

*Project “Leading and Managing Change in Higher Education”
(La MANCHE)*

Tempus IV Programme



Tempus



Leading and Managing Change
in Higher Education

External Assessment Report

Leadership and Management Skills and Models
at the Higher Education Institutions in
Armenia, Belarus, Georgia, Moldova and Ukraine

2013

www.lamanche-tempus.eu

External Assessment Report

Leadership and Management Skills and Models at the Higher Education Institutions in Armenia, Belarus, Georgia, Moldova and Ukraine

This project has been funded with support from the European Commission. This publication reflects the views only of the author, and the Commission cannot be held responsible for any use which may be made of the information contained therein.

Edited by: Gergana Dimitrova and Todor Radev

Authors:

Project Team of International University College, Bulgaria

Project Team of Agrosup Dijon, France

Project Team of University of Thessaly, Greece

Project Team of Polytechnic Institute of Bragança, Portugal

Project Team of University College Birmingham, UK

Project Team of Clevercherry, UK

Proof-read by: Helen Catchpowle

ISBN 978-954-635-010-7

Table of contents

1. Introduction	4
2. Leadership and management skills and models in Armenia	9
3. Leadership and management skills and models in Belarus	20
4. Leadership and management skills and models in Georgia	33
5. Leadership and management skills and models in Moldova	46
6. Leadership and management skills and models in Ukraine	59
7. References	76
8. Annex I: Auditing and self-assessment tool	77

1. Introduction

The External Assessment Report on Leadership and Management Skills and Models at the Higher Education institutions in Armenia, Belarus, Georgia, Moldova and Ukraine is developed in the framework of the project Leading and Managing Change in Higher Education (La MANCHE). The La MANCHE project has been triggered by the need to improve the professional management of the Partner Country universities in view of providing strategic vision and leadership and developing change management culture at the institutions. The project is funded by the European Commission in the framework of the Tempus IV Programme and focuses on building governance and management capacities at the project partner institutions in Armenia, Belarus, Georgia, Moldova and Ukraine.

Capacity building and improvement of governance at the higher education institutions is recognised as one of the key policy priorities in the European Higher Education Modernisation Agenda. Governance reform at the higher education institutions covers a number of areas including human resource management, financing and quality assurance. Although inescapable, the processes of change are rarely smooth and reforms at the higher education institutions typically encounter a number of problems linked to change resistance and lack of professional leadership. Institutional changes in academic settings are often hindered by academics' tendency towards individualism and by the many traditions and conservative features retained in the education system. Resistance to change may also stem from lack of communication, lack of transparency and lack of involvement of the interest groups in the decision making processes.

The External Assessment Report on Leadership and Management Skills and Models at the Higher Education Institutions in five of the countries from the Eastern Neighboring is a major outcome of Work Package 2 in the project. During the first stage of the project in the framework of Work Package 2 the 29 partners involved in the project conducted a series of activities to map out the current leadership skills and prevalent management models at the higher education institutions in the five participating Partner Countries. This was achieved through online focus groups and auditing and self-assessment reports completed by the Partner Country higher education institutions in order to assess the current situation and to identify existing shortcomings and training needs.

The five online focus groups took place in the course of January and February 2013 and were moderated by EU experts in the project. The online focus groups aimed at providing deeper insight into the governance processes at the Partner Countries higher education institutions and discussed issues related to institutional management models, reporting relations and interpersonal communication patterns. During the online focus groups the respondents were stimulated to interact and reflect on questions concerning their perceptions and opinions regarding governance transparency at their institutions, effectiveness and efficiency of the governance processes, involvement of internal and external stakeholders, distribution and allocation of tasks, management models and communication between the different management levels.

The auditing and self-assessment reports consisted of 15 questions, four of which were addressed to five different types of respondents, namely a senior management representative, a middle management representative, an academic staff representative, an administrative staff representative and a student. The purpose of the questionnaire was:

- to assess the leadership skills and competences of senior managers in the Partner Countries higher education institutions
- to identify the existing organisational structures, management models and reporting relations at the institutions
- to evaluate the learning resources and materials in leadership and organisational behavior available at Partner Countries higher education institutions
- to analyze the local environment in which each institution operates, i.e. its contextual society, the local economy/industry, and challenges coming from this environment.

The findings in the 23 auditing and self-assessment reports and the conclusions drawn at the online focus groups have been summarised by the representatives of the six project partners from the European Union in the framework of the current External Assessment Report. The analysis of research findings in the auditing and self-assessment reports of the universities from the Partner Countries has been conducted and elaborated by the EU partners in the project as follows:

Armenia: Agrosup Dijon, France

Belarus: International University College, Bulgaria

Georgia: International University College, Bulgaria and Polytechnic Institute of Bragança, Portugal

Moldova: University of Thessaly, Greece

Ukraine: University College Birmingham, UK and Clevercherry, UK.

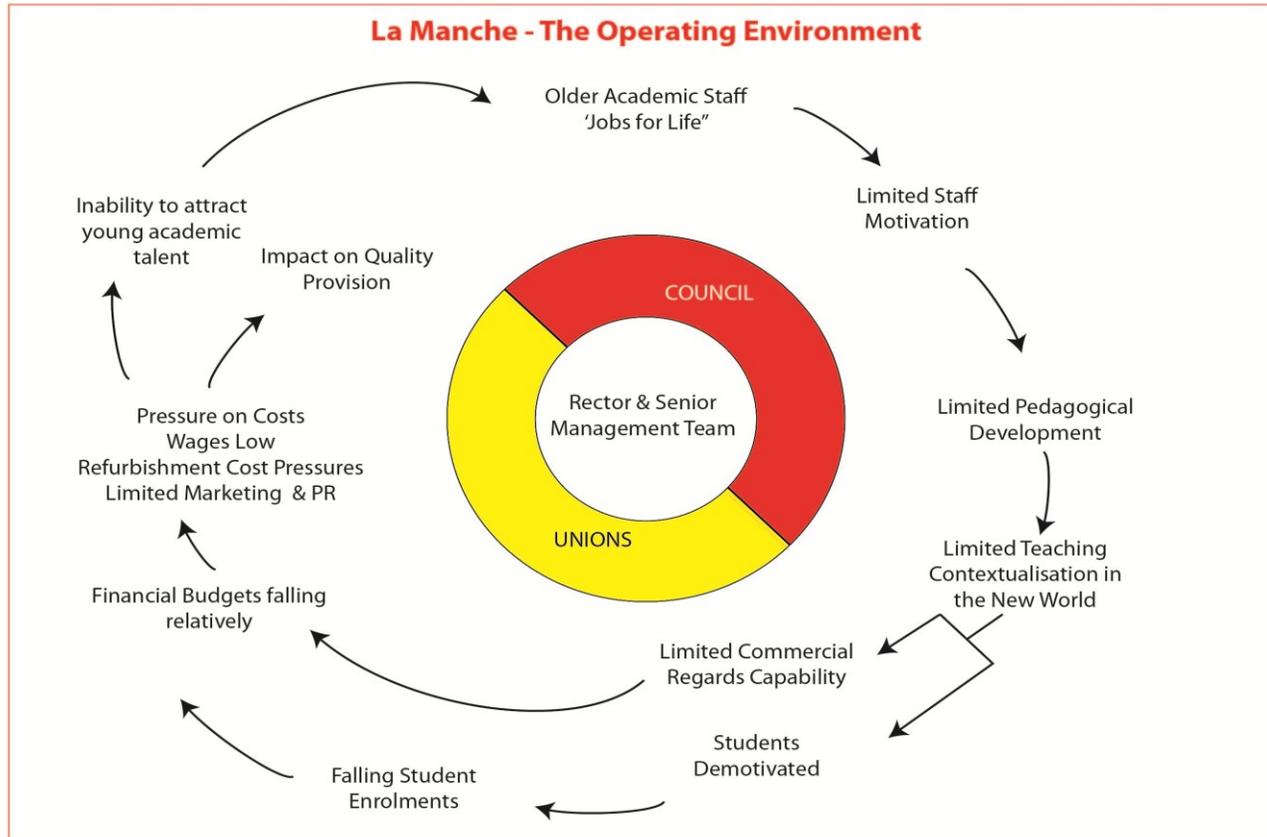
As a result of this work, the current External Assessment Report consists of five parts dedicated to each of the five Partner Countries involved in the project. The Report is based exclusively on information provided by the Partner Countries project partners in the framework of Work Package 2 and covers a number of topics, including:

- Partner Countries higher education institutions' commitment to effective leadership and management based on their mission, vision, values and goals
- Techniques and tools for engaging academic and non-academic staff and students in the pursuit of the institutions' goals
- Management models, organisational structure and reporting relations
- Legal framework and institutional policies for human resource management
- Challenges and obstacles in implementing change at the higher education institutions
- General overview of the human resource management processes
- Main challenges faced in the human resource management processes
- Identified training needs in the field of human resource management
- Access to learning resources and materials at the institutions.

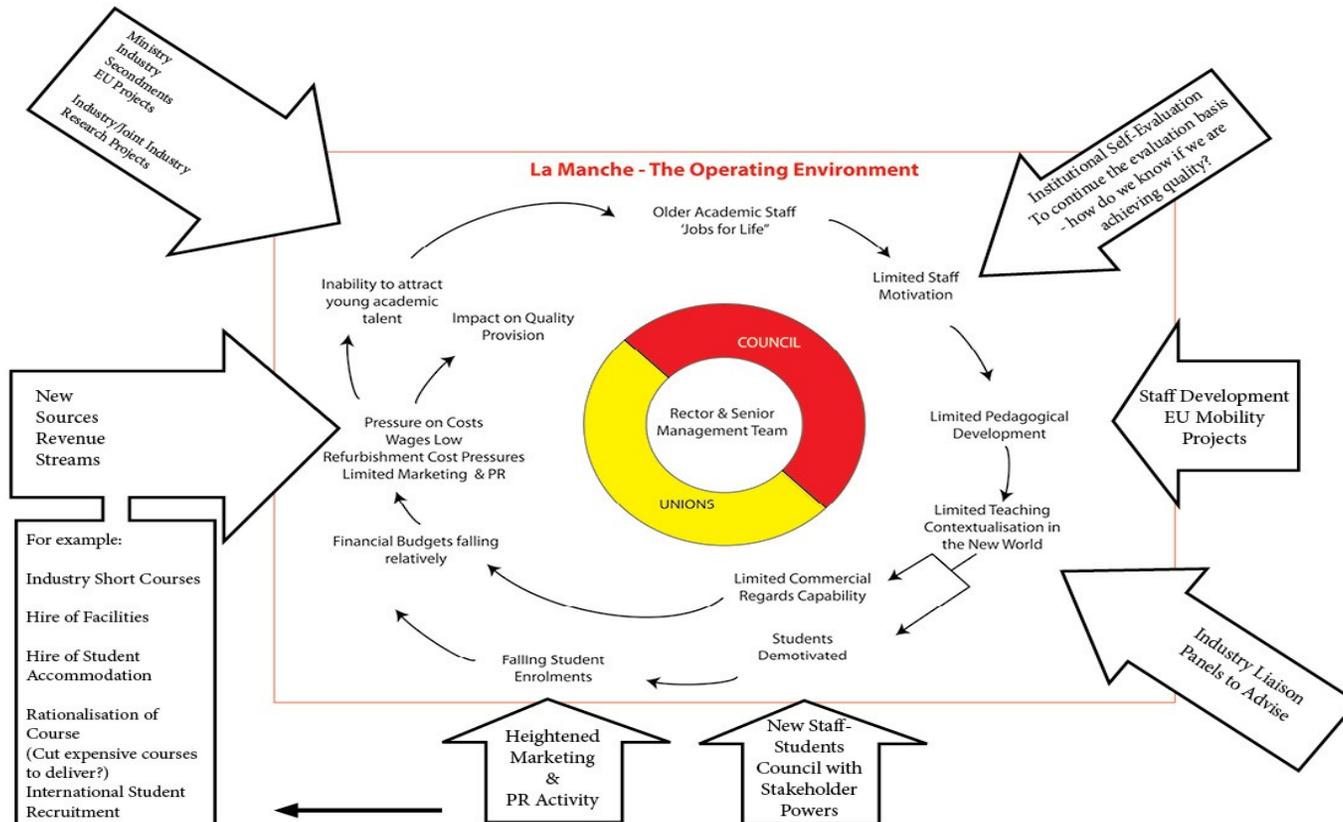
Following the conducted analysis the project team of Clevercherry, a company from the UK and project partner, has prepared two schemes (see below) illustrating on one hand the dynamics of the ongoing processes at the Partner Countries higher education institutions and their operational environment (Scheme 1) and the potential and opportunities for positive change and reforms based on the identified shortcomings and training needs (Scheme 2).

The chief goal of the External Assessment Report is to serve as a starting point for the activities in Work Packages 4, namely the elaboration of guidelines and training materials relevant to the identified needs for leadership training and capacity building. In addition, the lessons learned from the report will be taken into consideration and integrated in the trainings in leadership and change management organised in Work Package 5.

Scheme 1: La MANCHE Partner Countries higher education institutions' operating environment



Scheme 2: Potential and opportunities for positive change and reforms at the La MANCHE Partner Countries higher education institutions



2. Leadership and management skills and models in Armenia

External Assessment Report based on information provided by the following project partner institutions:

- Armenian National Agrarian University (ANAU)
- Gavar State University (GSU)
- State Engineering University of Armenia (Polytechnic) (SEUA)
- Yerevan State University (YSU)

All four institutions are public.

2.1. Higher education institutions' commitment to effective leadership and management based on their mission, vision, values and goals

All four Armenian universities involved in this assessment have extensive values and goals stipulated in their respective mission statements. It is very clear from the beginning that the up-keeping of traditional values plays a very important part in the role of Armenian universities: strengthening the statehood, instilling national and universal moral values, with one university (YSU) striving to become an “all-Armenian” institution and another (SEUA) boasting its polytechnic roots and orientation.

Other values (GSU) include carrying out activities in a democratic and transparent way respectful of human and civil rights and encouraging diversity. Similarly, ANAU seeks to achieve an educational environment which identifies the national common interests in the agrarian and scientific spheres. Evidently, while they all strive to provide quality education in Armenia by promoting the principles of excellence and innovation and taking into account the global challenges imposed upon them by the economic, technological and international contexts, each university has its own specific goals and visions for the future.

One of the underlying priorities for three out of the four universities (YSU, GSU and SEUA) is to be internationally competitive, by providing high-quality, efficient and modern education consistent with the European Bologna process and to attain quality through European standards. Moreover, the mission to train skilled specialists (ANAU and GSU) and to

meet the needs of the contemporary labour market (ANAU and SEUA) clearly shows that they are preparing their students for a successful and active role in their professional lives in line with the current requirements of a globalised economy.

Achieving student success and satisfaction is an important component of their missions and one university (YSU) aims to do this by maintaining a student-centered educational environment through a wide choice of programmes, affordable and accessible to all. Furthermore, it continually strives to improve upon its facilities, equipment and infrastructure.

