Promoting Educational Organisation

Through People

WP1 REPORT

September 2014

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Higher Education Institutions (IES) play a critical role in the cultural, social and economic sphere of societies. TEMPUS, Trans-European mobility scheme for university studies, is the EU programme which supports the modernization of higher education in the EU's surrounding area and seeks to enshrine that critical role by developing and modernizing higher education in its partner countries of the Western Balkans, Eastern Europe, the Mediterranean region and Central Asia (DGES[1]).

The Education, Audiovisual and Culture Executive Agency (EACEA) is responsible for the management /implementation of all Tempus Actions and acts under powers delegated by the European Commission.

The PEOPLE Project - Promoting Educational Organisation through PeoPLE - contains 7 work packages (WP), and this work sheds light to the activities carried out by IST, Instituto Superior Técnico, as WP1 project leader.

1.1. General objective

The general objective of the PEOPLE project is to **strengthen the competencies of top and middle managers of institutions for higher education.** More specifically, the project aims at developing human resource (HR) management and staff through a strategy that addresses the unique challenges of each institution and focuses on the economic transition processes of the partner countries and the effects of globalization. Focused on fully complying with the general goal of the project, eight objectives were defined, as described below:

✓ To carry out a HR processes and procedures audit in order to find out the strengths, weaknesses, opportunities and threats this domain is currently facing;
✓ To carry out training needs detection throughout a map of competencies on HR in Higher Education Institutions;
✓ To carry out a training for trainers (experts in the field of HR in the partner countries) which will further train the HR academic and staff people at each partner university;
✓ To carry out training seminars on HR most relevant processes (identified in the previous objective) in order to improve the competencies of top and middle managers (both academic and administrative or technical staff);
✓ To develop a strategic plan for the development of HR in each partner university taking into consideration their specific results of the audit analysis;
✓ To implement the strategic plan during the second and the third year of the project in order to follow up deviations and improve results;
✓ To create a specific resources center at each partner university with materials as well as an online platform with shared information on HR;
✓ To create a printed handbook of HR materials with the results of the training and the HR standardized processes.

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[1] DGES, TEMPUS Programme, from www: http://www.dges.mctes.pt/DGES/pt/Reconhecimento/Uni%C3%A3o+Europeia/Tempus/ 29 September 2014

1.2. Partner country institutions

There are three Partner Institutions from Armenia, two from Georgia, four from Kazakhstan and three from Europe. The Project Coordinator is the T. Ryskulov Kazakh Economic University, and the other partners contribute to the development of the work of each WP.

		COUNTRY	INSTITUTION	Leader	Acronym
PC		Armenia	Armenian State University of Economics		ASUE
			American University of Armenia		AUA
			Russian-Armenian Slavonic University		RAU
PC		Georgia	Ilia State University		ISU
			Kutaisi University	WP5	KU
PC		Kazakh	S. Toraighyrov Pavlodar State University		PSU
			Karaganda State Medical University		KSMU
			T. Ryskulov Kazakh Economic University	Coordinator WP4, WP6	KazEU
			Kazakh Academy of Transport and Communications		KazATC
CC		Portugal	Instituto Superior Técnico	WP1	IST
CC		Spain	Universitat Politècnica de Catalunya	WP2, WP3	UPC
CC		Sweden	Royal Institute of Technology	WP7	KTH

* Caption: PC – Partner Country; CC – EU or Candidate Country

Figure 1 – Involved partners

2. Project Organization

The seven WP will take place during 36 months, between December 2013 and January 2016.

WP1: HR processes audit and mapping competencies
    1.1 HR processes and procedures audit
    1.2 Map of competencies in HR managers and staff

WP2: Training Human Resources managers and staff
    2.1 training HR trainers
    2.2 Training seminar on HR in each partner institution
    2.3 HR Workshops

WP3: Strategic plan for the development of HR in each partner university
    3.1 To develop a strategic plan
    3.2 To implement the strategic plan

WP4: HR resources centers
    4.1 HR resources center
    4.2 Handbook of HR materials

WP5: PEOPLE dissemination strategy
    5.1 Creation/update of project website and newsletters
    5.2 PEOPLE dissemination conferences

WP6: Management of the project
    6.1 PEOPLE partner meetings
    6.2 Reporting activities

WP7: Quality plan
    7.1 Quality plan & evaluation procedures and follow up

As WP1 Coordinator, IST put together a team of 5 persons (4 from the Institutional Studies and Planning Office and 1 from the Quality and Internal Audit Office), and divided the work among the different team members: audit process carried out by three members and mapping competencies by two.

2.1. HR processes audit

The HR processes and procedures audit intended to analyze the state-of-the-art of the partner country universities involved, in terms of established human resources processes and procedures.

The auditing process was based on several tools:

✓ **HR process chart:**

A chart of the main HR processes was identified by each partner institution and an audit process was developed in each university, taking into consideration the international standards for auditing (ISO) and the HR Portuguese Standard NP *4427:2004;*

✓ **An audit plan:**

Which was the basis to plan the audit to be carried out during two stages, by EU partners, in the different partner institutions. The first stage was an online questionnaire based on the predefined process chart. The second stage was a site visit by the EU representative to make an in-depth analysis of the roles and responsibilities within the processes and the training needs found most important. The two stages were clearly planned in the AUDIT PLAN (Annex I);

✓ **Audit Checklist:**

This audit tool consisted of 2 elements: an online questionnaire developed in *LimeSurvey* (Annex II) and a site visit checklist based on the self-assessment online questionnaire.

✓ **Audit Report:**

By the end of each audit, a confidential report was drawn up by the auditors specifying the strengths, weaknesses, and areas for improvement that each partner institution currently should take into account in their human resource management systems.

2.1.1. Chronogram

The audit process was developed in several stages, as stated in the timetable below, and included the development and application of several documents / tools.
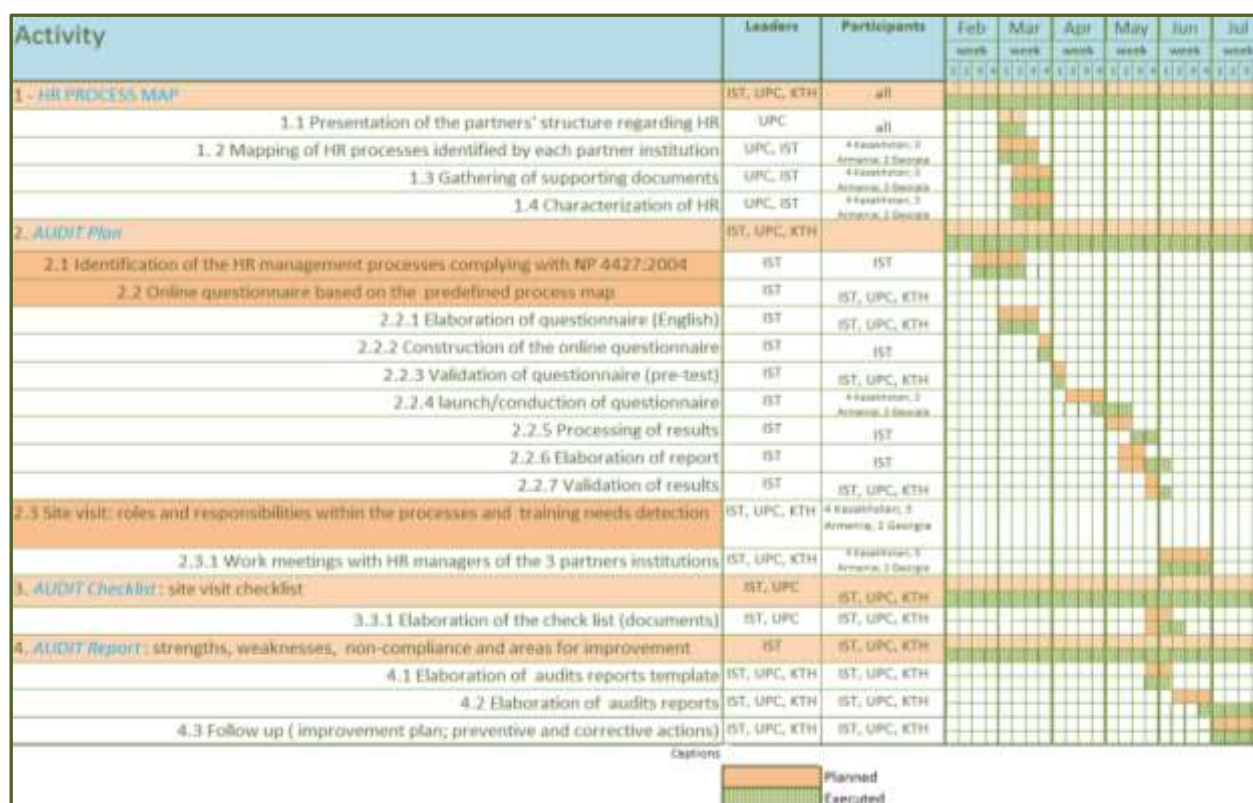
Figure 2 –Audit process chronogram

2.1.2. Methodology, documents and tools

For a start, it was necessary to collect a set of data, systematize some information, and develop some supporting tools, as described below.

2.1.2.1 HR Process Map

For the preparation of the HR audit process, an *excel* file was developed to be filled by all the project participants. This file intended to facilitate the characterization and identification of HR processes at each partner HEI, in the following aspects: characterization of HR structures, positions and strategies, applicable legislation, main HR processes and tools. In some cases, it was possible to test the project support tools in all European partners, but in other cases it was only possible to test it in IST, leader of this WP.

✓ **CARACTERIZATION OF HR** (Annex III)

Administrative and Technical Staff
Number and Ratio
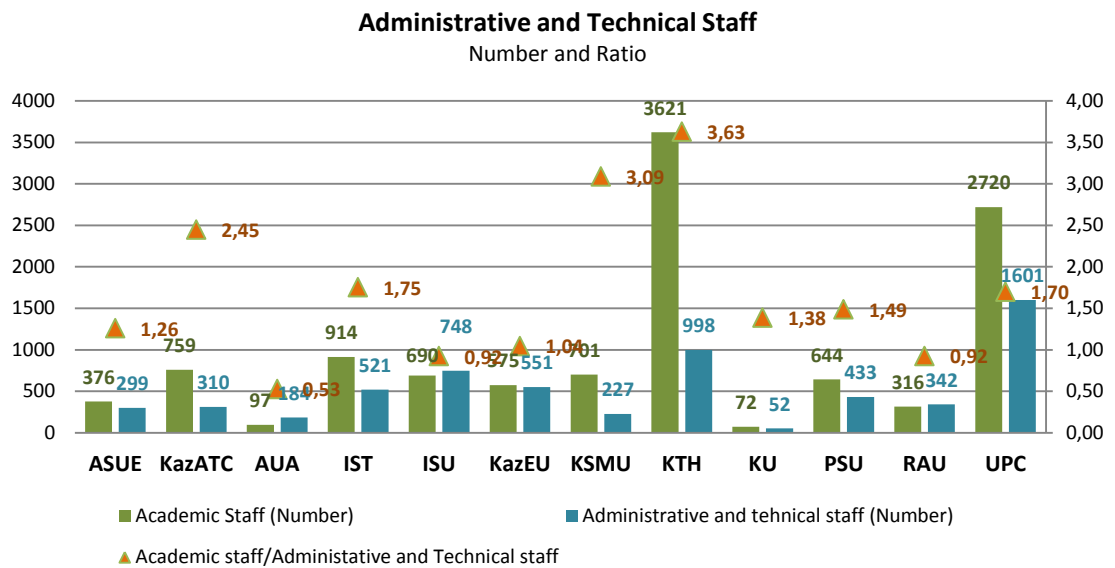
Figure 3 -Number and ratio of administrative and technical staff

The Academic staff/administrative and technical staff ratio ranges from 0,53 to 3,09 .

Mean Age
Academic and Administartive ant technical staff
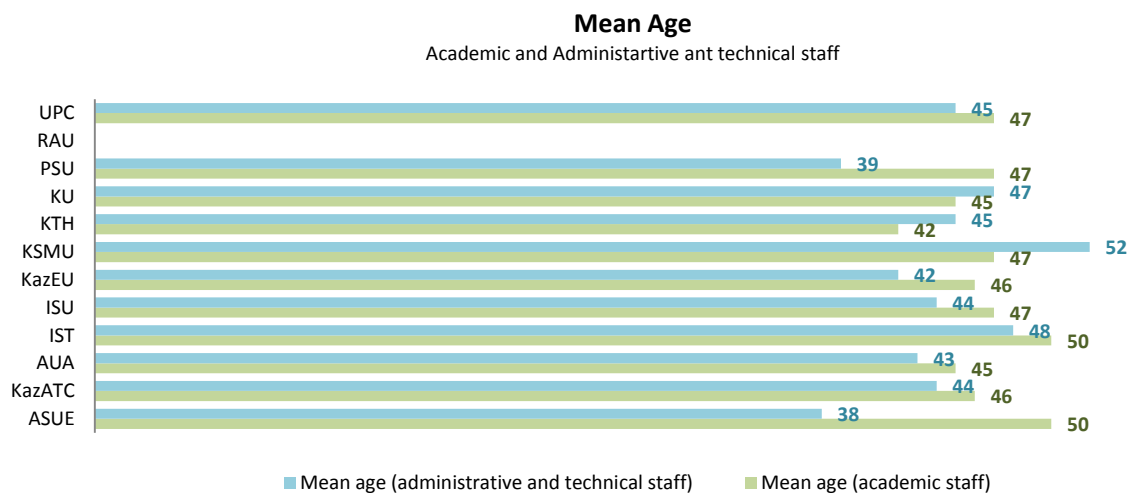
Figure 4 - Mean age administrative and technical staff

The average age of the academic staff ranges from 45 to 50 and the average age of the administrative and technical staff ranges from *38* to 52.

