higher Education Institutions through enhancement of Human Resources Management function* (HRMinHEI) project, funded by Erasmus + programme of the European Commission.

The consortium comprises four European higher education institutions – Danube University Krems from Austria, University of Tampere from Finland, Faculty of Humanities and Social Sciences University of Rijeka and University College Algebra from Croatia – and one quality assurance agency, the Agency for Science and Higher Education from Croatia.

The aim of these guidelines is to provide HEIs' administrations with a tool for modern, scientifically-based HRM development that will help them cope with rapid social changes and ever-increasing demands society poses to the higher education sector. On one hand, the Guidelines rely on the European Commission's *EU Modernization Agenda for Higher Education* from 2011, and *Modernisation Agenda: Academic staff 2017*, which analyse the current context of the European higher education and set modernisation goals to help the sector respond to the challenges presented and analysed within the documents. On the other hand, the Guidelines were based on findings from the *Overview of recent European and national policies in regard to human resources management (HRM) in higher education institutions (HEIs) within European Higher Education Area*, and the results of research of current HRM practices at partner HEIs from the three countries involved in the project.

We shall first describe the analytical framework for HRM at HEI, and then present the guidelines for the development of individual elements. The Guidelines are structured as follows: 1) Purpose of developing appropriate evaluation method (context, definition, aim of the process), 2) Stakeholders in method development and process implementation, 3) Process (requirements, criteria, timeframe, summary of process steps), 4) Challenges in implementation, 5) Recommendations, and 6) Interaction with other elements of HRM at HEI.

¹ European Commission communication (COM(2011) 567 final) — an agenda for modernising the EU's higher education systems

¹ European Commission/EACEA/Eurydice, 2017. Modernisation of Higher Education in Europe: Academic Staff – 2017. Eurydice Report. Luxembourg: Publications Office of the European Union.

2. HRM IN HEI ANALYTICAL FRAMEWORK

Our HRM in HEI analytical framework (Pausits, 2017¹) consists of the ten interrelated components or sub-processes of human resource management in higher education institutions, described briefly in the sections below and outlined in *Figure 1*.

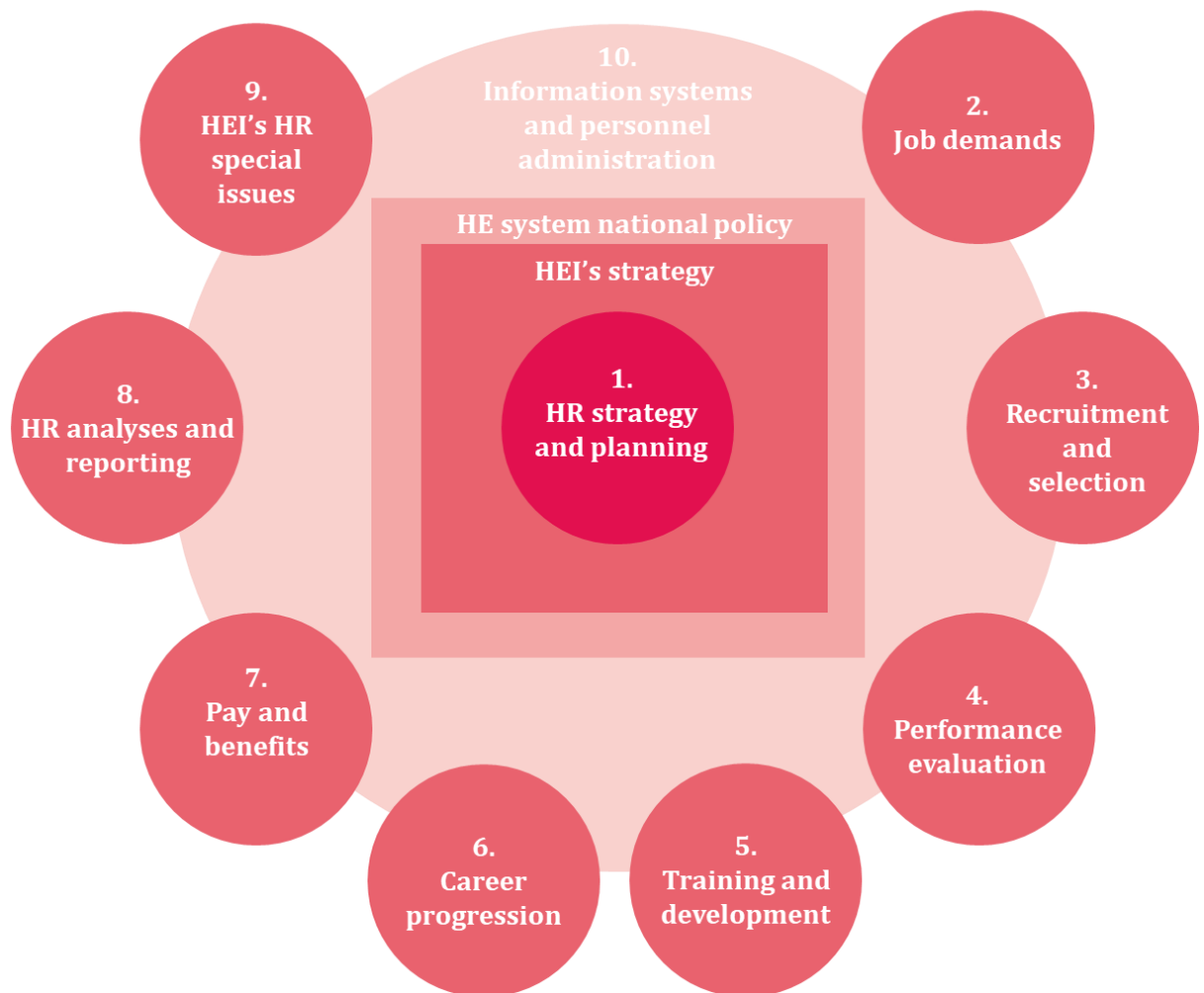


Figure 1. *HRM in HEI analytical framework*

¹ Pausits, A. (ed.) (2017). Overview of recent national policy developments in regard to human resources management (HRM) in higher education institutions (HEIs) within European higher education sector. Zagreb, Agency for Science and Higher Education.



1. **Human resources strategy and planning** is a starting point that provides a strategic direction for HRM. The purpose of this part of HRM is to clearly formulate HR policies, goals, strategies and action plans, based on the national HE policy and HEI's strategy (its mission, vision, goals and strategies), as well as to mobilize employees for the implementation of the organisation's strategic intent.

2. In the second element, (**Job demands**), strategic directions are translated into specific requirements for each position in the organisational structure. These requirements, usually documented in the job analyses or job systematisation, include two major categories: the expected results, and competencies needed to achieve them. Results and competencies are the criteria for success, and represent the basis for subsequent HRM processes: selecting the new, and developing the existing employees.

3. The general aim of **Recruitment and selection** is simple: putting the right people in right places. In order to do this properly, it should be specified in advance what the person in a particular position can do (knowledge, skills, abilities and work experience), what is she or he like (personality traits, behaviour), and what she or he wants (expectations, motivation, attitudes). This process includes the recruitment of potential candidates via different channels and the adequate use of various selection methods and techniques, while respecting ethical and professional standards, and making the final choice based on the candidate's performance in the trial period.

4. Monitoring whether employees reach the required standards with regard to the achievement of results and development of competencies is the basic purpose of the **Performance evaluation**. Different objective and subjective measures are used for the performance evaluation and assessment of competencies. Once the criteria of work performance and personal development are clearly defined and operationalized, and methods and instruments for their measuring developed, all involved managers and employees should be trained for their regular use. In the performance evaluation process, supervisors provide feedback on the performance and personal development in the previous period, as well as on planned activities in the following period. In a way, this process is an integrator of other HR processes and serves as a central managerial tool for the implementation of planned business and development strategies.



5. **Training and development** is a process of effective implementation of relevant and legally required training and professional development of employees. Training and development should be based on strategic requirements (desired state), results of performance evaluation (actual state) and the agreement reached at annual interviews with employees (personal development plan). The main purpose of training and development is to ensure that employees acquire necessary expertise and develop specific skills in order to improve their individual work performance. Therefore, it should include mechanisms for verifying actual implementation of the acquired knowledge and skills in everyday work practices.

6. **Career progression** should align the future needs of the organisation with ambitions, preferences and real possibilities of individuals. The base of the system is a career policy, which defines the basic principles of career progression: possible courses of career development or career paths, general conditions for promotion, policy of informing employees and encouraging their career ambitions, equal opportunities policy and funding of the employee's development. The advanced systems of career development include the selection and monitoring of prospective or promising employees, the selection and developing of successors or deputies to key managers, and system of mentors, internal trainers or consultants. Effective career progression models take into account both the needs of the institution and the individual.

7. The purpose of **Pay and benefits** is not only to offer compensation for work. The element has two basic functions: motivating employees for efficient work, and supporting their personal development to meet the organisational needs. Rewarding includes both material and non-material part. Material rewards usually consist of the following key elements: the basic salary determined by the requirements of a particular job (fixed remuneration), stimulation for extra effort, work performance or progress in the development of competencies (variable remuneration), and various benefits (additional incentives that reward job performance or encourage staff loyalty). Intangible forms of remuneration commonly include different forms of recognitions, awards and honours.



8. The purpose of **HR analyses and reporting** is to prepare and distribute information on human resources needed by the relevant bodies, institutional managers or HR professionals, in order to monitor and improve the processes of managing people in organisations. It is a system of permanent organisational diagnosis that comprehensively and effectively directs the management and the development of human resources. Areas of HR diagnostics include different analyses: labour market analyses; competency assessment of staff; work attitude surveys; analyses of organisational climate and culture; statistical analyses of different personnel indicators (e.g. fluctuation, absenteeism, sick leave, accidents); analyses of "best practices" or comparative analyses of HR processes in relation to benchmark organisations; effectiveness (or cost-effectiveness) analyses of certain segments or HR process, etc.