With regards to governance, one university (SEUA) emphasizes the importance of an open university community with shared responsibility. This helps to attain quality through efficient administration and management, in order to ensure financial stability, the recruitment of high-quality personnel and consequently, the sustainable development of the university's research potential.

2.2. Techniques and tools for engaging academic and non-academic staff and students in the pursuit of the institutions' goals

Through the reports, one can note that all four universities have regular sessions of the various departmental councils which involve representatives from academic, non-academic staff and students; hence encouraging participation in the governance of their university. Interestingly, student implication in scientific councils is presented as a way for all four universities to pursue their goals. In some universities students represent 25% of the members of the councils. At SEUA for example, student councils have a big role in dissemination of information concerning the university's activities. The university has also decided to work with the best students on all academic levels (Bachelor, Master and PhD) in order for them to stay on in a department after graduation as academic or non-academic staff.

It is highlighted that the effective distribution of tasks and work amongst the personnel (taking into account abilities of each member) is extremely important when setting targets for the university. Equally important is the evaluation of their performances regarding the implemented tasks.

Other techniques used include institutional self-assessment processes such as periodical evaluations of the scope and quality of work carried out by each member of personnel, organisation of round tables, participation in international conferences and Research and Development grant programmes.

2.3. Management models, organisational structure and reporting relations

The organisational structure of three of the four Armenian universities (ANAU, GSU and YSU) is very similar, that is to say quite simple and well structured. The structure of the fourth university (SEUA) seems to be more hierarchical with sometimes 18 subdivisions mentioned in its organisational chart.

For two out of the four universities (GSU and YSU), the Rector is accountable to a University Council. According to the tables provided, the initiatives for an action are proposed at a departmental or faculty level, although some may be driven by civil society needs. For example at ANAU, curricula changes and links with the society at large are determined by the current labour employment market requirements.

Decisions for the key domains in question are generally made by the Heads of Department for three out of four universities (ANAU, GSU and YSU) whereas the Rectorate decides for SEUA. However, approval for all these decisions is only given at the highest level at all four universities. Implementation of the approved decisions depends on the key domains in question. In any case, it would seem that in general, the initiators are the ones to implement the actions. Responsibility for all actions falls upon the initiators at all four universities and control of the actions is entrusted to those who approved the decisions in the first place.

2.4. Legal framework and institutional policies for human resource management

At the national level:

In the Republic of Armenia, employer – employee relations are regulated by the Labour Code of 2004. This code regulates the collective and individual labour relations, defines the basis, the implementation of procedures, the changes and the termination of labour relations, and defines rights and

obligations/responsibilities of the parties, as well as employees' safety and health conditions. This code is applicable both to Higher Education institutions, as well as any legal entity, regardless of the type of activity. The Labour Code acts as a basis for any human resource management process taking place at the universities, specifically for position placing, hiring or dismissal and issuing orders for given positions, vacation formulation and the customization of working hours.

At the institutional level:

What is very interesting to see is that two out of the four universities (SEUA and YSU) have a Strategic Development Plan in which one of the goals is “to ensure high-quality personnel; efficient management of the university and establishment of anti-corruption environment.” Unfortunately, no information was given by ANAU regarding its human resource management policies. GSU has a regulations document on recruitment for part-time and full-time staff members of the university which states the requirements for the vacancies, and the order of making choice among the candidates of the vacancies. At SEUA, there is an internal procedure for recruiting staff. It acts as a basis for principles of establishment, placement and, in exceptional cases, assignment and re-signing of an employment contract. Placement for the teaching staff's vacant positions is done based on an employment contract which is signed for up to five years. Prior to signing the employment contract, open competition selection takes place (excluding cases of re-signing the employment contract or for placement to an assigned position). Similarly, at YSU, according to legislation, staff are divided into the following categories: professors, associate professors, assistant professors, candidates of sciences and doctors of sciences. Staff are also selected by open competitions. In addition, contract procedures exist at the institutions giving opportunities to work from one to five years. After the contract expiry date, an additional contract can be signed with a staff member for a further one to five years.

2.5. Challenges and obstacles in implementing change at the higher education institutions

After analysis, it would seem that this question provided an extremely interesting set of results in terms of the challenges faced by the four Armenian universities when it comes to implementing change. One can note that the conservative nature of the educational system in general and

of the universities in Armenia is, in particular, a major barrier with one university even stating that a “Soviet – era inertia” still exists. Not enough trust and faith among employees towards change can be noticed and even the students are described as conservative and who adapt to change with great difficulty.

Four more areas of concern emerged:

Financial:

According to all four universities, lack of diversity of the university’s financial resources and lack of sufficient financial resources for innovation are a major threat to change. For YSU particularly, the low salaries of academic staff force them to also work somewhere else creating a lack of “belonging” by staff.

Human Resources:

In general, it would seem that the vast majority of the university staff has a non-flexible mentality and is unable to adapt to change. For ANAU, it is a problem of generations and indeed all universities mention at some point the problem they have with the age of professors and their incapability of adapting to change and to the use of modern technologies.

Organisational:

Various organisational problems have emerged as a barrier to implementing change. For example, at YSU, inappropriate distribution of administrative, academic and technical staff among departments, and lack of detailed description of job responsibilities is a real problem. Another threat is that not all academic staff are ready to move to a learning outcomes and credit-based education system.

The decreasing number of applicants/students in 2011 at SEUA has caused financial problems which have led to the non-accomplishment of some institutional objectives. Furthermore, it would seem that the orientation of the Armenian society towards the teaching of humanities poses a threat to the agrarian sector of education in particular.

Administrative and legislative:

For SEUA, the state authorities’ non-consistent approach to engineering education creates significant barriers to implement large-scale reforms at the university. Furthermore, some of the national labour laws described previously create obstacles to hiring and dismissing employees.

2.6. General overview of the human resource management processes

Job design

Job design is carried out by the head of the administrative unit who also bears responsibility for the successful implementation of the assigned work. For teaching staff, there is an individual plan for each professor defining the number of teaching hours depending on their position and teaching load.

Human resource planning

For most universities, this includes setting organisational objectives and listing employee's needs. Each administrative unit has a specific number of staff positions depending on the scope of work. Each administrative unit may appeal to Rector for provision of an additional position.

Recruitment, selection and induction of new employees

Whether it be for internal or external recruitment an offer of employment is published by the Human Resource departments. An appointment to a position is determined by the abilities, qualifications, experience and standard of work performance of those persons with specific duties. Selection for some positions, such as Rector, Dean, Head of Chair or Professor is conducted on a competitive basis. The assignment for Rector's position is undertaken by the Armenian Ministry of Education and Science and assignment for other positions, the immediate supervisor of the administrative unit conducts selection, in coordination with the Vice Rector and Rector.

Work contracts are signed and are usually concluded for a determined period, most typically for 5 years. A contract system is used for the appointment of teaching staff, which specifies rights and duties/responsibilities of the university and contracting employee. However, the contract makes no provisions for procedures to remove a teacher from his/her duties if they continue to be demonstrably ineffective.

In terms of evaluation, performance evaluations are conducted for all permanent academic staff members through regular (semester-based) student surveys. Indeed, information on teachers' aptitudes and performance (including results of student surveys) are used in merit based selection/re-selection process of permanent teaching staff. Furthermore, an effective faculty performance management system, which comprises

student feedback, faculty self-assessment and supervisor review is among the short-term priorities of one of the universities.

Staff training

The following staff training initiatives and opportunities are in place at the four universities:

- Language courses
- IT courses
- National and international training courses
- Postgraduate Additional Education Departments enable the universities to increase the level of education and to enlarge and develop the cultural mission of the university
- A comprehensive, credit-based staff development programme for the development of professional competences and teaching skills of permanent teaching staff
- Life Long Learning Centers provide short-term training for teaching staff.

Career development and promotion for academic and non-academic staff members

- Administrative and technical staff contracts are longer in duration than those of academic staff
- There is a wide range of opportunities for career development at the university, but depends on the individual's work performance/quality and initiative
- In case of the teaching staff, in order to be transferred from Associate Professor's position to Professor's position it is necessary to fulfill requirements clearly defined in the procedure. Only then one may claim for the Professor's position.

Payment and other benefits for staff motivation

- Extra salary
- Grants
- Scientific projects
- Declaration of gratitude
- A one-time cash award
- Certificate
- Souvenir award
- Granting of an additional paid leave

- Honorary degrees and awards (e.g. Doctor of Engineering)
- Professor Emeritus
- Gold medal.

Appraisal of staff performance

- Included in university regulations and implemented after rector's approval
- Efficiency of teaching and learning methods used by certain lecturers is evaluated both by analyzing the progress manifested by students during exams and by student surveys assessing the teaching quality and efficiency at the end of each term
- Diplomas, medals
- Each administrative unit of the university prepares and presents the annual report about its activities which is an assessment of a given unit's and its employees' activities
- There are special forms for the teaching staff's evaluation. They are completed by Head of Chair and Dean for re-signing of the employment agreement.

Conflict management and resolution

- Hierarchic pattern: Head of Chair, Dean, Vice-Rector, Rector
- There are no clearly defined mechanisms for conflict management. Usually, work is carried out not to transfer conflicts into the legal area/to the court. Mostly, conflicts are solved by help of colleagues or the Labour Union.

Disciplinary matters and grievances

- Pay decrease
- Reprimand
- Severe reprimand
- Termination of employment contract.

2.7. Main challenges faced in the human resource management processes

At institutional level the inquired universities pointed out the following main challenges for successful human resource management:

- Replacement of a staff member who unexpectedly moves to another institution or leaves for a foreign country
- Planning and classification of faculty and staff
- Policy and procedures for employing and discharging faculty and administrative staff
- Evaluation of faculty staff activities
- Development and improvement of the system enhancing and developing the faculty qualifications;
- The age of professors
- Young specialists are more interested in getting a job within a company than applying for a Masters or PhD due to the fact that the salary for high level specialists in the local labour market is 2-3 times higher than in the university
- Lack of staff initiatives
- Bureaucracy
- Unequal distribution of tasks
- Lack of specialists in the field of human resource management
- Lack of financial attractiveness for engaging professionals from outside in teaching/educational process
- Absence of sabbatical practices/opportunities for professors and assistant professors involved in teaching process
- Lack of supporting staff at Department/Chair level(s)
- Inadequate Career Path Models
- Lack of relevant knowledge and experience of teaching staff
- Difficulties in applying new methodologies
- Lack of professional knowledge
- Low percentage of academic and non-academic staff who have seen the European way of working
- Change Management
- Leadership development
- Compensation and benefits
- Recruitment of skilled employees
- Inflexible system of hierarchy, promotions, job incentives for workforce
- Lack of sufficient research basis for employees' professional growth
- Lack of opportunities for training
- Knowledge of human resource management is not satisfactory on different staff levels, so it is required to organise advanced courses or seminars on human resource management

- The university – employer ties do not contribute to better quality and efficiency of the university's activities
- Low professionalism of some employees creates obstacles for provision of high-quality services by the university.

2.8. Identified training needs in the field of human resource management

- Applying modern technology in teaching
- Foreign languages
- International experience
- Mobility for teachers and researchers in the European higher educational area
- Internationally recognised “best practices” in handling Master programmes providing joint degree(s)
- Leadership skills development
- Time management, work organisation and rational distribution, conflict resolution
- Human resource management, such as team building
- Management of the educational process
- Rhetoric skills
- Labour law.

2.9. Access to learning resources and materials at the institutions

One university has the following structural subdivisions: Academic Policy Department, Quality Assurance Department, Public Relations and Information Department (PR and IT Department), and Computer Service Department. The library and the reading hall of the university serve not only to the university students and lecturers, but also the region's population.

Courses on leadership are carried out in the Master and Ph.D. programmes by the Faculty of Sociology, Department of Public Administration, as well as for Academic Staff by the Postgraduate Additional Education Center. Another university has a scientific-technical library which is not only available for students and employees but also clients from another university. The library has six reading halls. The total number of books is more than 900 000. Electronic resources are a big chunk of the library.

Besides technical literature, there are lot of books on management, marketing, management methods and work ethics. These books, as open resources are available for students and employees both in the printed and electronic formats. However, as the practice shows, the rate of using these books is low both among students and administrative staff.

Two subjects concerning leadership are taught in two of the universities:

- Agrarian Leadership (in the department of Agrarian policy and consultancy)
- Management (In the department of agribusiness management).

3. Leadership and management skills and models in Belarus

External Assessment Report based on information provided by the following project partner institutions:

- Belarusian State Economic University (BSEU)
- Belarusian Trade and Economics University of Consumer Cooperatives (BTEU)
- P.O. Sukhoi State Technical University of Gomel (GSTU)
- Vitebsk State Technological University (VSTU)

BSEU, GSTU and VSTU are public, BTEU is a private institution.

3.1. Higher education institutions' commitment to effective leadership and management based on their mission, vision, values and goals

The commitment of any type of organisation to invest in its work force typically leads to a high level of satisfaction and motivation among its employees. Focusing on effective human resource management and providing good leadership in the organisation leads not only to fulfillment of the organisation's mission and the pursuit of its goals, but also increases its competitiveness. This in particular applies to higher education institutions where the existence of highly skilled, talented and committed work force is crucial for the institutions' success.

A strong signal towards the institution's employees, students and external stakeholders that effective human resource management and leadership are at the heart of the institution's philosophy is the presence of these topics in the institution's mission, vision, values and main goals. In this regard the review of the mission, vision, values and main goals of higher education institutions from Belarus involved in the La MANCHE project shows some interesting results. It is important to outline that two of the institutions (GSTU and BSEU) make mention of personal development and the realisation of the potential of their human resources in their vision for the future and recognise these as key values. Integrating human resource management and creative personal development in the institutions' vision is an important step towards achieving these aims.

The relevance of these is highlighted in the mission statements of two of the institutions involved (BTEU and BSEU). BTEU puts the personality's creative potential development at the heart of its mission and aims at improvement of pedagogical and methodological training of academic staff and at development of corporate culture. BSEU mentions among its chief goals the provision of training and development of highly qualified research and educational personnel, professional development and advanced training of university professors in socio-economic subjects.

In regard with the La MANCHE project which focuses on leadership and change management, it should be added that VSTU lists among its main objectives the realisation of the creative and leadership potential of its students. The recognition of the importance of developing leadership skills in the students certainly represents an innovative student-centered approach.

3.2. Techniques and tools for engaging academic and non-academic staff and students in the pursuit of the institutions' goals

In the self-assessment reports, all four institutions provided extensive information on the techniques implemented for engaging staff members at different levels within the institution. Three of the institutions highlight the importance of open and regular discussions of the problems existing in the institution and at faculty level. Keeping staff members informed on the institution's long-term goals and short-term objectives as well as updating them on recent developments appear to be highly appreciated by a large number of the respondents from all five target groups.