Administrative and Technical Staff
% Graduated and Managers
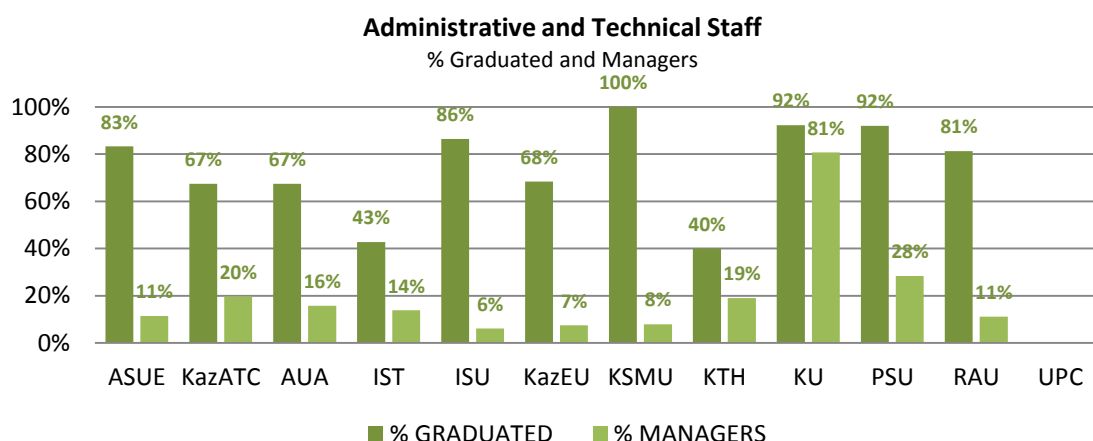
Figure 5 - % Graduated and managers admin. and technical staff

The % of graduates for the administrative and technical staff varied between 43% and 100%, and the % of managers between 6% and 81%.

✓ **HUMAN RESOURCES STRATEGY** (Annex IV)

From the selected HR management strategies and policies, it was possible to identify the main concerns of the different HEIs, which are described below.

Key issues	▪ transparent, adequate, competitive recruitment/selection/allocation system: equal access to jobs, opportunities and careers
	▪ professional development for academic and administrative/technical staff (including trainning in leadership, management, pedagogichal and technical competences, ...)
	▪ creation of a personnel reserve
	▪ attraction of external (including international) top talents
	▪ Internationalization of academic and administrative/technical staff (english language)
	▪ development of performance internal evaluation system including processes/competences assessment and indicators for activities control
	▪ Effective communication systems
	▪ Strategic planning for future HR needs
	▪ Transparent system for career progression
	▪ Incentives system to enhance staff motivation/morale (including competitive compensation/ benefits/social policy) contributing to a stable team
	▪ create working conditions and a stimulating environment for the development of creative potential

✓ **HR STRUCTURE & POSITIONS**

According to this survey, each partner was meant to identify the HR management positions in the university's structure in order to identify their legal framework, as well as the main processes developed in this area and the tools used to support them.

		ASUE	KazATC	AUA	IST	ISU	KazEU	KSMU	KTH	KU	PSU	RAU	UPC
HR STRUCTURE & POSITIONS													
University	University Council			29	33		5		15	2		44	52
	Rector/President								1				1
	Vice-Rector/Vice-President for HR								1				1
	Academic Council									9			67
	Human Resources Department						7	4	1		3	3	77
Faculty	Deans Office/Management Board			12						6			
	Human Resources Department			6					1				
	Administrator								1				1
	Head of Department			10						3			1
	Head of R&D Units			29						8			

Figure 6 – HR structure & positions

The legal framework of HR Management is systematized according to major areas of action, from the documents identified regarding governing legislation of the universities to internal regulations, which were made available mostly via worldwide web (example of IST legal framework in Annex V).

Legal framework

		ASUE	KazATC	AUA	IST	ISU	KazEU	KSMU	KTH	KU	PSU	RAU	UPC
1	**HEIs Legal Framework**												
2	**Managment Staff Code**												
3	**University/Faculty Statutes**												
4	**Teachers and Researchers Career Code**												
5	**Teaching Performance Evaluation System**												
6	**Adminstrative and Technical Evaluation System**												
7	**Managers Regulations**												
8	**Labor Code (Contracts, Careers and Salaries)**												
9	**Private Institutions of HE Guidelines**												
10	**Job Description**												
11	**Code Procedures (Including Recruitment, documentation...)**												
12	**Finantial compensations, Bonus, Social Benefits, etc**												
13	**Other Internal Regulations (Ethic code, HR planning, etc .)**												

Figure 7 – HEI Legal framework

Finally, all participants were requested to identify HR management tools, in accordance with a previously prepared grid as per the HR Portuguese Standard NP 4427:2004. The IST example is presented below and Annex VI provides information from the other partners.

	TEMPUS STUDY and NP 4427	Tools, documents - IST
STRATEGIC PROCESSES	**Policy and Strategy: d**efinition of strategy, HR policy and planning	Strategic Plan, Annual Plans; Definition of conduct patterns and codes (Ethics Charter and other regulations), HR Manual, Hygiene and safety at work Manual, Workplace ergonomics Manual, Facilities and Equipment Manual
	Characterization of the organizational structure: roles and functions	Organization Chart, description of duties (DRH procedures manual and internal regulations such as the one for the regulation and functioning, powers and duties of DRH) and competencies (management manual)
	Internal Communication	Portal, Intranet, platform for the registration of correspondence / documents (record of correspondence and documentation in and out DRH), specific forms for DRH users requests
	External Communication	Newsletter, web page and specific HR portals; HRD Request Tracker system (communication by email with users and respective management)
CORE PROCESSES	**Recruitment**	
	Admission	Selection model, legislation, competitive procedures, contracts
	Welcome and Integration	Welcome manual, Internal information System for HR management
	Career Development	
	Promotions/Motivations	Pool of mobility according to competencies (MOBIST platform)
	Performance evaluation	Career development
	Training	Performance evaluation system (SIADAP internal platform)
		Annual training plan
	Working conditions	Internal trainer pool
		Salaries
SUPPORT PROCESSES	**Administrative management**	Benefits
	Record upkeep, data protection	Missions platform (including workflow applications for missions abroad and respective authorizations)
	New technologies	
	Outsourcing	Data recording, archives

Figure 8 - IST Processes Chart - tools and documents

2.1.2.2 AUDIT Plan

This task included the identification of the HR management processes complying with the Portuguese standard for HR Management (NP 4427:2004).

Simultaneously, an online questionnaire was developed (online self-assessment questionnaire in (*Annex II*) taking into consideration the international auditing standards (ISO 19011:2012) and the above referred standard NP 4427:2004. This questionnaire was fulfilled on line by all partner countries covering the following aspects:

1. **HR MANAGEMENT SYSTEM (HRMS)**
   Human Resources Manual (HRM)
   Document and Data Control
   Record Control

2. **MANAGEMENT RESPONSABILITY**
   Management Commitment
   Human Resources Policy
   Responsibility, Authority and Communication
   Responsibility and Authority
   Management Representative
   Internal communication

3. **PLANNING**
   HR Planning
   Characterization of Organizational Structure
   HR Objectives
   Compensation and Benefits
   Sanctions

4. **HR MANAGEMENT**
   Administrative Management
   HR Recruitment and selection
   Admission
   Reception and Integration
   Behaviors
   Development
   Training
   Recognition of Competences
   Career
   Acquisition of Goods and Services

5. **MEASUREMENT, ANALYSIS, AND IMPROVEMENT**
   Measurement
   Performance evaluation
   Internal Satisfaction
   Control of Non-conformities
   Data Analysis
   Improvement

2.1.2.3 AUDIT Checklist

Based on the results of the self-assessment questionnaire it was developed a checklist to support the audit visits to each HEI. This task also included the elaboration of the Audit plan/Agenda for each auditee (Annex I). The audit visits to HRM systems in HEI partners were scheduled between June and July 2014 and were held on the following dates:

Country	Institution	Audit date	Team
Georgia	Ilia State University	3/6/2014	IST, UPC
	Kutaisi University	4/6/2014	IST, UPC
Kazakhstan	S. Toraighyrov Pavlodar State University	18/6/2014	KTH, UPC
	Karaganda State Medical University	18/6/2014	KTH, UPC
	T. Ryskulov Kazakh Economic University	19/6/2014	KTH, UPC
	Kazakh Academy of Transport and Communications	19/6/2014	KTH, UPC
Armenia	Armenian State University of Economics	8/7/2014	IST, UPC
	American University of Armenia	9/7/2014	IST, UPC
	Russian-Armenian Slavonic University	10/7/2014	IST, UPC

Figure 9 – Audit visits calendar

2.1.2.4 AUDIT Report

The audit reports are confidential and were sent to the project coordinator of each HEI in September 2014.

Based on the audit findings, the implementation of each HR management processes complying with NP 4427:2004 was calculated. The outcomes are shown in Annex VII as depicted below:

The items with the lowest implementation rate, at the date the audits were carried out, were those relative to Measurement, Analysis and Improvement processes. Planning and Management Responsibility were the items with the greatest implementation degree found in audited HEIs.

2.2. Mapping competencies

The organization of competence mapping was based on the model of assessment and development of competences from DGAEP[2] (Directorate-general for administration and public employment). The model went through adjustments, with emphasis on complying with the objectives of this project. The competence mapping work was carried out between March and July 2014.

At an initial stage, an analysis of information was made which allowed for identifying and mapping responsibilities allocated and competences required from the human resources holding managerial positions. Secondly, a grid of technical and behavioral competencies was built with the purpose of assessing training priorities felt by staff members of the different partner countries in managerial positions. Once again, the tool was tested in some European institutions and, at a third stage, after analyzing results, training priorities were identified in the different competences considered necessary to effective management of human resources. The methodology described below goes into detail on the stages of the work carried out.

This analysis went through 3 stages:

- ✓ **STUDY ON WORKERS IN HR MANAGEMENT POSITIONS**
    - ▪ Surveying of HR Management positions
    - ▪ Analysis of functions and duties set out in legislation and internal regulations
    - ▪ Development of the matrix of responsibilities in HR Management processes
    - ▪ Analysis of the functions requirements (technical and behavioral skills)

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[2] DGAEP - http://www.dgaep.gov.pt/eng/index.cfm

✓ **COMPETENCY MAP OF THE WORKERS PERFORMING HR MANAGEMENT TASKS**

- To build up a competency assessment framework
- Validation of the competency assessment framework
- Application of the competency assessment framework to HR Managers
- Report and processing of results
- Definition of training needs based on reports
- Validation of final report

✓ **DEFINITION OF TRAINING PLANS**

2.2.1. Chronogram

Activity	Leaders	Participants	Feb week 1 2 3 4	Mar week 1 2 3 4	Apr week 1 2 3 4	May week 1 2 3 4	Jun week 1 2 3 4
1 – Study on workers in HR management positions							
1.1 Surveying of HR Management positions	IST	IST, UPC, KTH, 4 Kazakhstan; 3 Armenia; 2 Georgia					
1. 2 Analysis of functions and duties set out in legislation and internal regulations	IST	IST, UPC, KTH, 4 Kazakhstan; 3 Armenia; 2 Georgia					
1.3 Development of the matrix of responsibilities in HR Management processes	IST	IST, UPC, KTH					
1.4 Analysis of the functions requirements (technical and behavioral skills)	IST	IST, UPC, KTH					
2 – Competency map of the workers performing HR management tasks							
2.1 To build up a competency assessment framework	IST	IST, UPC, KTH					
2.2 Validation of the competency assessment framework	IST	IST, UPC, KTH					
2.3 Apllication of the competency assessment framework to HR Managers	IST	4 Kazakhstan; 3 Armenia; 2 Georgia					
2.4 Report and processing of results	IST	4 Kazakhstan; 3 Armenia; 2 Georgia					
2.5 Definition of training needs based on reports	IST	IST, UPC, KTH					
2.6 Validation of final report	IST	IST, UPC, KTH					
3. Definition of training plans	IST, UPC, KTH	all					

Figure 11 – Mapping competences chronogram

2.2.2. Methodology, documents and tools

After collecting and systematizing data referred to in previous paragraphs regarding the main human resource management processes in each institution, along with a survey of what exists at national level in this area, a full analysis was made and some IST staff members with HR managerial positions were interviewed, with the purpose of better understanding the framework and constraints of this function.

2.2.2.1. Study on workers in HR management positions

During this phase, HR resources in managerial positions have been identified in order to build a matrix that helped organize the duties and competences allocated in virtue of the position or

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post. In this regard, the procedures have focused on the analysis of different legal diplomas, which provided for the organizational structure of the HEI, the duties allocated and the related activities and competencies, namely:

✓ **SURVEYING OF HR MANAGEMENT POSITIONS**
- HEI Legal scheme (Law 62/2007[3]): This law provides for the legal regime of HEIs, governing in particular their incorporation, duties, organization, functioning and responsibilities of their constituent bodies and also the relevant Ministry that carries out the supervision and administration over them, in the framework of their autonomy.
- ULisboa and IST Statutes[4]:
These statutes include general principles; structure; University Bodies; Quality Assurance; Units and Programme Coordinators. Campus, Crosscutting structures; Organization and Functioning of Administration and Support.

✓ **ANALYSIS OF FUNCTIONS AND DUTIES SET OUT IN LEGISLATION AND INTERNAL REGULATIONS**
- Law 2/2004[5]:
It provides for managerial positions, degrees, as managers' competences in virtue of their degree.

✓ **DEVELOPMENT OF THE MATRIX OF RESPONSIBILITIES IN HR MANAGEMENT PROCESSES**
- Development of a matrix, with allocation of duties in HR management processes, based on previously mentioned legislation mechanisms. Annex VIII shows an example of some activities, as well as responsibilities allocated to human resources in management positions.