9. **HR special issues** vary from organisation to organisation, depending primarily on the characteristics of the workforce from different industries, as well as on historical and social circumstances of the development of the organisation. Specifically, particular topics of HR may include HRM responses to issues such as occupational health and safety, social standards of employees, balance of work and personal life, harassment at work, discrimination, abuse of alcohol and drugs in the workplace and other risk behaviours of employees, stress at work, etc.

10. **Information systems and personnel administration** are the basis for the organisational functioning. The organisation should ensure that the various legal acts, regulations, collective and/or individual agreements that regulate the relations of employees and employer are aligned with national legislation and legal requirements, which may affect the number of labour related disputes. Relations with employee representatives or trade unions constitute a separate element of this part of HRM process. This part of HRM refers to the implementation of procedures for registration and deregistration of employees, archiving employment certificates, keeping personnel records, files, and issuing various documents to employees. An adequate HR information system, which should - with different levels of authorisation - be available to HR professionals, managers and employees, facilitates the managing of documents and personnel data, and conducting various procedures.



3. GUIDELINES FOR DEVELOPMENT OF INDIVIDUAL HRM ELEMENTS AT HEI

3.1. HR STRATEGY AND PLANNING

3.1.1. Purpose of developing appropriate evaluation method

Context. HEIs are expected to clearly define their mission, vision and development strategy. This also involves the need for strategic HR planning as the key factor in the implementation of a HEI development strategy. In other words, it is important to have a clear vision of HR development at HEI, and to define the strategy and set out guidelines for personnel management. This chapter gives an overview of HR strategy and planning development at HEI, as well as the implementation thereof.

Definition. HR strategy and development plan are the basis of HRM. Strategic HRM includes personnel planning, ensuring and acquiring the necessary resources for personnel management, coordinating HR activities aimed at achieving the defined goals, and managing the implementation of specific activities. HR strategy and planning relates to defining HR as a key factor in HEI strategy development. Personnel planning indicates a great importance of HR in designing and implementing business strategies, as well as achieving strategic goals and the overall success of HEI.

Aim of the process. The aim of this process is to formulate clear goals, policies, strategies and action plans for HRM. HR strategy is also the process of directing employees towards the implementation of HEI strategic direction. In other words, the aim of HR strategy is to ensure that all employees, from the organisational top to bottom, do whatever is necessary to successfully implement the outlined HEI strategy. The goal is to ensure, develop and maximize HR potential in order to improve the overall efficiency of HEI.

3.1.2. Stakeholders in method development and process implementation

The preparation of a strategy usually involves the appointment of a working group, comprising HR administrators and representatives of HEI management and mid-management (heads of departments). However, the employees should also be included in this process, either



directly, through an active involvement in writing of the strategy, or indirectly, through a public discussion on the finished draft.

3.1.3. Process

Requirements. An effective HR strategy should support the general development of HEI. It should, therefore, include an overall vision of staff development, and define the necessary employee competencies, methods of recruitment, selection, and staff rewarding.

Criteria. Strategic HRM links the business strategy with HR planning, development and management. It should be focused on the future, ensure and develop human resources in accordance with the desired strategic position and plans. The key goal is to interlink HRM with business strategies. HR experts should be involved in strategic plan development, know the organisational strategic goals, know what knowledge, skills, attitudes, and behaviours are needed in staff to support the strategic plan, and develop programmes to ensure that they indeed possess the necessary competencies.

Timeframe. HR development strategies are typically adopted for a longer period (4 to 7 years), while HR strategic planning is short-term: action plans, targeted directly to specific groups of employees or even individuals, are usually defined annually. They include specific plans of activities for staff and more precise timelines.

Process. 1. Analyse the current situation. HR strategy should be based on the institutional strategy, i.e. mission (why does HEI exist), vision (what does it strive for) and goals (what are its long-term and/or short-term plans). HEI strategic goals should be translated to HR goals and specific annual plan of activities defined. It is also necessary to determine organisational strengths and weaknesses, i.e. the quantity and quality of HR. Descriptive data on current staffing levels in individual organisational units, and staff distribution by categories (age, work experience, vocation, duration of contract, salary structure, etc.) should be collected, as well as data on staff competencies. The next step is to develop plans linking current HR situation with the strategic goals of HEI. **2. Create a plan.** HR strategy is typically a written plan containing general and specific goals. Tasks should be appropriately defined and grouped by taking into account the existing job systematisation (see [chapter 2](#)). It should include a clear description of ways in which work efficiency is managed (i.e. rewarded), to direct the employees' work towards the set goals (see [chapter 7](#)). Strategic plans should contain information on specific activities, individual responsibilities and deadlines. **3. Implement the strategy.** For a strategy to be effective, it needs to be implemented, used in decision-making process, and regularly revised



and updated. A strategy should be functional, i.e. it should be used in everyday operation and regular activities of HEI. Every employee should be acquainted with the strategy and the derived action plans.

Summary of process steps.

<i>1. Analyse the current situation</i>	<i>1.1. Action plans</i>	✓ Based on HEI development strategy
<i>2. Create a plan</i>	<i>2.1. Activity</i>	✓ Specific tasks
	<i>2.2. Responsibility</i>	✓ Persons responsible
	<i>2.3. Deadlines</i>	✓ Specific deadlines
<i>3. Implement the strategy</i>	<i>3.1. Dissemination</i>	✓ Presenting the strategy
	<i>3.2. Communication</i>	✓ Including the employees
	<i>3.3. Revision</i>	✓ Update if needed

3.1.4. Challenges in implementation

Resistance to strategic HRM. Sometimes there is resistance toward strategic HRM at HEIs, and it is often the consequence of rigid organisational structure, lack of awareness of the value of strategic HR principles, or management and staff not sharing the same vision and attitudes. HR officers are often perceived as administrators instead of development advisors, making the strategic management difficult.

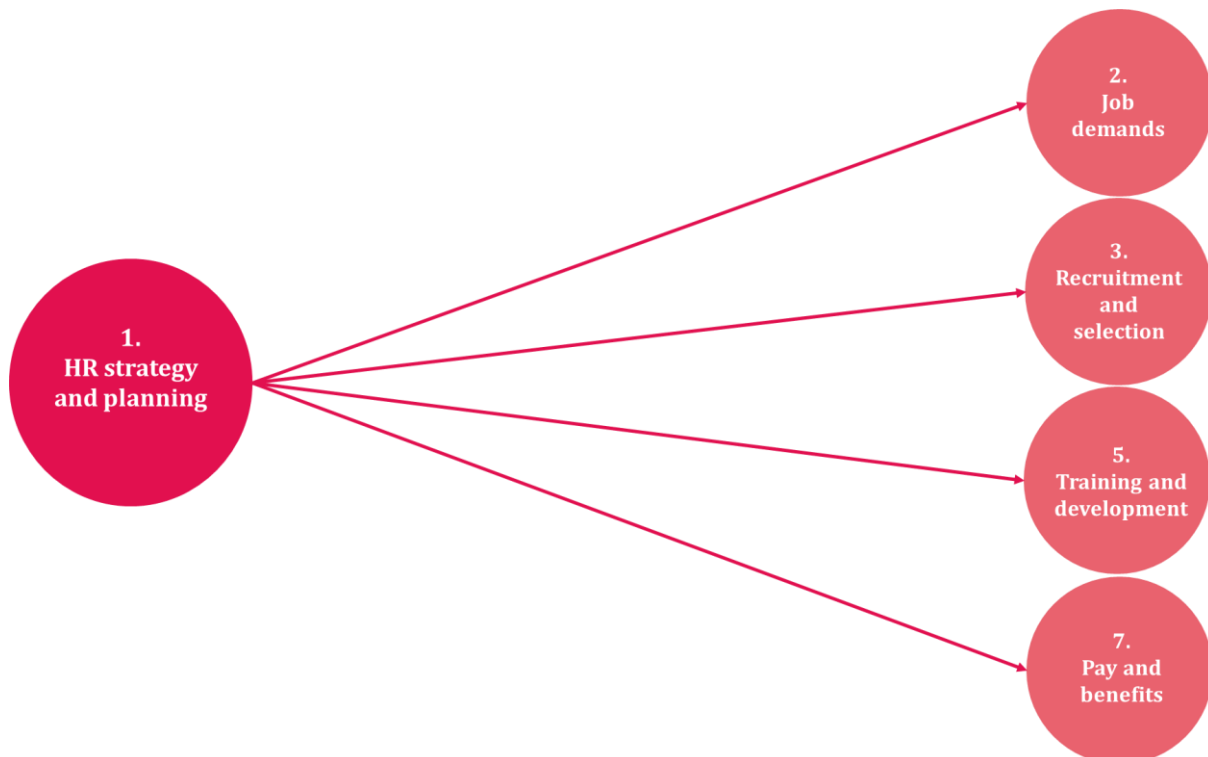


3.1.5. Recommendations

Involving the employees. Every employee should have a right of say before the strategy is adopted as a formal document. In other words, procedural fairness should be ensured in writing of the strategy; employees should feel that they were involved in its development.

Communicate the strategy transparently. Developing a strategy does not guarantee its effectiveness. In order for the HR strategy to be effectively implemented and used, all HEI employees should be familiar with it, and the implementation of strategic goals continuously encouraged. It is important to ensure the interactional fairness in encouraging strategic HR development plans.

3.1.6. Interaction with other elements of HRM at HEI



3.2. JOB DEMANDS

3.2.1. Purpose of developing appropriate evaluation method

Context. In the academic environment, two employees could have the same job but perform different tasks. For example, one assistant professor could conduct teaching, supervise students and engage in scientific work, but could also be actively involved in research projects and various committees. The other assistant professor (sometimes even at the same university department) could only be involved in teaching and some project work. This inconsistency of work obligations is not uncommon in practice. In order for the HEI to effectively address such issues, it is necessary to know the employee's scope of work and responsibilities, as well as the requirements to every position in the organisational structure, i.e. to specify *job demands*.