It is a well-known fact that employees need to feel confident in their future and in the future of the organisation they work for. By keeping staff members informed on the organisation's long-term goals they feel that their work and contribution fit into the organisation's strategic plan and future. Respondents in two of the institutions go beyond the issue of transparency and provide information on existence of mechanisms for joint decision making. Respondents in one of the institutions provided data on practices to involve staff members in the process of identifying the institution's long-term goals and strategic management. It remains however unclear to what extent they have a say in the final institutional strategic plan and how exactly is this executed in reality.

Teamwork is valued and interaction with peers within the institution is often mentioned as an important tool for creating a sense of belonging and establishment of common values at the university. Some of the respondents have stressed the importance of creating a personal contact with employees that would include close collaboration and provision of mutual help when needed. This is closely linked with creating a positive work environment.

The findings in the reports would suggest that delegation of responsibilities to staff members based on the manager's observation and the allocation of tasks to staff members in accordance to their skills and professional expertise represent another efficient way for engaging staff members in the process of achieving the institution's goals. At one of the institutions the tendency to vest authorities to the employees to perform individual tasks goes hand in hand with the process of enhanced monitoring and control of the tasks' implementation.

Another important point raised by respondents from the higher education institutions in Belarus is the regular provision of feedback to employees regarding their performance. Discussing the results of individual performance plans and individual work with staff members with the aim of clarifying existing issues are highly appreciated by staff members.

The following tools and methods for motivating staff members to perform better are also mentioned in the self-assessment reports: support of new staff members in the process of adjustment and adaptation, motivation through a bonus system with clear rules, career planning for the academic staff, involvement of academic staff members in creative work groups, organisation of events and joint initiatives outside the classroom, "official praise", "placing student's photo in the hall of the fame", etc.

3.3. Management models, organisational structure and reporting relations

The four institutions have provided detailed information on the duties, responsibilities and reporting relations for the positions of the Rector, the Vice Rectors, Deans, the Heads of Departments and Heads of Administrative Units. For most of the positions it is clearly defined to whom these are accountable. The reporting lines in the organisations are also evident from the provided organisation charts. These are in general quite elaborate with

numerous levels which could be indicative not only of the strict hierarchy and slow and complicated decision making process at the organisations but also of their general inadaptability and resistance to change. Each institution is divided in a number of functional units and teaching departments.

As a rule the higher education institutions are headed by the Rector. The Rector is appointed under state regulation and is typically assisted in his/her work by a very large number of Vice Rectors (up to 7). Although on the organisation chart all Vice Rectors are placed on the same level, one of them is always appointed First Vice or Senior Vice Rector with responsibilities predominantly concerning the management of the main processes at the higher education institution, namely education and research.

There is no data provided on the existence of an independent body to which the Rector of the university is accountable for his/her activities and to whom he/she reports on a regular basis. The Rector usually works in close cooperation with the University Council which is chaired by him. Members of the University Council are assigned with the approval of the Rector which raises a question to what extent the members of the University Council could take decisions and express opinions independently.

The data provided by the four inquired institutions underpins the information in the Higher Education in Belarus report prepared by EACEA within the Tempus Programme which reveals that “the higher education institutions in the country are managed on the basis of combining principles of a single undivided authority with a collective approach”. The inquired institutions report on the existence of the following collective bodies:

- At university level: University Council, Scientific and Technological Council, Scientific and Methodological Council, Coordination Council on Educational Work/ Coordinating Board on Ideological-Educative work.
- At faculty level: Faculty Council.

When observing the processes of (1) initiative provision, (2) decision making, (3) approval, (4) implementation, (5) bearing of responsibility and (6) control in the ten key domains typical for the higher education institutions (curricula changes and reforms, education and teaching

processes, research activities, lifelong learning and continuous education, links with business representatives and society at large, allocation of financial resources, tuition fees, fundraising and involvement in projects, academic staff development and training and non-academic staff development and training) the following general conclusions could be made based on the information provided by the four Belarusian universities in the La MANCHE project:

- Decision making is in general entrusted to the Vice Rectors in charge of the concrete domain; depending on the domain, one of the institutions reports on the involvement of different collective bodies in decision making such as the University Council, the Scientific and Methodological Council or the Quality Council.
- The final approval of most of the decisions taken in the ten listed domains is made by the Rector or another representative of the most senior management of the university. With most of the decision making power centralised in the hands of the Rector, it could be concluded that the top-down management model is mostly applied at the institutions.
- In most of the cases it is the Rector or another representative of the most senior management of the university who are in charge of monitoring and control of the activities, which is another signal for top-down management. It is difficult to even estimate the workload of the members of the top management of the institutions given the large number of tasks they are assigned.
- It is a positive feature that in most of the domains the initiative comes from the Heads of Departments and Units, e.g. not the senior management representatives. In some cases like education and teaching and lifelong learning even students are entitled to propose new initiatives.
- In terms of decisions' practical implementation the changes and new initiatives are implemented as a rule at the level of the departments or administrative units depending on the type of activity.
- In terms of bearing responsibility the institutions have provided diverse data. The following trends could be identified: 1) the staff members in charge of implementation of the decisions are those who also bear the responsibility (for instance in case of GSTU); 2) the responsibility for implementation is borne by a representative of the senior management (Rector, Vice Rector) (for instance in case of BTEU) and not the staff members implementing the activities. This

on one hand raises again the concern of the huge workload of senior managers, on the other hand could result in low quality and efficiency of the processes as the main participants could feel detached from their work.

- In terms of allocation of financial resources it is important to stress that apart from one university, in all other universities the Rector singlehandedly or in cooperation with the other senior management representatives is in charge of all stages of the activities' execution, namely decision making, approval, implementation, and control of financial management processes.
- It stands out that curricula changes and reforms which are typically considered subject to academic freedom have to be approved by the highest university authorities (Rector and/or University Council). This is again a clear signal for top-down management style.
- Education and teaching processes are also managed at the highest institutional level, as universities report that the Rector and the Vice Rectors are in charge of decision making in this domain too.
- Most of the institutions have indicated that decision making concerning research activities is also part of the senior management's responsibilities. This raises again a concern regarding academic freedom.

Based on the provided data (including the detailed description of the universities' senior management duties and responsibilities and reporting relations) it can be concluded that typically the institutions show a strong top-down management style and approach in all ten key domains including the links with business and the civil society and lifelong learning and continuing education.

3.4. Legal framework and policies for human resource management

On national level the following legal acts in regard with human resource management are in place:

- A legislative act regulating employment relations in all spheres of work including education is the Labour Code of the Republic of Belarus.
- The duties and responsibilities of the participants and stakeholders in the educational process are stipulated in the Educational Code of the Republic of Belarus

- Some issues of personnel management are regulated by separate legislative acts, for example: Decree of the Ministry of Education of the Republic of Belarus “On Improving Labour Management of Educational Specialists” of 30.03.2007 No 26; Decree of the Ministry of Education of the Republic of Belarus “On Approving the Instruction on Calculating the Record of Service in the Specialty (in Industry) of the State Financed Educational System Organisation Employees of 31.10.2002 No 45; Decree of the Council of Ministers of the Republic of Belarus “On Approving the Regulation on Competitive Selection for the Positions of Educational Specialists from among Academic Staff at Higher Educational Institutions of the Republic of Belarus” of 21.06.2011 No 806.

At institutional level, human resource management processes are regulated through different types of documents. One of the institutions provides information on the existence of Internal Work Regulations approved by the Rector which concerns the employment and dismissal of workers, employees’ duties and responsibilities, employer’s duties, working time, work rules violation etc. Another project partner lists the following main documents for human resource management at institutional level: the university’s strategic plan for development, a regulation related to the organisation of work with the senior management within state government bodies and other government agencies, regulation for bonus payments, regulation on the acquisition reserve of management personnel. In one of the cases the Personnel Management Standard is one of the University Quality Management System documents regulating human resource management at the university. This document describes the processes of personnel management including job design, recruitment, non-academic staff competence evaluation; academic staff competence assessment, staff members dismissal and personnel information management etc.

3.5. Challenges and obstacles in implementing change at the higher education institutions

The feedback provided by the different respondents at all four project partner universities from Belarus shows a high level of similarities which allows us to make some general conclusions on the challenges and obstacles for change, namely:

- Lack of sufficient funding to proceed with the implementation of the changes planned; shortage of other types of resources as well such as time, personnel, materials; outdated facilities; in addition to this over-centralisation of financial resources which could lead to limited transparency and accountability
- Rigid, conservative and bureaucratic administrative culture; lack of coordination between the different administrative units when certain changes have to be implemented
- Insufficient delegation of duties at all management levels; decision making is in most cases not transparent enough and centralised in the hands of a limited number of people
- Absence of general agreement on the changes to be introduced which often leads to inconsistent actions and measures on behalf of the senior management
- General resistance to change identified among all members of the academic community including university administration; the lack of motivation and the reluctance to introduce changes is often linked to lack of sufficient information on the changes to be introduced; often staff members show unwillingness to collaborate in the changes because they fear that their workload will grow
- Lack of communication on the benefits and the necessity of changes
- Low level of involvement and motivation due to the fact that most staff members do not see their personal and professional goals directly linked to the institution's objectives, e.g. lack of sense of belonging to the community
- Conservative curricula and teaching methods which do not allow the academic staff members to be innovative enough.

3.6. General overview of the human resource management processes

Job design

Typically job design is carried out on an annual basis in line with the plan for accounting and financial management. In addition, in the process of job design the long-term plan for development of the university is taken into consideration. This plan covers a period of ten years and includes information on the human resources expected development and estimated figures.

Human resource planning

For academic staff members, human resource planning is organised in line with the workload for teaching and teaching standards. The number of academic staff employed depends on the number of students enrolled and the number of PhD students one professor is in charge of. One of the institutions reports on applying the following procedure for human resource planning: the so called staff schedule which includes the titles and numbers of positions and professions occupied is developed by the Head of the Accounting and Finance department and approved by the Rector on an annual basis.

Recruitment, selection and induction of new employees

In general all four universities inquired report on a recruitment and selection process consisting of the following steps:

- Identification of the needs to recruit a new staff member
- Announcement of the vacancy (in the media and with the collaboration of recruitment agencies)
- Submission of applications by applicants
- Assessment of the applicants' competences and suitability to fulfill the vacancy aiming at clarifying to what extent each applicant meets the requirements for the position. Most of the institutions report that the job interview is a compulsory part of the selection procedure. One of the universities informs that at this stage a pool of candidates is created. The approved candidates are required to submit a full set of documents.

As a rule, the Human Resource divisions are in charge of the organisation of recruitment and selection of new employees. Heads of Departments are involved at the different stages of selection, but it is the Rector who takes the final decision regarding the recruitment of the applicant. Following his/her positive decision, the successful candidate is offered a contract. None of the universities provides information on the existence of specific programme for inductions of the new employees.

Staff training

The universities inquired report only briefly on the existing initiatives for staff training at the institutions. Improvement of academic qualification of employees is deemed an important factor for improvement of the quality of education in the university. One of the universities informs that according

to the existing normative and legislative acts in Belarus academic staff should go through training at least once in five years. Staff training at one of the universities is organised at two levels, e.g. at faculty level and at university level. The general university plan for staff training is approved by the Pro-rector for scientific work.

Career development and promotion for academic and non-academic staff members

Career development for academic staff members is based on the individual career development plans developed for them which are approved by the first Vice Rector. Issues related to enrolling in postgraduate studies are regulated by the Presidential Decree “On the issues of training and certification of highly qualified scientists”. Two of the universities inquired reported on the existence of a reserve list with academic and non-academic staff members which could fulfill managerial positions. This reserve list is prepared and updated on an annual basis. Staff members on this list take part in different types of training in order to get prepared for the tasks and duties they will receive after the promotion. In 2012 eight staff members from the reserve list of this university got promoted and became members of the senior management team.

Payment and other benefits for staff motivation

In general the salaries of the employees consist of basic payment and other additional payments. The basic payment includes as a rule the remuneration for actual work hours plus bonuses for working overtime and during the night. The additional payments include incentives and reimbursements. The financial incentives aim at motivating staff members to perform better and be more efficient at work. One of the institutions provides the following reasoning for the financial incentives: “It may not be difficult to get people for fixed wages and salaries. But with fixed remuneration, it is difficult to motivate workers to show better performance. Fixed remuneration removes fear of insecurity in the minds of the employees. A feeling of secured income fails to evoke positive response.” It remains unclear though to what extent the system of paying financial incentives is being applied. Reimbursements are set for adverse effects of working conditions on health and performance and for additional work not directly related to the employee’s job description. Beyond

financial motivation, the institutions inquired list the following methods and tools for stimulating the staff performance:

- Public recognition and awards, such as Honorary Diploma, Official Letter from the university, placing the photo of the employee in the hall of fame
- Provision of additional education and training programmes covered by the university
- Provision of opportunities for sport and fitness
- Provision of opportunities to visit health resorts, rest homes, children's camps (for the children of employees)
- Provision of health care for employees and their families
- Free legal advice.

Appraisal of staff performance

Most of the institutions report on separate procedures for appraisal of academic and non-academic staff. In general, performance of non-academic staff is assessed every three years. In terms of the academic staff the data is diverse – institutions mention periods of one, three or five years in which academic staff appraisal is organised. One of the institutions informs that in the process of teaching staff evaluation students' feedback is also taken into consideration. Assessment of academic staff members with scientific degree or title is carried out based on criteria approved by the Ministry of Education of the Republic of Belarus. One of the institutions points out that as a result of the appraisal of staff performance further training could be recommended. One of the chief ends of the procedure is to create and maintain a pool of employees with diverse and complex skills who can be involved in other types of activities at the university.

Conflict management and resolution

Disputes related to work are settled in the Labour Dispute Committee consisting of representative of the university management and the trade unions. One of the institutions makes mention of the existence of social and psychological services at the university which are also involved in the processes of conflict management.

Disciplinary matters and grievances

Typically the institutions mention the following procedures being applied as penalty in cases of misconduct or improper performance of activities: deprivation of any bonuses, reprimand, dismissal/ termination of

employment contract. These are implemented in compliance with the rules and regulations of the Labour Code of the Republic of Belarus. Two of the institutions specifically note the role of the Rector and other representatives of the senior management in the process of dealing with cases like this. As stated in one of the institution's report, the Rector has the right to choose the type of disciplinary action to be applied. Another inquired institution reports that employees with problems in work or personal issues may discuss with the senior management representatives (Rector or Deans) at specifically appointed for this time (consulting hours).

3.7. Main challenges faced in the human resource management processes

At institutional level the inquired universities pointed out the following main challenges for successful human resource management:

- Lack of competence of some of the administrative staff
- High staff turnover due to low salaries
- Human resource management is a process which is often inconsistent and badly organised
- Lack of efficient mechanisms for staff motivation; there is no wage differentiation according to the quality and results of work
- Aging staff and lack of interest among young specialists towards pursuit of a career in academic settings due to brain-drain
- Shortage of personnel
- Lack of corporate culture
- Different kinds of political pressure being imposed
- Interpersonal communication problems
- Low motivation and inertia of personnel.

