Overview of recent European and national policies in regard to human resources management (HRM) in higher education institutions (HEIs) within European Higher Education Area

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

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EXECUTIVE SUMMARY

According the European Commission's Modernisation Agenda, the importance of higher education as a driver of social and economic progress means that higher education institutions (HEI) serve as crucial partners in delivering the European Union's strategies to drive forward and maintain growth. HEIs are considered important for Europe, particularly in enhancing individual potential and in equipping graduates with the knowledge and core transferable competences they need to succeed in high-skill occupations. Moreover, HEIs are expected to serve as centres of innovation, job creation and employability, with active and effective engagement through research and societal interaction. Furthermore, the massification of higher education has put a considerable amount of pressure on existing capacities, inasmuch that without sufficient attention devoted to changing staffing needs, operative mechanisms of higher education systems run the risk of becoming more inefficient than before.

This report presents an overview of national policies in regard to HRM in the sector within the context of broader European level policy. The overview is based on a conceptual framework and literature review of existing HRM literature, which will also feed the subsequent phases and outputs of the project, particularly designing the diagnostic survey (Project Output 2). Finally, this report is also foreseen to serve as a background material and conceptual basis for other subsequent outputs of the project, namely (a) Guidelines for improving HRM in HEIs in partner countries, (b) Toolkits on improvement and implementation of selected HRM processes at each partner HEI, (c) Online self-assessment tool as an Open Educational Resource for benchmarking university HRM processes.

This paper provides a theoretical foundation and framework by detailing ten key dimensions of HRM, and illustrates their applications in the context of HEIs. Using the ten elements, the report also provides a short discussion of existing European-level policies concerning HRM in the field of higher education. Furthermore, the report shows a content analysis for Austrian, Croatian and Finnish national regulation and policies related to HRM in higher education.

In these (and other) countries, modes of competition for students, staff and scarce resources have been introduced and increased within the European Higher Education Area. More liberal regulations lead to greater institutional independence, further chances and higher responsibilities for staff and HR related functions. Academic administration and management have become increasingly complex: the institutions have so far become larger and more multifaceted, the tasks have multiplied (modern "multiversities") and therefore the need to provide skilled management and administration has increased. More HRM tasks have to be fulfilled at the institutional level than before. Today, "professional" HRM is an important prerequisite to enable the HEI to perceive itself as an autonomous organisation instead of being subordinate to central government.

Specific services of HRM have been established and developed during the last decade. HEIs as knowledge-based organisations have a strong focus on the quality of their academic staff, as they are responsible for teaching and research. Another important prerequisite to a successful HEI are their services, which highly depend on the quality of the administration and management. The quality of management and academia depends on the quality of HRM and its functions. Interestingly, state-of-the-art literature on HRM is rather rare. Only a few publications, introduced in our report, deal with this management field in Europe. The report clearly demonstrates the differences in function and services of a HRM at HEIs, at least in the mentioned three countries. This first overview of international (EU) and national policies and HR regulations helps develop further HR capabilities and capacities at system, institutional and individual level.

1

BACKGROUND TO THE STUDY

As a response to these needs and the ones specifically addressed in the European Commission's 2011 EU Modernisation Agenda, a project "Modernisation of Higher Education Institutions through enhancement of Human Resources Management function (HRMinHEI)", funded by Erasmus + programme of the European Commission, was launched in 2016. This report serves as the first output of this project.

According the European Commission's Modernisation Agenda, the importance of higher education as a driver of social and economic progress means that higher education institutions (HEI) serve as crucial partners in delivering the European Union's strategies to drive forward and maintain growth. HEIs are considered important for Europe, particularly in enhancing individual potential and equipping graduates with knowledge and core transferable competences they need to succeed in high-skill occupations. Moreover, HEIs are expected to serve as centres of innovation, job creation and employability, with active and effective engagement through research and societal interaction. Furthermore, the massification of higher education has put a considerable pressure on existing capacities, inasmuch that without sufficient attention devoted to the changing staffing needs, operative mechanisms of higher education systems run the risk of becoming more inefficient than before.

In fulfilling these and other expectations, the role of academic and administrative staff of HEIs is crucial. Processes related to recruiting, selecting, training, developing, and evaluating their staff are major priorities, together with securing convincing prospects for career progression, and competitive payments and benefits of their employees. In other words, today, more than ever, human resource management (HRM) in higher education institutions needs to be strategically planned, at all operational levels, for the success of the

organization itself, as well as for its contribution to the achievement of the objectives established in the Europe 2020 Strategy. HRM and organisational performance of HEIs need to be interlinked, as HRM practices impact through their influence on academic and administrative staff. Specifically, it is assumed that human resource practices affect directly and indirectly the competences, motivation, opportunity to contribute and commitment of HEI staff (Quest & Clinton, 2007).

Given the importance of HRM's role for HEIs missions including learning and teaching, research and third mission, it is somewhat surprising that in many ways HRM in HEIs has not yet received adequate attention from scholars, policymakers and practitioners, particularly in comparative settings. Therefore, a more holistic approach in investigating and developing the role and impact of HRM in HEIs has yet to be introduced.

As a response to these needs and the ones specifically addressed in the European Commission's 2011 EU Modernisation Agenda, a project "Modernisation of Higher Education Institutions through enhancement of Human Resources Management function (HRMinHEI)", funded by Erasmus + programme of the European Commission, was launched in 2016. This report serves as the first output of this project.

The consortium responsible for implementing "HRMinHEI" project is composed of 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 – Agency for Science and Higher Education from Croatia. The overall aim of the consortium is to map existing practices and prompt future reforms, which would foster further development of HRM policies and practices in European higher education.

The aim of this report is to present an overview of national policies with regard to HRM in the sector, within the context of broader European level policy. The overview is based on a conceptual framework and review of existing HRM literature, which will also feed the subsequent phases and outputs of the project, particularly designing the diagnostic survey (Project Output 2). Finally, this report is also foreseen to serve as a background material and conceptual basis for other subsequent outputs of the project (developing Guidelines for improving HRM in HEIs in partner countries, develop Toolkits on improvement and implementation of selected HRM processes at each partner HEI, develop an Online self-assessment tool as an Open Educational Resource (OER) for benchmarking university HRM processes).

The structure of the report is as follows: chapter 2 lays the theoretical foundation and framework for the subsequent chapters by detailing ten key dimensions of HRM, and illustrates their applications in the context of HEIs. Using the outlined ten elements, chapter 2 also provides a short discussion of existing European-level policies concerning human resource management in the field of higher education. In light of chapter 2 framework, chapter 3 delivers a content analysis for Austrian, Croatian and Finnish national regulation and policies related to HRM in higher education. In the final chapter 4, main findings are summarized and conclusions drawn with regard to the project aims and next steps.

2

THE PRACTICE OF HUMAN RESOURCES MANAGEMENT

HEIs have their own specificities that significantly differentiate them from other companies and institutions. Those specificities are related to many factors that are important for development of HRM and, therefore, should be taken into consideration in the process of designing and implementation of HRM in HEIs. Those factors are: ownership structure; influence of legislation and regulatory bodies in different aspects of HRM while, on the other side, high level of the autonomy; impact of unions, collective bargaining and collective agreements; unique characteristics of professorship etc. Those specificities are significant determinants (in many ways restriction) in developing and implementation HRM practices in HEIs. Therefore, the following chapter is divided in three sub-chapters. First, the framework for analysing HRM will be introduced to share the theoretical and structural approach which has been used to deal with this complex topic of HR in higher education and its management. As the next step, the main HRM functions in higher education literature will be discussed and reviewed. The last chapter provides some insights from European policies related to HRM.

2.1 Framework for Analysing HRM in HEI

The analytical framework of the project *HRM in HEI* is built on the slightly adapted version of the multidimensional model called "*HR Navigator*". HR Navigator is a comprehensive process model of human resource management (Cimerman, Jerman, Klarič, Ložar and Sušanj, 2003), developed by AT Adria consulting group, company specialized in human resource development. Originally, it was primarily designed as a process-consulting tool to help organizations in implementing changes, addressing the challenges of management and lead-

ership in organizations from different industries in Slovenia and Croatia. The model has also been used as a framework for the review and the analysis of organizational interventions designed for the preservation of employees' mental health (Sušanj, 2012), as well as to clarify the roles of HR-specialists and managers in preventing the stress in the workplace (Sušanj, 2013). In the title of the model, "*HR*" refers to human resources, and "*Navigator*" refers to the process apprehension of dealing with them. The model is based on several key assumptions. First, it establishes relations among all key processes, systems and activities of human resource management, linking them with the processes of the strategic planning and organizational development. Further, it differentiates the administrative, developmental and remuneration part of human resource management. Finally, annual (appraisal) interviews, based on appropriate measurement of employees' performance and competencies, have the central role in integration of the various HR processes and systems.

Based on HR Navigator, our *HRM in HEI analytical framework* 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 the Figure 1.
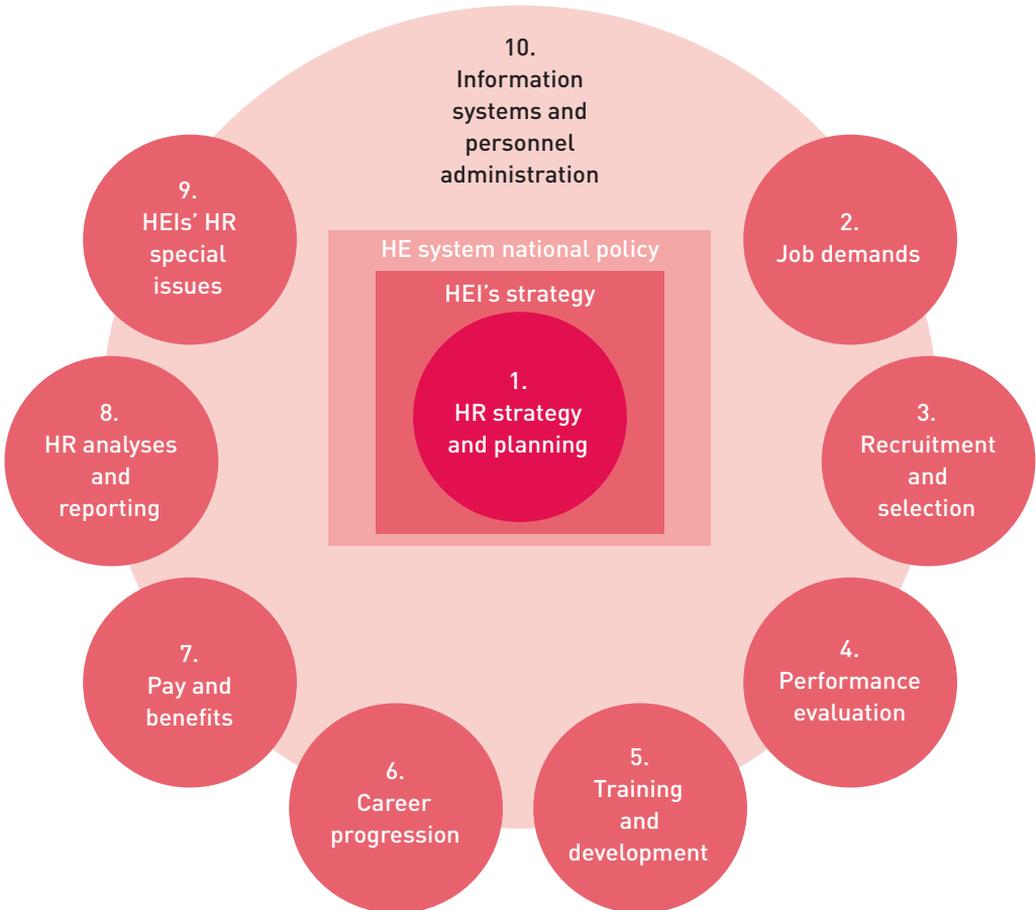
Figure 1. HRM in HEI analytical framework

1. Starting point is the *HR strategy and planning* providing strategic direction for HRM. The purpose of this part of HRM is, first, to clearly formulate HR policies, goals, strategies and action plans based on the HE system national policy and HEI's strategy (its mission, vision, goals and strategies), and then to inspire and mobilize employees for the implementation of the organisation's strategic intent.

2. In the second element, called *job demands*, strategic directions are translated into the concrete requirements for each position in the organizational structure. These requirements, usually documented in the job analyses or job systematization, include two major categories: the expected results and competences needed to achieve them. Results and competences are the criteria of success, which is the basis for subsequent HR processes: selecting the new and developing the existing employees.

3. In principle, the aim of *recruitment and selection* part of HRM process is simple: to put the right people in the right places. In order to do this properly, it should be specified in advance what the person sought for a particular position *can* (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 the pool of candidates through different channels, meaningful use of various selection methods and techniques, with respect for ethical and professional principles, and making the final choice based on the candidates' performance in the trial period.

4. Monitoring whether the employees reach the required standards regarding the achievement of results and development of competencies is the basic purpose of *performance evaluation*. Different objective and subjective measures are used for the evaluation of work results and the assessment of competencies. Once when the criteria of work performance and personal development are clearly defined and operationalized, and the methods and instruments for measuring them are defined, it is necessary to train all involved managers and employees for their regular use. In the process of performance evaluation, superiors provide feedback on performance and personal development in the previous period, as well as for planning the activities in the upcoming period. In a way, this process is the integrator of other HR processes and hence a central managerial tool for the implementation of envisaged business and development strategies.

5. *Training and development* is a process of effective implementation of the purposeful training and legally required education of employees. Training for each employee should be based on the requirements arising from the strategic intent (desired state), the results of performance evaluation (actual state) and the agreement reached at the annual interview with its' immediate supervisor (personal development plan). System of training and education is primarily intended for the adoption of the necessary expertise and development specific skills for better work performance of the employee. Therefore, it should include mechanisms for verification the transfer of learned knowledge and skills in everyday work practices.

6. *Career progression* should align the future needs of the organization 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, the general conditions for promotion, policy of informing employees and encouraging their career ambitions, equal opportunities policy and the 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 of key managers, and system of mentors, internal trainers or consultants. Well working career progression models take into account both the needs of the institution and individual needs.

7. The purpose of the *pay and benefits* is not only to offer compensation for work. It has two basic functions: motivating employees for successful work and supporting their personal development to meet the needs of the organization. Rewarding includes both, material and non-material part. Material rewards usually consists 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 about the human resources needed by the board, managers or HR professionals in order to monitor and improve the processes of managing people in organizations. It is a system of permanent organizational diagnosis that comprehensively and effectively directs the management and the development of human resources. Areas of HR diagnostics include different analyses: the labour market analysis; competency assessment of staff; work attitudes surveys; organizational climate and culture measures; statistical analyses of different personnel indicators (e.g. fluctuation, absenteeism, sick leave, accidents); analysis of "best practices" or comparative analyses of HR processes in relation to benchmark organizations; analysis of the effectiveness (or cost-effectiveness) of certain parts or HR process, and so on.