Definition. Job demands are job-specific or position-specific requirements expected of the employee. At a HEI, job demands are largely defined by national regulation, and are specified by a job systematisation. The process of defining job demands, also known as job analysis, refers to the systematic process of collecting, organising and interpreting data on tasks, responsibilities and context of a particular job or a position, as well as of the requirements from the employee. The analysis provided answers to three questions: 1) what is the job, and how and why it is being done, 2) in what context is the job being done, and 3) what are the requirements for a successful job performance.

Aim of the process. The aim of the process is to clearly formulate the required activities of a particular position within the organisation. In other words, to identify and describe the activities pertaining to a specific job, to define the conditions required for its performance, and to anticipate future requirements and needs with regard to tasks, rights and responsibilities. Clear information on the expectations and necessary competencies for a specific position helps clarify the required results and roles, which forms the basis for recruitment and selection (see [chapter 3](#)), performance evaluation (see [chapter 4](#)), staff training and development (see [chapter 5](#)) and pay and benefits (see [chapter 7](#)).

3.2.2. Stakeholders in method development and process implementation

Although HR experts and HEI management (including heads of departments and HR officers) have the key role in defining job demands, it is also important to involve immediate supervisors (heads of chairs, principal investigators, heads of services, etc.) and employees



whose jobs are being analysed (professors, assistant professors, office administrators, etc.) Defined job description should be approved by both the immediate supervisor and the employee.

3.2.3. Process

Requirements. Job demands should include the combination of observable and measurable knowledge, skills, abilities and personal attributes that contribute to enhanced employee performance aimed to result in organisational success. Job demands include two main categories, or two descriptions: 1) **job specification** - a list of tasks, responsibilities and job functions, and 2) **person specification** - a list of skills, abilities and knowledge essential for successfully performing the job (or an optimal employee profile). A written job description includes basic information pertaining to the position, list of tasks, duties, responsibilities and working conditions. Ideally, it should include: name, code and location of the job, organisational relationship with other employees, interrelationship with other jobs, brief description of duties, responsibilities, resources and materials, working conditions and performance standards (*see chapter 4*). A job specification is a written document, defining essential attributes the employee should possess: required education level, skills, abilities and other attributes (work experience, personality traits, etc.)

Criteria. Qualifications of HEI employees are defined by the national legislation, which prescribes the standard working hours (e.g. norm hours for individual teaching grades), necessary competencies and requirements that need to be met (e.g. appointment to scientific grade). HEIs can define additional criteria, following the strategic goals and HR plans (*see chapter 1*). Job demands need to be aligned with national regulations (*see chapter 10*).

Timeframe. Job demands are usually revised when changes occur; when certain jobs are merged or when a new job is created. Defined job demands should preferably be aligned with actual needs, thus requiring a revision once a change has been implemented to a particular job or the pertaining tasks.

Process. 1. Analyse the organisation. Each job should be put in the context of the organisation, i.e. its position and the way it is integrated into the organisational structure should be analysed. The purpose of the job needs to be explained from the perspective of achieving institutional goals, and pertinent duties and responsibilities need to be summed up - which activities are being carried out and why, how is this job relevant for the institution, and to what extent does it contribute to the overall operation of HEI. **2. Define jobs that need to be analysed.**



First of all, it is necessary to determine which jobs are key to organisational performance, and start the analysis with these. Later on, the process should be applied to all other jobs. **3. Collect data**. It is necessary to decide on how to collect the information for job specification (by observation, interviews and/or questionnaires) and person specification (empirically, based on the information on the existing staff and/or expert job analysis. It is important to have all relevant information (organisational structure diagrams, existing job specifications, procedures linking duties at various positions) and, if necessary, to conduct interviews with employees and their immediate supervisors for that purpose. **4. Describe and specify job demands**. Below is an overview and analysis of collected information that need to be included in the job analysis form. First drafts of job descriptions are submitted to employees, for review and comments, and then to their immediate supervisors. The next step is to draft a job description and specification that needs to be approved by the employee. The results of the analysis consist of two interdependent documents - job specification and person specification, developed in accordance with the above criteria.

Summary of process steps.

1. Analyse the organisation	1. 1. Fitting in the organisation	✓ Work position within the context of HEI
2. Determine which jobs need to be analysed	2. 1. Key jobs	✓ Focus on the most important positions
3. Collect data	3. 1. Define a method	✓ Based on the available information, timeframe and aim of the analysis
4. Define job specification and person specification	4. 1. Job specification	✓ List of all tasks and responsibilities
	4. 2. Person specification	✓ A profile of optimal personal attributes for a position

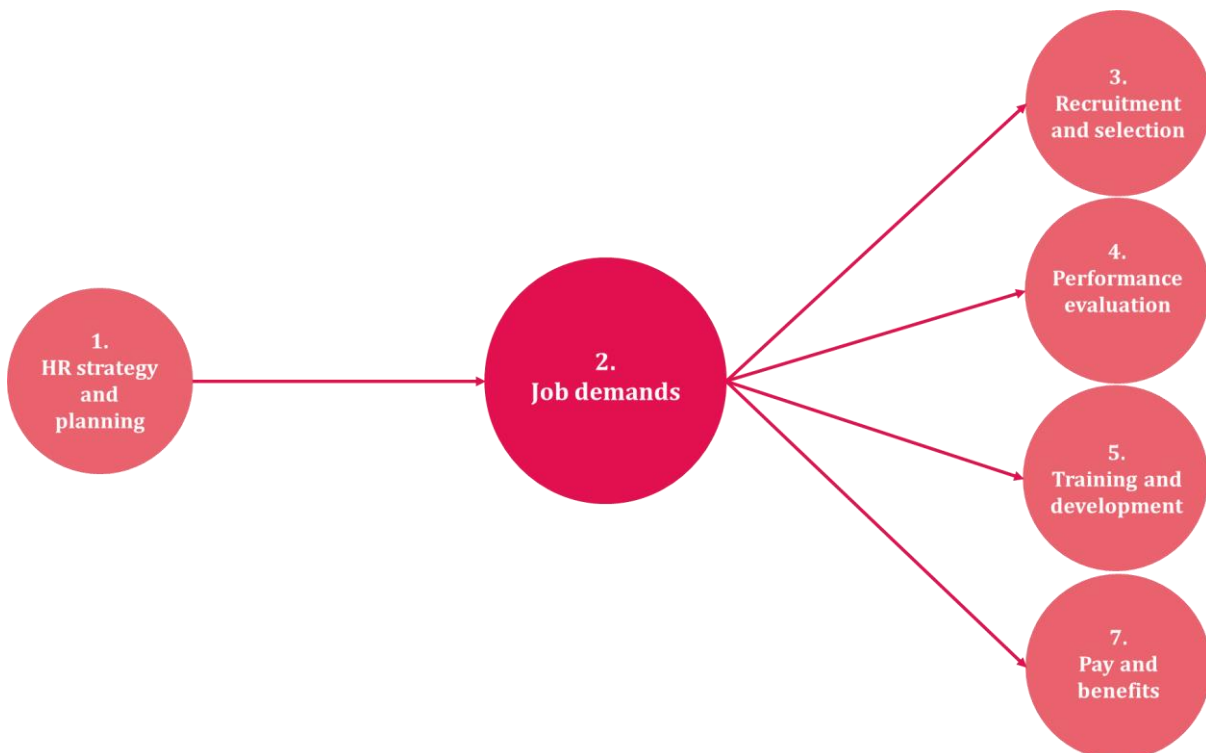
3.2.4. Challenges in implementation

Excessive workload. Job specifications often exclude a number of activities that employees perform on daily basis. HEI employees are usually tasked with various duties that are not formally prescribed, which means they cannot always be evaluated.

3.2.5. Recommendations

Develop well-balanced job specification. A good job specification describes the main purpose of the job, lists the main activities (duties and obligations) and their specific outcomes (results). It should not include every small detail, but only what is characteristic of a specific position within the organisation. It should in general terms refer to the job and an incumbent (not a person currently performing these tasks), and be periodically revised.

3.2.6. Interaction with other elements of HRM at HEI





3.3. RECRUITMENT AND SELECTION

3.3.1. Purpose of developing appropriate evaluation method

Context. Every now and again, a person is employed who does not have the necessary competencies for a particular position (see [chapter 2](#)), or does not contribute to the institutional strategic development (see [chapter 1](#)). Recruiting a candidate whose work performance is soon revealed as substandard, who does not achieve organisational goals or sufficiently participates in the implementation of action plans, could pose a problem for HEI. This chapter describes how to avoid problems caused by a poor selection of new employees.

Definition. Recruitment and selection process includes *recruitment* of candidates who would be suitable for a particular job, the use of optimal selection methods, and making a final decision on the *selection* of candidates. Systematic selection procedures are used to determine which candidate will be recruited. If the procedures are properly designed, the selected candidates will fit the job and the organisation, and contribute to the strategic development of HEI.

Aim of the process. In short, the main aim is putting right people in right places. As the crucial element of HRM, this process ensures that HEI has good quality staff with appropriate skills, knowledge and attitudes. The goal of an effective selection process is to align candidate's personal attributes (abilities, traits, experience and values) with job demands (see [chapter 2](#)). A proper recruitment and selection procedure can thus increase the overall institutional performance.

3.3.2. Stakeholders in method development and process implementation

Recruitment and selection procedure should entail a good cooperation of all staff professionally responsible for HRM, either by a direct involvement in the process, or through an advisory role. In both cases, the role of a personnel/HR department is to identify candidates whose knowledge, skills, attitudes and work experience could contribute to the competitiveness of HEI. Academic, administrative and managerial staff are actively involved in determining staffing needs and conducting the recruitment and selection procedure.