Part of the above mentioned difficulties in human resource management identified at institutional level mirror the challenges cited as relevant for the higher education system in Belarus as a whole. The following main areas appear to be the most problematic and at same time universal for the higher education system in Belarus:

- Aging staff
- Low salaries and lack of effective system for staff remuneration
- Decreasing interest in pursuing a scientific and/or academic career among young people due to brain-drain.

3.8. Identified training needs in the field of human resource management

The following relevant fields and topics have been identified by respondents as ultimate areas where further training is definitely needed: leadership, conflict resolution and conflict management, project management, time management, educational management and strategic management, effective communication and motivational techniques and methods for engaging staff members in the work process. In one of the reports the inquired student has outlined the need to introduce a new approach in human resource management; hence training would be relevant and needed only if it would focus on innovative practices and creativity.

3.9. Access to learning resources and materials at the institutions

Two of the four institutions provided detailed lists with learning resources and books in English available at their libraries. Most of the titles included are of books and textbooks published during the last ten years. Another institution stated that literature on leadership, management and organisational behavior is available at its library. All institutions claim to have access to internet databases.

4. Leadership and management skills and models in Georgia

External Assessment Report based on information provided by the following project partner institutions:

- Caucasus University (CU)
- Gori Teaching University (GTU)
- International Black Sea University (IBSU)
- Ivane Javakhishvili Tbilisi State University (TSU)

GTU and TSU are public and IBSU and CU are private institutions.

4.1. Higher education institutions' commitment to effective leadership and management based on their mission, vision, values and goals

The analysis of the mission, vision, values and goals of the four higher education institutions from Georgia participating in the La MANCHE project shows that the institutions in question in general consider excellence in administrative and institutional management and effective human resource management of key importance. In its mission statement TSU focuses on more than one domains of capacity building. On one hand the institution puts sustainable development of qualification of academic, scientific and administrative personnel among its main goals. In addition, the enhancement of quality of the administrative management and overall institutional strengthening are also listed as institutional objectives of significant relevance.

In the light of the La MANCHE project chief objectives it is highly important to outline that TSU lists the students' involvement in university activities as competent, active and constructive partners as main institutional goal too. A reference to students' involvement in the decision making processes at institutional level is to be found also in the information provided by IBSU. Along with the students, IBSU strives to engage also academic personal in the decision making process at the institution in order to guarantee transparency of university management processes and to train new research staff. IBSU has set as a long-term goal to become a university recognised internationally for its management excellence.

In comparison to TSU, CU and GTU are less focused on capacity building based on the information they provided about the institutions' mission statements. Still, CU mentions attracting and retaining of highly-qualified local and foreign academic personnel as one of its main goals. Although there is no information provided by GTU on the existence or mentioning of capacity building and/or effective management with focus on human resource management in the institution's mission statement, it is clearly stated that the institution's specific objectives are to be realised through the implementation of a set of comprehensive strategic and managerial trainings and infrastructural measures. In this regard one can conclude that GTU is committed to capacity building and applies it as a method to achieve its goals as an education institution.

The main conclusion to be drawn from the statements the four Georgian institutions made is that different domains of capacity building and effective institutional management are recognised as important institutional goals at the Georgian higher education institutions.

4.2. Techniques and tools for engaging academic and non-academic staff and students in the pursuit of the institutions' goals

The task to report on the techniques and tools for engaging staff members and students in the pursuit of the institution's goals, has been completed by the four Georgian institutions involved in a very diverse manner. The scarce replies of the five types of respondents involved in the report of GTU do not provide any relevant information and most probably stems from misunderstanding the assignment. Despite being relatively short, the answers of the respondents from CU provide a clear picture and allow an external assessor to make some major conclusions regarding the topic. A part of the respondents from TSU seem to have partially misunderstood the question and have provided predominantly information on their main duties and responsibilities or on the decision making mechanisms concerning their work. In contrast to these three institutions, the majority of the respondents from IBSU have given elaborate and extensive answers.

With the exception of GTU the senior management representatives of all Georgian universities involved in the project stress the importance of face-to-face meetings with staff members and the establishment of flexible and effective communication practices and channels in the institution. In his

reply the Rector of TSU for instance uses repeatedly the words “meet” and “listen”. In addition to the formal meetings the respondents of CU and IBSU report on the existence of different types of social activities at the institution such as local and international trips for staff, regular joint meals and celebrations, festivals and parties, activities organised by the students clubs etc.

The direct link between enhanced communication, increased motivation and improved performance in the pursuit of institutional goals is clearly illustrated by the student respondent from IBSU: “when my university deals with me personally, it really attracts me and motivates me... This motivation on the other hand supports the institutions goals... The lecturers are friendly and make us feel comfortable so I become more attentive and motivated.” Along with creating transparency and collaborative environment through effective communication and showing empathy and understanding, respondents from CU and IBSU mention also the trainings aiming at different skills development and upgrade as another technique for engaging the staff members and improving their performance. CU’s middle management representative points out the involvement in different projects as one of the most effective tools for engaging staff members. Staff members of IBSU also cite offering salaries above the country’s average and the provision of financial support for scientific publications and participation in scientific conferences as an effective motivation tool implemented at their institution.

The performance control and assessment are also listed by respondents of CU and IBSU as an important instrument for engaging staff members and students in the institution’s activities. As a result of evaluation on a regular basis, staff members of IBSU depending on the feedback they receive could be awarded or eventually promoted and transferred to other units or positions.

In order to motivate students’ performance and increase students’ motivation, IBSU respondents report on different practices being applied such as offering part-time jobs for students on campus at various sections or departments and the provision of recommendation for students to participate in internships or get recruited at related companies.

4.3. Management models, organisational structure and reporting relations

The organisation charts of GTU, IBSU and CU reveal that contrary to the majority of the institutions in the project the Georgian higher education institutions are not headed by the Rector but a collective body to whom the Rector is accountable. At GTU this collective body is called Academic Board. At the private institutions the owners of the institution (CU) or the members of the Board of Trustees (IBSU) occupy the highest level in the hierarchy. At IBSU the Board of Trustees assigns the Rector in contrast to the public higher education institutions where the election of the Rector is made by secret ballot among members of the Academic Council. At all four institutions the Rector manages the university in collaboration with the Academic Council (at IBSU this body is named University Academic Board). The Academic Council's scope of activities concerns in general education and research.

It is important to stress the existence of Chancellor/ Head of Administration at the higher education institutions in Georgia who is nominated by the Academic Council (and approved by the Senate at GTU) or by the Rector (and agreed with the Board of Trustees at IBSU). The Chancellor is responsible specifically for the financial, human resource and facility management at the institution as well as for the organisation, administration and execution of the institutional budget. The division of management duties and responsibilities between the Rector and the Chancellor is considered a good governance practice in the context of the current project. The La MANCHE project has been prompted by the need to build management skills of senior management at the higher education institutions where the senior management positions are predominantly occupied by academics who are not professional managers. On the organisation chart the Chancellor is either positioned on the same level as the Rector (at CTU) or at the level of the Vice Rectors (IBSU).

In the field of education, research and social affairs the Rector is supported by Vice Rectors who report directly to the Rector and as a rule are appointed and dismissed by him/her. At faculty level the efficient education and scientific processes are ensured by the Dean of Faculty who manages the scope of competences assigned to him/her and fulfills the decisions taken by the university's management bodies. In terms of the degree of "flatness", the organisation charts of the institutions differ significantly. Surprisingly, the organisation chart provided by GTU is very simple and has

by far less levels than the private institutions in the project. In their self-assessment reports IBSU and CU have provided evidence of complex, multi-level structures with several specific units.

The institutions' report on the following collective bodies involved in the higher education management processes:

- At institutional level: Representative Council (Senate) and Academic Council at GTU and TSU, Governing Board (CU), University Academic Board and University Administrative Board (IBSU); other existing collective bodies at institutional level: Ethics Commission (IBSU), University Quality Assurance Office to systematically monitor and evaluate the quality of the teaching process (TSU), Dissertation Council (TSU and IBSU).
- At faculty level: the Faculty Council at the public universities and Faculty Board/ Board of the School at the private universities.

When observing the processes of (1) initiative provision, (2) decision making, (3) approval, (4) implementation, (5) bearing of responsibility and (6) control in the ten key domains specific for the higher education institutions (curricula changes and reforms, education and teaching processes, research activities, lifelong learning and continuous education, links with business representatives and society at large, allocation of financial resources, tuition fees, fundraising and involvement in projects, academic staff development and training and non-academic staff development and training) the following general trends could be outlined based on the information provided by the four Georgian universities in the La MANCHE project:

- The curricula changes and reforms and the education and teaching seem to be quite straightforward processes involving exclusively the stakeholders directly concerned. In general it is the programme supervisor, the Dean, a professor, the students or even external stakeholders who could initiate a change in the curricula or in the education and teaching system. Decision is taken as a rule as closely to the implementers as possible on faculty level or by the respective teaching professors. The approval lies with the Faculty and the Academic Councils or the Vice Rector for Academic Affairs. Almost all institutions have stated that these processes are subject to control of the Quality Assurance bodies at institutional and national level. The fact that education and teaching are less bureaucratic and

actively involve the participants in these processes enhances academic freedom.

- In general, when it comes to initiating changes in the ten domains, a predominantly bottom-up approach is typical, e.g. the direct participants in the different processes are free to take the initiative, with numerous cases when students are also involved.
- Decisions within the ten domains are with the exception of GTU taken very often by the same people who hold the right to initiative and implementation. This clearly shows that many of the processes are managed in an open-minded and flexible manner with the direct involvement of staff members in the decision making processes. This certainly could support the creativity and could lead in long term to innovation at the institutions.
- In most of the cases the people or bodies in charge of implementation also bear responsibility for implementation which prevents them from feeling detached and enhances their commitment.
- Unlike other universities in the project, at most of the Georgian universities the allocation of financial resources is not subject to exclusive right of the Rector. The financial management of the institution is as mentioned above within the Chancellor's scope of activities. In addition, the Rector is involved mostly only in the approval of the decisions concerning financial issues. The decisions are taken on faculty level which reveals the existence of a certain financial freedom as well within the different units.
- The mechanisms for defining tuition fees differ from institution to institution depending on the institutions status. At GTU the right to initiative, decision making and approval lies with the Ministry of Education. At TSU the Government of Georgia is entitled to initiative in this domain, but all other processes are managed at institutional level. At CU the decisions regarding the tuition fees are taken at faculty level in collaboration with the Department of Budgeting and Finance.
- The links, where existing, with the business and society at large, are often managed at the highest senior management level. In the long term this could have a negative impact on the institutions' development. The links with the business and society within the higher education institutions should be created and supported at all levels and with participation of all internal stakeholders, e.g.

students, faculty, non-academic staff members, Career center etc. Narrowing the decision making power in this domain only to the Rector or the Vice Rectors could be a threat as the institutions may become isolated from the processes in the society and business development. In addition, this could lead to irrelevant curricula and education of students with skills and knowledge not suitable to meet the requirements and needs of the society and business.

4.4. Legal framework and policies for human resource management

In Georgia human resource management processes at the higher education institutions are regulated by two national legislative acts, namely the Labour Code and the Law on Higher Education. The Labour Code stipulates the main principles of labour relations and other relations directly linked to these. The Law on Higher Education on the other hand regulates inter alia the principles and procedures of higher education institution management. In addition to these two legislative documents, one of the partner institutions involved in the La MANCHE project reports on implementing at institutional level the General Administrative Code in Georgia which has been developed on national level too.

At institutional level with the exclusion of GTU, which refers to the existence of a strategy or regulation for human resource management as non-applicable, all other institutions report on the existence of specific regulations in regard with the human resource management. At TSU the University Regulations and Disciplinary Norms determine distribution of work and disciplinary norms of its staff members and deals with discipline, dismissal and grievance issues at work. At CU the Labour Regulations represent a part of the Statute of the Caucasus University developed by the Governing Board and approved by the President of the institution. CU also reports on plans for developing a detailed and sophisticated human resource management policy and strategy at the institution. None of the institutions involved has a currently existing specific human resource management strategy to mark the near-future steps to be undertaken in this domain. This is a fact which raises the question to what extent the management and development of the personnel represents a priority for senior management at the institutions concerned.

4.5. Challenges and obstacles in implementing change at the higher education institutions

The data gathered through the questionnaires on the challenges and obstacles for change at institutional level at the four La MANCHE institutions in Georgia shows an extremely diverse picture at the institutions depending on their status and profile (private or public, national or international). The reviews vary from quite pessimistic ones (for instance the perspective of an administrative staff representative at one of the public universities strongly criticizing the conservative institutional structure and the slow and complicated decision making processes) to very positive ones (for instance the reply of an respondent at one of the private university unable to point out any major challenges or obstacles for change at the institution).

A reference to less than desirable flexible legal environment and rigid administrative system is to be found in the report of the second public higher education institution in the project as well. It seems that the private universities are by far less concerned with bureaucracy than the public institutions. Still, staff members at one of the private institutions criticize the so called *one rule fits all* principle being applied at the institution and require a more tailor-made approach in the processes of institutional management.

A problem that almost all institutions seem to share, however, when it comes to communicating and carrying out changes at institutional level is the lack of adequately qualified staff members who would act as change agents. In terms of skills shortages as an obstacle for change respondents one of the institutions points out the poor digital skills of the staff members. Another obstacle for change in the field of curricula update are the poor links with the labour market and business.

Surprisingly, a lack of funding, a common issue at the higher education institutions in the region, especially in the times of severe economic crisis, has been mentioned by only one of the respondents at only one of institution. It could be concluded that the biggest obstacles when it comes to change are not related to financial but to human resources and the ability of people in the organisation to respond to changes in an adequate manner. In this regard, it is interesting to mention that according to some of the respondents in the questionnaires in Georgia the problem with change is based on the fact that "Georgian people are not innovators; they avoid

changes at their work environment". The resistance to change at the higher education institutions is according to these respondents likely to originate from the fact that "most of the people here are very critical to change issues and find too many negative facts in them". Obviously this type of statements represents exclusively the personal opinion of the respondents and should to be treated very carefully. Still, as a major conclusion, it could be stated that the challenges and obstacles for change at higher education institutions are complicated and deep and overcoming those would require a comprehensive and integrated approach and the long-term efforts of all stakeholders involved.

4.6. General overview of the human resource management processes

Job design

The process of job design and approval of new positions at the four institutions in question seems to be carried out in a diverse manner by involving representatives of different management levels and institutional units. In any case job design is carried out within the institutions. At IBSU the University Administrative Board is responsible for the process. At TSU the tasks and responsibilities of individual employees are designed by their immediate supervisors with the Department of Human Resource Management being in charge of documents processing. At CU on the other hand it is the Human Resource Department which develops the job descriptions after having consulted with the respective units or departments. The final approval of each position belongs to the responsibilities of the Vice President for Administration and Monitoring Issues. At GTU the job design is being executed at faculty level by the Faculty Council.