✓ **ANALYSIS OF THE FUNCTIONS REQUIREMENTS (TECHNICAL AND BEHAVIORAL SKILLS)**
- SIADAP:
Portuguese legislation which determines assessment criteria at behavioral level, which apply to managers.
- Ordinance n.º 146/2011:
Portuguese legislation which determines the need of training with the purpose of providing the development of knowledge and competences suited for the position of manager, relying on a professional and technological advanced Public Administration.

2.2.2.2. *Competency map of the workers performing HR management tasks*

The analysis of information relating to the organic structure, duties/positions and the organizational context, together with the list of competences, allowed for the elaboration of a framework, and involved several tasks:

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[3] Law 62/2007- http://www.dges.mec.pt/en/pages/naric_pages/legislation/general_legislation.htm
[4] IST Statutes - http://tecnico.ulisboa.pt/en/about-IST/statutes/
[5] Lei 2/2004 - http://www.dgaep.gov.pt/eng/media/Legislation_2013/Law-2-2004_ManagersStatute.pdf

✓ **TO BUILD A COMPETENCY ASSESSMENT FRAMEWORK**

Organized by technical and behavioural competences, with the purpose of being used in interviews with HR managers, where the individual, in accordance with his/her duties as a manager, indicates training priorities on the framework. For the purpose, a 4-point scale was used, in that 1 corresponds to a maximum priority of training and 4 to a minimum priority (Annex IX). The tool refers to 23 competences that are necessary to successfully perform the job, with 2 levels: 9 technical and 14 behavioural competences.

▪ Description of the technical competences

Available at Annex X, the description of competences was put forward to clarify some issues during the interviews, particularly for situations in which the instrument was applied electronically.

- Strategic planning, organizational change and quality
- Administration and Public management
- Management of human, financial and property resources
- Information systems and technologies
- Management by objectives and performance evaluation
- Ethics, gender equality, inclusion and environmental policies
- Labour legislation
- Public information and communication
- English

▪ Description of behavioural competences:

Available at Annex XI, the description of the behavioral competences below was put forward for consultation and clarification of some issues during the interviews, if the tool was applied electronically.

- Goal oriented
- Planning and organization
- Leadership and people management
- Resource optimization
- Strategic vision
- Decision
- Develop and motivate others
- Innovation and change oriented
- Communication
- Interpersonal relationship
- Negotiation and persuasion
- Tolerance to pressure and adversity
- Team work and cooperation
- Safety oriented

✓ **VALIDATION OF THE COMPETENCY ASSESSMENT FRAMEWORK**

▪ At a first stage during which the tool was tested, it was applied in person or, in some cases, electronically, to 6 top managers and 5 middle managers with duties in human resources at IST.

▪ After internal validation at IST, the tool was sent for appraisal and consequent validation by the partners of UPC and KTH. Finally, it was translated into English and forwarded electronically to the partners involved in the project for application.

✓ **APPLICATION OF THE COMPETENCY ASSESSMENT FRAMEWORK**
  ▪ The application of competency assessment framework was made locally, with 49 interviews in the different partners countries.

✓ **REPORT AND PROCESSING OF RESULTS**
  After receiving the results, a weighted averaged was established in each competence by all partners, and training needs prioritized.

2.2.2.3.   Definition of training plans

Considering the training needs set out by all partners involved in the project, on a 1 (maximum priority) to 4 (minimum priority) scale, the average of training priorities depicted below, shows that behavioral competences "Leadership and people management" and "Goal oriented", both with an average of 1.7, are considered by the managers as a priority. The second priority refers to the technical competence "Strategic planning, organizational change and quality" with an average of 1.8. In turn, on the average point of the scale, we have training at behavioral level that refers to the competence "Develop and motivate others", followed by the technical competence "Management by objectives and performance evaluation".

Competency	Value
B3.Leadership and people Management	1,7
B1.Goal Oriented	1,7
T1.Strategic planning, organizational change and quality	1,8
B7.Develop and Motivate Others	2,0
T5.Management by objectives and performance evaluation	2,1
B13.Team Work and Cooperation	2,2
B11.Negotiation and Persuasion	2,2
B2.Planning and Organization	2,3
B4.Resource Optimization	2,3
T9.English	2,3
B5.Strategic Vision	2,3
T3.Management of human, financial and property resources	2,3
B6.Decision	2,4
T4.Information systems and technologies	2,4
B8.Innovation and Change Oriented	2,5
T2.Administration and Public management	2,6
T8.Public information and communication	2,6
T6.Ethics, gender equality, inclusion and environmental policies	2,8
B10.Interpersonal Relationship	2,8
T7.Labour legislation	2,9
B9.Communication	3,0
B12.Tolerance to Pressure and Adversity	3,2
B14.Safety Oriented	3,6

B: Behavioral Competencies
T: Technical Competencies

Figure 12 –Identification of training priorities

The figure below depicts a full perspective of the training priorities indicated by each partner. Each column corresponds to the assessment carried out by each partner. The institutions are not identified, because it would not be relevant for the focus of the work. The figure is organized by training priorities and the last column shows average results. As previously mentioned, 1 indicates *maximum priority and* 4 *minimum priority.*

COMPETENCIES	A	B	C	D	E	F	G	H	I	$\overline{X}$
B3.Leadership and people Management	1	3	1	2	2	1	1	2	1	1,7
B1.Goal Oriented	1	3	2	2	2	1	1	2	1	1,7
T1.Strategic planning, organizational change and quality	1	3	2	2	2	1	1	2	1	1,8
B7.Develop and Motivate Others	1	3	2	2	1	1	1	3	2	2,0
T5.Management by objectives and performance evaluation	1	2	1	3	2	2	1	2	3	2,1
B13.Team Work and Cooperation	2	3	2	2	1	2	1	3	3	2,2
B11.Negotiation and Persuasion	2	3	3	2	1	1	2	3	1	2,2
B2.Planning and Organization	3	3	1	1	2	1	2	2	3	2,3
B4.Resource Optimization	2	3	3	2	2	2	2	2	1	2,3
T9.English	1	4	3	2	2	2	1	1	2	2,3
B5.Strategic Vision	3	3	2	3	2	2	1	3	1	2,3
T3.Management of human, financial and property resources	1	3	2	2	2	1	1	2	4	2,3
B6.Decision	2	2	3	2	2	2	2	2	2	2,4
T4.Information systems and technologies	1	1	4	3	3	2	1	1	4	2,4
B8.Innovation and Change Oriented	2	3	3	3	2	2	2	2	1	2,5
T2.Administration and Public management	3	3	3	2	2	2	2	1	3	2,6
T8.Public information and communication	3	3	3	3	1	2	2	2	2	2,6
T6.Ethics, gender equality, inclusion and environmental policies	3	3	3	3	1	3	2	3	2	2,8
B10.Interpersonal Relationship	3	3	4	4	1	2	2	2	1	2,8
T7.Labour legislation	4	2	2	3	1	3	3	2	3	2,9
B9.Communication	3	3	4	4	1	2	2	2	3	3,0
B12.Tolerance to Pressure and Adversity	3	3	4	3	1	3	2	3	4	3,2
B14.Safety Oriented	4	3	3	4	2	3	3	4	3	3,6

Figure 13 –Prioritization of training needs by the partners

The study of the legal diplomas which govern the duties of HR managers and the application of the tool for the identification of training priorities, together with the results of the audit visits, allowed for the elaboration of a training plan designed for HR managers in HEIs.

The training actions will be provided by IST and UPC staff members, considering their fields of expertise (to be developed on WP2).

3. WP1 Evaluation

WP1 went as planned. All activities were carried out and the respective deadlines met.
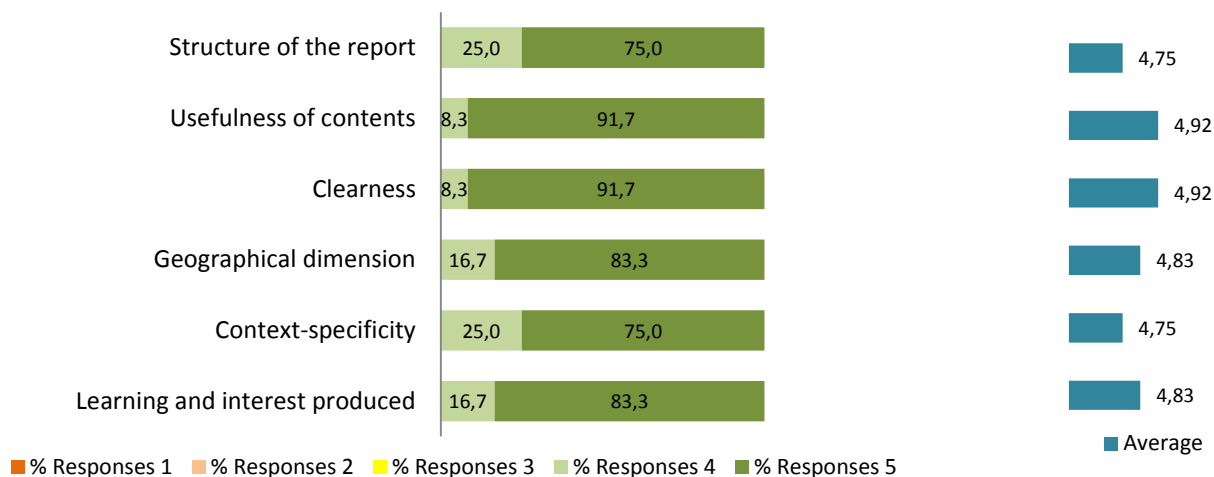
To assess the work done and results achieved, two surveys were conducted in the participating institutions regarding the 2 Phases of this WP: competence mapping and internal diagnosis audit.

These surveys contained 6 questions for each subprocess, and the partners were requested to classify each one based on a 1-5 scale, in which 1 = min. and 5 = max.

12 replies were obtained.

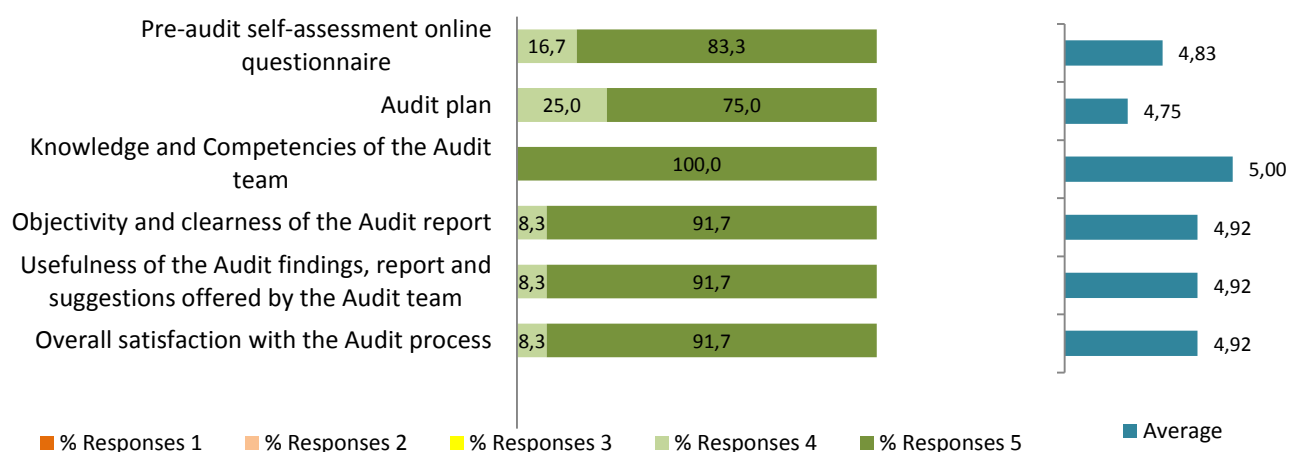## 3.1. Map of Competencies Report

WP1 - Map of Competencies Report

	% Responses 4	% Responses 5	Average
Structure of the report	25,0	75,0	4,75
Usefulness of contents	8,3	91,7	4,92
Clearness	8,3	91,7	4,92
Geographical dimension	16,7	83,3	4,83
Context-specificity	25,0	75,0	4,75
Learning and interest produced	16,7	83,3	4,83

■% Responses 1   ■% Responses 2   ■% Responses 3   ■% Responses 4   ■% Responses 5

Average=4.8

Suggestions

The competency map did not reflect fully the peculiarities of HR management system of our university. Thus necessary additions were made.

3.2. Audit questionnaire

WP1 - Audit Questionnaire

	% Responses 4	% Responses 5	Average
Pre-audit self-assessment online questionnaire	16,7	83,3	4,83
Audit plan	25,0	75,0	4,75
Knowledge and Competencies of the Audit team		100,0	5,00
Objectivity and clearness of the Audit report	8,3	91,7	4,92
Usefulness of the Audit findings, report and suggestions offered by the Audit team	8,3	91,7	4,92
Overall satisfaction with the Audit process	8,3	91,7	4,92

■% Responses 1   ■% Responses 2   ■% Responses 3   ■% Responses 4   ■% Responses 5

Average=4.9

Suggestions

It would be more effective to get a summarized report, findings and recommendations for each country.

All the information or suggestions we get from our European partners are useful.