3.3.3. Process

Requirements. The procedures should be transparent, fair and open, and allow for a selection of best candidates. Recruitment and selection should be a planned process, adjusted to all target groups. The evaluators need to be trained, and candidates provided with a realistic description of the job and the organisation.

Criteria. Recruitment and selection procedures are better when HEI defines its own criteria, based on own specific needs. Clear criteria, based on job and person specifications, should be defined even before the recruitment stage (see [chapter 2](#)). Selection criteria should be precise. If possible, they should include specific information on what the person in a particular position **can** do (knowledge, skills, abilities and work experience), what is she or he **like** (personality traits, behaviour) and what she or he **wants** (expectations, motivation).

Timeframe. HEIs should use a strategic approach to this process, rely on forecasting of staffing needs, and plan it accordingly and systematically.

Process. 1. Plan staffing needs. Staffing needs should be in accordance with the strategic direction of HR (see [chapter 1](#)). A strategy defines what type of people the organisation needs, how they will be recruited, what will be the emphasis in the selection, and which criteria will be used. 2. Create a clear job specification. Candidate description should be based on job demands for a vacant position (see [chapter 2](#)). It is necessary to define which competencies are required for a particular job, and what distinguishes a successful from an unsuccessful employee (see [chapter 4](#)). 3. Conduct recruitment. The process of recruitment at HEIs is generally regulated by national legislation. The job advertisements should appeal to desired candidates, and provide relevant information about the job vacancy. It is important to decide in advance whether the recruitment will be **internal** (potential candidates from within the organisation) or **external** (candidates from the labour market). 4. Selecting the right candidate. 4.1. Initial selection. Serves to reduce the number of candidates based on initial input. A review of application forms and CVs is a part of this process. The initial selection (initial screening) is used to eliminate candidates who do not meet the basic requirements. 4.2. Substantive selection. The goal is to determine which candidate, out of those who meet the basic requirements, is the most qualified. Substantive selection is the core part of the selection process, and may include the use of written tests or self-assessment questionnaires (e.g. cognitive ability tests, knowledge tests, personality questionnaires, attitudes and motivation scales), and a selection interview.



Summary of process steps.

<i>1. Plan staffing needs</i>	<i>1.1. HR Strategy</i>	✓ Match the candidate with the organisation.
<i>2. Create a clear job specification</i>	<i>2.1. Job demands</i>	✓ Define the necessary competencies
<i>3. Conduct recruitment</i>	<i>3.1. Job advertisement</i>	✓ Internal / external sources
<i>4. Selecting the right candidate</i>	<i>4.1. Initial selection</i>	✓ Application forms and candidates' CVs
	<i>4.2. Substantive selection</i>	✓ Written and oral tests

3.3.4. Challenges in implementation

Sound initial screening process. When conducting a background investigation i.e. verifying candidate's employment history, it is important to remember that former employers rarely give negative feedback. The references are usually carefully selected; candidates decide on what references to use, so they are almost always positive.

Danger of unstructured interview. Selection interview is often very unstructured; short, informal and composed of random questions. Data obtained from such interviews are biased, and often only partially related to work performance. An unstructured interview can lead to different biases: interviewer favouring candidates who share their attitudes, giving too much weight to negative feedback, making inaccurate assessments based on first impressions, etc.



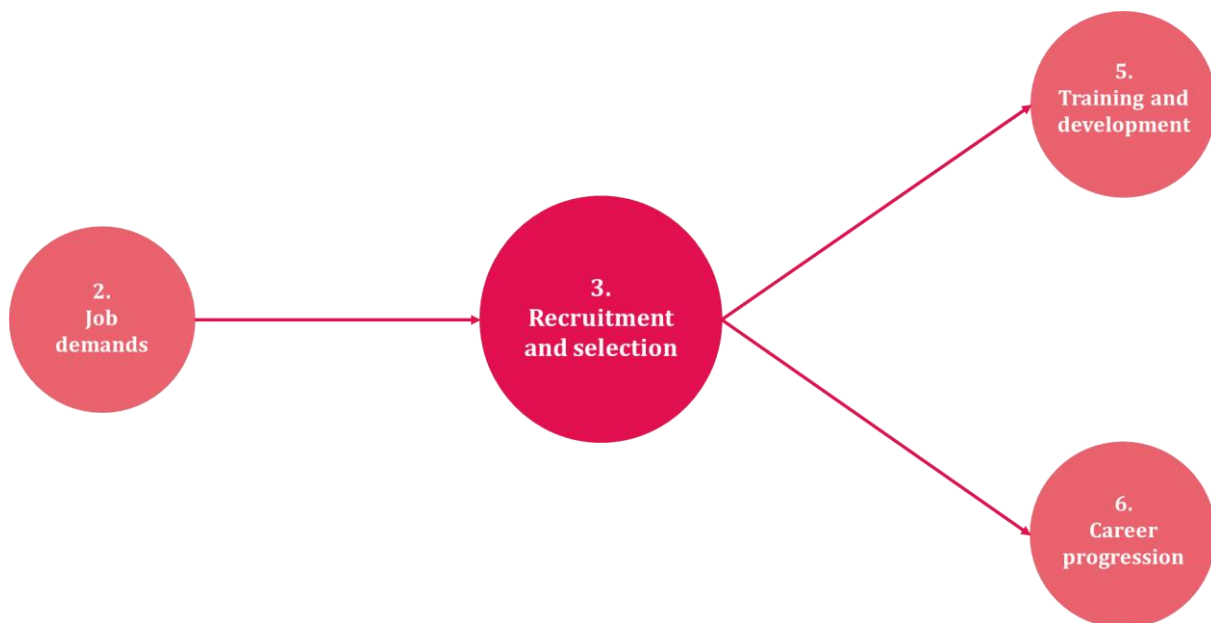
3.3.5. Recommendations

Structured interview. The use of standardised set of questions and candidate rating scale, and a common method of recording information, improves the validity of interviews. The efficiency is increased if interviews are structured around relevant work behaviours. Also, it is recommended to use multiple individual interviews (so-called 'panel interviews', with three to five interviewers assessing one candidate), and train the members of selection committees.

Job simulation tests. Job simulation tests serve as a good predictor of work performance since they directly assess how well a candidate performs a particular job. Although they are more complex and more demanding than written tests and questionnaires, their use is recommended.

Probationary period. Selection procedure is not an ideal process, and can sometimes yield incorrect assessment results. In order to avoid situations where (potentially) poor decisions have lasting effects, an introduction of a probationary/trial period is recommended, which should be perceived as the final (and the most important) part of the selection process.

3.3.6. Interaction with other elements of HRM at HEI





3.4. PERFORMANCE EVALUATION

3.4.1. Purpose of developing appropriate evaluation method

Context. HEIs, like any other organisation, have employees who work hard and deliver more than expected, and those who work less and continuously lack in productivity. Without a system of detecting efficient and inefficient employees, managers cannot properly manage their subordinates. In this chapter, we will show how a performance evaluation system can successfully be implemented at a HEI.

Definition. Performance evaluation is the process and practice of monitoring and reviewing employee performance within a defined timeframe and against set criteria, including planned courses of action based on evaluation results.

Aim of the process. The main aim of performance evaluation process at HEIs is to monitor whether employees achieve the required goals and meet the set standards with regard to individual work results and development of competencies. Performance evaluation aims at improving individual work performance, but also provides information for strategic decision-making and institutional management. It is an important process for the proper implementation of training (see [Chapter 5](#)) and rewarding systems (see [Chapter 7](#)).

3.4.2. Stakeholders in method development and process implementation

Performance evaluation depends on the nature of the job. At a HEI, academic's job consists of four aspects – teaching, research, professional/social engagement ('universities' third mission') and management/administrative function. Performance evaluation should address all of these, depending on the nature of activity in a particular position. As a general rule, employee is reviewed by an immediate supervisor. However, stakeholders should perceive performance evaluation as a two-way, equal responsibility communication process.

3.4.3. Process

Requirements. Performance evaluation is optimal when it focuses on specific behavioural criteria and results, and when it includes career development (see [Chapter 6](#)). Performance standards should be clearly linked to job and organisational goals, and evaluation forms should be aligned with job elements defined for a specific position (see [Chapter 2](#)). Evaluation should be sensitive enough to clearly differentiate between various degrees of work



efficiency. Assessment should be consistent in different times and contexts. The evaluation process should be accepted by all the stakeholders, and the process itself should be easily applicable.

Criteria. Criteria that supervisors can use in performance evaluation are categorised as *individual work results* and *individual work behaviour*. If the goals are considered more important than the process, it is sufficient for the manager to evaluate only the result of a specific activity (e.g. number of published papers). In some situations it is more difficult to estimate specific, measurable outcomes (e.g. managing a department). The appropriate solution in such cases is the evaluation of behaviour in function of enhancing productivity, cooperation and performance of the whole unit.

Timeframe. A formal appraisal is usually performed once or twice a year. It is recommended to do appraisals at specific milestones in major activities, or upon the completion of an activity (e.g. end of an individual stage in a project, or end of a semester). Timeframe will depend on the nature of the job.

Process. 1. Define tasks and performance standards. The basis of a process is to define key areas of work, tasks and activities. As a second step, performance standards and timeframes need to be defined for each activity. Goals and plans need to be defined in cooperation with employees. Goals need to be measurable, divided in objectives and operationalized as specific plans of activities. It is important to communicate expectations, roles and responsibilities. **2. Monitor performance.** Evaluation and self-evaluation forms need to be developed on the basis of set plans and performance standards (e.g. checklists, questionnaires, etc.) It is also important to define a timeframe for performance appraisal, and train all the involved stakeholders. Prior to the performance appraisal and feedback, the evaluator should regularly observe employee's performance. **3. Evaluate performance and provide feedback.** Prior to the performance interview, the stakeholders should fill in the evaluation form. The interview begins with feedback, wherein it is best to give the employee an opportunity to self-evaluate first. During the interview, the supervisor should encourage participation, assess behaviour instead of personality traits, be specific and listen to the employee. The next step is to set joint goals and to devise a plan of action for the following period, which can include a personal development plan, or set of activities specifically aimed at improving necessary competencies.