9. *HR special issues* vary from organization to organization, depending primarily on the characteristics of the workforce from different industries, as well as on historical and social circumstances of the development of the organization. Specifically, particular topics of HR may include HRM responses on issues such as occupational health and safety, social standards of employees, the 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, and so on.

10. *Information systems and personnel administration* are essential presumption of organizational functioning. The organization must ensure that the various general acts, regulations, collective and/or individual agreements that regulate the relations of employees and employer are aligned with legislations and legal requirements, which may

affect the number of labour related disputes. A separate element of this part of the process of HRM is relations with employee representatives or trade unions. This part of HRM refers to the implementation of procedures for registration and deregistration of employees, archiving and preservation of employment certificates, keeping personnel records, card files, and the delivery of various documents to employees. An adequate HR information system, which is, with different levels of authorisation, available to HR professionals, managers and employees, provides great assistance in controlling the documents, conducting various procedures and managing the personnel data.

2.2 HRM functions in higher education literature

The research into HRM in HEIs is an area of growing interest. However, the research on the topic is still rather limited. Consequently, comprehensive study books or widely accepted taxonomies of HRM functions/dimensions in HEIs do not currently exist. To capture the essence and applicability of our framework to HE setting, a literature review of HRM in HEIs was conducted by utilising the 10 dimensions outlined in previous chapter as an organising structure. The outcome of this review will be presented in a concise form in the following sections.

1. HR strategy and planning in HEIs

As knowledge-intensive organisations, HEIs must acquire and retain highly qualified staff to succeed (Hall, 2009). However, HRM in HEIs was until late 1990's still a rather minor administrative activity compared to other administrative functions. It dealt with the administration of recruitment and selection, salaries, some basic training, and administration of promotion. While it was involved in decisions about non-academic staff, when it came to the recruitment, promotion and organisation of the work of academics, its role was often limited to providing administrative oversight (Guest and Clinton, 2007). However, general "professionalization" of HEI administration, competition of talent in labour markets, legislative requirements and the development of HEIs as more independent employers (e.g. through changes in HEIs' legal status and autonomy), have resulted in an increased emphasis on HRM.

Currently, HEIs are often expected to clarify their academic positioning and profile within their strategies. HEIs also need to ensure that their financial resources are sufficient to cover all expenses, the greatest part of which consists of personnel costs. These pressures together call for some kind of strategic personnel planning, which helps to outline personnel structure according to strategic needs and within financial constraints (Kekäle, 2015). For these and other reasons, many HEIs in Europe have developed HR strategies and some core HR practices are now better established than before. It has been acknowledged that without an effective HR strategy, HEI may find it difficult to successfully deal with HR-related issues, not only at operational level, but also at strategic level. As such, an effective HR strategy is able to provide support regarding an overall direction of the institution —a

shared and realistic vision of the people that HEI will need in the future, what skills they need to have, as well as how will they be recruited, evaluated, paid, rewarded and managed (Hall, 2009; Böckelmann, Reif & Fröhlich, 2010).

Prior to designing and implementing an HR strategy, it is important to analyse the current situation with a proper diagnostic measures. Such analysis should include descriptive data on issues such as existing staffing in organisational units, distribution of the various personnel categories within HEI, ratio of full-time to part-time positions, criteria like age distribution, gender and nationalities, types of contracts and salary structures etc. (Böckelmann, Reif & Fröhlich, 2010). Most importantly, HR strategy should be aligned with the institutional strategy and supported by the governing body and senior management (Hall, 2009; Bodor, 2011; Evans & Chun, 2012). The organisational strategy of HEI is usually set down in a written plan with specific objectives or goals, some of which will also relate to HR. Unlike the HR strategy, the overall strategy of HEI addresses HRM among other issues and is, therefore, usually not very specific regarding HR issues. Nonetheless, it defines the overall direction of the institution—strategic goals, objectives and benchmarks—and, therefore, it provides guidelines for the development of HR strategy, explicitly supporting the organisational strategy (Mansour, Heath & Brannan, 2015; cf. Lanchbery, 1995).

The presence of written strategies, although an important pre-condition, does not guarantee their effectiveness (Guest & Clinton, 2007). It needs to be put in practice, it should be followed to inform future HR decisions, and it should be reviewed and updated on a regular basis (Lanchbery, 1995). In other words, HR strategies, as other strategies, are supposed to be "lived" by HEI in order to be effective, not only in action plans, but also in real actions.

It should also be acknowledged that resistance and reluctance to allow HR to play a strategic role in higher education institutions still exist. This is due to a myriad of factors, such as rigid organizational structures, lack of awareness and recognition in the value of strategic HR principles, and the divergence between management, faculty, and staff. Sometimes HR professionals are perceived as gatekeepers, regulators, and administrators who are responsible for legal and policy compliance rather than as consultants or facilitators. This is likely to occur when HRM strategy is not made transparent to the staff, and when it uncritically mimics private sector practices by not adapting to the specific human resource environment constituted by universities.

2. Job demands in HEIs

Job demands is specifically related to process of translating the strategic directions into the specific requirements for each academic and administrative position at HEI, that is, the combination of observable and measurable knowledge, skills, abilities and personal attributes that contribute to enhanced employee performance aimed to result in organizational success (University of Nebraska-Lincoln, n.d.). The role of HR function is to ensure that the institution has a formal system and professionally trained personnel to manage the system by which employees are properly assigned to position categories and compen-

sated on the basis of position difficulty and their competencies. In recruitment processes, the clarification on the expectations and required competencies for the job can help clarify the required output and roles (Kekäle, 2015). With such an agreement, expectations and the basis for expectations, rewards and benefits become explicit (Julius, 2000).

The higher education literature hardly recognises the concept of job demands. However, this should not be interpreted as not significant for higher education sector. Quite the contrary; job demands are probably a much discussed topic at HEIs, and also at system level - in the context of teaching and research tasks and roles in academic positions in particular. Aligning discussion on job demands with discussion on pay and benefits, and recruitment and selection, seems to be important and much debated topic in many countries.

3. Recruitment and selection in HEIs

Recruitment and selection of staff is one of the most crucial aspects in ensuring that an institution has good quality staff with appropriate skills, knowledge and attitudes for institutional needs. Appropriate recruitment and selection procedures are transparent, fair and open, and enable institutions to select the best candidates from the available pool of applicants. Recruitment and selection procedures are further enhanced by the ability of institutions to set their own recruitment requirements, according to their specific needs (Dubosc & Kelo, 2012).

Recruitment and selection as processes are often conducted in collaboration with HR unit and respective academic and administrative units. The HR staff may be directly responsible for the recruitment of certain categories of employees and have only consultative responsibilities for the recruitment of others. In either case, the role of HR is to ensure that recruitment efforts focus on attracting the types of people—based on skills, attitudes, diversity and work experiences—that would enhance the institution's competitive position. Although the academic and administrative staff must be involved with projecting workforce needs or shortages and developing institutional responses to these needs, the responsibility for managing the process falls to the HR professionals (Julius, 2000).

Due to the importance of recruitment and selection procedures, the approach of developing these processes should also be strategic. This means that they are based on HR strategy and on personnel forecasting, rather than simply being filled up from year to year on an ad hoc basis (Shobha, 2015). The vacancies in question should be defined carefully. As much relevant information as possible about the job, the selection criteria and the terms of employment should be given, and the selection criteria should be defined, accurate, precise and flexible. It is also recommended that in order to reduce the risk of bias, short-listing and interviewing should be carried out by more than one person. Records of short-listing and interviewing should be kept to not only provide evidence in case of a claim of discrimination, but also make selection more efficient (Nestor, 1995).

HEIs, as publicly funded bodies, have a statutory duty to promote equality in respect of gender, race and disability, and must undertake a number of specific tasks in doing this (Hall, 2009). The recruitment of staff usually follows nationally set minimum qualification

requirements, while additional but non-conflicting criteria often are often set by HEIs (cf. Dubosc & Kelo, 2012).

Siekkinen, Pekkola and Kivistö (2016) have proposed that the recruitment can have three different kinds of practises. First, the recruitment and selection can be based on professional practises, meaning that the most important decision on the recruitment and the assessment of merits is done by the professionals (peers) who are often external to the institution where recruitment process is taking place. The selection is done based on the academic merits, not on the detailed job demands. However, these recruitments are typically done under institutional and national regulations and are firmly part of the institutional policies. Second, the recruitment can be based also organizational criteria that take more into account the job demands, the strategy of a unit as well as personal qualifications of an individual. In this "mode", the unit managers have more important role in the actual selection processes. Third, recruitment and selection can be called as "informal" or "unofficial" recruitments. These recruitments are conducted in the "shadows" by individual professors and research group leaders without official processes or practises (see Figure 2).

Group	Job titles	Recruitment practices
Group 1 Professional recruitment	Professional positions: professors and tenure-track positions	• Open call (excluding those invited) • International recruitment • Definition of job descriptions by recruitment committees, deans, heads of departments • Recruitment decisions by recruitment committees, external reviewers
Group 2 Organisational recruitment	Qualifying positions: doctoral students and postdoctoral researchers Departmental positions: lecturers and senior researchers in the third career stage	• Open-call recruitment • Mostly international in reach • Fixed-term of permament contracts • Definition of job descriptions by heads of departments, proffesors, recruitment committees • Recuitment decisions by deans, heads of departments, rectors
Group 3 Unofficial and local recruitment	Externally funded positions: project researchers	• Informal recruitment • Local recruitment • Finding of potential candidates throught networks • Fixed-term contracts • Definition of job descriptions by professors • Recruitment decisions by deans, heads of departments

Figure 2. **Grouping of three types of recruitment practices in HEIs (Source: Siekkinen, Pekkola & Kivistö, 2016).**

4. Performance evaluation in HEIs

Performance evaluation (also known as performance appraisals) denotes the process and practice of reviewing and monitoring the performance of employees within a defined period of time (e.g. 1-2 years), often against previously set criteria, and based on the evaluation results, agreeing on courses of action for the future. Besides contract renewal decisions, evaluations can be used for promotions, pay-rises, financial rewards, identification of training needs, transfers to other positions, disciplinary actions, etc. Thus, although performance evaluation is often viewed narrowly in terms of individual performance, it is linked to the strategic positioning of the HEIs through processes that set expectations for work to be performed, provide appropriate feedback, and guide employee growth and development (Evans & Chun, 2012). Accordingly, each HEI should move beyond the mandatory appraisal systems laid down by regulatory bodies and create an evaluation system that aligns with its mission and vision, addresses the needs of its employees and considers the students that it caters to.

Even though performance evaluations have gradually become more widely accepted in HEIs, still many tensions tend to be attached in to it. In general, greater emphasis on performance measurement is often paired with a shift from a collegial to a managerial model of governance. Despite the recent advances in measurement, particularly in bibliometrics, the criteria used to evaluate academic work cannot be fully articulated to include every dimension of work as there is always an implicit, tacit dimension in academic work (Van den Brink, Fruytier & Thunnissen, 2013). It should be also acknowledged that performance evaluation is more than performance related pay, although financial rewards linked to individual achievement may play a part of an HEI's performance evaluation system. The best results are likely to be reached, if evaluations are designed and utilised to give staff positive and constructive ideas on how to improve their work (Dubosc & Kelo, 2012). Therefore, performance evaluation requires more consensus and cooperation rather than control or coercion; it requires creation of a shared understanding of what is required to improve performance and how this will be achieved amongst all staff. For this reason, it also requires a management style that is open and supports two-way communication between managers and staff, with continuous feedback. Evaluating performance, therefore, is at its best an active process relying on dialogue between managers and staff about what needs to be achieved and how, as well as the measures of performance that will be used (Hall, 2009).

The following can particularly be highlighted as critical elements in performance evaluation: clear communication of expectations (to both directions), valid assessment measures and job-related criteria, evidentiary documentation, continuous feedback and coaching, clearly articulated institutional policy and processes, emphasis on the formative and developmental focus of evaluation, multilateral feedback, alignment of performance objectives with institutional mission, self-report mechanisms and sufficient training of evaluators (Evans & Chun, 2012).

5. Training and development in HEIs

Training and development can be defined as systematic activities a HEI implements to enhance the professional qualification of its academic and administrative staff with regard to institutional objectives. Rapid changes in workplace requirements mean that basic qualifications are no longer sufficient for a successful working career, a substantial amount of learning occurs during the span of an employee's working life and, therefore, organisations should provide their employees with opportunities for continuous learning and development.

Resources spent on training and development of the workforce are direct investments in human capital (Hall, 2009). Professional development may include e.g. supervisory training or career counselling in performance reviews, conflict resolution, disciplinary action and termination, as well as providing opportunities for career advancement in skill development, internal mobility etc., or it can be related to the substance of the work or transferable skills, such as project management, academic writing, teaching methods and pedagogy, management training, mentoring for junior academics, and so on (Julius, 2000; Nguyen, 2016). However, while the importance of continuous staff training is increasingly being accepted, it sometimes meets resistance, particularly by academic staff members, who do not always see the need for or benefits of training – especially in areas not directly related to their subject area. Therefore, there is consequently a clear need to demonstrate the benefits of training to staff. Financial incentives, rewards and consideration of training as a criterion for promotions may have a positive short term impact on training attendance, but in the longer term it would be advisable to achieve a "training culture", where such initiatives are seen as a positive opportunity for self-development. To achieve its purposes, staff training should take into account the current skills levels and development needs of all staff. If the training organised without a clear understanding of the actual training and development needs, it increases the risk of failing to make an expected impact (Dubosc & Kelo, 2012). Training and development should be, therefore, also an integral part of the wider HR strategy.

6. Career progression in HEIs

A well-planned career development system—together with clear career pathways and impartial internal advancement opportunities—can serve as a framework for employees' career progression. It can help HEIs to improve employee motivation, minimise the negative feelings and attitudes around career transitions and attract highly qualified employees. It can also encourage employees to take more responsibility for their own development, including developing skills that are considered important at HEIs (cf. Oladipo & Abdulkadir, 2011). In competitive labour markets, HEIs need to consider the management of staff careers as an institutional responsibility, rather than simply letting academics and administrators find career development opportunities by themselves. HEIs should be therefore proactive in providing and/or supporting their staff with such opportunities throughout their career life (cf. Nguyen, 2016). Career development is a result of not only personal performance, but also of supportive organisational structures and systems and relationships

with supervisors (Böckelmann, Reif & Fröhlich, 2010). Career progression necessitates HEIs to create career pathways where they do not exist, and to offer clarity and visibility where the career pathways exist (HEFCE, 2010b).