Human resource planning

Based on the evidence provided by the four institutions it could be concluded that there is no organised and structured human resource planning in place. Due to lack of any information on this in the report of TSU it remains unclear whether there is any human resource planning at all at the institution. GTU and IBSU only mention the main participants in this process of opening a new job position. At GTU it is the senior management (Rector, Chancellor, Dean of Faculty) in charge of this. At IBSU the Human Resource Department is also involved in cases like this. If any human resource planning takes place at the institutions at all, this process seems to

be rather random with no structured approach applied. At CU the Human Resource Department is informed by the Heads of the different units or departments on the necessity to open a new job position. After having consulted with the Vice President in Administration and Monitoring Issues and/or the President the Human Resource Department initiates a new recruitment process.

Recruitment, selection and induction of new employees

At CU recruitment and external selection of employees includes at least two steps. Shortlisted candidates are being selected by a commission of at least three members. At TSU it is the immediate supervisor collaborating with the Human Resource Department to prepare and organise the recruitment and selection of new employees. At IBSU an advisory decision on the recruitment and selection of candidates are taken by the Faculty Board and approved by the Rectorate. None of the institutions has mentioned any practices being in place in case of new employees' induction.

Staff training

Participation in staff training is usually approved by the immediate supervisors of the employees. CU and IBSU report on the existence of training centers within the institutions. In the report of TSU a Center for Academic Development and Lifelong Learning is mentioned where employees could apply for trainings although it remains unclear if the center is part of the institution or is an external body

Career development and promotion for academic and non-academic staff members

The question seems to have been misunderstood as most of the information provided within this section is rather irrelevant. TSU focusses mainly on opportunities for skills upgrade of non-academic staff members and CU has merged this question with the next one regarding the payment and other benefits for staff motivation. GTU informs that the decisions on employees' career development and promotion are taken as a rule by the senate or the administrative council at the institution. IBSU mentions briefly the existence of specific regulations at the institution concerning these processes, but provides no details on this.

Payment and other benefits for staff motivation

The institutions have not provided any specific information on the principles defining payment of salaries to their employees. At TSU the administrative

staff and middle management receive quarterly bonuses as a mechanism for staff motivation. At IBSU decisions on incentive award is taken by the University Administrative Board. The process of incentive awards (including participation in conferences, reduction of tuition fees for involvement in a PhD programme etc.) is stipulated in a separate regulation. CU informs that there are three main forms of staff motivation recognised and applies at the institution, namely: “verbalized/written appraisal and gratitude, monetary and not-monetary rewards”.

Appraisal of staff performance

All four institutions report on the existence of a system for staff performance appraisal. At CU it concerns only the academic staff members and the appraisal relies mostly on the results of online questionnaires filled out by students who the academic staff member in question has taught. This practice raises a lot of doubt regarding the complexity and reliability of the data collected. This type of evaluation is carried out at CU twice a year, after the end of the two semesters. At TSU and IBSU the staff appraisal is carried out on an annual basis with the immediate supervisors being involved at TSU and the Secretary General in charge of it at IBSU.

Conflict management and resolution

With the exception of IBSU which reports on the existence of conflict management and resolution regulations at IBSU being applied by the Ethics Commission at the universities, the processes of conflict management and resolution are not regulated in writing at the institutions. TSU has not provided any information at all on existing practices for managing and resolving conflicts within the institution. CU claims to have established and recognised at institutional level sustainable practices for conflict resolution based on dialogue, negotiations and mutual understanding. In its report CU mentions the following disciplinary sanctions which may be imposed to its employees depending on the severity of the inappropriate actions: oral/written warning, severe reprimand, suspension and dismissal.

Disciplinary matters and grievances

At IBSU disciplinary matters and grievances are subject to discussion within the Ethics Commission. At TSU a so called Monitoring Department deals with this type of issues and submits monthly reports to the Chancellor. In case of registered violation of institutional regulations by an employee of the university, the Chancellor sends a request to the Head of Unit or Department where the employee works.

4.7. Main challenges faced in the human resource management processes

Based on statements made by the respondents regarding the biggest difficulties being faced when it comes to managing human resources at the higher education institutions in Georgia the following deficiencies could be pointed out as most frequently appearing:

- Lack of motivation and initiative in staff members including lack of personal development/ motivation plans
- Lack of expertise in education management
- Lack of modern standards and techniques for human resource management including poor planning of the processes, unclear distribution of tasks and responsibilities
- Lack of standards for staff performance and staff appraisal
- High staff turnover
- Shortage of professional and some transversal skills in staff members such as intercultural awareness, foreign language skills, digital skills, interpersonal communication and teamwork
- Insufficient opportunities for staff training and skill upgrade.

Surprisingly, the lack of sufficient funding or low salaries has been mentioned only sporadically by some of the respondents and do not appear to be of key importance when it comes to successful human resource management at the institutions. It could be concluded that staff members at the institutions in question in general consider the existence of proper skills and knowledge of the staff members and the managers involved along with existence of clear mechanisms and rules for human resource management the most important preconditions. This seems to be an interesting finding given the current economic climate and the lack of direct public funding allocated to the higher education institutions in Georgia where the main funding comes through tuition fees paid by students. As explained in one of the reports, in terms of the average wages received by employees of higher education institutions in Georgia, the situation has significantly changed in a positive way during the last years. It still remains far from the ideal one, but there are clear signs of improvement. On national level the main challenge for successful human resource management remains the lack of motivated young talented people willing to embrace an academic career.

It is considered extremely difficult to recruit local people with acceptable academic skills and knowledge and the expected degree and expertise. In

addition, some of the institutions point out poor time management, lack of sense of punctuality and responsibility and lack of continuity if the process of building corporate culture as typical issues in Georgia in the field of human resource management.

4.8. Identified training needs in the field of human resource management

In the reports provided some of respondents have reported on training needs for skills and knowledge development beyond the domains of education management and human resource management such as academic research methods, project proposal writing and bid development techniques, academic writing, electronic database and information system use and general information management. In the framework of the project the following relevant areas have been pointed out where further training is deemed necessary by the respondents: leadership and change management, strategic management, human resource management at university and faculty level, task allocation and delegation, effective communication, peer collaboration, teamwork and conflict resolution.

4.9. Access to learning resources and materials at the institution

In terms of availability and accessibility of learning resources and materials in leadership and change management the four institutions in the project provide a very diverse picture. While GTU reports on complete lack of resources in this domain, CU provides a detailed list of books available on hard-copy at the university library which is complemented by the endless capacity of such online databases as EBSCO, Emerald, and Cambridge Journal Online to which university students and staff members have access. TSU reports on the existence of Center for Academic Development and Lifelong Learning where university employees can register and attend various trainings in management and leadership applying independently or after having been nominated by their senior managers. Similar opportunities are available to staff members of IBSU at the university's training center.

5. Leadership and management skills and models in Moldova

External Assessment Report based on information provided by the following project partner institutions:

- Comrat State University (CSU)
- Moldova State University (MSU)
- State Agrarian University of Moldova (SAUM)
- Alecu Russo Balti State University (USB)

All four institutions are public and this affects greatly their organisational and financial autonomy.

5.1. Higher education institutions' commitment to effective leadership and management based on their mission, vision, values and goals

Higher education institutions in Moldova aim to promote both general and specific values. General values endorsed by the four Moldovan universities include academic and research excellence (SAUM, MSU), professional competence (MSU, SAUM and USB), cooperation with other higher education institutions and the private sector business firms (SAUM). Values include as well numerous moral values such as internal democracy and transparency in decision making (SAUM, USB), social responsibility and honesty (MSU, SAUM, and USB), tolerance and creativity (MSU). Specific values, related to the acquisition of specific skills and qualities, include innovation in research (MSU, SAUM and CSU), diversity in training (SAUM), professional qualification (MSU) and particularly relevant to agricultural production (CSU, SAUM). Two universities mention that these values are officially stated in their Statute and internal regulations documents (SAUM, USB).

The goals that higher education institutions in Moldova are aiming at are closely related to the values they are willing to promote. Furthermore, they all want to improve their scientific and educational profile in order to lead in research and higher education in the country and they certainly want to play an important role in the country's economic and social development. Because of their thematic orientation, all four Moldovan higher education institutions are strongly committed to provide excellence in training

specialists in the fields of agriculture (SAUM, CSU), food industry (CSU), law and economics (MSU, CSU, USB), education studies (CSU, USB), engineering (USB), foreign languages (MSU, USB), Chemistry and Biology (MSU). Some universities set themselves a goal to participate actively in the European Integration processes (MSU, USB), while they are also concerned about preserving national identity characteristics (CSU).

Notably, there are higher education institutions in Moldova that are willing to improve working and living conditions of their staff, although, as seen below this is a Sisyphean task considering the financial restrictions imposed upon them by the government. Student's involvement and participation in academic life and decision making is also openly promoted in USB and CSU. Specific goals include international cooperation (MSU, USB), strategic cooperation with Moldovan Academy of Sciences and other national research centers as well as with leading business firms (CSU), lifelong learning education (USB) and elaboration of national educational strategies (MSU). Values promoted and aiming goals should be evaluated in the light of the original answers given below by the participants in the self-evaluation report.

5.2. Techniques and tools for engaging academic and non-academic staff and students in the pursuit of the institutions' goals

Answers in the self-evaluation reports were in great part misdirected to the hiring procedures (engagement in the sense of employment) of the academic and administrative staff. Some individual participants have effectively focused on procedures of strengthening moral commitment of personnel to the goals of the higher education institutions. In general, there are not significant differentiations among personnel, despite their position in the organisational structure, except academic staff and students. All categories of non-teaching staff personnel (senior and middle range management representatives, administrative staff representatives) respond that they are using no particular techniques to stimulate the involvement of their colleagues and subordinates.

Although they seem highly devoted to the goals of the higher education institutions, only a vague reference is made to the values of personal responsibility, collegiality etc. with no further specification. Only MSU is reported to use special support to stimulate performance (by offering

bonuses, and job promotions). USB report they are using real case study simulation methods to better engage students in academic life. In CSU they are also using techniques to engage students, by offering opportunities to participate in field research together with regional professionals.

Academic staff representatives seem to be seriously involved in using various techniques vis-à-vis students and rarely to other fellow members of the academic staff. Students are encouraged to participate actively in joint research projects (MSU, USB, CSU), in evaluation processes of their teachers (SAUM, CSU), in student conferences (MSU) and international events (students' Olympic Games CSU). In USB they encourage other teachers to participate to joint efforts of academic evaluation and self-assessment activities concerning research and teaching methodology. On their side, students do actively participate in administrative decision making through their representatives, although they seem to be unaware about the efforts of the administration to engage the academic community in the pursuit of the goals of the university.

5.3. Management models, organisational structure and reporting relations

Higher education institutions in Moldova follow the “bureaucratic-oligarchic model of governance” (Henard, F. and Mitterle, A. 2009). They are all governed by a Rector assisted by numerous Vice Rectors. The two larger universities, MSU and USB, have four positions of Vice Rectors, while CSU has only three. SAUM, the oldest institution (founded in 1933) has five positions of Vice Rectors. Surprisingly, there is no Vice Rector for budget and financial affairs anywhere because they are under the tight control of the Rector himself. The Rector and the Vice Rectors, together with the Deans of the different faculties, the Heads of Departments and Student representatives form the supreme governance body, the Senate. Administrative and technical staff are clearly under-represented in the Senate. Appointment to the Senate is stated to be an open and competitive procedure, though under the final approval of the government.

The Rector is directly dependent from the government, whether he/she is elected by the Senate (MSU), or directly appointed by the Minister of Agriculture (sic) (SAUM) or Education (USB, CSU). Students and non-teaching staff have no right to express their preferences about the Rector, except through their few representatives in the Senate. The teaching-staff is

represented only indirectly through its Heads of Departments and Deans. The Rector keeps all the initiatives to decide and approve decisions made by lower hierarchical levels of decision and represents officially the higher education institution both nationally and internationally. Vice Rectors are reported to be “subordinated” to the Rector and seem to act mainly as assistants, with no real autonomy in decision making, while they have the power to control the implementation of decisions and guidelines of the Rector and the Senate in their field of responsibility approved by the Senate (Education, Research, International Relations, Personnel and Student Affairs).

The Deans of the Faculties depend directly from the Rector and/or the Principal Vice Rector (SAUM) and exercise their duties of control and monitoring only teaching and research in different Departments. Deans are appointed by the Rector directly and are responsible for the implementation of his/her decisions in their faculties. Heads of Departments act as responsible for academic life at all levels (under and postgraduate) of the fundamental educational units with limited administrative duties. Hiring teaching and administrative staff depends directly from the Rector (except young specialists and graduates of the Faculty that can be employed by the Deans). Heads of Departments are only responsible to ensure the development of the procedures to fill vacant teaching positions at the department. The Rector is also authorized to distribute financial credits to faculties and administrative units. Vice Rectors are entitled to make suggestions and reports about employment, promotion or dismissal of staff to the Rector who takes the final decision.

Heads of administrative units and directorates are subordinated to the Rector (and First Vice Rector if available) and are responsible for managing their units and implementing decisions of the Rector and the Senate. Law enforcement and disciplinary authority is under the general rule of the Rector who is also responsible for supervising the implementation of the decisions of the Senate. He also decides on registration or expelling students at any level of studies.

The collective bodies, as already mentioned, are the Senate, the Senate Board (or Senate Council), the Faculty Council and the Faculty Council Boards. The Senate is composed by the Rector, the Vice Rectors, the Deans, the Heads of Departments, some administrative staff and student

representatives. Number of Senate members varies up to 99 persons (MSU), all internal to the university. The Senate approves the budget and the development strategy of the university, as well the educational programmes and research strategy, and international cooperation strategy. In some universities (MSU) the Senate also elects the Rector. In other (SAUM) the Senate also elects the academic staff and approves Vice Rectors, Deans and Heads of Departments.

All four higher education institutions have Senate Boards, as an efficient administrative unit between the Senate and the Rector that comprises the Rector, the Vice Rectors and the Scientific Secretary of the University. In USB, a student representative also participates in the board. The Senate Boards implement the decisions of the Senate and ensure the administration of all the units. SAUM has also a collective body called University Management Board, which consists of the Rector, the Vice Rectors, the Scientific Secretary, the Deans, the Chief Accountant, the Chief Economist, the Head of Education Department, the Head of the Personal Services, the library director, the lawyer and the union chairman. USB has also an additional collective body called Council of Administration, next to the Senate Board, with a smaller synthesis, yet with the same functions: to serve as an executive body. From the self-assessment reports the relation of these two bodies remains obscure, as they both seem to have managerial and executive functions.

The Council and the Senate in USB constitute the Financial Administration Body having a very large area of duties, from approving the five year development plan of the university to the approval of tuition and accommodation fees, to salaries and various remunerations. USB has furthermore a specific Council for Scientific Research as a complementary body to the Senate of the university in matters of scientific research, consisting of representatives of different university structures that carry out scientific research.