Annex I – AUDIT PLAN/AGENDA

AUDIT No.	PLAN:	
AUDITEE: **AUDIT PURPOSE** **OBJECTIVES:** **SCOPE:**	**Human Resource Management System (HRMS)** Diagnosis Audit with the purpose of checking compliance with the requirements of standard NP 4427 and other relevant legal requirements, and compliance and understanding by all those taking part in the methodologies set forth in the HRMS. The overall guiding aim is to assess if all stakeholders understand the system, if all those who share responsibilities in the said system know those responsibilities and act accordingly and if, in light of the findings, it can be concluded that the system is fit for the institution to enforce its policy and objectives in terms of human resources.	
AUDITING TEAM (AT):		(LEADING AUDITOR)
		(AUDITOR)
	ESTIMATED DURATION:	

AUDIT AGENDA			
START DAY / TIME	**ACTIVITY**	**PARTICIPANTS**	**COMMENTS**
	OPENING MEETING	AUDITORS AND UNIVERSITY REPRESENTATIVES	INSTITUTION'S AUTHORITIES, HEAD OF HUMAN RESOURCES AND PROJECT LEADER (at the discretion of the HEI)
	AUDIT OF REQUIREMENTS OF STANDARD (NO. 4 TO NO. 6)	AUDITORS AND HEAD OF HUMAN RESOURCES AND PROJECT LEADER	INCLUDE VISIT TO HR DEPARTMENT
	AUDIT OF REQUIREMENTS OF STANDARD (NR. 7 TO NR. 8)	AUDITORS AND HEAD OF HUMAN RESOURCES AND PROJECT LEADER	INCLUDE EXCHANGE OF VIEWS WITH HR EMPLOYEES
	CLOSING MEETING	AUDITORS AND UNIVERSITY REPRESENTATIVES	

Annex II – SELF-ASSESSMENT QUESTIONNAIRE: HUMAN RESOURCES MANAGEMENT SYSTEM

1.1. Human Resources Manual (HRM)

 Is the Organization's Human Resources Manual defined

  Please send in attachment

 Does it include the procedures or reference to the procedures

 Is the Human Resources Manual disseminated through the institution (via website or meetings or others)

1.2 Document and Data Control

 Do you have an approved list of all documents related to Human Resources (HR)

  Please send in attachment

 Do you have identified the policies related to Human Resources (HR)

  Please specify:

 Is there a method that helps avoid the circulation of obsolete documentation and, if any, identify it to prevent their misuse

 Are the control mechanisms of existing information in computer support defined (access network, passwords, etc.)

 Is there a defined methodology for control and preservation of electronic documentation- (backups, antivirus)

 Is the external documentation (including legislation and standards) identified and distributed

1.3 Record Control

 Is there a list with all HRMS records

 Is there a retention time of the HRMS records established

 Are there any records subject to retention time defined by legislation- If so, is the minimum retention time at least the same as that defined legally

 Does existing record control methodology cover all sorts of HRMS records (internal and external, in electronic form and printed-)

 As regards the records subject to confidentiality, does existing control ensure a restricted and authorized access and effective destruction

  Comments

2.1 Management Commitment

 Is the top management actively involved in the implementation and maintenance of the HRMS

 Does top management actively participate in the HRMS communication to the Organization's collaborators (e.g., policy objectives)

2.2 Human Resources Policy

 Is the HR policy clearly defined and suitable to the Organization

 Is clear in the policy the commitment of top management to ensure compliance with the legal requirements and continuous improvement of the HRMS

 Does the HR policy include the definition of the HRMS mission, vision and objectives

 Is the HR policy text clear and perceptible to be understood by all-

 Are collaborators aware of the HR policy and understand their contribution to implement it

 Is the need to review the HR policy evaluated where there are relevant internal or external changes

2.3 Responsibility, Authority and Communication

 Are there the necessary resources to define, implement and maintain the HRMS

 Has the top management provided these resources

 Is a periodical evaluation carried out whether existing resources are sufficient and appropriate to ensure that the HRMS is maintained and its effectiveness improved

2.3.1 Responsibility and Authority

 Were all the responsibilities and authorities of entities (functional areas and functions) defined and documented, which ensure that the HRMS functions are fulfilled and, consequently, implemented and maintained

 Are the interactions between all those involved in the HRMS defined and documented

 Are all persons involved in the HRMS aware of the responsibilities and authorities assigned to them

2.3.2 Management Representative

 Is the management representative for the HRMS clearly identified- Eg. Manager or Director of HR

 Are his/her duties and responsibilities clearly defined

 Does the top management provide the management representative with the necessary resources and means to ensure that the HRMS is properly disseminated, implemented and maintained- A team of people, hardware and software, training, etc

 Was the HRMS representative presented to all organization collaborators

2.3.3 Internal communication
Are the communication channels (ascending and descending), to be used in the HRMS, defined
Do the communication channels allow all relevant aspects of the HRM to be communicated to collaborators effectively
Are the collaborators aware of the available communication channels
Does the existing process of communication predict that any collaborator can propose improvements to the HRMS

2.4 Management Review
Do you carry out annual reports on the main results of the HR processes
Please send attachment if any
Do we know who are the collaborators participating in the review (Comments)

3.1 HR Planning
Is the HR planning carried out on the basis of the Organization's strategy-Scale 1
Is the HR planning carried out on the basis of the Organization's strategy-Scale 2
Is the HRM plan annually prepared-Scale 1
Is the HRM plan annually prepared-Scale 2
Is there any annual HR budget-Scale 1
Is there any annual HR budget-Scale 2
Are the HR management and development strategies and policies formally defined-Scale 1
Are the HR management and development strategies and policies formally defined-Scale 2
Are the HR requirements considered and planned based on the Organization's strategic plan or activity plans-Scale 1
Are the HR requirements considered and planned based on the Organization's strategic plan or activity plans-Scale 2
Is the HR planning periodically reviewed, in order to ensure its continuing suitability to the Organization's strategy and activity plans-Scale 1
Is the HR planning periodically reviewed, in order to ensure its continuing suitability to the Organization's strategy and activity plans-Scale 2
Is the HR planning taken into account in the process of recruitment and selection and in current collaborators' activities-Scale 1
Is the HR planning taken into account in the process of recruitment and selection and in current collaborators' activities-Scale 2
Are there any internal rules and regulations for the Organization's HR planning-Scale 1
Are there any internal rules and regulations for the Organization's HR planning-Scale 2

3.2 Characterization of Organizational Structure
Is the Organization's structure clearly defined
Is the method used in the job description and analysis established-
Does this method include the form of description and analysis of new jobs that are created-
Are there descriptions of all existing jobs in the Organization
Are all collaborators aware of the respective job description
Are the description and the analysis of jobs used as an instrument of effective support of the recruitment and selection process

3.3 HR Objectives
Are the objectives suitable and in line with the Organization's strategic plan or activity plans-
Are the necessary means for achieving the objectives ensured by organization
Are all the Organization's collaborators involved in attaining the objectives (collective or individual)
Are all the Organization's collaborators aware of the objectives they are expected to attain
Does the Organization follow up the progress of the objectives on a regular basis
Are the results obtained in relation to the objectives disclosed to collaborators

3.4 Compensation and Benefits
Is there any compensation and benefits plan and has it been implemented effectively
Are the types of compensation clearly defined in Organization's policy
Are the compensation and benefits allocation criteria defined and disclosed
Are all collaborators informed of any compensation and benefit rights and on which criteria are they allocated
Does the existing compensation and benefits policy provide for equal and Non-discriminatory access
Does the existing compensation and benefits policy comply with the provisions in the legal framework and applicable agreements-

Is the compensation and benefits policy periodically reviewed to ensure compliance with the legal changes that have occurred in the meantime-

3.5 Sanctions

Has the Organization defined the behaviors considered as undesirable or Non-compliant-

Has the Organization defined what penalties can be applied following those behaviours-

Have these behaviours (undesirable/ Non-compliant) been disseminated to all the Organization's collaborators-

Do the sanctions go against the provisions on this issue of the legislation in force (Comments)

4.1 Administrative Management

Are there up-to-date records in the Organization regarding the personal data of all its HR-

Does the way these records are filed ensure that they are protected, as set forth in the legislation relating to personal data protection-

Does the Organization maintain and update the records related to the HRMS activities-

Are collaborators allocated to record filing clearly informed of the procedures to fulfill-

4.2 HR Recruitment and selection

Is the methodology to be used in recruitment (internal and external) and selection of new HR defined and documented-

Please send in attachment

Does the existing methodology clearly specify the methodologies and related techniques for recruitment and selection, as well as the responsibilities for implementation

In recruitment and selection processes, is equality of opportunity and treatment to all candidates ensured

Has it been identified where and when there is external intervention of suppliers of services of recruitment, selection and allocation of personnel

Is the field of action and responsibilities of providers of recruitment, selection and assignment of personnel defined

Does the Organization have a pool of candidates and is it updated

4.3 Admission

Is the methodology on admission of new collaborators defined and documented-

Do you have admission guidelines-

According to the methodology, is it clear how the responsibilities are assigned to the various areas/ and people involved in the admissions process-

Do the various areas and people have an adequate knowledge of the activities that they must develop, when new collaborators are admitted-

4.4 Reception and Integration

Is the methodology of reception and integration of new collaborators defined-

Does this methodology clearly define what activities and respective people in charge of reception and integration are-

Do the stakeholders in the process of reception and integration of new collaborators know the responsibilities assigned to them-

Is the existing methodology effective and does it ensure an adequate reception and integration of new collaborators-

4.5 Behaviours

Did the Organization define and write down the standards and codes of conduct to be followed by its collaborators-

Are these standards and codes of conduct established according to legislation-

When defining the standards and codes of conduct, did the organization consider aspects such as equal opportunity, sexual harassment, physical, psychological and moral coercion, professional ethics and the representation of the Organization-

Have the standards and codes of conduct established by the Organization been disseminated to all its collaborators-

Do all collaborators know and are aware of the standards and codes of conduct established by the Organization-

4.6 Development

Are the personal, professional and organizational skills of its human resources, considered critical to fulfilling its strategy and goals identified by the organization-

Are the procedures to be used to ensure the development of competences of collaborators defined-

Does this procedure allow the development of skills critical to the strategy and objectives of the Organization-

Are the resources to ensure that these procedures are implemented continuously and systematically provided by the organization-

4.7 Training

Has the Organization established a methodology for identifying training needs of all collaborators, which is applied in a continuous and systematic manner-

Are the training needs identified, planned and controlled in a training plan-

Are the objectives to be attained for each training action, as well as the resources necessary for its implementation established by the organization-

Are all resources necessary for the implementation of the training actions available-

Are all training actions evaluated according to specific criteria, in relation to its effectiveness and impact-

Does the Organization ensure that the records giving proof of all training activities are maintained-

4.8 Recognition of Competences

Do all collaborators have their skills formally recognized-

Are there any records giving proof of this recognition of skills-

Is the formal recognition of skills a requirement of selection in the process of recruitment and selection of new collaborators, when legally required-

4.9 Career

Is the career management planned on HR policy of the Organization-

Is there a procedure of management and career development within the Organization-

Is the career management consistent with the strategic planning and HR policy of the Organization-

Does the career management and development allow for adequate articulation with other functions of the HRMS (e.g.: evaluation of performance; training; compensations and benefits)-

Is the career management policy known by the collaborators, being these involved in its implementation-

4.10 Acquisition of Goods and Services*

Do all goods and services acquired by the organization comply with applicable legislation- Is compliance checked-

Does the Organization check whether all goods and services supplied meet specified purchase requirements given to the supplier-

Are the criteria according to which new suppliers are selected, defined-

Are the organization's suppliers periodically evaluated according to established criteria- (Comments)

5.1 Measurement

Have the methodologies to be used for monitoring, measurement, analysis and improvement of the HRMS been identified-

Are these methodologies clearly defined and implemented continuously and systematically-

Do the defined methodologies allow the Organization to infer the real performance and effectiveness of the HRMS, and, according to available information, is it able to identify the needs for improvement-

5.2 Performance evaluation

Is a performance evaluation system, which covers all the Organization's collaborators, defined-Scale 1

Is a performance evaluation system, which covers all the Organization's collaborators, defined-Scale 2

Is the performance evaluation system clear regarding methodology, instruments and evaluation criteria to be used-Scale 1

Is the performance evaluation system clear regarding methodology, instruments and evaluation criteria to be used-Scale 2

Are all the Organization's employees informed of how their performance is evaluated-Scale 1

Are all the Organization's employees informed of how their performance is evaluated-Scale 2

Does the existing system allow the Organization to have an effective perception of the collaborators' performance and identify actions for their individual development-Scale 1

Does the existing system allow the Organization to have an effective perception of the collaborators' performance and identify actions for their individual development-Scale 2

Does the performance evaluation system allow for an adequate connection with other activities of the HRMS, such as the training, careers and compensation and benefits-Scale 1

Does the performance evaluation system allow for an adequate connection with other activities of the HRMS, such as the training, careers and compensation and benefits-Scale 2

5.3 Internal Satisfaction

Is there a methodology to assess employee satisfaction-

Is this methodology clear, as to its application frequency, persons-in-charge and instruments to be used-

Is it applied in a systematic way, covering all the Organization's collaborators-

Are the data obtained subject to analysis in the management review of the HRMS-

Is the data on internal satisfaction assessment taken into account in the process of improvement

5.4 Control of Non-conformities

Have the necessary powers, to analyze and check for Non conformities, been defined-

Are the collaborators with responsibility and authority to apply the measures necessary for solving Non-conformities defined

Are there Non-conformities records, which show its analysis, research and decision-making actions

Have the appropriate collaborators, to solve those Non-conformities, been allocated

5.5 Data Analysis

Is the data provided by the HRMS analyzed by the Organization's top management, serving as a basis for identification of opportunities for improvement

5.6 Improvement

Is the information provided by the HRMS analyzed and taken into account in the continuous improvement process

Are all collaborators encouraged to participate in the HRMS's continuous improvement process

