

# Academic Selection and Promotion – From vacancies to careers?

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# Structure

- Academic careers and national frameworks
- Recruitment and selection
- Promotions
- HR(M) in HEIS

# Why careers are important?

- 1. People—HR—are the most important asset for any organisation and are key to long-term organisational performance and competitiveness** (Brennan et al., 2003; Convertino, 2008; Evans & Chun, 2012; Julius, 2000; Mansour et al., 2015);
- 2. HRM underscores integration. The policies, programmes and practices of HR should cohere and aligned with organisational strategy** (AON Hewitt, 2012; Arslan, Akdemir, & Karsli, 2013; Baker, 1999; Bodor, 2011; Brennan et al., 2003; Hall, 2009; Holbeche, 2012; Mansour et al., 2015; Kohont & Bergoč, 2010; Waring, 2013);
- 3. Managing HR is a responsibility of all managers rather than a sole preserve of HR units** (Archer, 2005; Baker, 1999; Guest & Clinton, 2007; Hall, 2009; Jackson, 2001; Waring, 2013).

- Source: Mugabi et al. fort coming

“The academic career model is a system of academic **positions** valid in universities, with titles, methods of filling positions and a description of requirements.”

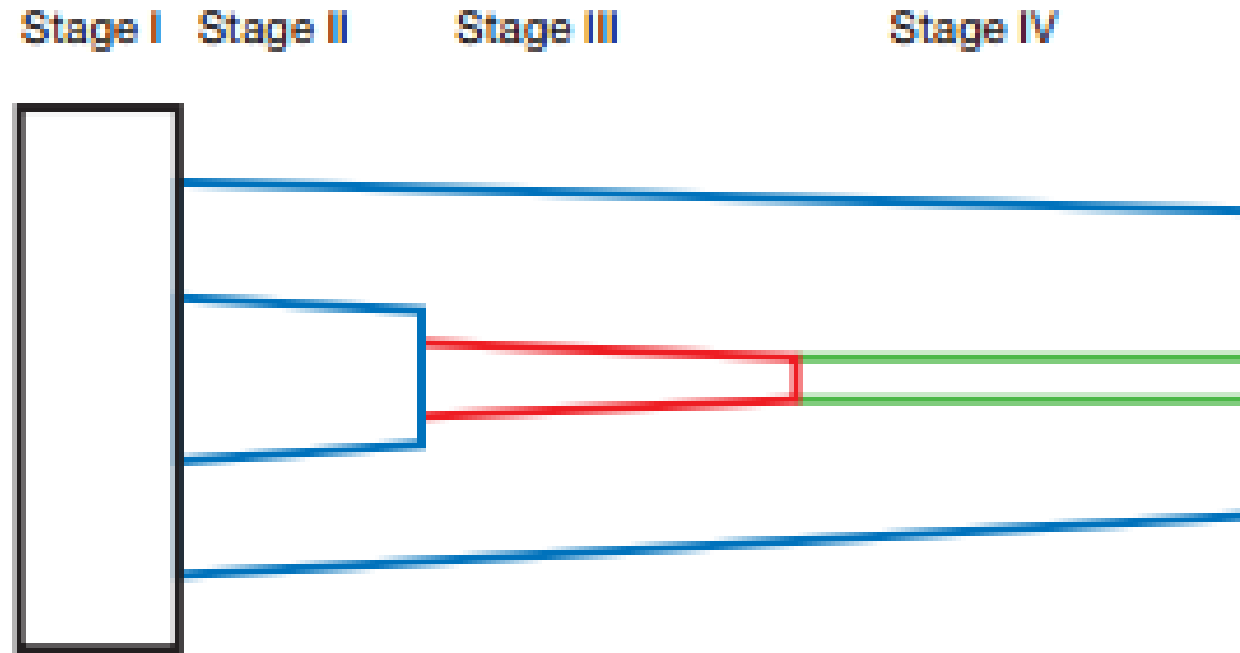
Positions – Titles – Ranks - Qualifications – Merits – Rewards

Termination - Mobility

# National framework

- Role of different stakeholders
  - Qualifications; positions; contracts
  - Ministry, Unions, Employee groups
- National framework(s) and (inter)national comparison
  - One or more frameworks
  - Four or more steps
  - Professors' position
  - Enter and exit points
  - Statistics
- Balancing between institutional autonomy, strategic management and (inter)national professional standards

# FOUR OR MORE?



- Stage I    **Doctoral training stage**
- Stage II    **Postdoctoral stage**
- Stage III    **Independent researcher stage**
- Stage IV    **Established researchers (professors, research professors, directors, senior scientists, etc)**

# Estonian model?

- R1 – junior researcher, junior lecturer
  - R2 – lecturer, research fellow (postdoctoral programme)
  - R3 – senior lecturer, senior research fellow, assistant professor
  - R4 – associate professor and full professor, or simply professor **An associate professor may also be at R3 level depending on requirements – this needs to be discussed and decided in universities.**
- R1 Relation to doctoral candidates
  - R2 “Equity” of teachers and post docs or a practical selection point?
  - R3 The balance between tenure track position and teaching positions --- Development in teaching position
  - R4 Balance between tenure track recruitment and “normal” recruitment
    - Inflation of qualifications – postponement of promotions – price tack

# Recruitment and selection

Estonian model?