At the Faculty level, the Dean (assisted eventually by one or two Vice Deans) presides over Faculty Councils which form the main educational structure of Moldovan universities. It is composed by the Faculty's Heads of Departments, student and PhD representatives, as well as staff union representatives. The number of students depends on the statutes of every higher education institution (in MSU and USB they represent 15% of the

total of the council members). Councils are elected for a determined period of five years and are responsible for determining all the faculty's educational matters, such as: approval of educational programmes and changes, educational strategy and teaching evaluation, educational issues concerning students at all levels etc. Decisions of the Faculty Council have to be finally approved by the Senate and the Rector, while the Council keeps the right to suggest candidates for the post of the Rector and the Dean of the faculty.

There is finally also a Faculty Council Board acting as the executive body of the Faculty Council, in the image of the Senate Board. It is composed of the Dean, Vice Deans and Scientific Secretary and implements decisions of Faculty Council and provides the current management of the Faculty. At the Department level, the executive management is done by the Head of Department who is elected for a term of five years. The Department Board is the executive body of the department (chair). The Board's meetings can be attended by the lab representatives, research centers and administrative services employees.

From the above description and the analysis of the answers given in the table in Question 7. in the auditing and self-assessment report, one can understand the advantages and disadvantages of the existing management models and organisational structures. The main disadvantages are the strict hierarchical structure of the organisational structure, the bureaucratic burden emanating from the existence of many collective bodies and mostly the lack of autonomy vis-à-vis the government.

Strict hierarchy

Although there are different degrees of hierarchical strictness between the four higher education institutions examined (going from 1. MSU, 2. USB, 3. SAUM and 4. CSU, the stricter), the Rector has quasi-absolute powers to enforce his final decisions concerning financial matters. The allocation of financial resources is decided and approved by the Rector and the Senate. In SAUM these two actions are taken by the University Management Board ruled by the Rector. Implementation and responsibility for financial decisions taken is spread among various administrative units and directorates, while the control is made either by the Rector (or his subordinate Vice Rector) in SAUM, USB and CSU, either by the Rector and the Senate Board, and a "Committee for Institutional Development". The

levels of tuition fees are decided by the government (except in SAUM?). In academic matters (curricula and teaching), the initiative comes from the departments and faculties while the decision making varies greatly: in MSU it is the Faculty Council that decides, in USB the decision is taken jointly by the departments, the Quality-management Department and the Vice Rectors. In MSU the decision is made by the Senate and in SAUM by the Ministry of Education. Implementation of educational issues decisions is made by the faculties while the Heads and Deans bear the responsibility for the final outcome. USB has a Quality Management Department and MSU a special "Committee for Academic Affairs" to control the efficiency of educational procedures; the other higher education institutions execute this control through their Vice Rectors.

Bureaucracy

Despite the strict hierarchical organisation, the existence of too many levels of individual and collective decision makers increases dramatically the bureaucratic burden. The Senate is neutralised by its size (99 members in MSU, around 70 in SAUM), though it has to approve crucial educational and financial decisions. Between the Senate, the Senate-Board and the Rector there is great risk of delay in decision making. Equally, between the Faculty Council, the Faculty council, Board and the Dean, there is a lot of space for non-responsibility since reporting relations are not clearly defined.

Lack of Autonomy

Higher education institutions in Moldova lack mostly organisational and financial autonomy and to a lesser degree staffing and academic autonomy (Esterman, T., Nokkala, T. and Steinel M. 2011). Organisational autonomy is lacking because the Rector, even if it can be elected by the Senate (as in MSU), the Government has to give its final approval, if not to appoint directly the Rector (SAUM, CSU and USB). Secondly, the Rector has decisive powers as to the nominations of all individual members of administration, directly (Vice Rectors and eventually Deans) or indirectly (Heads of Departments, through the appointment of Deans). Thirdly, there are no external to the university members in governing bodies. Fourthly, even in secondary financial issues such as the level of tuition fees, the Ministry of Education takes the final decision (MSU, USB). Financial autonomy is lacking because public funding is probably the main source of money.

It is not clear from the self-evaluation report answers whether higher education institutions in Moldova are able to raise private funds (except European funds), whether they have the ability to keep surpluses and to borrow money. The way that the level of tuition fees is decided, suggests that higher education institutions do not have those abilities. Staffing and academic autonomy is also lacking, to a lesser degree, as seen in the sections below.

5.4. Legal framework and policies for human resource management

National legal acts of the Republic of Moldova (SAUM has provided a list of these in its self-assessment report) are integrated in the statute of each higher education institution and implemented by decisions of their collective bodies. Internal regulations documents describe the recruitment procedures, the eligibility criteria, the duties and the rights of the staff. Except MSU, no other higher education institution in Moldova has started to prepare a strategy of human resources development. SAUM reports to possess already an Code of Ethics which regulates the norms of behavior for students and different categories of university staff.

5.5. Challenges and obstacles in implementing change at the higher education institutions

The overall representation of the situation in the higher education institutions from the participants in the questionnaire is undoubtedly pessimistic. Management representatives (senior or middle range) refer to the rigidities to change emanating from a conservative organisational culture and lack of motivation. A major obstacle to change reported by all categories of staff is definitely their low level of remuneration fixed by the government. This is an outstanding characteristic of the lack of staffing autonomy as the universities have limited capacity to obtain a remuneration policy. Some participants report on lack of training to explain the inability to understand the need for change (USB), as well on lack of competence among managerial staff to promote change among subordinates (MSU). All this raises serious “psychological barriers” for those who are willing to change, feeding thus a mechanism of “homeostasis - a tendency to return to old practices when encountering any difficulties” (CSU). All respondents notice the dramatic lack of resources, both financial and material.

Interestingly, management representatives have a clear image of the obstacles that academic staff are facing, and particularly their low remuneration which causes a flow abroad “of the best specialists willing to activate in higher educational institutions” (SAUM). As a result there is almost a complete lack of middle age teaching staff, i.e. 35-50 years old (MSU, SAUM). Academic staff representatives obviously agree on the low salaries, and also on the spirit of conformism and conservatism among the personnel, as a result of the old age of teaching staff. This affects also the methodology of teaching and certainly reflects on the lack of motivation among students to learn, to move and to participate in international projects (SAUM), not to mention their low level of knowledge acquired before entering the university (MSU, SAUM). Academic staff also complain about the limited access to international journals and scientific books (MSU) as well as their limited opportunities to participate in professional development training courses outside the country and assist to international conferences (MSU).

Students also complain about the lack of access to recent world-recognised literature and databases of knowledge (CSU), the limited financial resources (MSU), the lack of modernisation in the administration (SAUM) and the distance of curricula from the needs of the labour market (MSU). Students also recognise that the low salaries of their teachers explain their low motivation to modernise their teaching methods, and to make their courses more attractive to students.

5.6. General overview of the human resource management processes

Another significant characteristic of staffing autonomy is the capacity to decide recruitment procedures, the eligibility criteria, the duties and the rights of the staff. The answers to the nine points of the questionnaire confirm the relative lack of staffing autonomy.

Job design

Job design needs the approval of the government. The university has the initiative to design job positions and to offer additional competences and non- salary rewards.

Human resource planning

This process is constrained by public funds. The university plans its needs annually and provides information about vacancies to ensure the sufficient

number of personnel. MSU reports that special concern is made to enhance the managerial skills of the existing staff and to strengthen university research skills. USB plans vacancies taking into account the number of students.

Recruitment, selection and induction of new employees

Recruitment at the higher education institutions follows the public announcement of the vacant position. An Admission Committee checks the conformity of the candidates and the Senate makes the final approval (or approval of Council of the department concerned). Selection of academic staff in MSU values “scientific performance, teaching skills, civic culture and attachment to the institution”. Initiation in positions of new employees is realised through mentoring (MSU). USB recognises that the graduates of the university are favored, following the recommendations of the academic staff.

Staff training

Special attention is paid only to the training of teaching staff. In SAUM there is a psycho-pedagogical training, mandatory for all university lecturers. Additionally, the university invites international experts to hold trainings on project proposals preparation and to help to improve the knowledge of English. In MSU they have a flexible policy which includes professional development trainings, internships and courses, doctoral and postdoctoral scholarships, attestations and periodic evaluations, mobility and experience exchanges with local and international partners.

Career development and promotion for academic and non-academic staff members

It appears to be quite autonomous. Universities are free to support their personnel in developing skills; even though little detail is given as to eventual criteria of promotion (MSU favors research performance in academic promotions). Management positions within the university are elective, and free to every member of the staff. No information is given as to whether the positions are open to outsiders.

Payment and other benefits for staff motivation

These human resource processes also reveal relative autonomy. The universities offer bonuses as a motivation and eventually differentiate wages in accordance to the intensity, complexity and managerial

responsibilities of the performed work (MSU, USB). Awards are also offered for outstanding results in teaching and research activity (MSU). In USB the regulation of payment and awards has been approved by the University Senate.

Appraisals of staff performance

Usually carried out on an individual basis regularly (MSU) or occasionally (SAUM). These appraisals concern both teaching staff and non-teaching staff evaluations are realised once in five years, according to Regulation of occupying teaching positions, approved by the government decision.

Conflict management and resolution

Conflict management and resolution is executed either with the participation of the Professional Union (CSU) or a bilateral negotiation basis (SAUM). Special concern is devoted not to imply personal, family and other circumstances (SAUM). In USB and MSU a Senate Ethics Committee was created, on this purpose.

Disciplinary matters and grievances

Disciplinary matters follow in general the Statute of the higher education institutions and the laws of the Republic of Moldova. The grievances are made to the Rector who is responsible to entrust the appropriate department of the university to examine the case. Eventually (in USB) the appointed commission makes proposals on the penalty to the employee, after a documented decision signed by all committee members. Regulation in SAUM provides the following disciplinary sanctions: 1) prevention 2) notification, 3) reprimand, 4) severe reprimand and 5) dismissal.

5.7. Main challenges faced in the human resource management processes

Not all responses concern human resource management but among the answers it is easy to portray the self-image of the different parts of the academic community in the four higher education institutions concerning human resources.

Concerning staff, the most crucial challenges seem to be in order:

- Poor public funding (including low wages and performance awards) that affects motivation and work efficiency (SAUM, MSU, USB). Teachers accept more than one teaching position in order to survive, or prefer the business sector or working abroad (MSU)

- Lack of qualified teaching staff, mainly due to the low attractiveness of the job and the old age of the staff (SAUM, MSU and USB)
- Lack of trained human resource managers, with proper theoretical background and communication skills (USB, CSU)
- Lack of meritocracy in hierarchical promotion (USB, MSU, CSU)
- Lack of tools for personnel development (SAUM). Teaching staff complains about low participation in academic mobility programmes, as a means of professional development (MSU)
- Low level of competition in recruitment process for vacancies (SAUM, MSU) combined with high standards (MSU)
- Lack of participation in decision making (CSU)
- Lack of stable legal environment in Education (MSU).

As to the students, the main challenges concerning human resources refer to their low participation in decision making at the university (MSU, CSU), insufficient wages as a cause of lack of motivation from the teachers (MSU, SAUM) and low teachers mobility as a means to teaching and research performance (MSU).

Not surprisingly, the main challenges in managing human resources at the higher education institution coincide with what is considered to be typical in Moldova. The poor public funding, the lack of trained human resource managers and the lack of tools for personal development together with the lack of sufficient equipment and infrastructure increases the feeling of low appreciation and recognition from the Moldovan society creating thus an unhealthy working environment.

5.8. Identified training needs in the field of human resource management

Summarizing the relevant responses from personnel, the fundamental needs in the field of human resource management include, in order:

- Informative seminars and courses of lifelong professional training in human resource management, psychology, conflict management
- Experience exchange with colleagues from other institutions and countries; participation in various conferences, both national and international, to have access to educational materials of other institutions
- Designing the best practices at operational and tactical level

- Creating competences to use new assessment tools to evaluate and measure staff performances
- Increase possibilities to develop a strong organisational culture that will stimulate organisational effectiveness and engage the university staff as an organic part of the institution.

Noticeably, in their answers, even senior managers confuse training in general with training in human resource management. Students seem not to understand fully the meaning of human resource management. Their responses are relevant in so far as they demonstrate their willingness to get more actively involved in academic life.

5.9. Access to learning resources and materials at the institutions

At CSU a series of trainings and workshop related with management and leadership are carried out including trainings and events under Leader SHE Programme, as well as special courses under Business Incubator. The leadership qualities development is stressed in psychology and pedagogy trainings provided by the university which are mandatory for all lecturers. The leadership skills are also acquired at the lectures held by international scientists for the young generation of teachers of the SAUM. MSU does not have such learning materials. USB has some bibliographic sources and relies on past experience among employers.

6. Leadership and management skills and models in Ukraine

External Assessment Report based on information provided by the following project partner institutions:

- Cherkasy State Technological University (CSTU)
- Volodymyr Dahl East Ukrainian National University (EUNU)
- National Technical University Kharkiv Polytechnic Institute (NTU KhPI)
- Lviv Academy of Commerce (LAC)
- Lutsk National Technical University (LNTU)
- Lviv Polytechnic National University (LPNU)
- Odessa National Economic University (ONEU)

All seven institutions are public.

6.1. Higher education institutions' commitment to effective leadership and management based on their mission, vision, values and goals

The values outlined within the vision statements range from general visioning to a specific modernisation agenda. This may well be indicative of the Partner Country higher education institutions' starting points within this process in terms of organisational age, organisational structure, financial security, and staff relationships, more traditional academic curriculum alignment to the EU agenda and labour market and economic conditions.

CSTU and LNTU offer no specific mission or vision statement but both are clearly geared to meeting regional vocational labour demands and research and in following official Ukrainian government guidelines in development. The values appear strongly attached to reputation within the region and Ukraine, and key stakeholders are expressed as the government and regional industry and scientific community, to whom the universities respond as demand arises for new skills. Similarly, NTU KhPI and LPNU offer a number of values linked to quality, internationalisation and tolerance and mutual respect, but with LPNU indicating a very long term focus until 2020.

By contrast, LAC and EUNU offer succinct mission statements couched in national terms in seeking to preserve the tradition, quality and training of

competitive specialists in the trade and services of the national economy within a framework of innovation in science and technology. To develop these values, both continues to develop and implement the use of new educational technologies and pedagogies to shape learning. Key stakeholders are simply expressed as student outputs in respect of their educational and cognitive development.

Similarly, ONEU offers a brief vision, again focused on students achieving desirable educational and spiritual development to contribute to the development of the country. The visions expressed tend to be geared to needs expressed largely in nationalistic demand terms, being largely focused on student outputs as demanded by the regional and national economy, rather than to the needs of students themselves or other stakeholders. An interesting observation is that the older universities tend to have vision statements couched in far longer time horizons expressed in more generic terms.

The organisational goals as set out within mission statements range from a broad articulation of educational programmes focusing outwards in terms of developing specialists and representation at an EU/international level, to inwardly focused goals around the development of the internal infrastructure and staff to enhance innovation in research and technology in order to increase competitiveness.