The career progression of academic tasks in HEIs is often based on one of the following principles: 1) open positions (vacancies), 2) promotion schemes or 3) tenure-track system. In traditional chair-faculty structure (Neave and Rhoades, 1987), which was prevalent in continental Europe, the salient feature was its attachment of weight to independence and personal authority of chair-holding professors. In these systems, the upward career progression is only possible by applying to open (professorial) positions. In some other HE systems, all personnel, regardless of their position, can apply for a promotion, if they fulfil a certain criteria. The third principle in academic promotion is the tenure-track practise which combines two first mentioned i.e. a person who fulfils certain criteria can be promoted and given a permanent position if he/she is successful in the competition. For administrative positions there are no internationally recognisable career progression schemes.

7. Pay and benefits in HEIs

A key strategy for attracting and retaining talented academics is to recognise their research performance and reward them for it. HEIs can reward the performance by linking it to employment, promotion, and particularly in academic positions, to tenure. Rewarding can take the form of financial and non-financial rewards. Financial rewards are related to salaries and bonuses, but can they also be related to gaining from institution funding for travel, conference attendance, seed funding for projects or initiatives, and the like. Non-financial rewards can be in the form of praise and recognition by managers and by making the achievements or merits to be rewarded public (Nguyen, 2016).

Financial incentives are important for academics, as well as for other HEI employees. However, the employees' acceptance of the criteria of the performance-related schemes, rather than the size of the financial package, is crucial for the effectiveness of the financial incentives, especially with academics (Andersen & Pallesen, 2008). Moreover, although pay continues to be an issue when looking at overall job satisfaction, especially for academic staff, there are other key motivators for many academics, who see intrinsic merits of the job: the major reasons cited are autonomy, freedom to use initiative, seeing tangible outcomes from their work and the enjoyment of research and/or teaching or enterprise activities, and other factors of upholding an intrinsic motivation. It is therefore important to protect the intrinsic rewards alongside an effective performance management system that recognises the "psychological contract" that exists between the HEI and its workforce (HEFCE, 2010a). Findings from several studies suggest that financial incentives may create so called "crowding out" effect, where extrinsic rewards (such as salary bonuses) under certain conditions can "crowd out" the intrinsic motivation (e.g. Frey 1997; Frey and Jegen 2001; Andersen and Pallesen 2008). This means that financial rewarding does not necessarily improve the performance of employees who are already motivated by the task itself. However, under certain conditions, the introduction of external rewards could also lead

to "crowding in," that is, enhancing the intrinsic motivation. It has been suggested that crowding out occurs when rewards are perceived as "control," but crowding in is possible when the rewards are seen as "supportive" (Arnhold, Kivistö, Püttmann, Vossensteyn & Ziegele, 2016; cf. Jacobsen and Andersen 2014).

In many countries, national authorities set the basic framework for salaries of staff at public HEIs, while leaving institutions the freedom to implement reward schemes and additional payments or benefits, according to their own policies and available funds. In general, salaries of academics are usually considered to be lower than in equivalent positions outside public HEIs. However, other benefits such as employment stability, flexible working hours and possibility of working from home, interesting work and a well regarded social status and professional vocation continue to be seen as important advantages and motivators of academic staff in public HEIs (Dubosc & Kelo, 2012).

Regardless of the specific type of salary and incentive system, it should support the institution's objectives, it should be transparent and easy to understand, it should reward contributions and development, it should possess a sufficient degree of flexibility, be formal, interact effectively with other elements of the institution's approach to HRM and conform to applicable labour agreements, legislative policies, and wage and hour statutes. Typical failings of pay and benefits schemes are related to insufficient funding, ineffective measurement and lack of equity. Pay and benefits system cannot work unless it is thought to be fairly constructed and operated (Bright & Williamson, 1995; Böckelmann, Reif & Fröhlich, 2010).

8. HR analyses and reporting in HEIs

Literature discussing HR analyses and reporting seems to be very scarce. Nevertheless, the aim of the HR analyses and reporting in higher education institutions is to provide sufficient insights for the planning and governances processes of the HEIs on all significant aspects related to HRM: recruitments, structure of staff and its distribution to units, salaries, characteristics and profile of the staff (age, gender, educational background etc.), statistics on offered and attended personnel training and developments, retirements, and so on. It is also closely connected to HR strategies by providing feedback of the impact of the selected strategies, even though there are no single and universally accepted indicators for tracking the realisation of the HR strategies or measuring their efficiency (Bodor, 2001). Analysis and reporting serve the particular needs of the HEIs and their decision-making and planning processes. HR analyses and reporting as an activity are also closely connected to the use of management information systems, which will be discussed in more detail in the final sections of this sub-chapter.

9. HR special issues in HEIs

HR special issues in HEIs can be defined to all those aspects and themes which fall outside the sphere of the nine other dimensions described in this chapter. These can include, but are not limited to, issues such as policies to address underachieving staff, discipline and resolution of grievances, treatment and policies of different forms of staff misconduct and harassment, occupational health, safety and well-being, staff dismissals, staff reten-

tion plans and tools and techniques utilised to improve retention of the staff. As publicly funded organisations, many HEIs hold a statutory duty to promote equality in respect of gender, race and disability, and must undertake a number of specific tasks to in their activities, which can all be considered as "special issues" too (Hall, 2009).

10.Information systems and personnel administration

Because HRM is one of the strategic priorities of HEI, it is imperative to explore how technology can be utilised to support HRM programmes and practices. However, information systems are still underutilised in many universities, used only for administrative purposes and routine tasks, and are not considered strategic tools that can enhance their efficacy (e.g. Altarawneh & Al-Shqairat, 2010; Bamel, Bamel, Sahay, & Thite, 2014). Tannebaum (1990) defines human resource information system (HRIS) as a technology-based system used to acquire, store, manipulate, analyse, retrieve and distribute information pertinent to human resources of an organization. HRIS can be utilised e.g. on labour force planning, supply and demand forecast, staffing information, applicant qualifications, information on training and development, salary forecast, pay increase, labour/employee relations, or promotion-related information (Kovach & Cathcart, 1999). Particularly, HRIS has potential for improving efficiency and value through fast information processing, swift employee communications and by aligning the internal policies. The integration of technology with HRM activities—for example, recruitment, performance management and succession planning—has the potential to provide deans, supervisors and other HE managers with timely, accurate and usable data to make strategic decisions regarding not only employees, but also on other issues (Bamel, Bamel, Sahay, & Thite, 2014).

2.3 Insights from European policies related to HRM

Even though HRM as a function in HEIs plays a key role in determining their performance, most important European level policies key documents aimed at developing European higher education do not to address its role importance directly and explicitly. For instance, European Commission's "Mobilising the brainpower of Europe: enabling universities to make their full contribution to the Lisbon Strategy" (2005) states that "Universities should be responsible for managing and developing their human resources" (p. 7-8) and identifies "factors to strengthen human resources" (p. 6), but this is done in a quite general level, and without any reference to the HRM's role:

> Human resources are a core determinant of quality in higher education and research. Universities must therefore work to enhance their human potential, both qualitatively and quantitatively, by attracting, developing and keeping talent in the teaching/research career. Excellence can only emerge from a favourable professional environment based in particular on open, transparent and competitive procedures. Vacancies, at least for rectors, deans, professors and researchers should be advertised publicly, and where possible internationally. Researchers should be treated as professionals from the early stages of their career13. Physical and virtual mobility (whether across boundaries or between

university and industry) and innovation leading e.g. to university spin-offs should be encouraged and rewarded. Compensation should reward quality and achievement in the performance of all tasks, including a share of income from research contracts, consultancies, patents, etc. These measures would over time reinforce world-class excellence at European universities, thus reducing the attractiveness gap with other world regions and benefiting all of Europe - through highly qualified graduates moving or returning to more regional universities, whether immediately or later in their careers.

<div align="right">(European Commission, 2005a, p. 6)</div>

Similarly, probably the most important recent policy document giving direction to the development of European HEIs, Commission's communication to the European Parliament Supporting growth and jobs – an agenda for the modernisation of Europe's higher education systems (2011), the document laying out the principles of the "Modernisation Agenda for Higher Education in the European Union", does not give any explicit reference to HRM, other than the recommendation to "[e]ncourage institutions to modernise their human resource management and obtain the HR Excellence in Research logo and to implement the recommendations of the Helsinki Group on Women in Science" (p. 9). However, it includes several recommendations on aspects falling into the sphere of HRM, most importantly, "transparent and fair recruitment procedures, better initial and continuing professional development, and better recognition and reward of teaching and research excellence" (p. 5), which should trigger HEIs to "invest in continuous professional development for their staff, recruit sufficient staff to develop emerging disciplines and reward excellence in teaching" (p. 6). Furthermore, the "Erac Opinion on the ERA Roadmap 2015-2020" under Priority 3 (An open Labour Market for Researchers), (p. 12) priority 3 stresses the necessity of "Intersectoral Mobility" as a strategic future target. Measures should be taken that support researchers to change from public to private sector from companies to HEIs and between HEIs. This aspect may also have an effect on the recruitment of researchers too.

In addition to the European Commission's role in shaping the European higher education policy landscape, also other actors and processes which have significant impact on higher education need to be acknowledged. *Standards and Guidelines for Quality Assurance in the European Higher Education Area* – ESG (2015), document providing guidance for the quality assurance of European higher education, does not explicitly refer to HRM. However, it reiterates the importance of the teaching staff, underlining that it is the primary responsibility of HEIs to make sure that teaching is harnessed to the highest of its potential: "Institutions should assure themselves of the competence of their teachers. They should apply fair and transparent processes for the recruitment and development of the staff'" (p. 25). The document places particular emphasis on the necessity for creating and maintaining a healthy environment for teachers that would ensure their productivity and the achievement of learning outcomes. Such an environment should: set up and follow clear, transparent and fair processes for staff recruitment and conditions of employment that recognize the importance of teaching; offer opportunities for and promote the professional development of teaching staff; encourage scholarly activity to strengthen the link between education and research; encourage innovation in teaching methods and the use of new technologies (p. 13).

In a similar vein, at the latest Ministerial conference in Yerevan (2015), the relevance of effective staff management was once again reiterated as part of the Bologna Process. The first goal of the Yerevan Communiqué emphasized incentives for institutions and teachers as a strategic tool for forging a stronger link between research, learning and teaching, as well as for fostering creativity, entrepreneurship and innovation. Quality teaching was identified as a key factor in attaining the aforementioned goals, meaning that there should be wider recognition of the importance of providing the space and means for the development and enhancement of teaching competencies in higher education environments (Yerevan Communiqué, 2015).

Even though HRM was not specifically addressed in the latest European policy documents, key processes falling into the sphere of HRM have received attention particularly on issues related to researchers and research careers. In 2005, the Commission adopted the *European Charter for Researchers* and the *Code of Conduct for the Recruitment of Researchers* (European Commission, 2005b).[1] The objective of Charter and the Code was to support the realization of the European Research Area and the free movement of knowledge within it – goals that were part of the Lisbon strategy that was adopted in 2000. The Charter has two sets of principles (one for researchers and one for employers and funders) and the Code introduces the general principles and requirements for research recruitment. Whereas the "European Charter for Researchers" defines the roles, responsibilities and rights of researchers, entrepreneurs and funders, the "Code of Conduct for the Recruitment of Researchers" (Charter & Code) focuses on fostering open, transparent and merit-based recruitment procedures, through more diverse and experienced selection teams (European Commission, 2005b).

To promote the implementation of the Charter and Code, the European Commission has developed the Human Resources Strategy for Researchers (HRS4R) process allowing the award 'HR Excellence in Research' logo to those institutions that are committed to improving their recruitment practices according to the principles of Charter & Code. Possessing a right to use the logo is considered an indicative that the institution possessing it is committed to a fair and transparent recruitment process, while promoting aspects of diversity. Since implementing the Charter & Code and HRS4R supporting its implementation are one of the most comprehensive measures within the sphere of HRM at the European level, it will be in the following sections introduced by utilising seven aspects of the HRM framework outlined in previous sub-chapters.

HR strategy and planning. HRS4R can support the HEIs HR strategy and planning by presenting best practices on career development, recruitment and working conditions for researchers (European Commission, 2005b). Institutions and organizations endorsing and implementing the charter and the code are evaluated and may be granted the previously mentioned HRS4R's 'HR Excellence in Research' award. In addition, by endorsing and im-

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1   The following sections discussing the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers and Human Resources Strategy for Researchers (HRS4R) are to a large extent based on contribution from Patricia Akamp.

plementing the Charter & Code, research funders and institutions have the opportunity to meet external international independent experts (as part of the internationalization in the assessment phase) and develop a dialogue with those in the field who have already undergone the process, such as the case of some of the institutions in this cooperation (EURAXESS, 2016). In this sense, the implementation of Charter & Code can be considered as a cost-effective opportunity (through the support provided by the initiative with templates, information, support centres, etc.) to ensure that internal conversation touches upon crucial elements for the creation and maintenance of environments conducive to effective performance and productivity (European Commission, 2005). Moreover, by adopting the HRS4R, institutions are also rendering themselves more appealing to researchers, whilst signalling their commitment to fostering an attractive, open and sustainable European research labour market.

Job demands. The first step in the implementation of HRS4R is that institutions must cross-reference all the principles of Charter & Code against their own HRM. As part of the recruitment guidelines under the Code of Conduct for the Recruitment of Researchers (European Commission, 2005), institutions should commit to creating advertisements that include a detailed description of the qualifications required, whilst also sharing the working conditions and entitlements, such as career development prospects, aiming to facilitate the management of expectations on both sides (employer and employee). On the more practical side, the Code instructs institutions not to be too specialized as to discourage suitable applicants and to set realistic deadlines on call for applications and replies, promoting flexibility but at the same time, calling for pragmatic and fair norms of recruitment.

Recruitment and selection. Institutions can refer to the Code of Conduct, which sets the general principles and requirements to improve recruitment and selection procedures at research performing and funding organizations by encouraging room for flexibility and fairness (non-discriminatory and gender balanced approach) in their everyday HR practices. Furthermore, open, transparent and merit-based recruitment (hereafter, OTM-R) is a priority within the European Research Area (ERA) and one of the pillars of the Charter & Code. Flexibility is also found in the definitions which are often taken for granted. According to the Code, "merit" is not to be based only on the number of publications, but also on other criteria such as teaching, supervision, teamwork, knowledge transfer, management and public awareness activities (European Commission, 2005b). The revised and strengthened HRS4R (European Union, 2015) provides a special OTM-R toolkit (together with the revised "Gap Analysis Template") and the more standardised approach of the strengthened version of HRS4R facilitates the entire implementation process by providing more templates for institutions (as well as assessment panels) (ibid.).

Performance evaluation. "The aim of the Charter is to ensure that the nature of the relationship between researchers and employers or funders is conducive to successful performance in generating, transferring, sharing and disseminating knowledge and technological development, and to the career development of researchers" (European Commission, 2005b). In order to achieve that, the Charter calls for evaluation/appraisal systems for

assessing the professional performance of researchers (including senior researchers) regularly and in an unbiased and transparent manner (ibid.). However, rights and responsibilities are laid out, which means that under the "General Principles and Requirements applicable to Employers and Funders" the Charter states that employers and funders should "ensure that the working conditions for researchers, including for disabled researchers, provide where appropriate the flexibility deemed essential for successful research performance in accordance with existing national legislation and with national or sectoral collective-bargaining agreements" (ibid.). Moreover, the Charter also states that it is the responsibility of institutions to ensure permanence of employment, so that the performance of researchers is not undermined by instability (ibid.).