Summary of process steps.

1. Define tasks and performance standards	<i>1.1. Activities and key areas</i>	✓ E.g. teaching, research, projects
	<i>1.2. Performance standards</i>	✓ Define specific and measurable criteria
	<i>1.3. Goals and plans</i>	✓ Define objective goals and plans ✓ Communicate expectations and responsibilities
2. Monitor performance	<i>2.1. Form</i>	✓ Create a (self)assessment form ✓ Define the evaluation timeframe
	<i>2.2. Observation</i>	✓ Continuous monitoring
3. Evaluate performance and provide feedback	<i>3.1. Evaluation</i>	✓ Evaluate within set timeframe, using a designated form
	<i>3.2. Feedback</i>	✓ Communicate the discrepancy
	<i>3.3. Summary and overview</i>	✓ Set future activities

3.4.4. Challenges in implementation

Interpersonal relationships. Supervisors/managers can often feel uncomfortable with providing evaluation feedback, and the academics tend to adopt a defensive attitude when presented with a negative feedback. Creating a consultative environment can lead to a more positive perception of the process.

Subjectivity. Academics tend to overestimate their performance. Since the individual evaluations can sometimes reveal more about the evaluator than the performance itself, self-evaluations should be supported by multi-source assessment (e.g. from supervisors and peers).

3.4.5. Recommendations

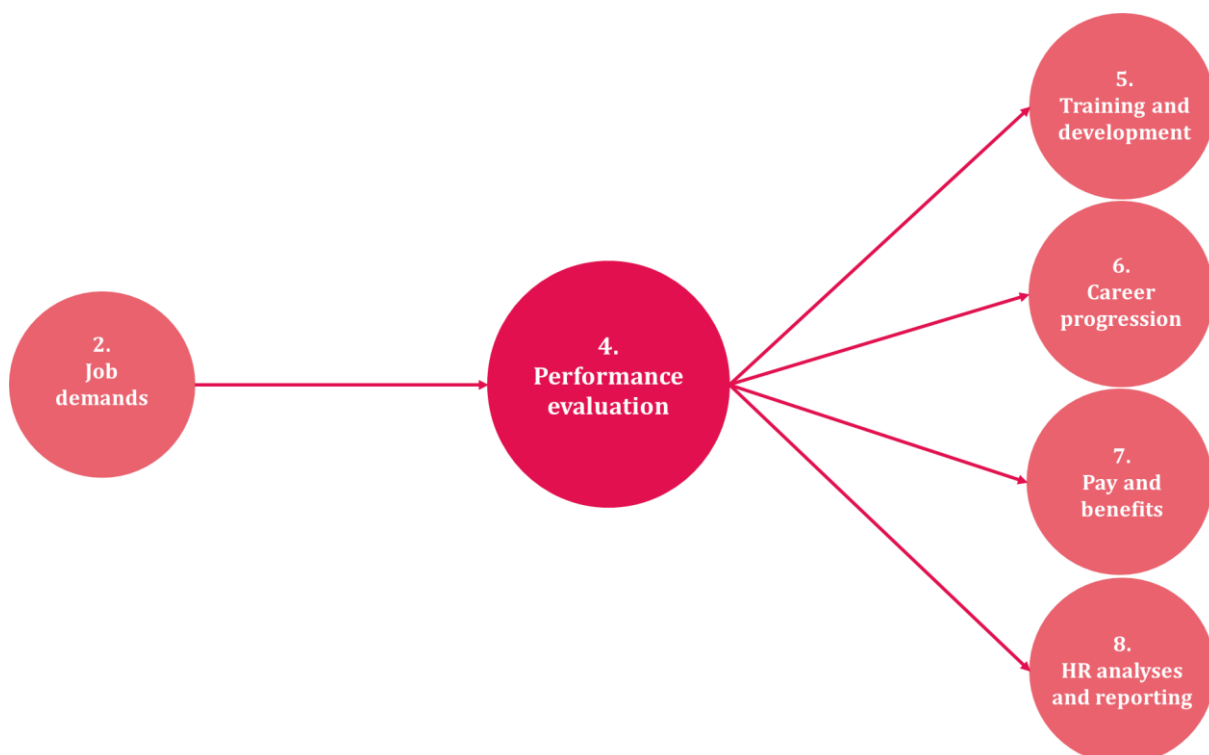
Training of evaluators. Training in evaluation processes can lead to a better performance evaluation. Common errors, such as halo effect and various biases, tend to be

reduced with a proper training, even if it is a short overview of potential biases in an evaluation process.

Selective evaluation. The appraisers should measure the employees' work performance only for the activities they are personally involved in. Since HEI operation includes various different activities, academic staff often work in different teams, under different supervisors (e.g. department chair for teaching / principal investigator for research.) An optimal solution would be to use the appraisers who are closest to the formal role or work tasks the employee performs.

360-degree evaluation process. It is recommended to use different sources of information for a more valid and more detailed performance evaluation. The most common method is a multi-source feedback, or the so-called 360-degree evaluation process that – in addition to self-evaluation and evaluation by supervisors – also includes evaluations by peers, subordinates and clients.

3.4.6. Interaction with other elements of HRM at HEI





3.5. TRAINING AND DEVELOPMENT

3.5.1. Purpose of developing appropriate evaluation method

Context. The rapid changes in the operation and development of HEIs reflect also on the job demands; the basic qualifications of employees are usually no longer sufficient for a successful career. Competent employees do not remain competent indefinitely, knowledge and skills become outdated, and new ones need to be acquired. Employees need training in order to adopt new knowledge and skills necessary for the job, and HEIs should provide them with opportunities for continuous learning. There is, therefore, a need for systematic planning of employees' training and professional development.

Definition. Training and development refers to the process of effective training and professional development of employees. Training includes various activities aimed at developing competencies important for the organisation, which the employee is lacking. The purpose of training and development is to adopt skills, ranging from simple (e.g. use of certain software, for the administrative staff), to more complex (e.g. management skills, for heads of departments and/or managers). The process is based on strategic requirements (see [chapter 1](#)), performance evaluation (see [chapter 4](#)) and an agreement with employees.

Aim of the process. The aim is to develop employees' expertise and specific skills, in order to improve their performance. Training programmes can directly improve the skills and abilities of employees required to successfully perform a job. Greater skills increase their potential to perform better, and improve their self-efficacy. Through training and development, employees should become more confident in their abilities, and consequently assume greater responsibility, perform more complex tasks, and invest more effort.

3.5.2. Stakeholders in method development and process implementation

Immediate supervisors (e.g. heads of departments/sections) have an important role in planning and implementation of this process. Based on performance evaluation (see [chapter 4](#)), immediate supervisors assess the need for development of certain competencies. Supervisors themselves should also actively participate in planning of their own professional development by expressing wishes and needs, and plan additional trainings in their respective fields (attend conferences, etc.)



3.5.3. Process

Requirements. In addition to the professional development of academic staff in their respective fields of science, the need may arise for development of their teaching competencies (methods of teaching), research management skills (project management), managerial competencies (leadership), or various technical competencies (introduction of new technologies and IT support). Training may be formal (planned and structured), or informal (mutual assistance and counselling between employees); it can be on-the-job (job rotation, apprenticeships, understudy assignments, and formal mentoring), or off-the-job (lectures, seminars, workshops or courses).

Criteria. For a properly designed and implemented system of training and development, it is necessary to conduct an analysis of the needs thereof, to define a training programme and an implementation plan, and develop appropriate training/educational methods. It is also necessary to develop criteria for training evaluation, and to secure adequate resources. The process of training and development should be carefully planned, and should clearly follow defined structure and plans.

Timeframe. Training and development plans should be defined on annual basis, by taking into account HR strategic development plans (see [chapter 1](#)), and results of performance appraisals (see [chapter 4](#)). The plans can be updated if needed. Some trainings are related to the changes in legislation (e.g. for the administrative staff), so they are planned as needed.

Process. 1. Identify training needs. In assessing the need for training and development, it is important to take into account HEI and HR strategic plans (see [chapter 1](#)) and job demands (see [chapter 2](#)), and continuously monitor employee performance (see [4chapter](#)). An annual training plan should be defined, and appropriate resources allocated. A catalogue can also be created, containing generic training programmes needed for core HEI activities (e.g. teaching or technical competencies), as well as more specific training activities. **2. Define training goals.** The objective of training programme needs to be defined, i.e. a strategic decision is needed on what knowledge and skills are required for the implementation of defined action plans (see [chapter 1](#)). An assessment is also needed on whether employees possess the necessary competencies for efficient performance at a particular position (see [chapter 2](#)), i.e. participants of the training programmes need to be selected. **3. Create and implement training programme.** Determine the level of organisational needs (e.g. teaching competencies for all the academic staff), their type (training content), place of implementation (at or outside the workplace), and training methods and techniques (e.g. lectures, role play, mentoring). **4. Evaluate effectiveness.** Training programmes that have been carried out need to be evaluated, in order to determine the actual

development of required employee competencies, but also to rate the effectiveness of the programme (for future planning of similar activities).

Summary of process steps.