CSTU and LNTU offer a set of long-term objectives closely aligned to providing educational programmes, meeting government needs, developing the teaching capacity of staff and providing for the educational and cultural enlightenment of students. Similarly, ONEU and LNTU offer objectives broadly aligned to the provision of different types of education and training, as specified in their charters, for a variety of student groups for the Ukrainian economy, along with the development of their teaching staff and research profile.

LAC, EUNU and NTU KhPI offer more embracing objectives encompassing benchmark objectives in developing education and training to European and world standards, whilst specifying the Ukraine's move towards a knowledge economy. These standards are more specifically expressed in a need to develop research, the need for international cooperation and the development of educational management competency and quality, with

LAC using the term “innovation” and “sustainable” to indicate a guiding directional objective, and with NTU KhPI referring to cooperation with business and industry.

The relative focus of the visions held by institutions is reflected in sets of objectives which in the main are focused on the provision of appropriate educational and training courses to meet either national or regional demand. The lack of stakeholders considered in the vision statements is reflected in the narrowness of these objectives although some universities clearly identify a need to develop their own staff and the need for a research profile in order to meet provision expectations and to raise their own reputation. Only LAC and EUNU recognise the need to develop their own capabilities in managing the educational process, whilst traditional universities, such as NTU KhPI, place a heavy emphasis on benchmarking with international practice.

6.2. Techniques and tools for engaging academic and non-academic staff and students in the pursuit of the institutions’ goals

The tools and techniques utilized to support and achieve the organisations’ vision through their goals vary from organisational structures, the distribution of tasks and responsibilities, processes for evaluation of staff performance, dedicated resources, procedures and rules through to developing specific marketing initiatives.

The issue of the strategies employed to realise the organisations’ vision was interpreted slightly differently by each partner institution, possibly reflecting their starting points. At senior management level, LAC, LPNU and NTU KhPI all express these tools in respect of functional responsibilities with control allied to a systematic meetings schedule and reporting mechanism, culminating, in the case of LAC in an Academic Council meeting with participation from senior management, operational managers and students.

By contrast, ONEU expresses the tools purely in respect of broad based functional responsibilities (with a clear focus on the employment of staff), whilst CSTU focuses on the channels through which their senior managers gain information. Conversely, EUNU uses the expression of “dedicated resources” in aiming to develop an infrastructure and supportive culture to enhance some degree of autonomy and delegation of decision making.

Similar findings characterise the middle management and academic staff levels of the institutions, with the functional responsibilities characterising middle managers and then staff members at CSTU and LPNU being delegated downwards from the senior management. By contrast, LAC devolves a degree of operational autonomy, with Deans and Vice Deans directing the operational aspects of the learning process and with academic staff coordinating activities with students and industry representatives. Similarly, NTU KhPI and EUNU appear to direct some autonomy down to teachers, but with a clear recruitment focus being highlighted in strategies to attract talented students.

In respect of administrative staff, the delegation of authority is recognised through the allocation of certain tasks on a departmental basis in all the Ukrainian universities, with responsibilities overall contributing to organisational goals in the case of EUNU, but being less clear elsewhere.

The role of students in the process of realising visions is expressed in respect of functional responsibilities for student organisations, rather than generally how such student organisations are involved in the decision making processes of each institution to enhance the culture and learning. Although the evidence is rather limited by virtue of the detail of some responses, it is clear that the partner institutions pursue different strategies in involving their academic and non-academic staff in pursuing organisational goals. The findings would suggest that institutions either focus on adopting a hierarchy of academic functional roles, with a top-down style of management, or use a combination of functional roles allied to a meeting and reporting structure which delegates operational autonomy lower down the hierarchy, in which students have value in giving feedback on processes rather than overall institution goals.

However, the role of students in the pursuit of mission goals is not clear, for whilst LAC and LNTU highlight the importance of its Academic Council, to which students have representation no other mention is made of involvement, and even in the cases where student representation in the Council is mentioned, it appears this role is one of providing feedback on the functional workings of the university rather than contributing to any strategic decision making. It is interesting to note that students from NTU KhPI responded particularly favourably of their involvement in the 2012

European football championships when they worked with their professors on real problem solving related tasks.

6.3. Management models, organisational structure and reporting relations

Although each institution is headed by a Rector, the organisation charts of each partner differ by virtue of the degree of 'flatness' and in respect of designated responsibilities for academic affairs and other functions. CSTU is characterised by a relatively rigid functional organisational structure headed by a Rector and three Vice Rectors, with academic affairs being a discrete responsibility for one Vice Rector. Similarly, LNTU organisation chart shows 12 levels, where the Student Council alone is at Level 7.

In contrast to other Ukrainian Institutions, the Rector of LNTU is termed an "overall manager" with reporting lines upwards and downwards. Indeed, the Rector has two levels above in terms of accountability, these being the Supervisory Board and Staff Conference. Furthermore, each university highlights that the Rector works in conjunction with employee unions and a University Council. Conversely, ONEU has a relatively flat structure, but one in which functional responsibilities characterises the responsibilities of the eight Vice Rectors, although it is not clear where the overall leadership of academic programmes lies. The degree of "flatness" of LAC's organisational structure appears between that of CSTU and ONEU. What is noticeable in this structure is that the Rector is directly accountable for the academic affairs of programme areas in faculties and departments, whilst four Vice Rectors assume accountability for functional areas, such as accounts and research.

The organisational charts exhibit various degrees of flatness, which could be indicative of the hierarchical and highly centralised nature of decision making in each institute. Certainly, more than one institute describes their organisational structure as rigid. However, what is clearly discernible is that the functional focus identified as being the key tool or technique with which to progress organisational aims in the case of CSTU and ONEU, is largely mirrored in the demarcation of responsibilities based ostensibly on functional lines in their respective organisation charts. By contrast, EUNU exhibits an organisation chart characterised by more task related functions (such as Public Relations), which more closely mirror the organisational objectives and strategies at that time.

The role of the Rector in each institution appears akin to that of a chief operating officer, ensuring that resources are used effectively to meet broad organisational goals covering educational aims as well as functional areas, the aims being determined by external regulatory bodies such as Government ministries. Three institutions make reference to the role in reporting to an overseeing board (an employees union) although it is assumed this is the case for each institution, so highlighting the compliance function of justifying results to external public bodies. A key element of the Rector role would appear to lie in the overall management of all the employees of the institution. What is not clear is the degree of autonomy possessed by Rectors to determine the strategic direction of their own institution, although in the case of the Rector of EUNU the general responsibilities encompass the overall management of the university and for leading and realizing strategic planning and direction. It is interesting to observe that the scope of the role of the Rector in each institution is very broad, but only three of the institutes detail a responsibility directly linked to meeting students.

Although the responsibilities of Vice Rectors are similarly wide ranging, their main generic role appears to lie in leading, coordinating and reporting performance activities in a designated area of work as consistent with addressing the current strategic goals of the University and under the direction of the Rector. By contrast, Vice Rectors at EUNU appear to have a more 'hands-on' approach with a development dimension and seemingly more autonomy to their roles, as for example embracing working with the vocational sector and in meeting business and community needs in the curricula.

In general, all Ukrainian universities appear to have clearly demarcated functional responsibilities for their Vice Rectors, embracing functional areas, such as finance, human resource development and research through to some holding responsibility for specific curriculum areas. Each Vice Rector answers to the Rector of each institution.

Answering to the Vice Rectors, the position of Dean generally involves directly supervising educational and research work at the faculty level and involves leading the Heads of Departments in the development and practical implementation of training and educational programmes, the development of curricula and organisation of courses. Accordingly, this role

involves directly controlling the quality of the educational process, necessitating the monitoring of the planning of educational and teaching work and reporting on developments within departments.

Each institution is divided into a number of functional and teaching departments led by a Head of Department who report to the appropriate Faculty Deans. They hold delivery and conduct responsibilities in managing the operational delivery of teaching as for example, involving the functions of coordinating, supervising and evaluating teachers and in evaluating student performance, according to the requirements of the Statute and institutional regulations. The Heads are responsible for identifying staff development, introducing innovative and appropriate delivery mechanisms and for health and safety in their departments. It follows that operational quality issues must fall within their remit.

At an institutional level all institutions highlight the Rector Council and Academic Council, chaired by the Rector, as being the bodies to which reporting is made at the highest level. These councils have broad ranging responsibilities, covering all aspects of the institution's operations, from financial planning, curriculum and research direction, through to student admission criteria and institutional structure for example. The Councils review and approve drafts of the institute's Statute and amendments to the constitution, suggesting a clear leaning towards a strategic function.

Nevertheless, the supreme body of each institution lies in the 'Conference of Employees' (or similar), who are elected from different departments and faculties to serve on the Conference. The Conference examines the main issues involved in the development of the institution and its staff and liaises with the trade union committee in this context, whilst it elects representatives to serve on interview panels for senior positions within the institution who would serve on the Rector Council and Academic Council. Each institution recognises the importance of its union committee, which is the authorized representative organisation for their staff covering worker rights and interests in collaboration with the institute's administration.

At the faculty and departmental level a structure of councils and programme committees exists, with NTU KhPI highlighting the role of their Methodic Committee of academics, which hold responsibility for future plans, involving issues such as the approval of curricula, the directions of

educational and research activity and changes in faculty or department structure. These bodies also select professors and teaching staff, and therefore can be seen to have an operational focus.

Four of the Ukrainian institutes highlight the role of student councils within their institutions in representing and protecting the rights and interests of students, whilst promoting teaching and research along with creative and recreational activities. These bodies also play a role in promoting the employment of graduates and participate in decision making of matters concerning international exchanges for students. However, there appears to be a clear demarcation with such councils having no role in determining curriculum or other issues influencing the educational direction being pursued by the institution.

Accordingly, it can be concluded that the committee structure within the universities is ostensibly dominated by the Rector Council and Academic Council, which is itself subservient to the Conference of workers. It follows that no one body has the ultimate power to determine and enact change.

Initiatives for action and approval within institutions vary according to the domain. In financial matters such as the allocation of financial resources and determining tuition fees, the initiative would appear to come from the top in the hierarchy, either from the Rector's Office or a financial planning department, with approval coming from the Rector of an Academic Council (or equivalent). Similarly, in respect of non-academic staff development, initiatives arise from either the appropriate Vice Rector, Ministry Department or specialist agency, with Vice Rectors having responsibility for approval, implementation and control.

Conversely, in curriculum matters, fund raising, research, education and the teaching process, the initiative is usually claimed to arise at the departmental level, but with approval coming from either the relevant Dean, a Vice Rector or the Academic Council, and with the Dean and Vice Rector then having both responsibility for implementing the change and controlling it.

For every domain listed, a Rector or Vice Rector is almost always cited as being involved in the decision making approval process and in the control element, serving to illustrate the degree of centralized control characterizing Ukrainian institutions. In organisations with a very hierarchical structure (with relatively few Vice Rectors), the assumption can

be drawn that this situation must impact adversely on the speed of decision making, not to mention workloads!

Yet by contrast, at EUNU, the Rector is only cited as being involved in three decision making domains, all involving financial affairs, with Vice Rectors assuming responsibility for decision making in all other domains.

6.4. Legal framework and policies for human resource management

Whilst no specific document exists on developing human resources in higher education in Ukraine, Ukrainian institutions are guided by the laws and regulations of the Ukraine, with highlighted policy guidelines to be found in "On Education", "Scientific and Technological Research", "Collective Contracts and Agreements", the "National Doctrine of Higher education Development" and the State national programme, "Education (Ukraine of XXI Century)". Institutes are also required to adopt the reform guidelines contained in the "National Strategy for Development of Education in Ukraine – 2012 – 2021 years", which outlines advised strategies and implementation approaches.

The scope of these laws and regulations on Ukrainian higher education are suggestive of immense challenges facing senior managers in Ukrainian institutions. In such an operating environment, where numerous guidelines and approaches are imposed on all aspects of an institution's operation, the dominant role of senior managers in approving and controlling the key educational domains in order to satisfy numerous laws and regulations becomes apparent. This could be indicative of a scenario in which senior managers have neither the flexibility in regulations, nor the time outside of meeting such obligations, in order to innovate.

Each Ukrainian institution cites a different document(s) governing human resource management, although a broad consensus is that guidelines originate through the influence of the state and in internal collective labour agreements agreed by each institution's administration and the institution's work force. LNTU, ONEU and NTU KhPI detail the content of collective agreements as encompassing labour relationships, work and rest regimes, pecuniary and non-pecuniary rewards and labour protection. They detail staff development as falling within this brief in highlighting the recruitment of a new generation of teachers equipped to carry out and implement new

educational techniques and technologies, of retraining existing professors and in benchmarking with effective teaching practice overseas. In the case of LPNU, the university has a Statute for planning up to 2020 which contains a particular unit dedicated to approaches, preferences and tools for human resource development, with each department then developing its own plan, with EUNU having a similar document which is interpreted by various departments and the senior management team.

6.5. Challenges and obstacles in implementing change at the higher education institutions

Amongst senior managers the themes of a lack in autonomy, a lack of trust and financial pressures loom as commonly cited barriers to change, within a challenging environment in which legislation is continually changing, the economy is in a state of flux and competition in the higher education sector is growing. The latter prompts LAC to comment specifically on the need for effective positioning within the market, whilst CSTU highlights the conservatism of many employees and a lack of experience in managing change, a characteristic which LAC raises as a challenge in developing a corporate culture appropriate to the new emerging economic and social order and state of competition in the country.

Amongst middle managers, a recurring theme is the resistance of some older teachers and Heads of Departments to change, as expressed in the lack of systems developing an evaluation of teaching performance and the learning experience. ONEU also mentions the lack of independence existing within middle management to make decisions, which may in part stem from a lack of financial independence and inexperience in managing change which NTU KhPI highlights, whilst CSTU highlight the lack of industry standards.

Academic staff provide relatively uniform responses to the challenges in implementing change as stemming from a lack of awareness of contemporary teaching pedagogies, the pressures on staff to implement such techniques quickly and the lack of motivation amongst some teaching staff to change which inevitably slows the speed of change. LAC specifically frames these obstacles in the context of deploying innovative information technology in the teaching room along with the teaching of foreign languages. The LAC further mentions the obstacles posed as a consequence

of unrealistic student expectations of their future employment roles, which results in poor motivation to gain practical work related skills and leadership qualities during the early stages of programmes.

The obstacles to change as perceived by administrative staff vary markedly between institutions, but include a lack of information and technical support for change from the senior managers of the institution, low salaries and conservatism amongst the labour force. The latter reflect a lack of independence in decision making along with a lack of experience in managing change.

The perspective from Ukrainian students is that they lack the technical means to instigate change in Ukrainian institutes, as a consequence of budgetary constraints, with ideas unlikely to come to fruition due to a lack of funding support, and inherent conservatism from those higher in the institution's hierarchy. Student respondents from ONEU believe that this stems from a lack of understanding in general between representatives of administrative staff and students, with LAC representatives extending this to the relationship of students to academic staff in criticizing a system where students spend more time in seeking support for projects rather than in actually implementing them. In part this reflects the weak position of the student within Ukrainian legislative and regulatory guidelines for higher education.