Training and development. Aside from the information under "Continuing Professional Development" in the commission recommendation of 2005 of the Charter & Code, which states that researchers should engage in professional development via various venues, it is also stated that institutions' priority is to be focused on early stages of the researchers' careers to influence favourable future choices in a career in R&D (European Commission, 2005b). However, in its full extent, the Charter also encourages institutions to ensure access to professional development and training to researchers at any stage of their careers and at under any contractual situation. Importance is also given to the contractual and legal aspects of training and qualifications, where it is expected that "researchers at all levels must be familiar with the national, sectoral or institutional regulations governing training and/or working conditions". More importantly, structure is expected while developing a relationship with a supervisor in the training phase, so as to take full advantage of their relationship (ibid.).

Career progression. In addition to calling for new instruments for career development and requesting institutions to display career development prospects in the advertisements and/or as part of the recruitment process, as per instructions for recruitment under the "General Principles and Requirements for the Code of Conduct," the Charter also instructs institutions to embed a career development strategy within the framework of the HRM for researchers at all stages and regardless of their contractual terms (European Commission, 2005b). Another aspect to be integrated within the framework of the HRM is the "Value of Mobility", as "geographical, intersectoral, inter- and trans-disciplinary and virtual mobility as well as mobility between the public and private sector" can be embedded under their career progression/appraisal system.

Pay and benefits. By abiding to the Charter & Code, institutions commit to ensure fair and attractive compensation plans and benefits to all researchers, regardless of their level of experience, and in accordance with their legal status, qualifications, responsibilities and performance (European Commission, 2005b). It should be noted that benefits could also include potential R&D results through legal protection related to Intellectual Property Rights, such as copyrights (ibid.).

Conclusion

Human resource management in higher education remains an issue that is little addressed explicitly in the European level policies. Nevertheless, some other issues are clearly identified as a priority in the European Higher Education Area. For instance, improving the working conditions, pay and benefits, and career progression paths, are themes constantly addressed due to the great concern of making the academic career in Europe more attractive for young talents. In addition, personnel training and development have received attention because of the need of enhancing teaching as much as research, as professionalizing the teaching activity leads to improvement of the quality of education.

COUNTRY FINDINGS

In the following chapter, the report covers national HR related perspectives and addresses the different legal and policy formations. The chapter delivers also a comparison between three European countries within the European Higher Education Area, which shows significant differences as well as points out important elements of HRM.

3.1 Austria

The higher education system in Austria comprises of four sectors: public universities (Öffentliche Universitäten), universities of applied sciences (Fachhochschulen), private universities (Privatuniversitäten) and university colleges of teacher education (Pädagogische Hochschulen). While the university colleges of teacher education are governed by the Federal Ministry of Education[2], the other three sectors are governed by the Federal Ministry of Science, Research and Economy.[3]

The four sectors are different regarding their mission, their legal basis and regulatory framework, as well as regarding the number of institutions and the number of enrolled students.

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2   www.bmb.gv.at

3   www.bmwfw.gv.at

Sector	Legal Basis and Regulatory Frameworks	Number of Institutions[4]	Enrolled students 2015 (absolute and percentage)[5]
Public Universities	• Universities Act 2002 ("UG 2002") • Collective Contract for University Staff ("KV") • Performance Agreement, Development Plan etc.	22	309.172 (81,0 %)
Universities of Applied Sciences	• University of Applied Sciences Studies Act, from 1993 ("FHStG") • Regulation of Accreditation of Universities of Applied Sciences ("FH-AkkVO")	21	48.051 (12,6 %)
Private Universities	• Private Universities Act, from 2011 ("PUG") • Regulation of Accreditation of Private Universities ("PU-AkkVO")	13	9.287 (2,4 %)
University Colleges for Teacher Education	• Teacher Education Act 2005 ("HG") • Regulation of Evaluation of Teacher Education ("HEV")	17	15.393 (4,0 %)

Table 1. **Higher Education sectors in Austria**

Staff figures counted as of 31.12.2015 or study year 2014/2015 are[6]:

Sector	People (heads)	Full-time equivalent
Public Universities	56.132	35.621,2
Universities of Applied Sciences	17.792	6.839,3
Private Universities	2.407	673,6

Table 2. **Staff figures; Source: Ministry for Science, Research and Economy – unidata**

Legal Basis and Regulatory Frameworks

Quality Assurance

The Act on Quality Assurance in Higher Education (Hochschul-Qualitätssicherungsgesetz) is the legal basis for quality assurance and accreditation in the higher education system, and the Agency for Quality Assurance and Accreditation in Higher Education (Agentur für Qualitätssicherung und Akkreditierung Austria, AQ Austria) is the central body for quality assurance. The act has a direct impact on the sector of universities of applied sciences (they have

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4   For lists of institutions, cf. https://wissenschaft.bmwfw.gv.at/home/studies/studying-in-austria/austrian-universities-universities-of-applied-sciences-private-universities-overview/ and https://www.bmb.gv.at/schulen/ph/index.html.

5   Absolute enrolment figures according to Bundesministerium für Wissenschaft, Forschung und Wirtschaft (2016), page. 14. Percentages according to own calculation.

6   For the university colleges of teacher education no figures are publicly available.

to undergo an institutional as well as a program accreditation) and on the sector of private universities (which have to be institutionally accredited by AQ Austria). Furthermore, the act defines the implementation of a Quality Assurance Board for Teacher Education (Qualitätssicherungsrat für Pädagoginnen- und Pädagogenbildung), which supports quality improvement in teacher education. Thus, the act has an impact on the university colleges of teacher education as providers for teacher education programmes. Furthermore, AQ Austria offers audit and accreditation services to any higher education institution in Austria and abroad.

Public Universities

With the Universities Act 2002 (Universitätsgesetz 2002), which became fully effective on 1st January 2004, public universities became independent legal persons.[7] They gained complete autonomy and freely decide over institutional strategy, budget and staff. In return for autonomy and the allocation of a global budget, new governance instruments were introduced. Every public university enters into a performance agreement (Leistungsvereinbarung) with the responsible federal ministry for a term of three years. This agreement describes the university's goals and the corresponding activities planned. It further provides indicators to measure goal achievement. For negotiating and preparing the agreement, the ministry issues guidelines, which mention compulsory items or chapters to be covered. One of these compulsory items is called "human resource development and structure".

In addition, universities publish a development plan (Entwicklungsplan), which covers the term of six years (thus comprising two consecutive terms of performance agreements). The development plan presents the institutional strategy and can have various forms. Recently, the ministry has issued guidelines for the development plan which very much align with the guidelines for the performance agreement. Furthermore, public universities have to publish an annual knowledge survey (Wissensbilanz), firstly reporting on e.g. staff figures, enrolment figures, number of scientific publications, study programmes offered and number and type of institutional cooperation partners. A second part of this knowledge survey reports on how goals set out in the last performance agreement have been pursued or met during the last calendar year. Moreover, public universities have to maintain a university-specific accounting system and publish an annual financial statement (Rechnungsabschluss).

With regard to human resources management, universities' autonomy implies that, since 2004, contracting of university staff is subject to private employment and labour laws. The federation of (public) universities (Dachverband der Universitäten) has negotiated with the trade unions a collective contract for university staff (Kollektivvertrag für die ArbeitnehmerInnen der Universitäten), which has large implications for human resource management for both academic and administrative staff (including technical-scientific and medical personnel at university hospitals). The negotiation of the collective contract is described in the Universities Act (UG 2002, §108).

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7 A separate legal basis exists for the University of Continuing Education Krems (Danube University Krems) – the **Act on the Danube University Krems** (*Bundesgesetz über die Universität für Weiterbildung Krems, DUK-Gesetz*) of 2004 – which follows the Universities Act 2002 in its substance, but limits the university to offer only continuing education university programmes and doctoral studies.

Universities of Applied Sciences

As their core mission, universities of applied sciences offer "degree programmes at university level which serve to provide a scientifically founded training for specific professions" (Wadsack-Köchl/Kasparovsky 2016, page 50). In contrast to legal foundations for other higher education sectors, the University of Applied Sciences Studies Act (Fachhochschul-Studiengesetz – FHStG) is not an organisational law as such, but focusses on the provision of degree programmes. These programmes and their providers are subject to programme and institutional accreditation by AQ Austria. Universities of applied sciences are independent legal persons, often run in a public private partnership with local authorities as co-owners. The contracting of staff is thus subject to private employment and labour laws. Apart from the act mentioned, the Regulation of Accreditation of Universities of Applied Sciences (Fachhochschul-Akkreditierungsverordnung – FH-AkkVO) determines a number of aspects related to HRM.

Private Universities

The legal basis for operating private universities is the Private Universities Act (Privatuniversitätengesetz – PUG) of 2011. They require institutional accreditation through AQ Austria and their degree programmes have to be accredited – and reaccredited – by AQ Austria. Private universities are independent legal persons and the contracting of their staff is subject to private employment and labour laws. Apart from the act mentioned, the Regulation of Accreditation of Private Universities (Privatuniversitäten-Akkreditierungsverordnung – PU-AkkVO) determines some aspects related to HRM.

University Colleges of Teacher Education

The public university colleges of teacher education are federal institutions under close supervision of the federal ministry for education. The Teacher Education Act 2005 (Hochschulgesetz – HG) regulates the operation of public university colleges of teacher education. It further regulates the accreditation of private university colleges of teacher education (through the ministry) and their degree programmes. The Regulation of Evaluation of Teacher Education (Hochschul-Evaluierungsverordnung – HEV) presents a framework for quality management at university colleges of teacher education.

Analytical framework of HRM in HEI

The following section uses the developed HRM framework to analyse the Austrian higher education sector and its HRM.

HR strategy and planning

The sectors of public universities, universities of applied sciences and private universities are autonomous regarding strategy and planning of human resources, but are bound to private employment and labour laws. Public universities are required to describe at least elements of their HR strategy in their development plan and their performance agreement, which are public documents. The university colleges of teacher education have little or no influence on HR strategy and planning, as staff decisions are taken by the federal ministry of education.

Job demands

Public universities: The collective contract for university staff regulates the career model for academic staff (see also "career progression" below). It stipulates responsibilities and tasks (Teaching, research, participation in administrative tasks and matters of institutional development) as well as minimum academic qualifications for certain job positions for academic staff, e.g. a doctoral degree for moving from university assistant to the position of assistant professor (KV §25-27). Other positions for academic staff, i.e. Senior Scientist/Artist and Senior Lecturer, as well as their responsibilities and tasks, are also described in the collective contract and it also covers the administrative staff (KV §50-52). A recent case study among doctoral students employed as university assistants with a fixed contract (cf. "career progression" below) at the University of Vienna shows that balancing the work on the doctoral dissertation with job responsibilities (supporting faculty in teaching and research) often results in (unpaid) long hours as well as considerable delays in finalizing the doctoral dissertation and thus lower chances for subsequent promotion to assistant professor (Bernsteiner et al. 2016, page 85).

For the administrative staff, the collective contract offers information regarding so-called "employment groups" (Verwendungsgruppen) and the criteria by which employees are assigned to these groups (KV §51). Most criteria are educational qualifications like a vocational education, a certificate from secondary school or a higher education degree, but also leadership skills in higher ranking employment groups. Appendix No. 1 of the collective contract describes "Examples of tasks and job titles in the employment groups" of administrative, technical-scientific and medical personnel, e.g. "higher library service", "controller", "gardener", "head of laboratories" or "nurse".

The Universities Act defines to a certain extent the organizational structure of public universities by requiring certain organs to be implemented, as well as by defining their roles and responsibilities. Examples are the senate, the university council (Universitätsrat), the rectorate (with a rector and several vice rectors) and the committee for equality issues (Arbeitskreis für Gleichbehandlungsfragen).

Universities of applied sciences: The University of Applied Sciences Studies Act requires that at least two persons with the academic qualification of habilitation (or equivalent) and at least two persons with experience in an occupational field that is relevant for the programme are among the teaching staff for an accredited degree programme (FHStG §8, sec. 4). Thus the law sets up requirements for the minimum qualification of some members of staff. Besides, the act defines to a certain extent the organizational structure of a university of applied sciences by requiring a University of Applied Sciences Board (Fachhochschulkollegium) to be implemented and defining its roles and responsibilities.

The act further confers a certain decision right to the head of the University of Applied Sciences Board: He or she can decide about the nature and the extent of the teaching duties of both the full-time teaching staff and the secondary employed lecturers (FHStG §10, sec. 4). This competence is intended to ensure academic quality assurance within the

programmes. In contrast, the president or the commercial management of a university of applied sciences has the competence to sign the employment contracts defining the salaries for the demanded tasks. This situation requires finely tuned consensus procedures regarding HRM.

Apart from the University of Applied Sciences Studies Act, the Regulation of Accreditation of Universities of Applied Sciences (Fachhochschul-Akkreditierungsverordnung – FH-AkkVO) defines some issues of job demand, especially on the level of degree programmes and teaching. For example, the regulation stipulates that the director of such a degree programme shall be qualified in the discipline and shall hold his or her main employment at the university of applied sciences (FH-AkkVO, §17, sec. 2c).

Private universities: The Private Universities Act requires that the university's statutes define its organs (PUG, § 4, sec. 2), and thus some kind of organizational structure. However, it does not provide any details on the roles and responsibilities of the organs. Apart from the law, the Regulation of Accreditation of Private Universities (Privatuniversitäten-Akkreditierungsverordnung – PU-AkkVO), defines some job demands. For example, at least 50% of the teaching at private universities has to be covered by own teaching staff (PU-AkkVO, §14, sec. 4h). In Austria, such a requirement is unique for the sector of private universities and it has strong effects on faculty management.

University colleges of teacher education: The Teacher Education Act 2005 defines to a certain extent the organizational structure by requiring certain organs to be implemented, as well as by defining their roles and responsibilities. These organs are the council (Hochschulrat), the rectorate (with a rector and up to two vice rectors), the board (Hochschulkollegium) and the committee for equality issues (Arbeitskreis für Gleichbehandlungsfragen).

Recruitment and selection

Public universities: Universities must advertise all positions open for appointments, with at least three weeks' notice. In the case of academic staff positions, it has to be an international advertisement (UG2002, §107). For academic careers, the instruments of qualification agreement (to reach the position of an associate professor) and appointment procedure (to reach the position of a university professor) are applied. These selection instruments are described in both the Universities Act, as well as the collective contract (see also "career progression" below).