Are improvement actions systematically implemented in the HRMS

Annex III - HUMAN RESOURCES DATA

Characterization on HR		ASUE	KazATC	AUA	IST	ISU	KazEU	KSMU	KTH	KU	PSU	RAU	UPC
Academic Staff	Academic Staff (Number)	376	759	97	914	690	575	701	3621	72	644	316	2720
	%s PhD	28%	50%	53%	94%	71%	49%	36%	60%	53%	48%	73%	62
	Mean age	50	46	45	50	47	46	47	42	45	47	na	47.33
Administrative and Technical Staff	TOTAL ADMINISTRATIVE AND TECHNICAL STAFF (Number)	299	310	184	521	748	551	227	998	52	433	342	1601
	% GRADUATED	83%	67%	67%	43%	86%	68%	100%	40%	31%	92%	81%	59
	% MANAGERS	11%	20%	16%	14%	6%	7%	8%	19%	19%	28%	11%	193
	Mean age	38	44	43	48	44	42	20	45	47	39	NA	45
Academic staff/administative and technical staff		1,26	2,45	0,53	1,75	0,92	1,04	3,09	3.09	1,39	1,49	0,92	1,65

Annex IV - HUMAN RESOURCES STRATEGY

	Strategic decisions HR:	Main action lines for HR:
ASUE	**Main strategic decisions HR:** **To evaluate the allocation of human resources** according to ASUE's strategic development vision **To implement and review the recruitment and selection** of human resources focusing on professional qualifications;; **To develop relevant contemporary HR strategy assessing staff ability, fostering training and development**	**Main action lines for HR:** develop policy and tools for **recruiting highly professional** university staff; develop and implement mechanisms to foster **internalization** of faculty, improvement of skills and qualifications to address modern changes, challenges and threats; review **evaluation** of faculty and staff, **developing qualifications evaluation mechanisms**; improve HR **motivation system**, stimulating self-development of faculty and staff; review projections on upcoming demands to determine whether to train current staff or to recruit new employees with higher level skills; conduct fair and unbiased **assessments** of staff performance; link **HR strategy and strategic planning t**o the ASUE teaching and research mission; report the outcomes through the development and delivery of an annual reports.
KazATC	**Main strategic decisions HR:** Purposes of strategic HR management: -To meet the needs for the staff for a long- term on the basis of the development strategic directions of the KAZATC. -To review the **system of selection, deduction and motivation** of staff at all organizational levels of KAZATC. -To provide a high priority of **development of leadership** at th key positions. -To provide with the effective programs of **training** and development for **professional development** of all administrative and teaching staff. -To develop the effective **systems of communication** between an administrative link, employees and teachers, between departments and chairs. -To develop the internal system of **processes assessment** for structural divisions KAZATC promoting individual **strategic planning**, organization and management, and also report, efficiency and productivity.	Main action lines for HR: - the formation of the personnel **reserve** (planning of requirements for the personnel reserve, identification of candidates for a personnel reserve, management of the target development of candidates for a personnel reserve, assessment of the efficiency of candidates); - **attraction of external talents** (planning of the personnel preparation, involvement of effective managers from a labor market of Kazakhstan and abroad, involvement of outstanding scientists, teachers and experts from the **international** and Kazakhstan markets, creation and maintaining base of external candidates, carrying out advertising online campaigns for ensuring appeal and popularity of KAZATC, involvement of capable students, undergraduates, doctoral candidates and young teachers, maintaining base on external candidates on all categories of personnel potential); - HR management (development and support of various programs of development and **professional development** of all groups of the personnel of KAZATC, **establishment and control of indicators** of activity for scientific and pedagogical workers and administrative personnel, system development and support of **stimulation** of scientific and pedagogical workers and administrative personnel, creation of **transparent system of career advance**, planning of **training,** joint programs with other educational institutions, management of programs of retraining for different categories of the personnel)

	Strategic decisions HR:	Main action lines for HR:
AUA	**Main strategic decisions HR:** - to support the University's academic processes and administrative services through adequately qualified and effective workforce with the ultimate aim to contribute to the institution's fulfillment of its mission; - to follow the University's policies in all job searches in order to ensure equal opportunity**,** thus, to ensure that all people have **equal access to jobs, opportunities and careers** based on their knowledge, skills, and abilities.	**Main action lines for HR:** - to **enhance employee morale** by ensuring fair and consistent implementation of human resource policies and procedures including **performance evaluation systems;** - to ensure adequate and **competitive compensation** system; - to undertake review and **enhancement of benefit and allowance system**; - to develop and deliver **staff training** and development programs to help staff and managers to accomplish the goals of the University Strategic Plan; - to ensure compliance with safety and health standards; - to oversee fair application of employee grievance procedures; - to **plan for future human resource needs;** - to continue to work with top management on human resource implications of business plans and strategies.
IST	**Main strategic decisions HR:** - to **review the human resources allocation,** targeting a more balanced and strategically adequate knowledge pool; - to review, develop, and implement **internal evaluation** processes for Departments and for Research Centers, to foster individual strategic planning, organization and leadership, and as well as accountability, efficiency and performance.	**Main action lines for HR:** - Implement mechanisms to **attract top talent** in RD&I; - allocate faculty and research positions based on strategic decision rather than exclusively based in the number of students; - fully integrate the research faculty and post-docs in the IST community; - foster **internationalization** of the faculty staff; - increase incentives for international staffing; - review evaluation of faculty and staff; - install faculty club; - increase attractiveness and quality of new hires; - reduce administrative tasks of senior teaching staff; - review human resources in IT.
ISU	**Main strategic decisions to be taken in HR:** - To **attract competitive employees** that have proper executive skills and competences - To **create working conditions and environment** for the employed personnel that provide career-development opportunities and encourages initiatives/innovations - To implement relevant **performance evaluation system** for on the job - To introduce effective management of **staff motivation** - To create conducive organizational culture - Conducting organizational research (job satisfaction, job performance evaluation, etc) –Outstandingly freeing academic staff members of administrative functions --Managing employee-related databases, books, accounting	**Main action lines for HR:** -Selecting employees - Constantly informing staff members about university objectives and values and determining their role in reaching these objectives and goals - Conducting organizational research (job satisfaction, job performance evaluation, etc) –Maximally freeing academic staff members of administrative functions --Managing employee-related databases, books, accounting

	Strategic decisions HR:	Main action lines for HR:
KazEU	**Main strategic decisions HR:** Conduct a **radical renewal of personnel policy** with the definition of core values, goals, instruments and mechanisms	Main action lines for HR: •development of a system of qualification requirements for appointment and regular recertification of workers. • building an ongoing program for the development of managerial qualifications of departments heads • creating a training system aiming at the preparation of teachers and staff corresponding to the qualification of the best workers of universities in the world. • developing internship programs for faculty in enterprises of different branches of the economy. • training and educating faculty among university graduates; • the principles and mechanism of active recruitment ; • creating a system of employee motivation; • creating a corporate culture; • creation of personnel reserve. • personalization of faculty teaching load for effective use of scientific potential.
KSMU	**Main strategic decisions HR:** - to develop learning environment for formation of professional competence and full development of the personality providing training of competitive experts on the basis of achievements of medical education, science and the practice, capable to continue training throughout all life in the conditions of dynamically developing health system, possessing the active civic stand, satisfying to requirements and expectations of society and the state	**Main action lines for HR:** - Work on building efficient candidate pool and that on efficient use of human resources; **building a stable team;** - Building and management of the University human resources; - University personnel database maintenance and statistical account completion - Management of **competitive selection of faculty a**s well as the **faculty competence assessment;** - Candidate pool building; - Control on the faculty **professional development** as well as the professional development of the personnel; - Implementation of the University policy on the faculty professional development and the personnel development through competence development; **staff training; motivation** maintenance; **social policy** and organizational culture implementation aimed at efficiency development; - Introduction of competence approach to teacher training; development of the main teacher's competences; - Monitoring the effectiveness of the curricula on the main teacher's competences; - Implementation of **trilingual principle** through teaching the faculty Kazakh and English; - Management of research in medical education; - Upgrading the curricula for the faculty main competence development.
KTH	**Main strategic decisions HR:** Careers at KTH: Gender equality and diversity in KTH faculty Recruitment processes Development opportunities for everyone Merit value of pedagogical development	**Main action lines for HR:** Number of teachers with university teacher training Share of women in faculty

	Strategic decisions HR:	Main action lines for HR:
KU	**Our current Strategic Plan 2011-2016 consists of the following sections:** 1. Management Process 2. Organizing the Teaching/Learning Processes 3. Improving the Material-Technical Base for Ensuring Quality Education 4. Scientific-research Work There is no special section in the Strategic Plan devoted to the HR strategy. However, some strategic decisions and action lines related to HRM are represented both in the Strategic Plan 2011-2016 and other inner documents of Kutaisi University (KU). **Main strategic decisions HR:** - **Increase the competitiveness** of KU teachers and professors in the labour market of Georgia - **Establish a stimulating environmen**t for the development of creative potential in the process of learning, teaching and research for academic staff - Promote the integration of KU in the **international** educational space	**Main action lines for HR:** - Work out the new competition rules, terms and conditions for appointment to academic positions - **Attract highly-qualified professionals** with the purpose of involving them in academic and research processes - Work out a new rating system of **performance evaluation** for KU teachers and professors - Create the effective system of **academic staff professional development (**retraining and life-long learning) - Invite experienced economists including foreign experts for conducting trainings and international scientific conferences
PSU	**Main strategic decisions HR:** - building an effective **system of management of human resources** management; - high level of competence of personnel potential; - build effective mechanisms labor organization; - High level of quality of graduates and their demand on the international labor market.	Main action lines for HR: - building a transparent and effective system of recruitment; - building an effective system of staff development; - elimination of high-level hierarchical subordination and duplication of structural units; - construction of an optimal system delegation responsibility in the work units; - formation of an effective system of material incentives frames university; - increase **reserves** at time faculty members to conduct research; - elimination of the extended system of document circulation and reporting; - raising the technical level of equipment of units works; - elimination of extensive university system finanasirvoaniya; - elimination of an extensive system of formation and development of human potential.

	Strategic decisions HR:	Main action lines for HR:
RAU	**Main strategic decisions HR:** - To review and **improve HR management processe**s hold on in RAU due to the principle of the cycle "Plan-Do-Check-Act" - To develop criteria and **standards for RAU HR quality assurance, evaluation and control** - To define clearly **functional responsibilities of separate structural units and officials, to regulate the activities due to the defined functions** - To develop effective **reporting mechanisms** for internal and external beneficiaries	**Main action lines for HR:** - Development of HR **management Strategy** of RAU - Development of **Staff Policy** of RAU - Development and implementation of transparent and objective mechanisms of administrative and scientific staff **attraction** (contests, selection, hiring) - Development of faculty's and administrative staff's mobility either on the n**ational or international** levels trough their participation in joint educational programs, mobility development programs, trainings and retrainings. - Improvement of current mechanisms of evaluation of faculty's activity (scientific, pedagogical) with dependence of actual wages on the evaluation results. - Implementation of effective mechanisms of **trainings and retrainings**. - Development of HR **Social Policy** of RAU - Improvement of staff material **incentives** system in RAU - Development of a mechanism for **evaluation of RAU demand** in separate categories of faculty and administrative staff on the assumption of the quantity of realizing educational programs and students.
UPC	**Main strategic decisions HR:** Promote and recognize the contribution of staff of the UPC in the success of the institution, while respecting the diversity of people and different groups. Consolidate a quality workforce, meeting the legitimate aspirations of promotion and improvement. Simplify and streamline processes for all management staff.	**Main action lines for HR:** **Academic staff:** Define recruitment strategies Implement full-time faculty Establish procedures to make teacher evaluations public in accordance with the provisions LOMLOU (legislation). Promote and review the agreements assigning different academic staff to the UPC. Develop tools to facilitate academic assessment processes, especially those that lead to thepromotion in the workplace. Reform legislation mobility and sabbaticals, keeping the respective plans in accordance with the International Policy. Review and update the system to recognize the activities of the faculty study and propose a system of indicators for the sizing the staff departments and publish the ratio of job . **Administrative and Technical staff:** Advance the civil service workforce Implement the evaluation system of training in order to improve the applicability and performance. Define a system of indicators and criteria to easily determine the size and composition of the workforce of PAS. To facilitate mobility between universities and other administrative institutions, as part of the stimulus and professional development and establish agreements with other institutions to increase the chances of inter-mobility. Continue promoting telecommuting as a complementary work in establishing systems for target setting. Review the List of Jobs to adapt the definition of potential sites and free choice. Develop strategic model of allocation of functional units to existing staff. Implement systems for mobility and flexibility to cover the losses and replacements to the permanent staff. Implement organizational changes and personnel administration services related to research