The overriding conclusion is of an education system suffering from a resistance to change at many levels, which on the one hand may stem from a reluctance of individuals to change, and on the other is a consequence of a system characterised by a lack of independent decision making, a lack of financial support and inexperience in managing change.

6.6. General overview of the human resource management processes

Human resource planning and recruitment

The planning of human resources tends to fall within the remit of either a Vice Rector or through a specialised department under a Vice Rector, with decisions at ONEU being taken on the basis of student demand (teachers), new course provision or administrative work load (administrators). LAC outlines the teacher recruitment process as encompassing the selection of teachers by both the relevant department, and then at the Academic

Council of the faculty, where after discussion of the candidates there is a secret voting, which results in the candidate's recommendation for the position. At ONEU the final decision in regards to employment is under the direction of the Rector taking into account recommendations from the heads of department. Candidates for vacancies go through interviews or competitions (for professors) and, upon selection, enter their position by order of the Rector.

NTU KhPI highlights recruitment practice as invariably involving their own postgraduate students applying for positions advertised in the university's newsletter. Applications are then considered by the Dean's Council and are approved by various senior managers before gaining the Rector's approval.

Staff training

A consensus exists in that institutions claim that staff development is obligatory, with every staff member expected to undergo some significant form of development every 5 years. Reflecting the drive to both recruit and develop younger professors, CSTU offers young professors retraining opportunities with the university by way of participation in training courses and work-shops, every two years, whilst EUNU offer staff the opportunity to pursue doctorate studies or distance learning related problems. NTU KhPI cites the role of a university professional training department in offering seminars and master classes for staff. Provision for administrative staff is less well documented in respect of staff development.

Career development and promotion for academic and non-academic staff members

Career development and promotion opportunities for academic and non-academic staff members is determined on the basis of achievements in teaching and organisational responsibilities and other tasks, whilst the length of service, professional level, personal characteristics and competencies exhibited form the primary basis for non-academic staff. Career development encompasses a process of probation and professional updating including the taking of educational programmes at the institution.

Payment and other benefits for staff motivation

A system of pecuniary and non-pecuniary benefits exist for staff at each institution under the control of an appropriate Vice Rector, with financial awards being based on "regulations about financial awards for employees

of the university” in accordance with the “Collective Agreement” between the administration and the trade union of the university. Awards are determined on the basis of length of service, academic rank and the nature of responsibility held, and can include bonuses (NTU KhPI).

These financial awards are supplemented by non-pecuniary benefits such as letters of recognition/appreciation and presentations to the regional authorities and the Ministry of Education, Youth, Sports of Ukraine and academic title. ONEU also awards vouchers for the use of spa and recreational facilities as a further benefit.

Appraisal of staff performance

Each institute undertakes appraisal evaluation of staff performance, typically reflected in a rating awarded on the basis of the previous year’s work. LNTU employs a student issued assessment tool which rates academic staff on a range of criteria, whilst EUNU uses a form of peer assessment via an “open course” attended by faculty and department members. It would appear that all evaluations of academic staff are considered by Deans, and are reported to either the institution’s Academic Council (or equivalent) or the Accreditation Commission of the Ministry of Education, Youth and Sports of Ukraine.

Conflict management and resolution

Conflict management and resolution is undertaken through the involvement of each institute’s trade union committee. In general, conflicts that arise are initially considered at a local level, with those unsolved disputes then moving to the attention of the trade union bodies, the highest level of involvement. In accordance with Legal Labour Codes and Laws, in the university there is a commission for labour discussion and a commission for ethics which manage conflicts that take place during working activities. These commissions operate according to Ukrainian Law.

Disciplinary matters and grievances

Each Ukrainian institute has a disciplinary and grievance procedure, which may ultimately involve the trade union committee, an elective body of the primary trade union organisation which provides consultative and practical help to employers on social and legal issues.

6.7. Main challenges faced in the human resource management processes

Amongst senior managers there exists a consensus as to the challenges facing Ukrainian institutes as arising from the lack of sufficient and flexible funding and internal management expertise in change management, along with logistical problems. The latter stems from the unclear division of responsibilities in many instances which manifests itself in an over-centralisation of power and accountability in the hands of a limited number of people. This in turn reflects the challenge of developing an appropriate corporate culture amongst all managers and staff, although low salary levels and the uncertain future for staff in the light of falling student numbers and the intensity of competition, inevitably may mitigate against this, and explain the challenge highlighted by more than one institution in recruiting young talented academics. In general the challenge of changing legislation in order to gain faster and more flexible approaches to recruitment and to award promotion is cited.

Similarly, middle managers identify the lack of sufficient funding as a major constraint in both developing and attracting human resources along with logistical issues arising from the structure of institutions and the level of internal educational management in the Ukraine. Managers highlight the lack of industry application in academic teaching and a misunderstanding by both academic staff and students of the learning process, whilst bemoaning a lack of motivation amongst some staff to engage in innovative practice, again arising from low salaries and future uncertainties arising from the competition for students. A further observation raised concerns outdated educational management processes, leading to bureaucracy and outdated criteria for evaluating the quality of the research and academic staff.

Academic staff highlights teaching practices as a challenge, particularly in the context of developing innovative teaching pedagogies encompassing the development of student skills in leadership, team work and self-study, along with the organisational aspects of the learning experience in effectively integrating topics between different disciplines. Staff members highlight very high teaching loads, low salaries and uncertainty over their futures as personal factors inhibiting teaching effectiveness and motivation, whilst the issue of logistics and internal education management expertise are cited as further constraints. Academic representatives from more than one university cite these impediments as being characteristics of a restraining culture.

The challenges faced by administrative staff again stem from low salaries and the effectiveness of internal management, particularly human resources management, which serve to demotivate staff. Mention is also made of uncertainty over the future as a result of competition for students, which has led to calls for adaptation to the emerging market economy, raising the challenge of developing effective marketing and PR activities for example in the face of limited budgets.

Students perceive the main challenge facing Ukrainian institutions as arising from the lack of motivation possessed by the student community, with terms such as “inertia”, “minimal autonomy” and “lack of interest” being used to frame a scenario in which engagement is lacking. There appears to be recognition of the bureaucracy overloading an over-stretched system with complicated organisational structures, leading one university student respondent to question whether anyone in their university possessed an overall understanding of the structure. A need for innovative teaching pedagogies to enhance engagement is also recognised along with the need for younger teachers who may be more open to change and innovation, although the existing small number of younger teachers is indicative of the challenge.

On national level the main challenges faced in managing and developing human resources mirror those identified in general by Ukrainian institutions. In general, there appears a belief that minimal training in human resource management is offered by the State, with that which does exist being targeted at academics primarily, rather than non-academic practitioners. Yet low salary levels, an uncertain future and a lack of motivation for self-development are reflected in the declining status of teaching at the university level, which has prompted potentially young and talented academics with linguistic skills to seek work either overseas or in the private sector. This has left universities with older staff possibly lacking in the motivation to adopt innovative teaching pedagogies or develop as managers, working in a bureaucratic governance system which in itself mitigates against change, with at least one institution citing this situation as being a legacy of the former Soviet system of management.

6.8. Identified training needs in the field of human resource management

Senior managers recognise a need for continual re-training and education in areas such as leadership, human psychology, knowledge management,

strategic management and the management of human resources with a view to changing the culture in the institutions. Mention is made of the need to benchmark against European and international effective practice in the organisation and control of the educational process, whilst there is recognition of the need for training and development in order that institutions can diversify to attract different funding streams and increase motivation.

Similarly, amongst middle managers the need for constant training and education to address the more effective management of human resources, and indeed other functional areas, is identified as is the need to benchmark against effective practice in Europe. LNTU recognises a need for the adoption of recognised quality systems to enhance processes.

Academic staff identify the need to enhance educational management along with management related teaching matter and the need to instill a quality culture across all levels. Reference is made to the desirability of widening cooperation with foreign universities in order to affect the transfer of contemporary teaching techniques, particularly involving the development of practical skills in areas such as team work and leadership. This would also enhance the learning of new approaches to educational management, including motivating students to study, knowledge competency skills, performance in adult learning and applications, and in training the trainers.

In efforts to counter low levels of motivation, administrators believe that continual training and education is essential, not least to improve the quality of leadership in institutions. It is recognised that a lack of financial resources could inhibit such development, although at least one institution cited the importance of developing educational marketing skills amongst some administrative staff. As with other staff categories, the importance of gaining educational qualifications in the context of human resource development is stressed, with this focus possibly be explained through the salary structure adopted in institutions where qualifications contribute to salary determination. Further suggested areas for development include the need for technical know-how in cross cultural communication and international cooperation and quality systems.

Students believe that continual training is needed to enhance teaching programmes citing the need for action in institutions to develop new

innovative approaches to the delivery of the learning experience, such as by virtual learning and student exchanges, in order to more fully engage students. A demand to develop learning activities with which to develop the skills of leadership, project management and business auditing is consistent with the need for training in developing action or experiential learning activities, involving the effective organisation of practical classes and study at enterprises and state bodies.

6.9. Access to learning resources and materials at the institutions

All the institutions hold learning materials on leadership and organisational behavior in their libraries, either in an electronic or printed format. More than one respondent university stated that resources in leadership and organisational behaviour are delivered as part of other managerial and economically related disciplines. Examples given ranged from a simple list to identifying detailed resources that address leadership, management and organisational behavior to a statement regarding the library of EUNU which possesses manuals and training materials in management field of studies that cover leadership and organisational behavior issues.

7. References and websites

Henard, F. and Mitterle, A. 2009. Governance and quality guidelines in Higher Education, OECD Paris.

Esterman, T., Nokkala, T. and Steinel M. 2011 University Autonomy in Europe, EUA Brussels.

Commission staff working document on recent developments of European higher education systems. 2011. http://ec.europa.eu/education/higher-education/doc/wp0911_en.pdf

Higher Education in Belarus. 2012.
<http://www.enpi-info.eu/library/content/higher-education-belarus>

Human Resource Management in in Public Higher Education in the Tempus Partner Countries. 2012.
http://eacea.ec.europa.eu/tempus/tools/documents/issue10_hr_mngt_120720_en.pdf

Overview of the Higher Education Systems in the Tempus Partner Countires. Eastern Europe. 2012.
http://eacea.ec.europa.eu/tempus/tools/documents/11_high_educ_sys_121218_EN_single.pdf

Annex 1

Auditing and self-assessment tool

(To be filled in by the Partner Countries Higher Education Institutions)

Purpose of the questionnaire: To provide information with the aim of:

- (1) Assessing the leadership skills and competences of senior managers in the Partner Countries Higher Education Institutions,
- (2) Identifying and the existing organisational structures, management models and reporting relations at the institutions;
- (3) Evaluating the learning resources and materials in leadership and organisational behavior available at Partner Countries higher education institutions,
- (4) Analyzing the local environment in which each institution operates, i.e. its contextual society, the local economy/industry, and challenges coming from this environment.

1. Please advise, which are the values of your institution as stipulated in the institution's vision statement

2. Please advise, which are the goals of your institution as stipulated in the institution's mission's statement

3. Please describe the technics and tools you use or experience for engaging the academic and non-academic staff and students in the pursuit of the goals of the institution (e.g. delegation of responsibilities, inspiring people, allocation of tasks, performance control etc.)

Respondent 1 (Senior Management representative)

Respondent 2 (Middle Management representative)

Respondent 3 (Academic Staff representative)

Respondent 4 (Administrative Staff representative)

Respondent 5 (Student)

4. Please, provide the organisational chart of your institution

5. Please, explain in details the duties, responsibilities and reporting relations of the following positions within your institution:

Rector

Vice-rectors

Deans

Heads of departments

Heads of administrative units and directorates

6. Please, provide information on the duties, responsibilities and reporting relations of the collective bodies of your institution (commissions, boards, panels, committees, assemblies, councils):

At institutional level: e.g. Rector council, Academic council etc.

At Faculty and department level: e.g. Faculty and department councils, programme committees

7. Please fill out the table by advising who gives the initiatives for action in the key domains listed, who is in charge of decision making, who has to approve the decision, who is implementing and putting into practice the respective decision, who bears the responsibility for the action and the final outcome, who is in charge of control and monitoring. You may add more key domains applicable for your institution.

8. Please, advise if there is any national legal act or strategy for managing human resources at the Higher Education institutions in your country. Please, specify how these documents are integrated in the strategies and decisions of your institutions.

9. Please, provide detailed information on any document (strategy or regulation) for human resource management at your institution.

10. Please, explain the main obstacles and challenges in the process of implementing change at your institution.

Respondent 1 (Senior Management representative)

Respondent 2 (Middle Management representative)

Respondent 3 (Academic Staff representative)

Respondent 4 (Administrative Staff representative)

Respondent 5 (Student)

Project Number 530621-TEMPUS-1-2012-1-BG-TEMPUS-JPGR

Key domains	Initiative	Decision	Approval	Implementation	Responsibility	Control
Curricula changes and reforms						
Education and teaching process						
Research activities						
Lifelong learning and continuous education						
Links with business representatives and society at large						
Allocation of financial resources						
Defining the level of tuition fees						
Fundraising and involvement in project						
Academic staff development and training						
Non-academic staff development and training						

11. Please, explain in details the following human resource management processes in your organisation by describing the content of process, the job position(s) and/or bodies in charge.

11.1. Job design

11.2. Human resource planning

11.3. Recruitment, selection and induction of new employees

11.4. Staff training

11.5. Career development and promotion for academic and non-academic staff members

11.6. Payment and other benefits for staff motivation

11.7. Appraisals of staff performance

11.8. Conflict management and resolution

11.9. Disciplinary matters and grievances

12. Please, identify at least three challenges you think your institution faces in terms of human resource management.

Respondent 1 (Senior Management representative)

Respondent 2 (Middle Management representative)

Respondent 3 (Academic Staff representative)

Respondent 4 (Administrative Staff representative)

Respondent 5 (Student)

13. Please, provide information on the main challenges in managing human resources at the higher education institution which are typical for your country.

14. Please, specify your training needs in the field of human resource management.

Respondent 1 (Senior Management representative)

Respondent 2 (Middle Management representative)

Respondent 3 (Academic Staff representative)

Respondent 4 (Administrative Staff representative)

Respondent 5 (Student)

15. Please, provide information on the learning resources and materials in leadership and organisational behavior available at your institution.

Thank you!

**Project “Leading and Managing Change in Higher Education”
(La MANCHE)**

Tempus IV Programme



Tempus



Leading and Managing Change
in Higher Education

Project Number 530621-TEMPUS-1-2012-1-BG-TEMPUS-JPGR

www.lamanche-tempus.eu

**International University College
3, Bulgaria str.
9300 Dobrich
Bulgaria**

**Email: lamanche@vumk.eu
Tel: +359 58 65 56 38**