1. Identify training needs	<i>1.1. Organisational level</i>	✓ In accordance with HEI development strategy (e.g. teaching competencies)
	<i>1.2. Group level</i>	✓ For conducting specific tasks (e.g. managing competencies)
	<i>1.3. Individual level</i>	✓ In accordance with the performance evaluation (e.g. technical competencies)
2. Define training goals	<i>2.1. Knowledge and skills</i>	✓ E.g. adopting new teaching methods
	<i>2.2. Participants</i>	✓ E.g. after being appointed to associate grade
3. Create and implement training programme	<i>3.1. Content of training</i>	✓ E.g. training implementation plan
	<i>3.2. Place of training</i>	✓ At or outside of the workplace
	<i>3.3. Implementation methods and techniques</i>	✓ E.g. seminar / workshop
4. Evaluate effectiveness	<i>4.1. Training evaluation</i>	✓ E.g. teacher assessments
	<i>4.2. Transfer evaluation</i>	✓ E.g. assessment of changes in performance

3.5.4. Challenges in implementation

Resistance. There is often resistance from the academic staff toward training and development. Long-time employees often do not see the use of training in generic skills, such as computer use, teaching, etc. In addition, they often lack motivation to adopt new skills not directly related to their (research) interests.

3.5.5. Recommendations

Individual approach. Training programmes are seldom planned by taking into account individual development needs. When designing a training plan, it is important to consider employees' wishes, and find a balance between these, and what HEI can provide.

Knowledge transfer. HEIs could have internal training centres where employees could train each other and share good practices. It should entail continuous improvement, not just in terms of training opportunities, but also of rewarding the trainers.

3.5.6. Interaction with other elements of HRM at HEI



3.6. CAREER PROGRESSION

3.6.1. Purpose of developing appropriate evaluation method

Context. The career path of academic staff at HEIs is regulated by national legislation and largely depends on the available positions and coefficients for the advancement into a higher scientific-teaching grade. For administrative staff, career advancement at HEIs is often non-existent, much to their dissatisfaction. Career progression includes individual efforts in professional development, but also organisational career management activities. Despite all the limitations, career progression of HEI employees can be systematically planned and implemented, as will be shown in this chapter.

Definition. The process of career progression generally includes the selection and monitoring of prospective or promising employees, the selection and developing of successors or deputies to key managers, and system of mentors, internal trainers or consultants. In the context of HEI, career progression refers to professional advancement of academic staff (e.g. to a higher scientific-teaching grade), election to a leadership positions (e.g. head of department or dean), development of young researchers and assistants (e.g. post-docs), and - to a lesser degree - development of administrative staff (e.g. head of professional service).

Aim of the process. The aim of career progression is for HEI to have a possibility of meeting HR needs at any given moment, and for its employees to achieve their own professional development goals. Systematic career progression serves to retain and motivate high-quality staff. It reduces fluctuations, absenteeism, counterproductive and negative work behaviour, as well as the consequences of stress at workplace. In this way, career progression contributes to a better use of HR at HEI.

3.6.2. Stakeholders in method development and process implementation

Career progression is not just a matter of individual responsibility; HEI also play a significant part in it. Since the career path for academics is pre-defined, career progression planning often comes down to a relationship between a more experienced mentor and a younger associate. In this process, personnel department provides support with the regulatory aspect of career development, and systematically monitors progression plans. Progression plans are usually developed at the level of organisational units that carry out core activities (e.g. a chair



within a study programme, or the level of scientific field/branch), after which (depending on the structure of HEI) they are aligned at the level of the organisation.

3.6.3. Process

Requirements. The underlying principles of career progression should be defined: what are the potential career paths (e.g. advancement to higher scientific-teaching grade or a managerial function), what are the general requirements for career advancement (HEI-specific, in addition to those prescribed at the national level), and are there any policies for informing the employees, encouraging their career progression, ensuring equal opportunities or funding. Individual and organisational needs and goals are best aligned by exchanging information, encouraging development, and implementing counselling and career guidance.

Criteria. At HEIs, career progression criteria are clearly defined for the academic staff; for administrative staff, however, the opportunities for advancement are often lacking. In order for a system to be successful, it is necessary to clearly define the career advancement policies and criteria, ensure that employees are informed of the opportunities, and align career development paths with HEI's strategic goals and current needs, interests, potentials and preferences of employees. Personnel files (*see chapter 10*) are a valuable source of information for promotion, as they contain information on the acquired qualifications, knowledge, skills, abilities, achievements and success in professional development.

Timeframe. Career progression counselling should be conducted annually with each employee. It is also necessary to regularly update HR forecasting on staff career progression.

Process. 1. Define the criteria. In addition to the criteria set at the national level, HEI may also have own, specific criteria for career progression, based on HR development strategy. Criteria should include all staff (academic, administrative and managerial), and all HEI activities (teaching, research and professional activities). **2. Forecasting.** It is necessary to analyse the staffing needs at the level of an institution/department, and plan the coefficients needed for professional advancement. Career progression forecasting is best done at the level of individual institutions or departments within a HEI, and then aligned at the level of the entire HEI. Heads of departments should systematically plan career progression of all staff, while immediate supervisors (mentors, heads of chairs or principal investigators) plan and monitor employees' individual development together with employees. **3. Informing and counselling.** Job vacancies should be internally advertised, and employees informed about career development opportunities and counselled on career development decisions. HEI's management and heads of

departments should inform the staff about the possibilities of advancement, while their mentors and/or immediate supervisors should provide direct support in career planning.

Summary of process steps.

1. Define the criteria	<i>1.1. National criteria</i>	✓ E.g. For scientific-teaching grades
	<i>1.2. HEI-specific advancement criteria</i>	✓ In line with the institutional strategy and possibilities for HR development at HEI
2. Forecasting	<i>2.1. Analyse future needs and plan coefficients</i>	✓ In line with HEI's HR strategy
	<i>2.2. Forecast for individual constituents and align at HEI level</i>	✓ Individually for every constituent/service
	<i>2.3. Plan individual career development for every employee</i>	✓ Heads of departments/sections ✓ Immediate supervisors in charge of monitoring individual development
3. Informing and counselling	<i>3.1. Internal advertising of job vacancies</i>	✓ HEI management and heads of departments
	<i>3.2. Inform on career development opportunities</i>	✓ Provide clear information on career development opportunities
	<i>3.3. Counselling and encouraging career development</i>	✓ Mentor and/or immediate supervisor

3.6.4. Challenges in implementation

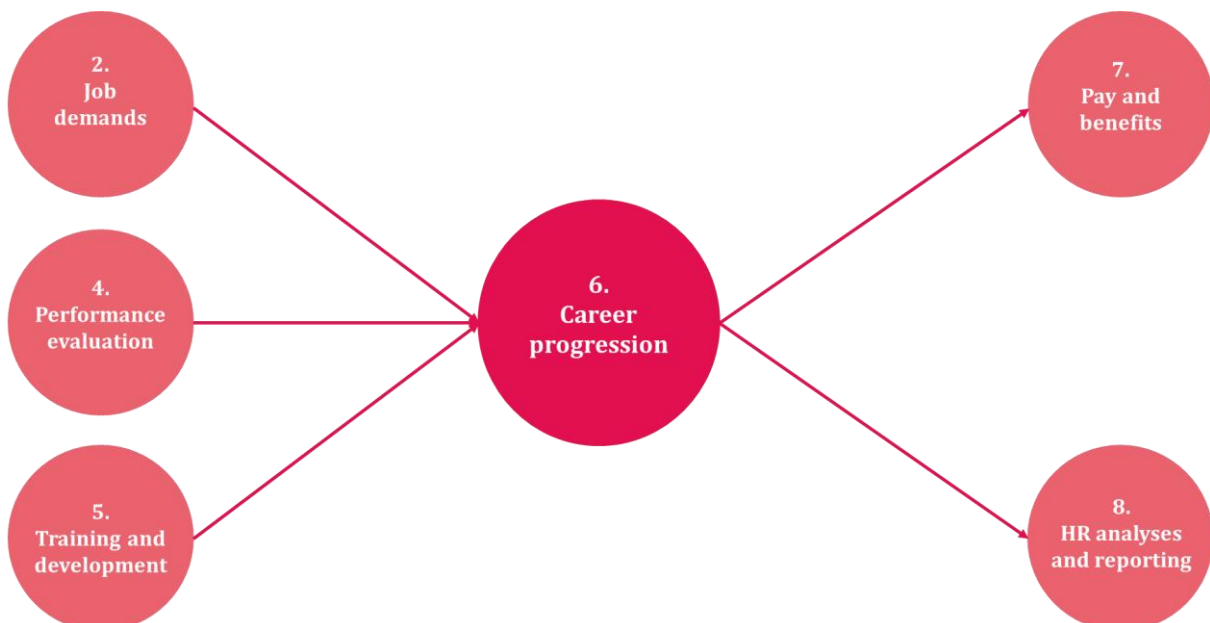
Administrative staff. The system of career progression and development at HEI mainly refers to the academic staff. Administrative staff has little or no opportunity for advancement, which can lead to dissatisfaction and demotivation.

Legal framework. Career progression of the academic staff is related to the allocation of limited coefficients, which poses a problem. Legal constraints sometimes impede career development planning, rendering it impossible despite the fulfilment of all necessary criteria. HEIs are often powerless in these situations.

3.6.5. Recommendations

Horizontal progression. If the hierarchical career progression (vertical career path) is not possible, a system of horizontal progression could be developed. The system of horizontal progression usually involves a change of status, i.e. a different type of job, more suited to the employee, within the same hierarchical level or the same position, based on his/her competencies development: acquired knowledge or specific skills and experiences. It may come with greater responsibility, more freedom in work and decision-making, involvement in new and important projects, but also an increase in salary or change of pay grade.

3.6.6. Interaction with other elements of HRM at HEI



3.7. PAY AND BENEFITS

3.7.1. Purpose of developing appropriate evaluation method

Context. “Why should I put in extra effort? I can excel or I can do the bare minimum. It makes no difference, I get paid the same. So why do anything above the minimum to get by?” These kinds of questions often go through the minds of employees whose extra effort and engagement is in no way valued or compensated. Without a reward system, based on the actual work performance, it is unlikely that the employees will work more or better than required by regulation. In this chapter we will discuss the reward system at HEIs.