One practice example for supporting the recruitment, especially of high qualified staff, is the dual career service for higher education institutions in Vienna, Lower Austria and Upper Austria[8], which will support the job search of the partner of this high qualified staff member, thus making the job offer more attractive. Another practice example for a well-documented and publicly available staff selection approach is the one at University of

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8   http://www.dualcareer.ac.at/en/home/

Natural Resources and Life Sciences, Vienna. Documents such as "Guidelines for describing a job profile", "Guidelines for screening applicants' documents" to "Guidelines for job interviews" are publicly available on the website[9] (in German language), thus contributing to more effective processes within the institution, as well as to more transparency for possible applicants.

Universities of applied sciences and private universities: Neither the University of Applied Sciences Studies Act nor the Private University Act offer any information regarding staff recruitment and selection procedures. In general, the most common practices and instruments are applied, such as advertising job offers on the website and through adverts (print and online) and job interviews.

University colleges of teacher education: According to the Teacher Education Act 2005, the rectorate is responsible for advertising open positions for permanent teaching staff, to conduct a selection procedure and to suggest suitable candidates to the ministry. The selection decision is upon the ministry (HG, §18, sec. 2). The ministry appoints an administrative director as head of administration (Rektoratsdirektor/Rektoratsdirektorin), as well as other administrative staff (HG, § 19). The rectorate has the right to comment on a candidate for the administrative director's post suggested by the ministry, but has no right to influence any decisions regarding administrative staff selection.

Performance evaluation

Public universities: The collective contract regulates that supervisors have to conduct yearly appraisal interviews with their subordinates (KV §9, sec. 4). The yearly appraisal shall cover goals for the upcoming year, assessment of the fulfilment of goals of the past year as well as activities that will sustain or improve the employee's performance in the future (e.g. further training/education, but also matters of appropriate work conditions).

Universities of applied sciences and private universities: Neither the University of Applied Sciences Studies Act nor the Private University Act offer any information regarding performance evaluation of employees. It can be assumed that common practices, such as annual appraisals, are applied.

University colleges of teacher education: The Teacher Education Act 2005 does not offer any information regarding performance evaluation.

Training and development

Public universities: The collective contract regulates that university employees are obliged to "regular further education" (without offering more detailed information on this) and that the university can commit employees to any training activities during the working hours (KV §10). University professors are responsible for the personal development and further training of their subordinates – both academic and administrative staff (KV §25).

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9   http://www.boku.ac.at/en/pers/personalmanagement/personalauswahl/

One practice example for training and development provision in higher education is Create Competence[10]. This project is conducted by University of Graz and Danube University Krems, with funding for structural improvements provided by the Ministry of Science, Research and Economy. The aim is to implement a platform for training and development activities for all higher education institutions (HEI) in Austria. This platform will enable HEI to share information and create synergies for training activities, e.g. offering a joint training together with other HEIs or sign up the own employees for activities of another HEI.

Universities of applied sciences and private universities: Neither the University of Applied Sciences Studies Act nor the Private University Act offer any information regarding training and development. Both the Regulation of Accreditation of Universities of Applied Sciences (FH-AkkVO), as well as the Regulation of Accreditation of Private Universities (PU-AkkVO) require institutions to provide adequate measures of continuing education and human resource development, but do not go into detail. It can be assumed that common practices and instruments are applied.

One practice example from the sector of universities of applied sciences is the training and workshop series organized by the Association of Universities of Applied Sciences (Fachhochschulkonferenz – FHK). The workshops are open to all employees and lecturers of universities of applied sciences. Topics include e.g. leadership in expert organisations, didactics of teaching and programme marketing using Facebook.

University colleges of teacher education: By law, university colleges of teacher education have to offer programmes of continuing education of teachers and other educational professions (HG, §8). In practice, the institutions use these programmes (and the programmes offered by other university colleges of teacher education) for training and development of their own teaching staff.

Career progression

Public universities: A "typical university career path" for academic staff can be described as follows (KV §25-27; cf. also Wadsack-Köchl/Kasparovsky 2016, page 46): With a university degree from a master or a diploma programme, graduates can be employed as university assistant for a fixed term of four to six years, during which the graduate shall complete a doctoral study programme. Prior to the end of the contract, the university assistant's performance is assessed. The university can then invite the employee to apply for a post-doc position as assistant professor (Assistenzprofessor/ Assistenzprofessorin), for a maximum period of six years. A qualification agreement (Qualifikationsvereinbarung) with the university's management is concluded, which stipulates the goals to be achieved in the six years period. This can be e.g. the habilitation or a certain amount of publications. An assistant professor who fulfils the qualification agreement is employed for an unlimited period as associate professor (bzw. Assoziierter Professor/Assoziierte Professorin). As a next step a candidate can apply for the position of a university professor. The Universi-

10   http://www.create-competence.com

ties Act differentiates between positions limited for up to six years (UG 2022, § 99) and unlimited employment as university professor (§98). The latter positions are filled in a more elaborate appointment procedure (Berufungsverfahren), involving e.g. the university senate and external assessors. Because of this appointment procedure, the described career model "is not comparable to the US-American 'tenure track'" (Wadsack-Köchl & Kasparovsky 2016, p. 46).

One peculiarity regarding the administrative staff at public universities is the so-called expert status (Expert(I)nnenstatus): If employees fulfil qualification criteria that go beyond the requirements of their job position, they can be granted expert status (KV §50-52). This status is connected to promotion into a higher salary category. The collective contract mentions as qualification criteria e.g.:

- Actively designing and optimising work processes

- Taking over recurrent coordination tasks beyond the own organisational unit

- Exceptional knowledge of internal, trans-sectoral procedures, as well as the ability to pass this knowledge on to others.

In practice, the public universities deal with this expert status very differently. In some cases, institutional contracts (between rectorate and employee's council) or other documents provide more information. For example, the University Mozarteum Salzburg has defined define more precisely the criteria and the process of conferring an expert status in official guidelines.[11] In these guidelines, the criterion "actively designing and optimising work processes" as mentioned above is broken down into three steps: 1) Analysing the actual state; 2) Identifying interconnected processes and, if applicable, deficits; 3) elaborating necessary changes in parameters, with the goal to simplify administrative processes, save resources and create more effective workflows.

Universities of applied sciences, private universities and university colleges of teacher education: The legislation of the three sectors does not offer any information regarding career progression. At least for the practice in private universities and in universities of applied sciences, there are common schemes on institutional level, e.g. operation agreements (Betriebsvereinbarungen) that may influence career progression.

Pay and benefits

Public universities: The collective contract covers in detail the most important issues of salary determination and payment for all groups of university employees, for both academic and administrative staff (KV §47-56). The central indicator of financial promotion (salary raise after defined time periods) is seniority (Betriebszugehörigkeit). The rectorate is relatively free in deciding on individual salaries for university professors.

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11 "Guidelines for Expert Status", published 11.01.2013 in university bulletin of University Mozarteum Salzburg No. 16 in Study year 2012/13.

Universities of applied sciences and private universities: Neither the University of Applied Sciences Studies Act nor the Private University Act offers any information regarding pay and benefits, but there are common schemes on institutional level, e.g. operation agreements (Betriebsvereinbarungen), that may influence issues of pay and benefits.

University colleges of teacher education: The Teacher Education Act 2005 does not offer any information regarding pay and benefits. In cases where federal employment contracts with the ministry are applied, salaries will be negotiated between the trade union (Union of Public Services) and the government.

Human resources analyses and reporting

Public universities are required by law to report staff figures directly to the ministry as part of their annual knowledge survey. This includes e.g. information on the gender pay gap. Universities of applied sciences and private universities are required by law to provide AQ Austria with data concerning staff (and other figures) on annual basis. All staff figures of the three sectors mentioned are publicly available through the statistics department of the ministry.[12]

University colleges of teacher education: While the Teacher Education Act does not provide any information on human resources analyses and reporting, the Regulation of Evaluation of Teacher Education stipulates that the rectorate shall report annually on the institution's human resources regarding figures, functions and the percentages of male and female employees in the separate functions (HEV §4).

A practice example on how higher education institutions may come to analysing their human resources is the evaluation of psychological stress at the work place, which is required by the employee protection act (ArbeitnehmerInnenschutzgesetz). This evaluation will cover e.g. aspects as communication and cooperation as well as organizational climate.

Higher education institutions' Human resources special issues

Public universities: The collective contract covers various special issues in HR:

- home office is possible if agreed in written form (KV §8)

- educational leave (Bildungsurlaub) of two months for all employees with at least seven years of uninterrupted employment, if an operation agreement (Betriebsvereinbarung) between the rectorate and the employees' council (Betriebsrat) exists (KV §11)

- paid leave due to special circumstances, e.g. marriage, birth of a child, death or serious illness of a close relative, change of residence (KV §16)

- research leave of up to six months, which applies to academic staff with at least seven years of uninterrupted employment (KV §33)

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12 Website "unidata": https://oravm13.noc-science.at/apex/f?p=103:36

By law, public universities shall strive for a balanced ratio of men and women in all parts of the institution and for this goal they have to apply a women's promotion plan (Frauen-förderungsplan) (UG 2002, §41).

Universities of applied sciences: By law, universities of applied sciences shall strive for a balanced ratio of men and women in all parts of the institution (FHStG, §2, sec. 5). Additionally, the institutions (especially their academic boards) have to enact a charter which includes, inter alia, a certain section about the institutional gender equality strategy and a certain section which defines measures for the promotion of women (see FHStG §10, sec.3).

Private universities: By law, private universities are committed to strive for a balanced ratio of men and women in all parts of the institution and for the promotion of female employees (Frauenförderung) (PUG, §4, sec. 5)

University colleges of teacher education: By law, university colleges of teacher education shall strive for a balanced ratio of men and women in all parts of the institution and for this goal they have to apply a women's promotion plan (Frauenförderungsplan) (HG, §21).

One practice example of work-life balance in higher education is the audit "Higher Education Institution and Family" (Hochschule und Familie)[13]. Higher education institutions may decide to undergo this audit (at their own costs) and potentially be awarded a certificate. This certificate shows that measures to ensure work-life balance, e.g. child care for employees, flexible work hours and benefits for employees with children, are in place. This may help to raise the institution's attractiveness for employees and job applicants.

Information systems and personnel administration

The sectors of public universities, universities of applied sciences and private universities are bound to private employment and labour laws, e.g. the Employees Act (Angestelltengesetz) and the Labour Relations Act (Arbeitsverfassungsgesetz). The institutions have to report staff figures to the ministry or AQ Austria (cf. "Human resources analyses and reporting" above).

Public universities have some employees that have been employed prior to 2002 under civil servant laws. The Universities Act 2002 imposes some exceptions from private employment laws, e.g. longer working hours per day are allowed for academic staff (UG 2002, §110) and there are restrictions regarding the number of consecutive limited contracts for academic staff (§109).

University colleges of teacher education: Staff contracting at university colleges of teacher education is largely influenced by ministerial supervision. For example, the permanent teaching staff can either be employed as civil servants or with a permanent (federal) employment contract directly with the ministry. External teaching staff can be employed according to private employment laws.

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13   http://www.familieundberuf.at/audits/audit-hochschuleundfamilie

3.2 Croatia

Introduction: Higher Education in Croatia

The System. Higher education system in Croatia is defined by the Law on Higher Education passed in July, 2003 and its implementation is within the competence of the Ministry of Science and Education. Croatia has got ten accredited universities (eight public and two private), 15 polytechnics (three of which are private) and 27 colleges (24 of which are private). Constituent units at the universities in Zagreb, Split, Rijeka and Osijek are mainly faculties, while the universities in Dubrovnik, Pula, Zadar, University Sjever, as well as the International University Libertas and Croatian Catholic University of Zagreb, are organized into departments. The University of Zagreb has 34 constituent units, the University of Split 15, the University of Rijeka 14, and the University of Osijek 16 constituent units. During the last ten years, there has been a noticeable increase in the number of the newly founded higher education institutions.

Study and graduation. There are two categories of study programmes in Croatia: university and professional study programmes. The university study programmes are organized and conducted at universities in the form of a three-cycle system – undergraduate, graduate and postgraduate - tailored in accordance with the Bologna system. The aforementioned system has been in practice since the academic year 2005/2006. The professional study programmes, which are organized as 3+2 years programmes, are conducted primarily at polytechnics (or universities of applied sciences) and colleges. Prior to 2005 and the introduction of the Bologna education system, postgraduate education in the Republic of Croatia was organized into two study programmes: a postgraduate master's study programme and a postgraduate doctoral study programme. After 2005, the postgraduate master's study programme was dissolved and changes were made in order to accommodate the Bologna education system.

Governance and funding. In order to ensure a balanced and homogeneous development of higher education in Croatia and to prevent the establishment of new higher education institutions without the necessary rationale, the National Council for Higher Education produced a document called *The Projection of the Network of Public Higher Education Institutions in Croatia*, which defines the prerequisites and criteria for establishing new higher education institutions. Croatian universities are autonomous with regard to the enrolment procedures and quotas, modes of paying tuition and fees, budget management, strategic planning and setting priorities, as well as all other crucial development decisions. The Law from 2003 allowed the universities to be funded from the government budget in the total amount (lump sum), however, the implementation of the Law did not start before 2007 and 2008. The Ministry allocates the full amount set in the government budget to universities, and the universities later, by Senate's decision, distribute the funds to constituent units in accordance with their legislation and regulations. It should, however, also be noted that there is a growing tendency toward market oriented universities with the necessity for both financial and resource sustainability.

Academic staff. According to the statistical report for Higher Education in 2015 with reference to the academic staff count, in the 2015/2016 academic year, there were 16,593 members of academic staff working at HEIs on employment contracts or temporary service contracts. Expressed by the full-time equivalent, the total number of the academic staff amounted to 11,883, out of which the share of those working on employment contract basis was 63.0% and of those working on temporary service contract basis was 37.0%.

Out of the total number of the academic staff working on employment contract basis, there were 68.8% of Doctors of Science and 10.8% of Masters of Science and University Specialists. The share of women in the total number of the academic staff working on employment contract basis was 49.2% (the share of women holding a degree of Doctor of Science was 66.1%, while 11.2% of women held a degree of Masters of Science and University Specialists).

The share of women in the total number of the academic staff working on temporary service contract basis was 48.4%. There were 40.8% of Doctors of Science among the academic staff working on temporary service contract basis (the share of women holding a degree of Doctor of Science was 33.1%), and 19.1% of Masters of Science and University Specialists (the share of women was 18.1%).

Analytical framework of HRM in HEI. The following text summarizes the current human resources management policies in higher education institutions in Croatia, pursuant to particular elements of the proposed analytical framework of HRM in HEI. It should be noted that the latter applies primarily to public higher education institutions, whereas the particular elements of human resources management in private higher education institutions have been described only if the information was publically available.

Human resources strategy and planning. The strategic planning of higher education institutions' development at the university or faculty level is becoming increasingly common in the national context of higher education. However, the strategic management of human resources is lacking within the policy documents of higher education institutions, especially with regard to achieving the long - term objectives of the institution.