Annex V - EXAMPLE OF IST LEGAL FRAMEWORK

LEGAL FRAMEWORK AND INTERNAL RULES		
designation	**brief description**	**web link**
Law 62/2007 HEIs Legal and Jurisdictional Framework	This law provides for the legal regime of HEIs, governing in particular their incorporation, duties, organization, functioning and responsibilities of their constituent bodies and also the relevant Ministry that carries out the supervision and administration over them, in the framework of their autonomy	http://dre.pt/pdf1sdip/2007/09/17400/0635806389.PDF
Law 2/2004 Management Staff Code	Adopts the statute of senior officers of the services and bodies of the central, regional and local government.	http://www.dgaep.gov.pt/upload/Legis/2004_l_2_15_01.pdf
Orders 5-A/2013 + 12255/2013 ULisboa and IST Statutes	Ulisboa Statutes: general principles; Structure; Quality Assurance; …	http://www.google.pt/url?sa=t&rct=j&q=&esrc=s&source=web&cd=1&ved=0CC8QFjAA&url=http%3A%2F%2Fdre.pt%2Fpdfgratis2s%2F2013%2F04%2F2S077A0000S01.pdf&ei=ktoqU4TcH6ua0AXG_IHgBQ&usg=AFQjCNHYNzm4iiCmQyyK945GXCETfs_-yQ&sig2=5Bcs21w4u9HmaagRNKoJzg&bvm=bv.62922401,d.d2k&cad=rja
	IST Statutes: General principles; Structure; University's bodies; Quality Assurance; Units and Programme coordinators; Campuses, Crosscutting Structures; Organization and Functioning of the Administrative and Support	http://tecnico.ulisboa.pt/pt/sobre-IST/estatutos/
Law 205/2009 + Order 14103/2010 + Law 124/99 University Teachers and Researchers Career Code	2009: Amends the Univesity Teaching Career Status, adopted by Decree-Law 448/79, of 13th Novembro	http://drh.tecnico.ulisboa.pt/files/sites/45/dl205_20091.pdf
	2010: Regulations which govern the contractual ties and evaluation carried out in the experimental period by IST faculty	http://drh.tecnico.ulisboa.pt/files/sites/45/Despacho-14103_2010.pdf
	1999: Scientific Research Career Statutes	http://www.fct.mctes.pt/unidades/info/est-carinvc.htm
Orders 23369/20092009 + 4576/2010 + 262/2013 Teaching Performance Evaluation System	2009: Evaluation procedures covering faculty experimental period, for consolidation of the contract for an indefinite period	http://drh.tecnico.ulisboa.pt/files/sites/45/Despachos_23369_23370_23371.pdf
	2010: Regulations governing Performance Evaluation of IST faculty	http://www.google.pt/url?sa=t&rct=j&q=&esrc=s&source=web&cd=3&ved=0CDsQFjAC&url=http%3A%2F%2Fwww.dre.pt%2Fpdfgratis2s%2F2010%2F03%2F2S051A0000S00.pdf&ei=8tYqU-KTEYnX0QXTnIDgCA&usg=AFQjCNGp02mSjV3FpCbVzToO1Vg5_L-

LEGAL FRAMEWORK AND INTERNAL RULES

designation	brief description	web link
		F8Q&sig2=lYNh5ql9LNvQs8KcLFbDHw&bvm=bv.62922401,d.d2k&cad=rja
	2013: Amends the Regulations governing Performance Evaluation of IST faculty	http://drh.tecnico.ulisboa.pt/files/sites/45/Despacho-n.º-262_2013_Altera-e-republica-o-Reg.º-de-Avaliação-de-Desemp.º-dos-Docentes-do-IST.pdf
Law 66-B/2007 LSIADAP (Administrative and Technical Staff Performance Evaluation System)	Sets forth the Integrated System for Management and Performance Evaluation of the Public Administration (SIADAP)	http://drh.tecnico.ulisboa.pt/files/sites/45/l66B-2007.pdf
Ordinance 1633/2007 Performance evaluation forms of middle managers and other workers of the Public Administration	Performance evaluation forms of middle managers and other workers of the Public Administration, as well as competency lists and other acts necessary for application thereof	http://www.dgaep.gov.pt/upload//SIADAP_2014/SIADAP_2/Anexo_VI_lista_compet%C3%AAncias_dirigentes_interm%C3%A9dios.doc
Law 12-A/2008 LVCR (Contractual links, careers and Salaries)	Sets forth the employment, career and remuneration schemes of workers in public functions	http://www.dgap.gov.pt/index.cfm?OBJID=91f17207-d63e-4f78-a525-4e8140f46f49&ID=687
Law 59/2008 RCTFP (Conditions of Employment in Public Functions)	Adopts the Legal Framework of the Employment Contract in Public Functions	http://www.dgap.gov.pt/index.cfm?OBJID=b8a129f3-8eb7-4b56-932f-f084b9abab44&ID=22000000
Law 83-C/2013 LO (State Budget Law)	State Budget Law for the year 2014	https://www.google.pt/search?q=lei+do+or%C3%A7amento+2014&ie=utf-8&oe=utf-8&aq=t&rls=org.mozilla:en-US:official&client=firefox-a&gfe_rd=cr&ei=DF0sU-TrEO3e8gfeuIGIDg
IST Internal regulations	Regulations relating to: the attendance of non-teaching staff, the Provision of Teaching Service, visiting researchers contracts, Additional Remuneration of Teachers and Researchers, Fellow Equivalency and Missions	http://drh.tecnico.ulisboa.pt/
Law n.º 18/2008, de 29/01 Code of Administrative Procedure (Public Tender)	To regulate the management action in public Administration and the rest of the administrative activity	http://www.pgdlisboa.pt/leis/lei_mostra_articulado.php?nid=480&tabela=lei_velhas&nversao=1&so_miolo=
Code of Ethics	Ten ethical principles of public administration	www.dgae.min-economia.pt/aaaDefault.aspx?f=1&back=1...

Annex VI - HUMAN RESOURCES PROCESSES: TOOLS AND DOCUMENTS

	TEMPUS STUDY and NP 4427	Tools, documents - ASUE
STRATEGIC PROCESSES	**Policy and Strategy:** definition of strategy, HR policy and planning	Strategic plan, Annual development programs. Legislation
	Characterization of the organizational structure: roles and functions	Organization Chart of University Management, Description of Division Functions, Framework of linear and functional authorities, responsibilities (Inner conduct patterns, regulations of Divisions)
	Internal Communication	Incoming and outgoing documentation, Internal Information system, communication, Establishment and management of inner information system resources
	External Communication	E-mail
CORE PROCESSES	**Recruitment**	
	Admission	Legislation, Individual Legislative acts for work hire, contracts, position passports,
	Welcome and Integration	
	Career Development	
	Promotions/Motivations	Pool of mobility according to competencies (MOBIST platform)
	Performance evaluation	Career development
	Training	Training of ASUE lecturers/Training procedure
	Working conditions	Processing of personal data of employees, salaries, benefits and guarantees (Labour Legislation of RA, Decrees of the RA Government, Inner disciplinary rules of ASUE)
SUPPORT PROCESSES	**Administrative management**	
	Record upkeep, data protection	Establishment of working conditions, salary, attendance control /monthly control of salary accounting, timetables for holidays/
	New technologies	Investment of internal communication network, application of E-Program "Armenian Software" jointly by the Accountancy and HR departments. Elaboration of mechanism for career development
	Outsourcing	Elaboration of Information services and dissemination /ASUE official web site, newsletters, booklets and guidelines /

	TEMPUS STUDY and NP 4427	Tools, documents - AUA
STRATEGIC PROCESSES	**Policy and Strategy: d**efinition of strategy, HR policy and planning	University Strategic Plan 2011-2017; Personnel Policies Manual; Administrative Policies Manual
	Characterization of the organizational structure: roles and functions	Position Evaluation; Pay and Position Classification Plan based on position evaluation points; Job Descriptions for each position
	Internal Communication	AD (Active Directory) Internal Server for document sharing; Google Drive for internal document sharing/processing; IT requests' tracking system; room/equipment/car reservation and scheduling system
	External Communication	Webpage, electronic newsletter "AUA Insider"; weekly calendar of events; staff, faculty, students, alumni e-mail lists for e-mail communication/broadcast; media center/video and photo galleries
CORE PROCESSES	**Recruitment**	
	Admission	Selection committee, selection interviews/tests, legal requirements, employment contracts
	Welcome and Integration	Orientation sessions; introduction to the personnel and administrative policies; welcome receptions (at the beginning of each semester)
	Career Development	
	Promotions/Motivations	Job enrichment; enlarged scope of duties/enhanced responsibilities; promotion to higher classification level
	Performance evaluation	Annual performance evaluation/ratings; self-evaluation component for managerial staff; 360-degree performance evaluation for administrative and academic leadership (introduced in 2013)
	Training	Internal training through (i) AUA Extension Program based on individual training needs identified during the performance evaluation process; (ii) specialized training sessions/workshops/seminars organized by HR department and led by faculty and/or staff members
		External training through staff/faculty attending various professional courses, seminars, workshops outside the University on occasional basis (in Armenia and/or abroad)
	Working conditions	Salaries; continuing implementation of 4 basic steps of salary adjustments -- external equity (based on Ernst& Young compensation survey results conducted annually), internal equity, cost of living and merit adjustments
		Benefits
SUPPORT PROCESSES	**Administrative management**	
	Record upkeep, data protection	Employee database; monthly payroll processing, 1C Accounting software/database/archive
	New technologies	University Management System (UMS) to be implemented by the end of 2014, introduction of Mulberry, a web based document circulation and workflow system
	Outsourcing	N/A

	TEMPUS STUDY and NP 4427	Tools, documents - IST
STRATEGIC PROCESSES	**Policy and Strategy: d**efinition of strategy, HR policy and planning	Strategic Plan, Annual Plans; Definition of conduct patterns and codes (Ethics Charter and other regulations), HR Manual, Hygiene and safety at work Manual, Workplace ergonomics Manual, Facilities and Equipment Manual
	Characterization of the organizational structure: roles and functions	Organization Chart, description of duties (DRH procedures manual and internal regulations such as the one for the regulation and functioning, powers and duties of DRH) and competencies (management manual)
	Internal Communication	Portal, Intranet, platform for the registration of correspondence / documents (record of correspondence and documentation in and out DRH), specific forms for DRH users requests
	External Communication	Newsletter, web page and specific HR portals; DRH Request Tracker system (communication by email with users and respective management)
CORE PROCESSES	**Recruitment**	
	Admission	Selection model, legislation, competitive procedures, contracts
	Welcome and Integration	Welcome manual, Internal information System for HR management
	Carrer Development	
	Promotions/Motivations	Pool of mobility according to competenciess (MOBIST platform)
		Career development
	Performance evaluation	Performance evaluation system (SIADAP internal platform)
	Trainning	Annual training plan
		Internal trainer pool
	Working conditions	Salaries
		Benefits
		Missions platform (including workflow applications for missions abroad and respective authorizations)
SUPPORT PROCESSES	**Administrative management**	
	Record upkeep, data protection	Data recording, archives
		Processing: salaries, attendance
	New technologies	Internal information system, time attendance control system (Sistema Fénix/Personnel Management including management of attendance and working time); Management system for the administrative staff performance evaluation process (SIADAP), including procedures to be developed by evaluators; Supply and demand for workers within IST and management of internal mobility process (MOBIST)
	Outsourcing	Provision of external informatic services: MyGiaf (database of employees, salaries and processing of statistics and management information)

	TEMPUS STUDY and NP 4427	**Tools, documents -** ISU
STRATEGIC PROCESSES	**Policy and Strategy: d**efinition of strategy, HR policy and planning	Developing annual plans, human resource management strategy-determining regulations; determining staff list and budget according to human resources planning
	Characterization of the organizational structure: roles and functions	Developing organizational structure and chart, keeping job descriptions and job analyses documentation
	Internal Communication	Keeping internal communications software; organizing internal correspondence and accounting process
	External Communication	Contacting third party as university representative, keeping web-site, conducting PR activities
CORE PROCESSES	**Recruitment**	
	Admission	Creating hiring regulations, selection models, creating selection participant evaluation methods for different positions
	Welcome and Integration	Providing new employees, establishing working environment; drafting and implementation of rules for rights and responsibilities introduction
	Career Development	
	Promotions/Motivations	Determining internal employee promotion and career maps, establishing material and non-material encouragement system
	Performance evaluation	Evaluating job performance, choosing relevant research methodology according to different content
	Training	Identifying training needs
	Working conditions	
SUPPORT PROCESSES	**Administrative management**	
	Record upkeep, data protection	Keeping databases, archiving, saving information, keeping statistical data
	New technologies	Internal software is being implemented. It will provide systemic connection with HR-related process, data processing, reporting and different statistical analyses, and competed work evaluation according to specific criteria…
	Outsourcing	

	TEMPUS STUDY and NP 4427	Tools, documents - KazATC
STRATEGIC PROCESSES	**Policy and Strategy:** definition of strategy, HR policy and planning	Strategic Plan, Annual Plans; Definition of conduct patterns and codes (Ethics Charter and other regulations), HR Manual, Hygiene and safety at work Manual, Workplace ergonomics Manual, Facilities and Equipment Manual
	Characterization of the organizational structure: roles and functions	Organization Chart, description of duties (DRH procedures manual and internal regulations such as the one for the regulation and functioning, powers and duties of DRH) and competencies (management manual)
	Internal Communication	Portal, Intranet, platform for the registration of correspondence / documents (record of correspondence and documentation in and out DRH), specific forms for DRH users requests
	External Communication	Newsletter, web page and specific HR portals; DRH Request Tracker system (communication by email with users and respective management)
CORE PROCESSES	**Recruitment**	
	Admission	Selection model, legislation, competitive procedures, contracts
	Welcome and Integration	Welcome manual, Internal information System for HR management
	Career Development	
	Promotions/Motivations	Pool of mobility according to competencies
	Performance evaluation	Career development
	Training	Performance evaluation system
		Annual training plan
	Working conditions	Salaries, Benefits Missions platform (including workflow applications for missions abroad and respective authorizations)
SUPPORT PROCESSES	**Administrative management**	
	Record upkeep, data protection	Data recording, archives Processing: salaries, attendance
	New technologies	Management system for the administrative staff performance evaluation process; Supply and demand for workers and management of mobility process
	Outsourcing	Provision of external computer services: database of employees, salaries and processing of statistics and management information