Definition. Rewarding is defined as the process of recognizing and rewarding employees' performance. It includes both material and non-material part. Material rewards usually consist of the fixed remuneration (basic salary determined by the requirements of a particular job), variable remuneration (salary supplements), and other benefits for rewarding job performance or encouraging staff loyalty. Intangible forms of remuneration commonly include different forms of recognitions, awards and honours.

Aim of the process. The aim of the process is to stimulate the efficiency of employees and encourage their personal development, in order to meet the organisational needs.

3.7.2. Stakeholders in method development and process implementation

The reward system should be developed in cooperation with employees from all levels of the organisation. Financial and operational issues should be solved at the level of HEI management and relevant professional service departments. Managerial staff, heads of departments and/or deans have an important role in designing the system of rewarding, and should – in accordance with specific features of individual institutions - have a certain degree of autonomy in the matter. A good system involves employee participation with regard to the selection of the optimal reward.

3.7.3. Process

Requirements. When deciding on an optimal rewarding system, the first task of the management is to make appropriate strategic decisions. Namely, it should be decided to what extent and in what ways shall the employees be materially rewarded, and what benefits can they be offered and under what conditions. Given that the basic salary of a HEI employee is related to



the position of employment and regulated at the national level, all individuals holding a specific position receive equal salary, regardless of their work performance. Therefore, in order to motivate employees, it would be necessary to devise and implement a system of material and non-material rewarding beyond the basic salary, which would be related to their work efficiency and development of the required competencies.

Criteria. In order for the system to motivate employees towards greater efficiency, they have to be able to see a direct link between their work results and rewards they receive. Rewarding should, therefore, be aligned with the performance evaluation system (see [chapter 4](#)), i.e. the reward should be linked to the pre-defined performance and personal development indicators. Material remuneration should be appropriate to the additional effort put and the achieved results, with consequential and significant enough pay differential between successful and less successful employees for the distribution to be perceived as fair.

In order to retain and motivate their employees, HEIs can - in addition to direct material rewards (variable remuneration) - also use indirect material compensation, i.e. different benefits for encouraging employee loyalty. Institutions can also offer the so-called 'flexible benefits', where employees tailor the benefits package to their own personal needs and preferences. These usually include health and safety benefits, additional paid leave or different employee services.

In addition to material rewards, organisations should also use various forms of non-material rewards and incentives. These include involving the employees in setting organisational goals, defining job framework and work processes, or decision-making processes in general, as well as flexible work arrangements and various formal and informal awards for good performance.

Timeframe. The system of financial and non-financial rewarding at HEI should be implemented within a defined timeframe (e.g. at the end of a semester or once a year), or upon a completion of a larger task (e.g. a part of the research project).

Process. 1. Identify individual differences. Supervisors should be perceptive of individual differences and aware that different employees have different needs. It is necessary to understand what is important to a particular individual. This will allow not only a more accurate assessment of individual efforts, but also for an appropriate reward consistent with the individual employee's needs. **2. Use goals and feedback.** Employees should have clear and specific goals, and be informed on their progress towards achieving them. **3. Allow the employee participation.** Employees should be involved in the decision-making regarding issues such as



setting work goals, developing work processes, or selecting a benefits package. In this way, their commitment and motivation can be increased. **4. Link performance with reward.** Rewards should be proportionate to performance. If the employees do not perceive them as such, their motivation and engagement will decrease. **5. Check if the system is just.** Rewards should be clearly linked with individual contribution. Differences in knowledge, experience, skills, abilities and commitment should account for differential rewarding.

Summary of process steps.

1. Identify individual differences	<i>1.1. Awareness of individual needs</i>	✓ Understanding what is important to each employee
2. Use goals and feedback	<i>2.1. Set clear goals</i>	✓ Provide feedback on their achievement
3. Allow the employee participation	<i>3.1. Participation in decision-making</i>	✓ Setting goals, designing work process and choosing benefits
4. Link performance with reward	<i>4.1. Reward proportionate to performance</i>	✓ Increase motivation
5. Check if the system is just	<i>5.1. Reward appropriate to individual contribution</i>	✓ Acknowledging differences in knowledge, skills, experience, abilities and commitment

3.7.4. Challenges in implementation

Merit-based payment. Merit-based payment, though intuitively considered as the best reward system, may also carry potential risks. Namely, such programmes are most often based on the employee performance evaluation over a given period, and therefore depend on the soundness of the evaluation method used. In addition, the availability of funds for incentives



may also vary, so the increase in salary may fluctuate greatly, depending on the current financial situation.

Award programmes. Despite their effectiveness, intangible benefits such as various recognitions, awards and honours, may be subject to bias. In higher education, efficiency criteria are not always transparent or measurable, so there is a possibility of system manipulation (awarding only the "selected" staff). Misuse of such programmes can lead to a decrease of their value, and demotivation of employees.

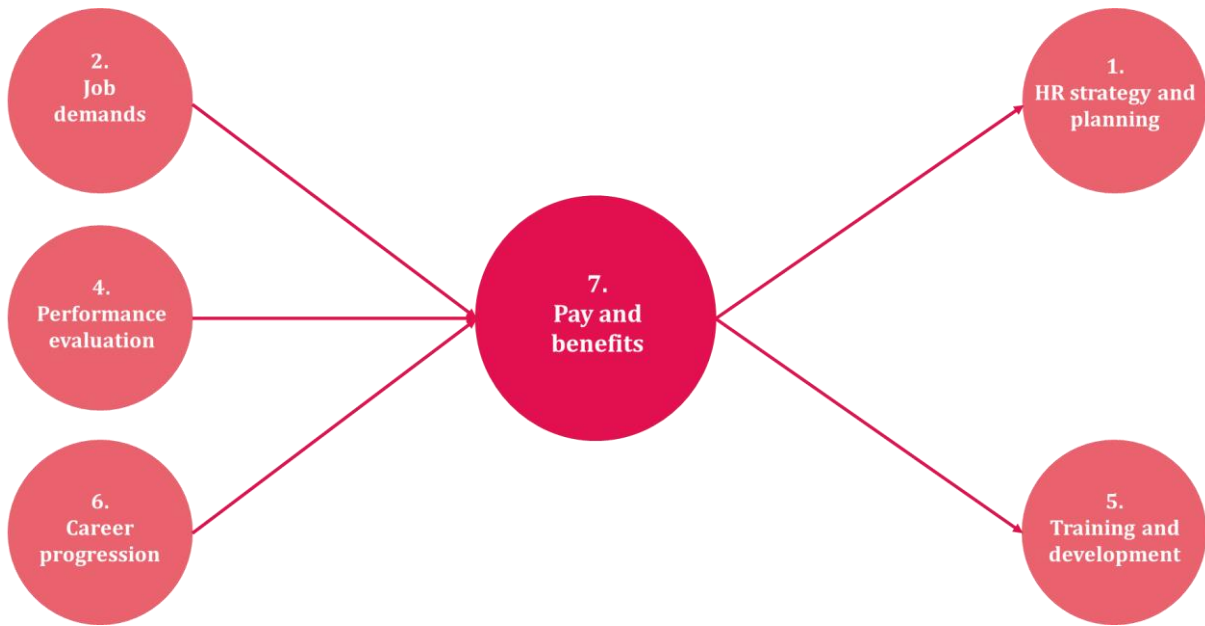
3.7.5. Recommendations

Experts. Most HEI employees possess specific professional skills and knowledge, and experts are sometimes less motivated by material benefits; they are generally (relatively) well-paid and love their job, so the rewarding schemes should be focused on something else. The experts should be given the opportunity to tackle challenging projects, have autonomy in selecting work tasks, and be allowed to structure their work as they deem appropriate and most efficient. It is therefore necessary to allow them to expand their professional experience, i.e. reward them with opportunities for professional development (see [chapter 5](#)), openly acknowledge their accomplishments, and instead of formal managerial positions, use alternative professional development paths (e.g. consulting/principal investigator positions, etc.)

3.7.6. Interaction with other elements of HRM at HEI



Modernisation of Higher Education
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3.8. HR ANALYSES AND REPORTING

3.8.1. Purpose of developing appropriate evaluation method

Context. HEIs regularly collect and monitor basic HR data, since this is required by the competent institutions. Analyses of employee job attitude are also becoming more frequent. Unfortunately, the results of these analyses are seldom used in strategic HR planning and development at HEIs.

Definition. HRM analyses and reporting refers to the process of preparing and disseminating various employee data for the purpose of monitoring and improving HRM processes. We can distinguish basic and advanced HR analyses. The first relate to collecting quantitative data on employees (e.g. number of employees in a particular grade or number of absences from work), while the other include collecting information about attitudes towards the work environment (e.g. job satisfaction, employee loyalty, etc.).

Aim of the process. The purpose of HR analyses and reporting is to prepare and distribute information on employees to relevant bodies, the management or HEI's professional services, in order to monitor and improve HRM processes.

3.8.2. Stakeholders in method development and process implementation

Analyses and reporting should involve larger number of stakeholders. Data should be collected and processed at the level of university constituent/department, but also at the level of HEI. HR department is usually responsible for carrying out basic analysis at the level of HEI, while advanced analyses are mostly conducted at individual constituents (departments) and then integrated at HEI level.

3.8.3. Process

Requirements. HR analyses at HEIs should include various statistical analyses of HR indicators (fluctuations, sick-leaves, absences from work, allocation of coefficients), as well as comprehensive assessments of employee competencies and job attitude, analyses of organisational climate and culture, labour market analyses, comparative analyses with other HEIs, and effectiveness analyses of individual HRM processes and their interrelation.

Criteria. Conducted analyses have to be clearly targeted and follow HEI's strategic intents and HR plans (see [chapter 1](#)). This process includes all elements of HRM, which facilitates



the implementation of HR policies. The results of analyses should be used for the improvement of individual processes and systems, such as performance evaluation, training and development, career progression or rewarding.