The Strategy of Education, Science and Technology (Official Gazette 124/2014), objective 2.1, states: Increasing management efficiency at higher education institutions presupposes the development and implementation of an effective model of higher education institutions' management, taking into account their autonomy as well as the principle of responsibility for achieving objectives. The aforementioned objective will be attained by creating guidelines for the establishment of an effective management model, as well as by bringing about changes in the legal acts of higher education institutions. Although not explicitly stated, the effective model of higher education institutions' management also encompasses effective human resources management.

Additionally, in the context of funding changes in higher education during the last several years, there has been an incidence of strategically oriented planning of the promotion system and the funding related to it (an example of such practice is visible at the University

of Rijeka, which has developed a so-called chain promotion model for a period of three years in advance, taking into account the financial framework).

Job demands. The qualifications of the employees in higher education are defined within the legal framework. Promotion and positions in the academic career in the system of public universities in the Republic of Croatia are regulated by The Act on Scientific Activity and Higher Education from 2003, that is, the subordinate regulations based on the aforementioned Act. However, taking into account the autonomy of the universities and their constituent units, it is allowed for them to prescribe additional promotion requirements for the employees.[14] It is possible to analyse the job demands from two perspectives: research and teaching. The assessment of the research activities is conducted by the committees of the authorized universities' constituent units and confirmed by the Scientific Field Committees based on the recently published Regulations on Conditions and Procedure for the Election to Scientific Grades from 2017. The teaching activities are also assessed by the committees of the authorized universities' constituent units based on the Decision on the Necessary Requirements for the Evaluation of the Teaching and Professional Activities in the Procedure of Election to Scientific-Educational Titles from 2005, proposed by the Rector's Conference and approved by the National Council for Higher Education. However, regardless of the legal regulations, the main responsibilities, roles and tasks are still relatively vaguely defined.

Recruitment and selection. Academic career in Croatia commonly begins at the junior level (teaching assistants, or before the amendments to the Act from 2013, junior researchers-teaching assistants). Terms of employment for the junior titles at the public universities are prescribed by the Labour Act, The Science and Higher Education Act, the University Statute as well as specific requirements prescribed by the university constituent unit which advertised for the job position. In order for a person to be able to gain a junior title, the only formally necessary criterion is the completion of a Bologna or pre-Bologna graduate study programme, (pre-Bologna) Master's study programme or a Doctoral study programme, while all other (formal) criteria are determined by the constituent unit which advertised for the job position. The academic tradition indicates that the candidates most commonly chosen for the junior level positions are those who were particularly successful[15] in their graduate studies. The information on the recruitment and selection process in the private higher education institutions are not legally regulated and are not publically

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14 Academic tradition and practice indicate that such criteria is only seldom employed by universities and their constituent units.

15 The most commonly used performance criteria is the GPA (grade point average) above 4, 0. Additional, but optional criteria which can go in favor of the candidate, are published research or professional papers, participation in academic conferences and meetings, participation in research projects, enrolled doctoral studies, foreign language knowledge etc. It should be noted that the University in Dubrovnik adopted the Regulations on the Election to Associate Titles in 2014 which determine the content of the expert committee reports for candidates' election to associate titles. The Regulations define that the biographical data should contain information on foreign language knowledge, previous experience in the profession, as well as social activities of the candidates. Although the Regulations do not prescribe the mentioned information as the formal criteria, it can be a valuable competency indicator of the future assistant or a postdoctoral researcher.

available. We can assume that the recruitment process in the private higher education institutions comprises several phases with more or less variations. The process begins with the institution's management identifying the employment needs. This is followed by determining the employment requirements for a specific job position and commencing the search for prospective candidates. The selection procedure usually begins by advertising for job vacancies through various channels (Croatian Employment Service - CES, web portals, specialized faculties' web portals, newspaper, social networks etc.), and additionally through specialized headhunting agencies or by gathering expert recommendations. Collecting and pre-selecting the candidates' CVs is followed by inviting the suitable candidates to a selection interview and/or (psychological and professional) testing which can take place in several selection rounds on different levels. The final phase entails negotiating the terms of employment with the management and filling the vacant job position, which marks the ending of the selection procedure.

Performance evaluation. Detailed conditions for performance evaluation are prescribed in the Regulations on the Conditions for the Election to Scientific Grades from 2005 and differ from the National Classification of Scientific Fields. The conditions in terms of research activities in all areas are based on the number of published research papers in the national and international scientific journals, as well as scientific monographs issued by the national or international publishers. Quantitatively speaking, the number of required research papers is progressively increasing with the academic title. In the national context, performance evaluation is mainly based on the legislation regarding the promotion system. There are very few public institutions which, by having a developed support system in terms of human resources development, also have a performance evaluation system in the context of their institutional policies and practices.

Training and development. In the process of external evaluation of the higher education institutions, which is conducted by the Agency for Science and Higher Education, the topic *Teaching and institutional capacities* entails the standard *Higher education institution provides support to teachers in their professional development*. The standard is the base for assessment of the extent to which the higher education institutions enable the improvement of their teachers' teaching competencies and encourage evaluation based on the recommendations given by their peers. In addition, the standard is used to assess the institution's effectiveness in terms of encouraging employees to participate in the international mobility programmes, collaborative projects, networks etc.

The requirements which indicate the need for (lifelong) education of the academics have been discussed for many years in the national context (Kovač, 2001; Ledić, 1989; 1992; 1993; 2009; Rački, Peko and Varga, 2010; Turk and Ledić; 2016). However, there has been a visible lack of systematic, institutionally instigated practices for academics' education and professional development in any of the (main) academic activities[16].

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16 It is noteworthy that some education and professional development programmes in Croatia have been conducted by associations which, within their (main) activities, deal with higher education. For instance, the Association for Higher Education Development ''Universitas'' has conducted two educa-

Apart from the educational needs regarding the teaching activities, the requirements and needs exist in the remaining (main) academic activities, as well as in the area of research management competencies (Turk, Rončević & Ledić, 2016) and higher education institutions' management.

Career progression. According to the Decision on the Necessary Conditions for Evaluation of Teaching and Professional Activities in the Procedure of Appointment to Scientific-Teaching Grades (Official Gazette 106/2006), issued by the Rector's Conference, the candidates who are being appointed into scientific-teaching grades for the first time have their inaugural lecture in front of other teachers (members of the expert committee) and students, which has to be positively evaluated. The next level in the university academic career path is the scientific-teaching grade of an associate professor / senior research associate, followed by the scientific- teaching grade of a full professor / research advisor. The last and highest level of the regular promotion process at universities is the status of a tenured full professor, that is, a tenured research advisor, which only slightly differs from the former level. Two regulations are in force for the appointment to teaching grades. The Decision on the Necessary Conditions for Evaluation of Teaching and Professional Activities in the Procedure of Appointment to Teaching Grades (Official Gazette 13/2012), issued by the Rector's Conference, prescribes the appointment to teaching grades (lecturer, senior lecturer and college professor) for the candidates/employees at the public higher education institutions. The legislation in force for the private higher education institutions is the Decision on the Conditions for Evaluation of Teaching and Professional Activities in the Procedure of Appointment to Teaching Grades (NN 20/2012), issued by the Council of Polytechnics and Colleges in the Republic of Croatia.

Promotion in the academic career at universities is predominantly conducted and assessed with regard to the research activities. Although the Rector's Conference conditions refer to the evaluation of the teaching and professional activities, a comprehensive analysis suggests that the conditions are notably research oriented. The latter is supported by the quantitative indicators, which can be analysed through four thematic categories: teaching criteria, scientific or research criteria and other (professional) criteria. The quantitative analysis indicates that from the total of 32 Rector's conference criteria[17], 5 (16%) can be considered to be teaching criteria, 18 (56%) scientific or research criteria, 9 (28%) criteria entail both the teaching and research component, while only 1 (3%) criterion can be subsumed under the category of other (professional) criteria. It can be concluded that the career promotion is precisely defined in the legislative documents, however, the prac-

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tional programmes for teachers in higher education – *The programme of initial teacher training for teachers in higher education (INIOS)* and *Syllabus: (new) approach to the curriculum* (for more on the programmes, see Buchberger et al (2010) or visit www.universitas.hr). Additionally, the Forum for Freedom in Education has conducted the programme called: *Active Learning and Critical Thinking in Higher Education* (for more on the programme visit: http://www.fso.hr/programi/alct (15 January 2017)). Nonetheless, international examples and experiences support the idea of the necessary institutional-university programmes for the higher education teachers' training in the (main) academic activities.

17 All the criteria, from the scientific-educational title of an Associate professor to the Tenured full professor title, have been added up

tices regarding human resources management are only formally homogenous. The process of giving feedback through annual evaluation is particularly lacking, as are the repercussions arising from such evaluations if they exist.

Pay check and Benefits. Academics' regular monthly income in the higher education system in Croatia is determined by the coefficients, taking into consideration the previously described academic titles. In that context, the income is equal for all employees, however, there are differences in the pay checks with regard to the institution and its monthly bonuses which depend on the institution's financial capacities and consequently create significant differences in the academics' incomes at the national level.[18]

Human resources analysis and reporting. There are no legally defined forms and report dates regarding the human resources area in the higher education institutions, therefore, each institution performs analysis and produces reports by assessing its needs. The process of re-accreditation is the exception to the rule, as it entails the obligation of the higher education institution to inform the Expert Committee and the Agency for Science and Higher Education (ASHE) regarding the number and qualifications of the teaching staff, the ratio of teachers and students, professional development issues, teaching load, fulfilment of the research tasks etc.

Higher education institutions' human resources special issues. The focus with regard to human resources management, as is described in this document, entirely concerns the teaching staff. The criteria for the non-teaching staff have not yet been defined within the legal framework, apart from the systematization of work in public higher education institutions. It is to be expected that the private higher education institutions have similar documents to those of public institutions, but these are not publicly available and are therefore impossible to analyse. Collective agreement for science and higher education is in force in the area of public education. The mentioned agreement does not apply to private higher education institutions, with the exception of new study programme accreditation, when articles 33 and 34 of the collective agreement are applied.

Information systems and personnel administration. Higher education institutions enter the data on the teaching staff and their teaching load into MOZVAG, the information system for support of the evaluation procedures carried out by the Agency for Science and Higher Education (ASHE). The so-called personnel administrations exist at a university or institutional level and are responsible for administrative records of all employees. An example of good practice in this respect is the University of Rijeka, which created a unified information system containing personal portfolios of all academics at the University. Nevertheless, there is no such data available at the national level other than the basic information available through the system "Who is who in science".

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18 It is important to mention that two collective agreements are applicable: the first one is dealing with the all civil services (Collective Agreement for Employed in the Public Service, Official Gazette 24/2017) and second one (Collective Agreement for the Science and Higher Education) is dealing with the higher education and science particularly, but now only first one is in force and since 2015 government and trade union cannot agree on second one.

3.3 Finland

National policies regarding HR in Universities

Finnish higher education system is binary (or dual) system comprised of research intensive, doctoral degree granting universities and more regionally and practically oriented universities of applied sciences (also known as 'polytechnics'). 12 out of 14 universities are public and acting under the public law. The remaining two private universities are foundations, acting under the Foundations Act (109/1930). Universities and universities of applied sciences (UASs) are steered by the Ministry of Education and Culture. Apart from these institutions, National Defence University, often treated as a separate institution in the higher education sector and often not counted as one of the 'normal' HEIs, operates under supervision of the Ministry of Defence. The mission of the universities, as defined in legislation, is to promote free research and academic and artistic education, to provide higher education based on research, and to educate students to serve their country and humanity. In carrying out their mission, the universities must promote lifelong learning, interact with the surrounding society and promote the impact of research findings and artistic activities on society. The universities must arrange their activities to assure a high international standard in research, education and teaching, in conformity with ethical principles and good scientific practices. (Universities Act 558/2009 sections 1–2.)

The employment relation of the university personnel is based on a contract of employment, which is regulated by the Employment Contracts Act (55/2001). Government Decree on Universities (770/2009) stipulates that holders of teaching and research positions at Finnish universities must be proficient in the language of teaching, either Finnish or Swedish, and also have at least satisfactory oral and written skills in the second national language, Finnish or Swedish. The language of administration in a university is Finnish. However, the language of administration of Åbo Akademi University and Hanken School of Economics, and the Swedish School of Social Science of the University of Helsinki, is Swedish (Universities Act, Section 35). Also Act on the Openness of Government Activities (621/1999), Language Act (423/2003) and an Act on Electronic Services and Communication in the Public Sector (13/2003) are employed when applicable.

Even though universities are not organizationally and financially part of the state administration and the employees work under a contract of employment by civil law, the staff is however considered as government officials, which lays certain responsibilities on them.

- The Administrative Procedure Act (434/2003) promotes good administration and access to justice in administrative matters, and is applied to the university regarding its decision making on statutory administrative operations, e.g. in the case of a student appealing against a decision by the university.

- Based on the Constitution of Finland (731/1999, 2 §), a public authority or a person carrying out the task of a public authority can be held responsible for the legality of his/her actions. Furthermore, according to the Criminal Code of Finland (39/1889, 40:11 §),

a person whose functions include issuing orders that oblige another or decide on the interest, rights or duties of another, or who in his or her duties intervenes into the benefits or rights of another, can be prosecuted on impeachment. Personnel or a member of an organ of a university uses public powers when, for example, selecting students, evaluating study attainments, crediting previous studies, continuing or denying right to study, granting degrees or disciplining students.

- An official, or a person with such delegated tasks, can be disqualified on certain grounds. For example, if a specific benefit or specific loss from the decision of the matter is foreseen for him/her or a close person; or if he/she is in service with or in a pertinent commission relationship to a party or a person due to gain specific benefit or suffer specific loss from the decision of the matter (Administrative Procedure Act 28 §).

Analytical framework of HRM in HEI

Following section describes the Finnish HRM system within higher education by following the project's analytical framework structure.

HR strategy and planning. The Ministry of Education and Culture and each university agree on the quantitative and qualitative targets for a four-year period in the form of performance contracts/agreements. Performance contracts are currently the main national instrument to steer the strategy and development of HEIs in Finland. The general goals for the whole sector, also written institution specific performance contracts for the period 2017–2020, are:

- to strengthen the organizational profiles (differentiation) of universities

- to shorten the time to graduation and improve the employability

- to enhance the effectiveness, competitiveness of research and innovation activities, as well as support the well-being at work in universities

- to strengthen the HRM approach in universities (Agreement structure 2017–2020.)

One of the major changes affecting the strategic behaviour of universities is that the basic funding of the universities will decrease gradually between 2015–2019, because € 50 M of state funding is reallocated to competitive research grants by Academy of Finland (OKM/7/210/2015).