- Academic positions with **an open-ended employment contract** are filled as follows:
    - through an open competition;
    - through promotion based on evaluation results; or
    - through successful completion of a tenure track.
  - Academic positions with a **fixed term are filled** as follows:
    - **through an open competition** (e.g. to fill a tenure track position or a position with targeted funding); or
    - **through appointment.** The latter is used to fill the positions of visiting lecturers and professors and positions **with targeted funding**, as well as in cases where an open competition fails.
- Balancing between career based and vacancy based models
    - Tenure tracks
    - Junior academics
    - Contingent workforce
  - Balancing between organizational and professional priorities
  - Balancing between flexibility and continuity
  - International benchmarks:
    - Processes are complex and include vast variation
      - Preparing vacancies
      - Selecting and evaluating candidates
      - Recruiting (making decisions)



## Vacancy vs. Career based

	Potential strengths	Potential weaknesses
<b>Career-based models –  Only one enter point</b>	<ul style="list-style-type: none"><li>• Strong role of academic profession, collegiality</li></ul>	<ul style="list-style-type: none"><li>• Elitism and stagnation</li></ul>
	<ul style="list-style-type: none"><li>• Shared values, independence, academic freedom</li></ul>	<ul style="list-style-type: none"><li>• Risk of exclusion of contemporary staff from organizational decision making</li></ul>
	<ul style="list-style-type: none"><li>• Long timespan, autonomy</li></ul>	<ul style="list-style-type: none"><li>• Division between “core academics” and others</li></ul>
	<ul style="list-style-type: none"><li>• Accumulation of knowledge</li></ul>	<ul style="list-style-type: none"><li>• “Ivory tower”</li></ul>
	<ul style="list-style-type: none"><li>• Motivation through promotion possibilities</li></ul>	<ul style="list-style-type: none"><li>• High risk of heavy promotion processes to guarantee merit-based selection at all position levels</li></ul>

# Vacancy vs. Career based

Position-based models	Potential strengths	Potential weaknesses
- <b>Open competition</b>	<ul style="list-style-type: none"> <li>• Competitiveness, diversity</li> </ul>	<ul style="list-style-type: none"> <li>• Career dead-ends (no open positions)</li> </ul>
	<ul style="list-style-type: none"> <li>• Adaptability, relevance for society, possibility for multidisciplinary positions</li> </ul>	<ul style="list-style-type: none"> <li>• Risk of losing a sense of shared mission and value; Unhealthy competition</li> </ul>
	<ul style="list-style-type: none"> <li>• Stronger role of managers and possibility for strategic recruitments</li> </ul>	<ul style="list-style-type: none"> <li>• Risk of losing networks and knowledge, if high turnover</li> </ul>
		<ul style="list-style-type: none"> <li>• Risk of “supermarket logic” in academic work</li> </ul>
		<ul style="list-style-type: none"> <li>• High risk of heavy recruitment processes to guarantee merit-based selection at all position levels</li> </ul>
		<ul style="list-style-type: none"> <li>• High risks of dissatisfaction in recruitment processes</li> </ul>

## Balancing Between professional and organizational goals

Primary source of resources	Titles and tasks		Recruitment type	Recruitment practice
Core funding	<b>Professor's positions (career stage IV):</b> - Full professor -positions - Tenure track positions		<b>"Professional recruitments"</b>	<ul style="list-style-type: none"> <li>- Permanent contracts (fixed term for tenure track positions)</li> <li>- Open call for vacancies (or by "invitation")</li> <li>- Opened mostly as an international call</li> <li>- Defining the position profile and tasks: recruitment committees, deans</li> <li>- Use of recruitment committees and external reviewers</li> <li>- Recruitment decisions by rectors/deans, based on the proposal of appointment committees.</li> </ul>
	<b>Tasks for obtaining qualifications (career stages I &amp; II)</b> - Doctoral candidates (with salary) - Post doc researchers	<b>Institutional tasks (career stage III):</b> - University lecturers - University researchers	<b>"Organisational recruitments"</b>	<ul style="list-style-type: none"> <li>- Permanent or long fixed term contracts (3-5 years)</li> <li>- Open call for vacancies</li> <li>- Often opened as an international call</li> <li>- Defining the position profile and tasks: department heads, professors, recruitment committees</li> <li>- Recruitment decisions by rectors/deans, based on the proposal of recruitment committees</li> </ul>
Project funding	<b>Project-related and other short terms tasks (career stage I)</b> - Project researchers, research assistants, teaching assistants		<b>"Ad hoc recruitments"</b>	<ul style="list-style-type: none"> <li>- Short, fixed term contracts (1-2 years or less)</li> <li>- Direct recruitments often without an open call</li> <li>- Defining the position profile and tasks: department heads, professors, PIs</li> <li>- Recruitment decisions by deans, department heads</li> </ul>