Timeframe. Detailed HR analyses should be carried out annually. Basic analyses could be conducted more frequently if needed (e.g. each semester), to ensure the smooth running of all HEI activities.

Process. 1. Decision on necessary indicators. Strategic HR planning should be the basis for analysing HR data. Based on strategic indicators, it is necessary to decide which information on employees will be collected, at what levels, and how often. Basic analyses should cover all important personnel indicators, while the advanced analyses may vary, depending on HEI's needs in given period. 2. Create forms and questionnaires. In order to compare personnel data between employees and/or constituents/departments, it is necessary to standardise the way information is collected. Appropriate forms and questionnaires should be developed in order to capture relevant indicators. 3. Systematic application. Selected indicators should be monitored systematically, continuously and at equal intervals, at the level of HEI or smaller organisational units, in order to observe trends and allow comparisons. 4. Analyse and disseminate. The obtained data should be analysed in accordance with the set strategic intents and plans. The results of HR status analysis should be translated into reports for all the stakeholders in the system. It is important to provide feedback on analysed indicators to all employees, particularly on the advanced analyses. 5. Plan interventions. Conducted analyses should be used for development purposes. The obtained data should serve as a basis for HR strategic development planning (see [chapter 1](#)), and the identified challenges as a basis for interventions aimed at organisational development (e.g. different forms of training or team-building interventions).



Summary of process steps.

1. Decision on necessary indicators	<i>1.1. Choose data for analysis</i>	<ul style="list-style-type: none"> ✓ Based on strategic indicators ✓ Basic analyses regularly, advanced analyses as needed
2. Create forms and questionnaires	<i>2.1. Uniform way of collecting data</i>	<ul style="list-style-type: none"> ✓ Forms and/or questionnaires that cover relevant indicators
3. Systematic application	<i>3.1. Collect data / measure</i>	<ul style="list-style-type: none"> ✓ Systematically and continuously ✓ At equal intervals
4. Analyse and disseminate	<i>4.1. Data analysis</i>	<ul style="list-style-type: none"> ✓ In accordance with issues that need to be resolved
	<i>4.2. Disseminate results</i>	<ul style="list-style-type: none"> ✓ Feedback to employees on personnel status
5. Plan interventions	<i>5.1. Devise interventions</i>	<ul style="list-style-type: none"> ✓ Trainings or team building workshops
	<i>5.2. Strategic use</i>	<ul style="list-style-type: none"> ✓ Revision of HEI's HR development strategy

3.8.4. Challenges in implementation

Excessive administration. Systematic collection of data for HR status analysis requires additional efforts and compliance with deadlines (for all HEI employees), which is often perceived as an unnecessary administrative burden and causes resistance, particularly from the academic staff (and especially if the same or similar information is repeatedly asked from staff in different forms or for different purposes.)



3.8.5. Recommendations

Collecting HR data. It is important to determine in advance what data will be collected, and how. Submitted data that is required of the employee should be condensed, but contain all relevant information. Well-formatted, single forms for data collection make it not only easier to collect data, but also to analyse it and report on HRM status. However, attention needs to be paid to whether any data has already been submitted in a different form or context, in order to avoid excessive administrative burden of processing the same data multiple times (this might also reduce employee resistance.)

3.8.6. Interaction with other elements of HRM at HEI





3.9. HR SPECIAL ISSUES

3.9.1. Purpose of developing appropriate evaluation method

Context. Every organisation has specific features that are reflected on the staff. In that regard, there are certain aspects at HEIs that can be considered unique and that fall under this category. One example is the balance between professional and private life at different stages of academic career path.

Definition. HR special issues vary from organisation to organisation, depending primarily on the characteristics of the workforce from different industries, as well as on historical and social circumstances of the organisational development. These can include, but are not limited to, issues such as occupational health, safety and well-being, informing of employees, achieving balance between professional and private life, different forms of discrimination, stress at the workplace, etc.

Aim of the process. The aim of this process is to increase employee satisfaction, and make their work at HEI easier. HR special issues refer to work aspects that are important to employees and affect their performance and efficiency. Dealing with and resolving such issues might have a positive impact on general employee satisfaction and their efficiency.

3.9.2. Stakeholders in method development and process implementation

All the stakeholders at HEI should be involved in dealing with HR special issues. Depending on the nature of the issue, it may be necessary to define roles and assign responsibilities; responsible persons do not have to be supervisors/managers. Some issues might be resolved by supervisors, or at the level of department or chair, while others might require planning of interventions at the level of an entire organisation.

3.9.3. Process

Requirements. HR special issues need to be considered separately for different groups of employees; academic, administrative and managerial staff, but also for different sub-groups within each category (e.g. junior researchers or student services staff.)

Criteria. HRM status analyses usually point to specific challenges that can be considered as special HR issues. These need to be operationalized, with a clearly defined desired outcome



and plan of activities for improvement. Planned interventions should include all employees faced with a specific challenge.

Timeframe. HR special issues should be addressed as needed; if HR status analyses point to specific challenges, or if employees directly express their dissatisfaction with certain aspects of their work.

Process. 1. Define special issues. Issues that need to be resolved should be identified in advance, in order to make interventions more effective. HRM status analyses, particularly the advanced analyses, should serve as a basis for identifying issues that represent challenges for HEI and that need to be resolved. These need to be operationalized, with a clearly defined desired outcome. **2. Plan interventions.** Interventions aimed at improvement should be planned for every identified issue, i.e. a detailed action plan for improvement should be defined. Interventions could be implemented in the form of seminars or workshops, but it may also be necessary to adapt or modify certain HRM policies, systems or processes that directly or indirectly address a specific issue. At times this will also require adjustment/revision of internal regulations relevant to the issue. **3. Involve employees in improvement activities.** It is necessary to adequately define and select the target group, i.e. to engage all employees faced with a specific challenge in the improvement activities. When carrying out interventions, it is important to ensure the participation of the members of target groups, but also of those who may influence the implementation thereof.

Summary of process steps.

1. Define special issues	1.1. Identify the challenge	<ul style="list-style-type: none"> ✓ Operationalize, and clearly define the desired outcome
2. Plan interventions	2.1. Define the type of intervention	<ul style="list-style-type: none"> ✓ Workshops or HRM policy/system development ✓ Develop detailed action plan
3. Involve employees in improvement activities	3.1. Select target group	<ul style="list-style-type: none"> ✓ Members of the target group ✓ Persons responsible for the implementation of changes



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3.10. INFORMATION SYSTEMS AND PERSONNEL ADMINISTRATION

3.10.1. Purpose of developing appropriate evaluation method

Context. HEIs should keep records of all personal data on HEI employees, in line with relevant regulations. The HR department should have all important work status documents on each employee, and use them accordingly. Archiving documents and managing personal data on employees is increasingly supported by ICT, but such practices are still not common at HEIs.

Definition. Information systems and personnel administration refers to the implementation of procedures of employee registration and deregistration, archiving employment certificates, appointments to higher grades, keeping various personnel records and files, as well as of issuing various documents and certificates to employees. These usually relate to various work status issues, such as individual and collective agreements, regulations, policies, labour disputes etc. The segment covers the management of personnel records in general, as well as the development and maintenance of HR information systems that could support not only personnel administration, but also all other (development) elements of HRM processes.

Aim of the process. The aim of the process is to ensure that all personnel and work status documentation (such as work contracts or decisions on appointment to higher grade), as well as personal information on employees (e.g. information on professional development, work performance, variable remuneration or promotions) are in accordance with the labour law and other relevant legislation, and easily accessible to key stakeholders.

3.10.2. Stakeholders in method development and process implementation

HR departments are regularly involved in method development and process implementation at HEIs. HR officers are usually in charge of maintaining a comprehensive HRM information system, however, the system should also be used by managerial staff at all levels (heads of professional services, principal investigators, heads of departments or deans), and every employee should have access to his/her personal portfolio.

3.10.3. Process

Requirements. Personnel administration is in line with national labour law regulations; in that regard, employee information and document management is predefined. IT support should be used for systematic monitoring of staffing needs, but also for facilitating HRM



development processes, and ensuring easier access and use of relevant information to key stakeholders.

Criteria. HRM at HEI should be in line with national legislation, which requires adjustment to changes in tax system, pension and health insurance systems, collective agreement, etc. In addition, HRM IT support should be adjusted to changes in all aspects of employee development.

Timeframe. Personnel administration should maintain an archive of all documents and personal information of employees, which should be updated regularly (at least once a year).

Process. 1. Monitor labour legislation. All HR data needs to be aligned with the relevant legislation. In case of any changes to the legislation, personnel documentation needs to be updated. **2. Secure IT support.** In order to improve the process and make it more efficient, relevant personnel data should be managed with a special IT system i.e. HR management software. This system should contain all necessary information and documents on each employee. **3. Allow access and use of data.** HR IT system should be available throughout the HEI, with different levels of authorisation: all managers/supervisors should have access to their employees' portfolios, and be able to manage their own personal data.

Summary of process steps.

1. Monitor labour legislation	1.1. Align with legislation	✓ Update if needed
2. Secure IT support	2.1. Integrated IT system	✓ Archive relevant data and documents ✓ Regularly update
3. Allow access and use of data	3.1. Access	✓ To HR experts, managers and employees



3.10.4. Challenges in implementation

Integrating elements. Although HEIs archive various documents and monitor different HR indicators, these are usually stored in separate file systems or databases. The biggest challenge in this process is to provide appropriate IT support that will enable cross-referencing of data from all HRM elements.

3.10.5. Recommendations

Integrated database. All employee data, related to various HRM elements, should be integrated into a single database or managed in such a way that it could be easily cross-referenced. The database should contain all employee data from the date of employment, and should be continually updated.

3.10.6. Interaction with other elements of HRM at HEI