Job demands. The national policy frame provides some starting points for job demands. These are the regulations on organisational structure, roles, tasks and qualifications. The public universities are independent legal persons and may undertake commitments, obtain rights in their own name and possess property. The organs of a public university are the board, the rector and the university collegiate body. The university may also have a chancellor and other organs, as stipulated in the university regulations i.e. universities have autonomy to decide on the arrangement of their academic administrative organization (Universities Act). Alternatively, the universities can operate as foundations. So far, as was mentioned earlier, only two of the universities are operating as foundations.

Main responsibilities, qualifications roles and tasks. The main roles and responsibilities of the board, rector and the collegiate body in public universities, and board, rector and the multi-member administrative body in foundation universities, are regulated by the Universities Act. A loose frame for roles and responsibilities in universities' sub-units are also regulated by the law. Yet, the universities have a large autonomy in designing their internal organizational structure. However, they have to take into account the representation of the university community groupings of professors, teaching and research staff, other staff and students in collective bodies. When it comes to academic positions, according to current legislation, university has professors and other teaching and research staff, and other personnel to execute other tasks.

The only requirements laid down in the Universities Act concerns the professors and a rector. It is stated that a professor shall carry out and supervise scientific or artistic work, provide education based on it, follow developments in science or art and participate in societal interaction and international cooperation in his/her field; a rector elect has to have a doctorate degree and the competences required for discharging the duties, as well as proven good leadership skills. However, the requirement of a doctorate degree does not apply to the rector elect of the Academy of Fine Arts, Sibelius Academy and the Theatre Academy (Universities Act 18 §, 33 §).

Recruitment and selection. In both public and foundation universities, rector decides on the hiring and dismissal of personnel, but may devolve the hiring of personnel or other matters within his/her remit to another organ or person (Universities Act 17 §, 25 §). The law further regulates only the recruitment of the professors.

Performance evaluation. The Ministry allocates funding within the state government's budgetary frame to universities so that they can fulfil their obligations regulated by the law. The Ministry grants core funding to the universities based on the university's performance in extent/scope, quality and effectiveness of its operations (72 %). In addition, the Ministry allocates funding based on other education and science policy objectives (28 %). The criteria for allocating the core funding are stipulated in a decree given by the Ministry of Education and Culture (331/2016) (Figure 3). Altogether, the core funding comprises around 60-65% of the total funding for universities.

According to the Universities Act (2009, 87 §) the universities must evaluate their education, research and artistic activities. The universities take part in external evaluations (audits) of their quality assurance systems on a regular basis. The audits are typically commissioned by Finnish Education Evaluation Centre (FINEEC). (Act on the Finnish Education Evaluation Centre 1295/2013, a Decree on the Finnish Education Evaluation Centre 1317/2013.). The assessment of quality of research and education is commissioned by the universities under their autonomy.

Training and development. Universities have extensive HR-training programs. However, there are no national regulations or policies on these trainings. On a national level, the Finnish National Evaluation Centre provides possibilities to participate for example to

Quality Assurance development seminars and organizes training, which may also include aspects related to HR-issues.
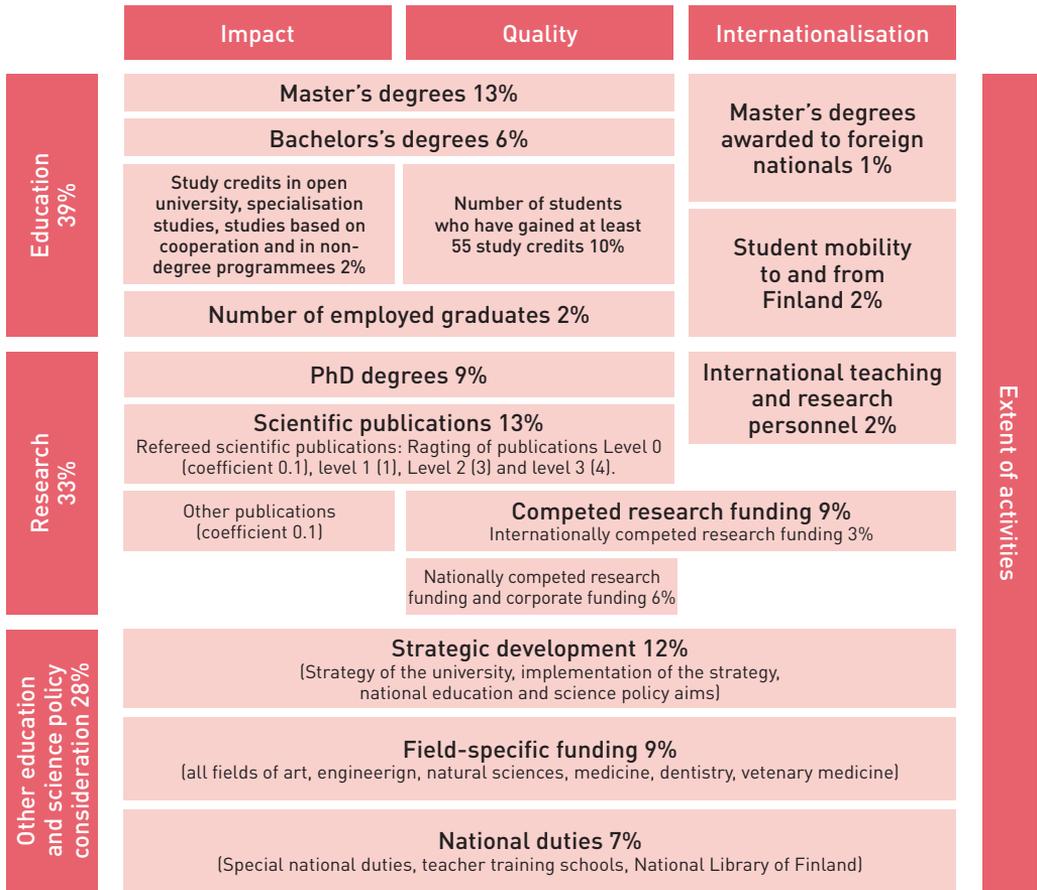
	Impact	Quality	Internationalisation	
Education 39%	Master's degrees 13%		Master's degrees awarded to foreign nationals 1%	**Extent of activities**
	Bachelors's degrees 6%			
	Study credits in open university, specialisation studies, studies based on cooperation and in non-degree programmees 2%	Number of students who have gained at least 55 study credits 10%	Student mobility to and from Finland 2%	
	Number of employed graduates 2%			
Research 33%	PhD degrees 9%		International teaching and research personnel 2%	
	Scientific publications 13% Refereed scientific publications: Ragting of publications Level 0 (coefficient 0.1), level 1 (1), Level 2 (3) and level 3 (4).			
	Other publications (coefficient 0.1)	Competed research funding 9% Internationally competed research funding 3%		
		Nationally competed research funding and corporate funding 6%		
Other education and science policy consideration 28%	Strategic development 12% (Strategy of the university, implementation of the strategy, national education and science policy aims)			
	Field-specific funding 9% (all fields of art, engineerign, natural sciences, medicine, dentistry, vetenary medicine)			
	National duties 7% (Special national duties, teacher training schools, National Library of Finland)			

Figure 3. **Universities core funding model (2017).**

Career progression. There are no national regulations on academic career progression but the Ministry of Education and Culture has published a recommendation of four-stage research career model for developing research training and research careers (OKM 2008). It is widely (and in various ways) applied in the Finnish universities.

The four-stage research career model is presented as follows:

- Stage 1: Young researchers, teaching and research assistants

- Stage 2: Postdoctoral researcher, University Instructors

- Stage 3: University Lecturer, University Researchers

- Stage 4: Professor, Research Director

The first stage usually consists of young researchers working on their doctoral dissertation, the second stage is the career phase of researchers who have recently completed their doctorate, the third stage consists of independent research and education professionals capable of academic leadership, and the fourth stage is that of a professorship. Normally the progression in career happens by applying to open positions, not by promoting within a position that person holds.

In addition, a tenure track positions have been introduced in most of the universities as part of the development of the four-stage career model. However, the legal status of tenure track position is unclear and there is no national model in place (Välimaa et al. 2016, 61). Aalto University is the only university that has fully implemented and established a tenure-track for newly recruited professors (Assistant professor à Associate professor à Professor). The four-stage career model is not part of a binding regulation. However, the universities are required to report their staff according to the four stages, i.e. the universities need to have these categories in place at least in their HRM-reporting systems. The non-academic staff is reported by their administrative functions. The teacher training schools have their own statistical categories. See table 3.

Personnel in universities		
Teaching and research staff	Other staff	Teacher training school staff
1. I Stage (Doctoral student / Young researcher etc.) 2. II Stage (Postdoctoral researcher) 3. III Stage (University Lecturer etc.) 4. IV Stage (Professor / Research manager etc.) 5. Part-time teachers	1. IT-staff 2. Library staff 3. Maintenance 4. Administration 5. Support staff for teaching and research 6. Other (e.g. pharmacy staff)	1. Rector 2. Lecturer 3. Full-time teacher 4. Part-time teacher 5. Other

Table 3. **Personnel in universities**

Pay and benefits. The salaries of the university staff are determined in the universities' Collective Agreement. (Aalto University has its own agreement i.e. the following does not apply to it). Salary consists of two components: 1) task specific requirements and 2) performance level of personal work (maximum of 46 % of the task specific component, and in some rare cases guaranteed salary for persons employed before 31 December 2009). More specifically:

- **Task specific requirements** are determined by the nature and responsibility of the task, the required interaction skills, knowledge and professional skill for the task.

- The **performance level in personal work** is determined by

  – teaching, research and societal merits and merits earned from the academic community (academics), or

  – occupational skills, responsibility in work, activity in work community, quality and profitability.

To assess these components there are different evaluation schemes for teaching and research staff and administrative staff. The level of difficulty of the tasks is assessed in centralized committees within universities. Every university has one assessment committee for the teaching and research staff and one for other staff. Task requirements and performance of personal work are both assessed in evaluation discussions between the employee and his/her supervisor. Evaluation discussions are run every two years at the level of the whole university. A university can decide on an additional bonus system, but only a few universities have introduced additional bonuses for their staff (Välimaa et al., 2016).

HR analyses and reporting. The Ministry of Education and Culture collects data from the universities annually for the purpose of evaluation, development, statistics and other monitoring and steering of education and research (Universities Act 558/2009, Amendment 954/2011). The collected data is specified in the Data Collecting Guide (2016) published annually by the Ministry. In addition to the personnel data, the ministry requires universities to collect and report data on their performance. Collecting performance data has had a major impact on publication behaviour of researchers and, thus, HRM functions of universities. This is regardless to the explicit statement that performance data ought not to be used in order to evaluate or steer individual's research activities. Moreover, universities are also required to collect data on international (outgoing and incoming) visits. Partly because of this, the international visits are often supported by university HR-policies.

In addition, the universities have to provide the Ministry with various data regarding finances, including financial statement's profit and loss account, the university's total personnel expenses and salaries and other pays. Pensions and other side costs also need to be reported. Furthermore, the universities are required to report research funding and expenses, including investments and development.

The Ministry of Education and Culture and the Finnish National Board for Education are jointly running a national statistical online service called 'Vipunen' database. The data is mostly/partly openly accessible to the public and can be used by institutions and researchers.

HEI's HR special issues. The **annual working** time for full-time teaching and research staff is specified as 1624 hours. The allocation of the 1624 hours is determined in the annual work plans for an academic year, prepared by the staff in collaboration with their supervisors and accepted by the university. The work plans are tailored individually and they determine employee's participation in teaching, research and other tasks. If the tasks are teaching oriented, the maximum teaching hours are 396 per academic year, and for professors 142 hours per academic year. For tasks that do not include research, the teaching hours are a maximum of 455 hours per academic year. The employee is responsible for the use of his/her working hours and the results in the limits of total working hours. For part-time teaching and research staff, the regular working hours are 36 hours 45 minutes a week. (Universities Collective Agreement.)

The Universities Act states that the universities shall have autonomy with a view to securing the freedom of academic and art education. Autonomy entails the right to decision-

making in matters belonging to internal administration. Further, the universities have free-dom of research, art and teaching. However, a teacher must comply with the statutes and regulations issued concerning teaching arrangements.

Employment Contracts Act (55/2001) on the other hand states that the employer may not act in the employment relation in a manner that may endanger the freedom of research, art or education. The employment contract of an employee belonging to the research and teaching personnel of the university may not be terminated or cancelled on grounds refer-ence to which would infringe upon the freedom of research, art or education.

There are three labour unions for academics in Finland. 1) The Finnish Union of University Researchers and Teachers is a professional organization for teachers, researchers, library personnel and other academic experts at universities and research institutions (mainly low-rank academics) 2) The Union for University Teachers and Researchers in Finland (mainly mid-rank academic in teaching positions) and The Finnish Union of University Professors (full professors). All three are members of a central union AKAVA and the main contracting organization JUKO. The employees negotiate with the Association of Finnish Independent Education Employers (AFIEE) on the wages and other employment terms and conditions of university personnel. AFIEE represents around 320 employers in the education and higher education sector in Finland. The association is a member of the Confederation of Finnish Industries (EK) and European Federation of Education Employ-ers (EFEE).

Information systems and personnel administration. There is no national-level IT-support in place for HRM, but most of Finnish universities are clients to Certia Oy, which is an ex-pert organization specialized to producing financial and personnel administration servic-es to universities and UASs. Certia provides support services in personnel administration processes. Regarding personnel administration, Certia provides services for salaries, fees and grants, holiday pay and compensation, accounts and reports to authorities and other electronic services for managers and employers.

National policies regarding HR in Universities of Applied Sciences. The mission of the UASs is to provide higher education for professional expert jobs based on the requirements of working life and its development, and support the professional growth of students. They also carry out applied research, development and innovation activities and artistic activi-ties that serve UAS education, promote industry and commerce and regional development and regenerate the industrial structure of the region. In executing these tasks, UASs pro-mote lifelong learning (University of Applied Sciences Act, 932/2014). There are currently 23 Universities of Applied Sciences providing education that are administered by the Ministry of Education and Culture. In addition, Åland University of Applied Sciences provides edu-cation in the Åland Islands and the Police University College operates under the Ministry of the Interior.

HR strategy and planning. Like with universities, the Ministry of Education and Culture negotiates with the Universities of Applied Sciences in the beginning of each four-year

agreement-period and sets the goals for the term. The UASs have a high level of autonomy in regards to HR strategies and the Ministry's steering regarding personnel is indirect, and this happens mainly through funding. The core funding offers incentives regarding teacher and expert mobility and publications and in 2017–2018 an extra funding of 105 M€ is provided for improvement of higher education's digital learning environments, increasing possibilities of providing teaching through the vacation periods and improving research by young scientists (VM/2266/02.02.00.00/2015).

Job demands. The national policy frame provides some starting points for job demands. These are the regulation on organisational structure, roles, tasks and qualifications. The UAS Act (932/2014) determines UASs as legal persons as a limited company stipulated by the Companies Act (624/2006), unless otherwise provided in the UAS Act. A board and a rector manage the internal administration of a UAS. In addition, a UAS must have at least one board of examiners (UAS Act 932/2014 15 §). A UAS can have other organs if determined in the institutional statutes.