# Tenure

“The main aim of a tenure system is to make **an academic career more attractive** to talented and hard-working young people by offering young academic employees a **secure** path (goals, conditions and a set period) for reaching a professor's position. This basically means that it is agreed upon that a professor's position will **not** be reached if the goals are not fulfilled. This option is usually not offered to those who have recently acquired a doctoral degree, but those **who have successfully completed a postdoctoral programme**. Viewed from the university's perspective, **this decreases the risk that the unsuitability of an academic job will become apparent during the tenure track.**”

Tenure track (Established, US experience)

- Tenure track faculty (before and after recruitment) **should be well informed** on the expectations and priority of outcomes.
    - This should be supported by mentors, faculty orientation, written guides, and sample dossiers.
  - All **outcomes need to be well defined** (such as outreach to the community).
  - Tenure track faculty members **need (annual) feedback**.
  - **Managers need skills to provide feedback**.
  - **Managers and senior staff need to be available for junior staff**.
  - **Only faculty with full potential to reach tenure should be employed after the probationary period (Trowler 2012)**
- Responsibility of employer!!!

## Tenure track (Emerging, FINNISH experience)

- If implemented only as an additional element of a career model, it creates (strengthens the division into) **two ranks of academics**;
- May highlight the research merits and other internationally comparable merits and **neglect teaching and organizational merits**;
- Creates **highly individual motivational structures** that may have negative impacts for collaboration especially in teaching and organizational matters;
- **Increases insecurity of young committed researchers – mobility, gender**;
- **Requires strong HR competencies** and resources in developing the criteria for promotions and organizing the assessments;
- **Requires more financial long-term planning** (when introduced, might lower the salary expenses of senior academic staff but will increase them in the longer term);
- **Might have a tendency to postpone promotions** and increase the threshold for professorships. (Välilmaa and others 2016)

How to combine teaching, research and other activities in such a way that both, specialization and advancement within the academic career model would be possible?

# Promotions

- Tenure committees will be convened in universities. They will be in charge of setting goals for the tenure track, assessing its completion and filling tenure positions without a tenure track **(an agreement about the existence of the committee will be enough for homogenisation, but if desired and possible, the name and principles of creating the committee may also be discussed and put into words).**
- Depended on career system (Vacancy, Tenure, Career)
- **Alignment with strategy of ?**
- Alignment with **performance evaluation**
- International aspects (Inbreeding)
- Balancing between research, teaching and administration (Sweden KTH, South Africa UKZN, US/UK management)
  - Promotion patterns (UK)



# PROMOTION PATTERNS (Parker 2008)

- ***Pure researcher.*** Promotion is made based only on assessment of research merits.
- ***Well-rounded teachers.*** Candidate provides evidence on excellence in teaching and satisfactory level in other areas.
- ***Researcher with other excellence taken into account.*** The candidate can support (back up) his or her research excellence with excellence in teaching or administration.
- ***Well-rounded researcher.*** Candidate is assessed in excellence in research and minimum standards in teaching and administration.
- ***All-around player.*** Employer lists all the duties and qualifications for each position. To be promoted, a candidate needs to fulfill all criteria at his or her own level and 75 percent of the criteria of the next level.
- ***All-rounder with a specialism.*** Candidate selects one area of excellence (research, teaching, or administration) in which she or he must excel to be promoted. In other areas, she or he must meet minimum criteria.
- ***Specialist.*** Candidate selects a restricted number of areas of excellence and is evaluated only in those areas.

# HR in HEIs, Recommendations on HR

- *Presidents and the Board:* President and the board should be well aware of HR issues and provide adequate resources for them. **HR leader should report directly to top management.**
- *HR Leaders:* The main duty is to advocate an **HR dimension in strategy formulation and decision making and to develop metrics that would support decision making and the strategy process.**
- *HR Departments:* **HR-departments are accountable for strengthening organizational capabilities, employee commitment, productivity, and morale and be able to adapt with feedback. ‘**
- **HR professionals: need to develop knowledge of academic institutions, priorities, goals, and processes,** as well as institutional strategy and mission.