		TEMPUS STUDY and NP 4427	Tools, documents - KazEU		
STRATEGIC PROCESSES		**Policy and Strategy: d**efinition of strategy, HR policy and planning	Strategic Plan, Annual Plans; Definition of conduct patterns and codes (Ethics Charter and other regulations), HR Manual, Hygiene and safety at work Manual, Workplace ergonomics Manual, Facilities and Equipment Manual	Policy and strategy: strategy definition, personnel policy and planning	Strategic plan, annual plans; definition of models and codes of conduct (Ethics Charter and other regulations), personnel management, health and safety at work Management, workplace ergonomics Management, Facilities and Manual Equipment
		Characterization of the organizational structure: roles and functions	Organization Chart, description of duties (DRH procedures manual and internal regulations such as the one for the regulation and functioning, powers and duties of DRH) and competencies (management manual)	Characteristics of organizational structure: Roles and functions	Organizational structure, job descriptions (DRH manual procedures and internal rules, such as one for the regulation and functioning, powers and responsibilities of DRH) and competencies (manual control)
		Internal Communication	Portal, Intranet, platform for the registration of correspondence / documents (record of correspondence and documentation in and out DRH), specific forms for DRH users requests	Internal communications	Portal, Internet, platform for registering correspondence/ documents (record of correspondence and documentation and DRH), specific forms of user requests for DRH
		External Communication	Newsletter, web page and specific HR portals; DRH Request Tracker system (communication by email with users and respective management)	External communication	Information Note, web page and specific HR-portals; DRH System Request Tracker (email communication with users and the corresponding control)
CORE PROCESSES		**Recruitment**		**Selection**	
		Admission	Selection model, legislation, competitive procedures, contracts	Admission	Choice of legislation model, competitive procedures, contracts
		Welcome and Integration	Welcome manual, Internal information System for HR management	Welcome and Integration	guide, Internal Information on Personnel Management System
		Career Development		**Career development**	
		Promotions/Motivations	Pool of mobility according to competenciess (MOBIST platform)	Incentive / Motivation	mobility in accordance with the competence (mobile platform)
		Performance evaluation	Career development		career development
		Training	Performance evaluation system (SIADAP internal platform)	efficiency assessment	Performance Assessment System (internal platform SIADAP)
			Annual training plan	training	Annual plan of training
		Working conditions	Internal pool of trainer		Internal coach
			Salaries	working conditions	Salaries
SUPPORT PROCESSES		**Administrative management**	Benefits		Benefits
		Record upkeep, data protection	Missions platform (including workflow applications for missions abroad and respective authorizations)		mission platforms (including workflow applications for abroad and the appropriate permissions)

	New technologies		**Administrative management**	
	Outsourcing	Data recording, archives	Record, data safety	Data record, storage
	TEMPUS STUDY and NP 4427	**Tools, documents - KSMU**		
STRATEGIC PROCESSES	**Policy and Strategy: d**efinition of strategy, HR policy and planning	Strategic Plan, Annual Plans; Definition of conduct patterns and codes (Ethics Charter and other regulations), HR Manual, Hygiene and safety at work Manual		
	Characterization of the organizational structure: roles and functions	Organization Chart, description of duties (DRH procedures manual and internal regulations such as the one for the regulation and functioning, powers and duties of DRH) and competencies (management manual)		
	Internal Communication	Specific HR portals "1C: Enterprise"; DRH Request Tracker system (communication by email with users and respective management), registration of correspondence / documents (record of correspondence and documentation in and out DRH)		
	External Communication	Specific HR portals "1C: Enterprise"; DRH Request Tracker system (communication by email with users and respective management)		
CORE PROCESSES	**Recruitment**			
	Admission	Selection requirements according to duties, legislation, contracts		
	Welcome and Integration	Duties of every staff; Internal information System for staff		
	Career Development	Career development		
	Promotions/Motivations			
	Performance evaluation	Provision of computer services: database of employees, salaries and processing of statistics and management information		
	Training	Annual training plan		
		Internal pool of trainers		
	Working conditions	Salaries		
		Benefits		
SUPPORT PROCESSES	**Administrative management**			
	Record upkeep, data protection	Data recording, archives Processing: salaries, attendance		
	New technologies	Internal information system, time attendance control system and working time;		
	Outsourcing			

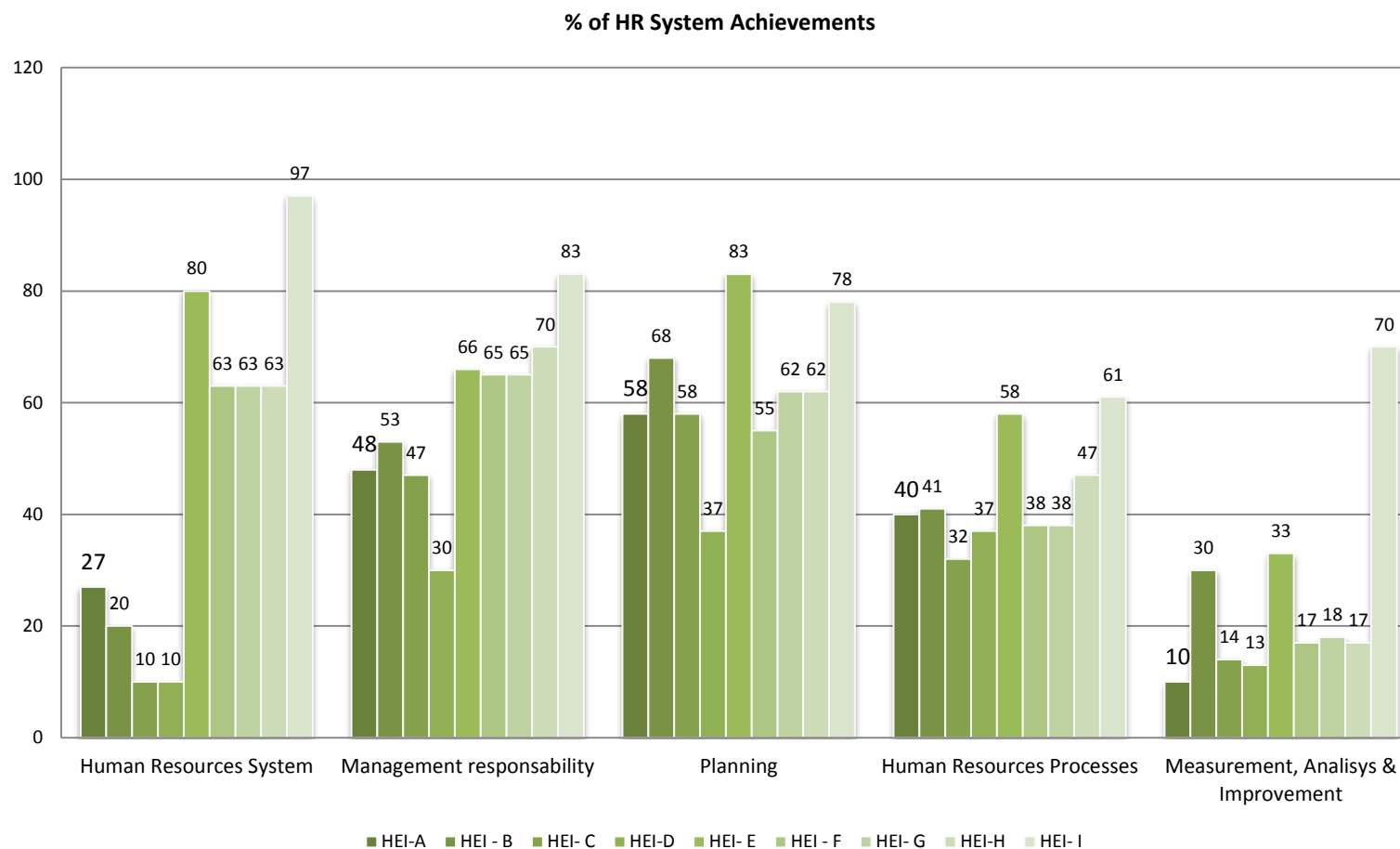|	TEMPUS STUDY and NP 4427	Tools, documents - KTH
STRATEGIC PROCESSES	**Policy and Strategy: d**efinition of strategy, HR policy and planning	Strategic Plan, Annual Plans; Hygiene and safety at work Manual, Workplace ergonomics Manual
	Characterization of the organizational structure: roles and functions	Organization Chart, description of duties (DRH procedures manual and internal regulations such as the one for the regulation and functioning, powers and duties of DRH) and competencies (management manual)
	Internal Communication	Portal, Intranet, platform for the registration of correspondence / documents
	External Communication	Newsletter, web page and specific HR portals;
CORE PROCESSES	**Recruitment**	
	Admission	Selection model, legislation, competitive procedures, contracts
	Welcome and Integration	Welcome manual, Internal information System for HR management
	Career Development	
	Promotions/Motivations	Career development
	Performance evaluation	Performance evaluation systemonly for academic staff
	Training	Annual training plan
		Internal trainer pool
	Working conditions	Salaries
		Benefits
SUPPORT PROCESSES	**Administrative management**	
	Record upkeep, data protection	Data recording , archives Processing: salaries, attendance
	New technologies	Internal information system, time attendance control system, telecommuting system.
	Outsourcing	Provision of external informatic services: technology platforms

	TEMPUS STUDY and NP 4427	Tools, documents -KU
STRATEGIC PROCESSES	**Policy and Strategy: d**efinition of strategy, HR policy and planning	Strategic Plan, Annual Plans; Definition of conduct patterns and codes (Code of Ethics and other regulations)
	Characterization of the organizational structure: roles and functions	Organization Chart, description of duties and competencies (competition rules, terms and conditions for appointment to academic positions)
	Internal Communication	Record of correspondence and documentation in and out of Personnel Department
	External Communication	Newsletter, web page (communication by email with users and respective management)
CORE PROCESSES	**Recruitment**	
	Admission	Selection model, legislation, competitive procedures, contracts (public announcement of positions only for academic positions)
	Welcome and Integration	Lack of Welcome manual; Traditional oral Internal information System for HR management
	Career Development	
	Promotions/Motivations	Years of service or performance and publications may be used as a basis for promotions Career development
	Performance evaluation	New modern rating system of performance evaluation and career progress is needed (No internal platform)
	Training	Lack of Annual training plan; Ad-hoc trainings only for academic staff; Weak Internal trainer pool
	Working conditions	Salaries and benefits; the necessity to take up multiple positions
SUPPORT PROCESSES	**Administrative management**	
	Record upkeep, data protection	Data recording, archives Processing: salaries, attendance
	New technologies	No internal computerized system of modern HRM
	Outsourcing	Not Applicable

	TEMPUS STUDY and NP 4427	Tools, documents - PSU
STRATEGIC PROCESSES	**Policy and Strategy:** definition of strategy, HR policy and planning	The strategic plan of the university. Development plan of the University. Strategic Plan for Human Resource Development University.
	Characterization of the organizational structure: roles and functions	Organizational and administrative structure of the university. Regulations on structural units. Job descriptions.
	Internal Communication	Internet portal. Automated control system of the university. Automated control system of HR resources.
	External Communication	Information portal University. Web page describing the working personnel.
CORE PROCESSES	**Recruitment**	
	Admission	Personnel administration processes
	Welcome and Integration	The system of recruitment, HR management system management
	Career Development	
	Promotions/Motivations	Motivation of staff Career development
	Performance evaluation	The application and use of performance measurement HR
	Training	Annual training plan (годовой план обучения персонала)
		Formation of the internal training system
	Working conditions	Salaries
		Benefits
SUPPORT PROCESSES	**Administrative management**	
	Record upkeep, data protection	Data recording, archives Processing: salaries, attendance
	New technologies	Simulation of new systems and technologies to efficiently develop human capacity
	Outsourcing	Issues on the use of external outsourcing arrangements in the personnel management system

	TEMPUS STUDY and NP 4427	Tools, documents -RAU
STRATEGIC PROCESSES	**Policy and Strategy:** definition of strategy, HR policy and planning	HR management concept; HR management strategy; HR management policy ; Yearly work plans for the strategy period; HR management guidelines
	Characterization of the organizational structure: roles and functions	Structure of the university; Manning table of the faculty and administrative staff; Functional obligations ; Job descriptions; Credentials; Responsibility; Qualification requirements ; Required framework of competencies
	Internal Communication	Official website of the university; Website of HR management structure; Internal network of the University (intranet); Mechanisms for internal users' feedback
	External Communication	Official website of the university; Website of HR management structure; Websites of structural units of the university; University and other mass media (press, radio, TV); Correspondence by e-mail; Mechanisms for external users' feedback
CORE PROCESSES	**Recruitment**	
	Admission	Evaluation of HR demand by separate staff categories ; Qualification criteria's for separate staff categories selection; Separate job descriptions; Contests on vacancies replacement; Selection; Labour contracts; The legal framework for regulation of the recruitment process
	Welcome and Integration	Internal information System for HR management
	Career Development	
	Promotions/Motivations	Opportunities to get new knowledge's and capacities Career opportunities
	Performance evaluation	Credit System of Evaluation of Activities of RAU Faculty Rating of faculty Validation of the administrative staff
	Training	Yearly workplan for trainings and retrainings Definition of trainings' and retrainings' forms
		Internal centre for trainings
	Working conditions	Salaries (basic and additional)
		Awards, bonuses
SUPPORT PROCESSES	**Administrative management**	
	Record upkeep, data protection	Databases Archives Processing: salaries, attendance
	New technologies	Internal network of the university Programme for staff attendance monitoring Programme for electronic documentary flow
	Outsourcing	

		TEMPUS STUDY and NP 4427	Tools, documents - UPC
STRATEGIC PROCESSES		**Policy and Strategy: d**efinition of strategy, HR policy and planning	Strategic Plan, Annual Plans; Hygiene and safety at work Manual, Workplace ergonomics Manual
		Characterization of the organizational structure: roles and functions	Organization Chart, description of duties (DRH procedures manual and internal regulations such as the one for the regulation and functioning, powers and duties of DRH) and competencies (management manual)
		Internal Communication	Portal, Intranet, platform for the registration of correspondence / documents
		External Communication	Newsletter, web page and specific HR portals;
CORE PROCESSES		**Recruitment**	
		Admission	Selection model, legislation, competitive procedures, contracts
		Welcome and Integration	Welcome manual, Internal information System for HR management
		Career Development	
		Promotions/Motivations	Career development
		Performance evaluation	Performance evaluation systemonly for academic staff
		Training	Annual training plan
			Internal trainer pool
		Working conditions	Salaries
			Benefits
SUPPORT PROCESSES		**Administrative management**	
		Record upkeep, data protection	Data recording, archives Processing: salaries, attendance
		New technologies	Internal information system, time attendance control system, telecommuting system.
		Outsourcing	Provision of external informatic services: technology platforms