Main responsibilities, qualifications, roles and tasks. The duties and structure of the board and the duties and qualifications of a rector are regulated in UAS Act 16–19 § and in Companies Act (624/2006). The responsibilities in HR are as follows:

The board hires the leading staff working directly under the rector, unless the board has devolved the task to another organ of the UAS. The rector is responsible for hiring and dismissal of rest of the staff. The rector may delegate the hiring of the staff or other matters within his or her remit to another organ or staff member of the UAS. When it comes to academic and other tasks, a UAS has principal lecturers and lecturers and other teaching and research staff. The qualification requirements of the teaching staff are regulated in the UAS decree (1129/2014 17–18 §).

Rector's qualification requirements are regulated in UAS Act (932/2014 18 §). Principal lecturer is required to have an applicable licentiate degree or a doctoral degree (with some exceptions). In addition to the degree, a minimum of three years of professional experience from the field of study is required in most of the positions. Lecturer is required to have an applicable master's degree (with some exceptions). In addition to the degree, a minimum of three years of experience equivalent of the degree is required in most of the positions. Principal lecturer and lecturer for a professional teacher training have the same requirements as above mentioned. In addition, they are required to have competency for a UAS or vocational education teacher and to have minimum of three years of teacher experience in a UAS or a vocational school.

The requirement for the rector elect is that he or she has a doctorate degree (or equivalent skills) and the competence required for discharging the duties, as well as proven good leadership skills. The pedagogical training is no more a legal prerequisite for being employed as a teacher in UAS. However, according to collective agreement, a reduction of salary is possible the principal lecturers, lecturers and full-time teachers who are lacking the minimum of 60 ECTS of pedagogical training.

Recruitment and selection. According to the UAS Act 18 §, it is the rector's responsibility to decide over the employment and dismissal of personnel. However, the rector can assign this responsibility to another organ or employee of the UAS.

Performance evaluation. Ministry of Education and Culture and the UASs together agree on the quantitative and qualitative objectives, implementation and evaluation of educational, research, development and innovation functions. On behalf of the UAS, the agreement is signed by the chair of the board and the rector. If the quantitative objectives cannot be nationally or regionally coordinated, the Ministry of Education and Culture can after hearing a UAS decide on the quantitative and qualitative objectives of a single UAS. The Ministry grants funding within the state government's budgetary appropriation to UASs in order for them to fulfil their operations regulated by the law. The budgetary appropriation allocated for UASs in the previous year will be increased according to the yearly level of costs.

Ministry of Education and Culture allocates core funding to UASs by taking into consideration the quality, effectiveness and extent of the operations of the UAS, as well as other objectives of educational politics and research and development policies. The core funding (comprising 80-85% of the total funding for UASs) is allocated so that 94% of the funding is determined by the quality, effectiveness and extent of operations and 6% is determined by education, research and development politics (Figure 4). (UAS Decree 1129/2014 12–14 §.)

Finnish Education Evaluation Centre carries out external reviews for higher education institutions and according to the National Plan for Education Evaluation 2016–2019 the review concerning teaching staff will concentrate on the changes in the role of teachers, and the capacity of teacher education and continuing education to respond to the changes. The evaluation will focus on:

a) the changes in the role of teachers and the abilities of the teaching staff to meet learners from different backgrounds and changing policy environment.

b) the role of capacity development (education and training) of staff in meeting the requirements of changing environment.

The evaluation will also focus on entrepreneurship and innovative capacity in higher education. The information derived will describe the quality and impact of the entrepreneurship and R&D activities and result in development recommendations.

Training and development. UASs have extensive HR-training programs but there are no national regulations or policies on these trainings. However, it has been recognized that the requirements for expertise have changed to some extent due to digitalization and increased emphasis on RDI-activities (budget cuts and increased percentage of external RDI-funding). Therefore, there has been discussion on teachers' basic- and in-service training to be launched (OKM/8/210/2015).

Career progression. In the UASs there are no national career models or promotion schemes. However, the staff is divided into three categories (Table 4).
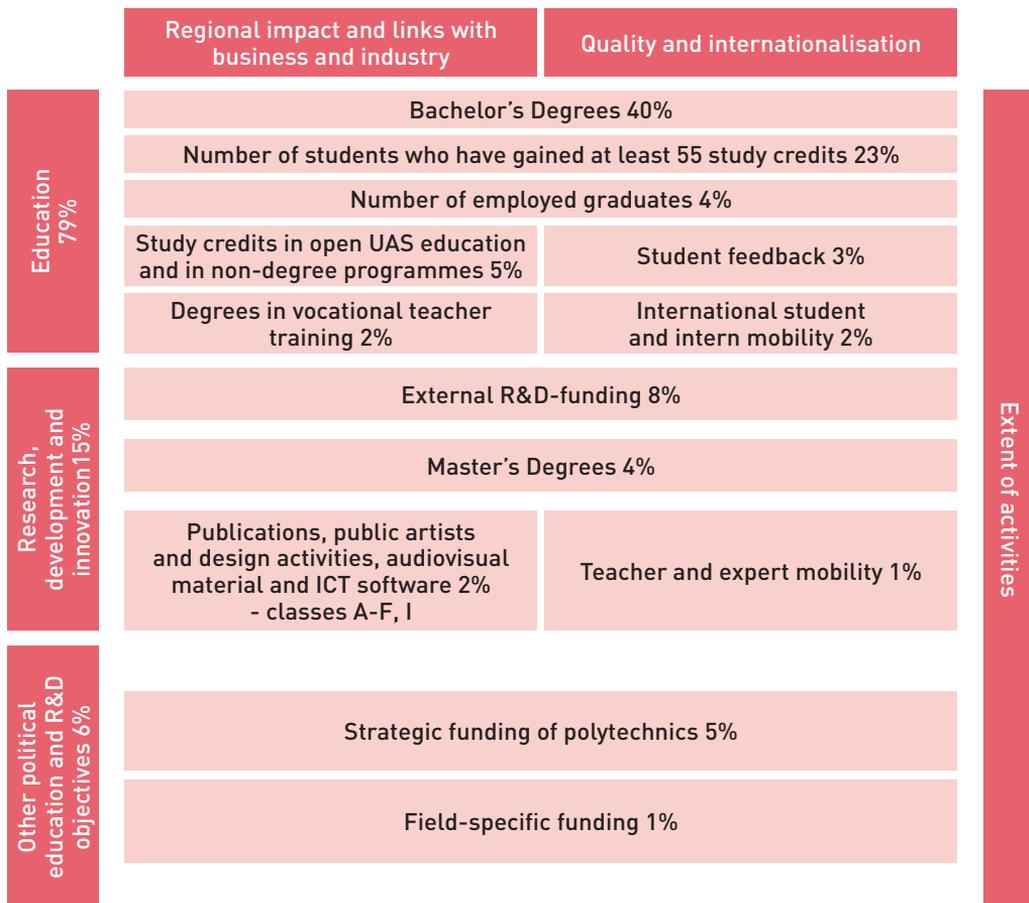
Regional impact and links with business and industry	Quality and internationalisation	
Education 79%	Bachelor's Degrees 40%	Extent of activities
	Number of students who have gained at least 55 study credits 23%	
	Number of employed graduates 4%	
	Study credits in open UAS education and in non-degree programmes 5%	Student feedback 3%
	Degrees in vocational teacher training 2%	International student and intern mobility 2%
Research, development and innovation 15%	External R&D-funding 8%	
	Master's Degrees 4%	
	Publications, public artists and design activities, audiovisual material and ICT software 2% - classes A-F, I	Teacher and expert mobility 1%
Other political education and R&D objectives 6%	Strategic funding of polytechnics 5%	
	Field-specific funding 1%	

Figure 4. Core funding granted by the Ministry of Education and Culture (UAS decree 1457/2014)

Personnel in Universities of Applied Sciences		
Teaching staff	Research-, Development- and Innovation staff	Other staff
Principal lecturer Lecturer Full-time teacher		ICT-staff Library staff Maintenance staff Administration staff Support staff for teaching Support staff for R & D Other

Table 4. Personnel in Universities of Applied Sciences

Pay and benefits. Teaching staff's employment is regulated in the teachers' collective agreements (OVTES 2014–2016, parts A and D, valid only until the end of this agreement period), AVAINNOTES, State Government Collective Agreement (Police University College) regarding working hours, annual leaves, salary and other payments. What has been agreed about principal lecturer's and lecturer's employment conditions in the collective agreements, is also applied in a person with the same duties as principal lecturer or lecturer, but with another official title.

The minimum monthly salary of a principal lecturer and a lecturer is determined by years of work experience. The salary is also determined by cost category. The cost categories are category I and category II according to the municipality in which the work place is located. In addition to the monthly salary, a compensation for vacation, inconvenient hours (18.00-07.00) and personal supplement (decided upon by the employer) are paid at issue. Teachers of technology field are paid an availability supplement that is computed with specified factors and added to the monthly minimum salary. For a teacher who has not completed minimum of 60 ECTS of teacher training, the minimum salary is reduced 6–20 %.

HR analyses and reporting. Ministry of Education and Culture asses the UASs through financial statements and statistics (Guidelines for contract preparations for 2017–2020). Ministry collects the data directly from the HE institutions and also uses data collected by other actors like Statistics Finland and Finnish National Agency for Education. The data is then used for planning and steering the HE sector, for example as grounds for the allocation criteria of the basic funding of HE institutions. Ministry's direct data collecting is based on Section 45 of the UAS Act 932/2014, where it is stated that the UAS shall provide data needed for the evaluation, development, statistics and monitoring of education, as specified by the Ministry of Education and Culture. The detailed requirements can be found from the Data Collecting Guide that the Ministry publishes annually. The data collecting concerning the employed personnel and their employment periods will be collected for each statistical year.

Furthermore, the UASs are required to inform the Ministry of Education and Culture in advance of any structural reforms with significant effects on personnel. The UASs are required to follow good personnel politics when implementing structural reforms (OKM/8/210/2015.) Regarding the steering, the Ministry also visits each UAS once during the contract period and the visitations are based on meetings of the management, personnel, stakeholders and students.

HEI's HR special issues. Annual working hours are determined in the collective agreements. For a principal lecturer and a lecturer, the hours vary depending on the agreement, but are approximately 1600 hours a year, of which 400 hours is up to the teacher to decide where and when to work. In the education field of technology and transport, the employer can determine working hours for 35 weeks, which leaves the teacher 600 hours to decide for himself/herself. Part-time teacher's working hours are 760 hours/year, or minimum of 19 hours/week on average. Elective hours regarding working hours and place is 25% of the confirmed working hours. If a part-time teacher teaches less than 19 hours a week, salary will be paid on hourly basis.

The teacher is to be given a free period of 8 weeks (56 calendar days) during 2 May – 30 September, and the employer is not allowed to allocate work-hours in this period. The free period can be divided into two parts. The teacher is also to be given a free period of 4 weeks (28 calendar days) at another time than from 2 May to 30 September, and it can be given in maximum of 4 parts.

The biggest **trade union** for teachers is The Trade Union for Education in Finland and is the only trade union, which conducts negotiations on the terms of the teachers' employment contracts. Salaries and working hours are determined in the collective agreement. UASs' other staff members can belong to various different trade unions according to their occupation or degree.

Legal aspects. The staff of an UAS is regulated by several different national laws. Even though UASs are seen as limited liability companies governed by the Companies Act and the employees are under a contract of employment by civil law, the staff is also considered as government officials, which lays certain responsibilities.

The Administrative Procedure Act (434/2003) promotes good administration and access to justice in administrative matters and is applied to the UAS regarding its decision making on statutory administrative operations, e.g. in the case of a student appealing against a decision by the UAS.

Based on the Constitution of Finland (731/1999) 2 §, a public authority or a person carrying out the task of a public authority can be held responsible for the legality of his/her actions. Further, according to the Criminal Code of Finland (39/1889) 40:11 §, a person whose functions include issuing orders that oblige another or decide on the interest, rights or duties of another, or who in his or her duties intervenes into the benefits or rights of another, can be prosecuted on impeachment. Personnel or a member of an organ of a UAS uses public powers when for example selecting students, evaluating study attainments, crediting previous studies, continuing or denying right to study, granting degrees or disciplining students (Kosonen et al. 2015, 126). Furthermore, an official or a person with such delegated tasks can be disqualified on certain grounds, e.g., if a specific benefit or specific loss from the decision of the matter is foreseen for him/her or a close person; or if he/she is in service with or in a pertinent commission relationship to a party or a person due to gain specific benefit or suffer specific loss from the decision of the matter (Administrative Procedure Act 28 §).

Furthermore an official or a person with such delegated tasks can be disqualified on certain grounds. For example if a specific benefit or specific loss from the decision of the matter is foreseen for him/her or a close person; or if he/she is in service with or in a pertinent commission relationship to a party or a person due to gain specific benefit or suffer specific loss from the decision of the matter (Administrative Procedure Act 28 §).

Other laws concerning the staff are Act on the Openness of Government Activities (621/1999), Language Act (423/2003) and an Act on Electronic Services and Communication in the Public Sector (13/2003) and they are employed when applicable.

Information systems and personnel administration

The Ministry of Education and Culture collects data regarding various subjects and it gathers the information from different sources like Statistics Finland, Finnish National Agency for Education, XDW-knowledge storage and the UASs themselves. Like with universities, Vipunen database is the education administration's reporting portal. Vipunen's statistics are based on data and registers collected by the Statistics Finland, the Ministry of Culture and Education and the Finnish National Agency for Education (www.vipunen.fi.)

4

CONCLUSIONS

Modes of competition for students, staff and scarce resources have been introduced and increased within the European Higher Education Area. More liberal regulations lead to greater institutional independence, further chances and higher responsibilities for staff and HR related functions. Academic administration and management have become increasingly complex: the institutions have so far become larger and more multifaceted, the tasks have multiplied (modern "multiversities") and therefore the need to provide skilled management and administration has increased. More HRM tasks have to be fulfilled at the institutional level than before. Professional HRM is an important prerequisite to enable the HEI to perceive itself as an autonomous organisation instead of being subordinate to central government.

Specific services of HRM have been established and developed during the last decade. Universities as knowledge-based organisation have a strong focus on the quality of their academic staff as they are responsible for teaching and research. Another important prerequisite to a successful university are their services, which highly depend on the quality of the administration and management. The quality of management and academia depends on the quality of HRM and its functions. Interestingly, state-of-the-art literature on HRM is rather rare. Only a few publications, as introduced in our report, deal with this management field in Europe. The report clearly demonstrates the differences in function and services of a HRM at HEIs, at least in the mentioned three countries. This first overview about international (EU) and national policies and HR regulations helps to develop further HR capabilities and capacities at system, institutional and individual level. The report will be used to develop a European HRM benchmark tool to address and help universities with HRM.

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