Annex VII - HUMAN RESOURCES SYSTEM ACHIEVEMENTS

% of HR System Achievements

Annex VIII - MATRIX OF RESPONSIBILITIES IN HR MANAGEMENT PROCESSES

	TEMPUS STUDY and NP 4427	Tools, documents	1. General University Council	2. Rector	3. Governing Board	4. Human Resources Department	1. School Council	2. President	3. Governing Board (CG)	4. Cientific Council	5. Administrator	6. Head of Department and R&D Units	7. Human Resources Divison (DRH)	7.1 DRH Technical Assistance (AT)	7.2 Common Area of Human Resources (ACRH)	7.3 Specialized Area of Human Resources (AERH)
STRATEGIC PROCESSES	**Policy and Strategy:** definition of strategy, HR policy and planning	Strategic Plan, Annual Plans; Definition of conduct patterns and codes (Ethics Charter and other regulations), HR Manual, Hygiene and safety at work Manual, Workplace ergonomics Manual, Facilities and Equipment Manual	R	R	R	I	R	R	R	R	R			I		
	Characterization of the organizational structure: roles and functions	Organization Chart, description of duties (DRH procedures manual and internal regulations such as the one for the regulation and functioning, powers and duties of DRH) and competencies (management manual)		R	I	R	R	R	R					I		R
	Internal Communication	Portal, Intranet, platform for the registration of correspondence / documents (record of correspondence and documentation in and out DRH), specific forms for DRH users requests		R	I		R	R						I		
	External Communication	Newsletter, web page and specific HR portals; DRH Request Tracker system (communication by email with users and respective management)		R	I		R	R						I		
CORE PROCESSES	**Recruitment**															
	Admission	Selection model, legislation, competitive procedures, contracts	R			R	R	R	R		R		I		I	
	Welcome and Integration	Welcome manual, Internal information System for HR management		R	I		R					I		I	I	
	Carrer Development															
	Promotions/Motivations	Pool of mobility according to competenciess (MOBIST platform)		R	I		R					I		I	I	
		Career development		R	I		R					I		I	I	
	Performance evaluation	Performance evaluation system (SIADAP internal platform)		R	I		R	R	R					I		
	Trainning	Annual training plan		R	I		R					I				
		Internal trainer pool		R	I		R									
	Working conditions	Salaries		R	I		R							I		
		Benefits		R	I		R							I		
		Missions platform (including workflow applications for missions abroad and respective authorizations)		R	I		R							I		
SUPPORT PROCESSES	**Administrative management**															
	Record upkeep, data protection	Data recording, archives		R	I		R							I	I	
		Processing: salaries, attendance		R	I									I	I	
	New technologies	Internal information system, time attendance control system (Sistema Fénix/Personnel Management including management of attendance and working time); Management system for the administrative staff performance evaluation process (SIADAP), including procedures to be developed by evaluators; Supply and demand for workers within IST and management of internal mobility process (MOBIST)							R					x	x	x
	Outsourcing	Provision of external informatic services: MyGiaf (database of employees, salaries and processing of statistics and management information)							R					x		

x	Exernal services to the HR Division (DRH)
●	Implementation
●	Responsibility

Annex IX – COMPETENCIES FRAMEWORK

Under the PEOPLE project, with the key purpose of reinforcing the competencies of middle and top managers of higher education institutions (HEIs), a strategy was set out in order to create a map of training needs. This will contribute to strengthen the technical and behavioural competencies necessary for holding HR management positions at the HEIs. In this regard, we would be pleased if you could complete this questionnaire which consists of 25 items. Please reply to each item, from 1 to 4, in which 1 corresponds to a maximum training priority and 4 to a minimum training priority (see the grading scale at the end of the competency framework). Each item is clarified through a hyperlink that may be viewed when necessary.

COMPETENCIES	HR Manager_____
TECHNICAL COMPETENCIES	
Strategic planning, organizational change and quality	
Administration and Public management	
Management of human, financial and property resources	
Information systems and technologies	
Management by objectives and performance evaluation	
Ethics, gender equality, inclusion and environmental policies	
Labour legislation	
Public information and communication	
English	
BEHAVIORAL COMPETENCIES	
Goal Oriented	
Planning and Organization	
Leadership and people Management	
Resource Optimization	
Strategic Vision	
Decision	
Develop and Motivate Others	
Innovation and Change Oriented	
Communication	
Interpersonal Relationship	
Negotiation and Persuasion	
Tolerance to Pressure and Adversity	
Team Work and Cooperation	
Safety Oriented	
TRAINING PRIORITY: 1= *maximum priority….4= minimum priority*	

Annex X – TECHNICAL COMPETENCIES

Competency	Description
Strategic planning, organizational change and quality	Balanced Scorecard; Strategic management and planning; Innovation, quality and change in public administration; assessment; prospective.
Administration and Public management	Organization and leadership; public management e accountability; shared services; design and implementation of public policies.
Management of human, financial and property resources	Economic and financial analysis from the perspective of accounting, auditing and public finance; Management of budgetary resources; Management of material resources/logistics; Management of financial resources; Human resource management.
Information systems and technologies	Information management and knowledge and electronic management ; Audit of information systems; Implementation of information systems and technologies and change management.
Management by objectives and performance evaluation	Systems analysis performance assessment; Management by objectives and management cycles; Articulation with the Balanced Scorecard tool as a tool to control the execution / evaluation of the plan of the service activities.
Ethics, gender equality, inclusion and environmental policies	Ethics; Citizenship; Policies of inclusion and gender equality.
Labour legislation	Contractual ties, careers and salaries; Regimes / codes of employment contract (in public and private institutions); Legal Regime of Higher Education Institutions.
Public information and communication	Internal Communication; Marketing; Simplification of administrative language and simplification of processes.
English	Techniques to structure an oral presentation for a meeting or a conference and specific language of meetings and negotiations.

Annex XI – BEHAVIORAL COMPETENCIES

Competency	Description of competency
GOAL ORIENTED: The ability to focus on the attainment of the goals and ensure that the desired results are attained.	**In the performance of his/her duties, the middle manager:** Is committed to the results to be attained according to the Organization's strategic goals and is persistent when facing the obstacles or difficulties. Assumes, as a general rule, ambitious and demanding goals, however realistic, for him/her or for the team. Shows an accurate idea of what priorities are and responds quickly in the face of stress and urgency. Takes risks to attain the desired results and assumes responsibilities for the success or failure.
PLANNING AND ORGANIZATION: The ability to plan, organize and control the activity of his/her Unit and the respective team, defining goals and setting deadlines and priorities.	**In the performance of his/her duties, the middle manager:** Plans and coordinates the service according to the objectives set by management. Sets personal and team priorities according to the goals and the existing resources. Follows up, monitors and evaluates projects and activities, ensuring that they are carried out according to the previously set deadlines and costs. Reviews and adjusts planning, keeping it updated and adapted to unforeseen changes and events.
LEADERSHIP AND PEOPLE MANAGEMENT: The ability to manage and influence positively the team, mobilizing it to the objectives of the Unit/Organization and encourage initiative and accountability.	**In the performance of his/her duties, the middle manager:** Involves his/her team in setting personal goals, embracing their proposals and articulating them with the Unit's objectives. Promotes team spirit and ensures that the environment in the Organization is conducive to participation and cooperation. Encourages initiative and autonomy, delegating tasks and fostering the sharing of responsibilities. Ensures that the operating model is fair and promotes equality of treatment, and therefore is a reference of trust.
RESOURCE OPTIMIZATION: The ability to manage the available resources, optimizing them through the improvement and rationalization of processes and reduction of costs.	**In the performance of his/her duties, the middle manager:** Implements measures for the rationalization, simplification and automation of processes with the purpose of improving productivity of the services and reducing costs involved. Allocates responsibilities, projects and tasks to the team according to each one's skills and motivations, whilst optimizing the potential of every member. Mobilizes the team to the continuous rationalization of the costs associated to the working processes and the level of individual activity. Makes the team accountable for the proper use of equipment and materials necessary for the running of the service.
STRATEGIC VISION: The ability to analyze the internal and external environment, anticipate its evolution and to foresee the impacts on the Unit/Organization; to have a broad and focused perspective on the future in order to define the strategies and objectives according to that.	**In the performance of his/her duties, the middle manager:** Concentrates attention on the surrounding environment, conceptualizes and integrates the signs of progress into action. Anticipates the needs for adaptation of the Unit, defines the strategies, implements measures and evaluates the respective impacts. Makes the objectives of the Unit/Organization consistent with the vision and strategic targets defined under the guidance received. Contributes to the Organization's vision, objectives, and strategies and applies knowledge and experience.

Competency	Description of competency
DECISION: The ability to search for alternatives, provide guidance and take measures, assuming the respective responsibilities.	**In the performance of his/her duties, the middle manager:** Considers carefully alternatives to face the problems and their potential implications for the Unit and chooses the adequate options in a reasoned manner. Takes measures and makes options in a timely fashion, considering the priorities of the Unit and the urgency of the situations. Shows self-assurance and resolve, even in difficult options. Assumes the consequences of the decisions, which are taken with the sense of responsibility.
DEVELOP AND MOTIVATE OTHERS: The ability to recognize and value the individual potential of every team member and promote learning and professional development in a permanent manner.	**In the performance of his/her duties, the middle manager:** Identifies the potential of development of team members, and their needs for improvement and training and creates opportunities for personal and professional growth. Recognizes the individual and collective merit promoting a positive and self-confident environment. Provides performance feedback on a regular basis, with a view to continuous improvement, the reinforcement of adequate behavior and correction of deviations. Disseminates relevant information, allows for the attendance of training programmes, and sets forth periods of self-training to promote individual development.
INNOVATION AND CHANGE ORIENTED: The ability to identify needs for change, to adhere to new management and operating processes and to support actively implementation of any new processes.	**In the performance of his/her duties, the middle manager:** Assumes and implements, with determination and commitment, the organizational and operating changes defined by top management and supports the working teams in that process. Encourages active participation of team members in the production and implementation of new solutions for the problems, to improve results. Adopts and proposes innovative solutions in terms of the internal planning systems, working methods and processes. Stands by innovations and technologies with significant value for the improvement of the functioning of the service and individual performance.
COMMUNICATION: The ability to convey information clear and accurately, to be assertive in exposing and standing up for his/her ideas within a group and to show respect and consideration for the others' ideas.	**In the performance of his/her duties, the middle manager:** Expresses himself/herself orally with clarity, fluency and accuracy. Adapts easily the speech and language to different interlocutors. Usually is assertive when exposing his/her ideas, capturing others' attention. Respects the opinions of other people, and is open to hear what they are saying attentively and valuing their contributions.
INTERPERSONAL RELATIONSHIP: The ability to interact adequately with people with different features and in distinct social and professional contexts, and to act as a facilitator of the relationship at issue and to address the difficulties and any conflicts in and adjusted manner.	**In the performance of his/her duties, the middle manager:** Is friendly and gentle with his/her collaborators, his/her hierarchy and with the different users of the service. Works easily with people with different features. Addresses the conflicts through adequate strategies and a stable behavior and professional posture. Shows self-confidence in relationships and gets involved adequately in different socio-professional contexts.

Competency	Description of competency
NEGOTIATION AND PERSUASION: Ability to reach agreement and consensus with people and groups, by properly managing the conflicts of interests and trying to achieve positive results for all parties involved, through the pursuit of public interests.	**In the performance of his/her duties, the middle manager:** Uses communication overtly and creates an environment conducive to the communication of others, by listening to them attentively. Is keen to capture the point of view of other people and to find effective arguments to influence and persuade others. Analyzes the relevant information, welcomes the different alternatives and tries to reach points of agreement to reach win-win decisions for both sides. Establishes consensuses and agreements through negotiation, whilst being persistent and flexible.
TOLERANCE TO PRESSURE AND ADVERSITY: The ability to address particular pressure and adverse situations adequately and professionally.	**In the performance of his/her duties, the middle manager:** Keeps productivity levels even in an environment of pressure. Before difficult situations, usually keeps behaviour control and discernment. Manages in a balanced manner the professional and personal requirements. Accepts criticism and adversity, facing them as learning moments.
TEAM WORK AND COOPERATION: The ability to integrate in working teams of different sizes, drive them and generate synergies through active participation.	**In the performance of his/her duties, the middle manager:** Integrates himself/herself well in teams of different sizes, in and out his/her usual working context. As a rule, plays an active and cooperating role in working groups and is, sometimes, its driver. Shares information and knowledge and stands ready to give assistance to the members of the teams. Contributes to the development or maintenance of a good working environment and strengthening of the team spirit.
SAFETY ORIENTED: The ability to integrate in his/her duties the fulfilment of norms relating to safety, hygiene and health at work and defense of environment, preventing occupational and environmental risks and accidents.	**In the performance of his/her duties, the middle manager:** Complies and enforces compliance with the norms and procedures relating to safety, hygiene and health at work. Uses and encourages the use of control and verification systems to identify any anomalies and ensure safety. Shows a cautious and responsible behavior in order to prevent situations that put people, equipment and the environment at risk. Makes his/her team members accountable for the use of vehicles, equipment and materials correctly and safely.