

# STAND PROJECT

# Methodology

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**STAND workshop WP1.3**  
**6-7 May 2021**

- Topics



1. Sector-wide Communication
2. Internal communication
3. Reflection of who needs to get involved and processes

- What do we need to successfully engage in an autonomy reform
- A well-defined plan and clear responsibilities
- Involvement of the whole university community
- Leadership commitment
- Skilled human resources
- Evaluation procedures
- Review procedures
- Communication and coordination throughout the process

- Communication:
- Why?
  - Autonomy and governance reforms are major change processes
  - Often resistance within community
  - Diverse expectations and fears
- What?
  - Vision
  - Benefits
  - Aims and procedures
  - Timeframe
- Who?
  - Leadership
  - Key agents
  - Use of multipliers

- Why coordination?

- Autonomy and governance reforms have a long time span and a multitude of actors involved
- Complex interplay of legal changes at system level and changes at institutional level
- Challenge in implementation
- Change of management, leadership and skills at institutional level – professionalisation
- Change in steering by governing authority

- Questions

1. *Who are the actors at national level?*
2. *Who are the actors at sector level*
3. *Which reform processes are ongoing?*
4. *Are those shaping the reform processes involved in STAND? Who from the outside needs to be involved?*
5. *How can you achieve a coordinated sector view?*
6. *How can you engage at institutional level ?*
7. *What are the elements to communicate at institutional level ?*
8. *How can each partner communicate internally?*
9. *Communication/dissemination strategy*

# Overview of the methodology

Autonomy  
indicators  
(survey)

Description  
of regulation  
by Ministry

Description  
of practice  
by sector

Assessment  
of alignment  
between  
framework &  
practice

Comparative  
assessment  
of the level  
of autonomy

Organisational autonomy	DESCRIPTION OF THE REGULATION	DESCRIPTION OF PRACTICE	REGULATION/PRACTICE	ASSESSMENT
<p><b>Selection procedure for the executive head:</b> Is the selection of the executive head validated by an external authority?</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes. Please describe the validation process.</p> <p><b>Please describe the selection procedure for the executive head.</b></p>	Description of regulatory provisions	Description of institutional practice	<p><b>Alignment between framework and practice</b></p> <p>In the comment fields press ALT+ENTER to start a new line/paragraph.</p> <p>1 2 3</p> <p>&lt; [ ] &gt;</p> <p>1: practice aligned on regulation 2: mismatch between practice and regulation 3: practice conflicts with regulation</p>	<p><b>Comparative assessment</b></p> <p><input checked="" type="radio"/> Autonomy enabler <input type="radio"/> Implementation gap: address practice <input type="radio"/> Practice ahead of regulation: update framework <input type="radio"/> Barrier to autonomy: reform needed</p>
<p><b>Selection criteria for the executive head:</b> Are the selection criteria for the executive head stated in the law?</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes</p> <p><b>If yes, which of the following best apply to your system? (Tick all that apply)</b></p> <p><input type="checkbox"/> Law states that executive head must hold an academic position <input type="checkbox"/> Law states that executive head must hold a doctoral degree <input type="checkbox"/> Law states that executive head must come from within the university <input type="checkbox"/> Law states other restrictions. Please specify in comment box.</p>	Description of regulatory provisions	Description of institutional practice	<p><b>Alignment between framework and practice</b></p> <p>1 2 3</p> <p>&lt; [ ] &gt;</p> <p>1: practice aligned on regulation 2: mismatch between practice and regulation 3: practice conflicts with regulation</p>	<p><b>Comparative assessment</b></p> <p><input checked="" type="radio"/> Autonomy enabler <input type="radio"/> Implementation gap: address practice <input type="radio"/> Practice ahead of regulation: update framework <input type="radio"/> Barrier to autonomy: reform needed</p>
<p><b>Procedure for the dismissal of the executive head:</b> Are the procedures for the dismissal of the executive head stated in the law?</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes</p> <p><b>If yes, which of the following best applies to your system? (Tick one)</b></p> <p><input type="checkbox"/> Confirmation of dismissal by external authority necessary but procedure decided by the university <input type="checkbox"/> Dismissal by external authority but procedure decided by the university <input type="checkbox"/> Confirmation of dismissal by external authority necessary and procedure stated in the law <input type="checkbox"/> Dismissal by external authority stated in the law <input type="checkbox"/> Other restrictions on appointment procedure. Please specify in comment box.</p>	Description of regulatory provisions	Description of institutional practice	<p><b>Alignment between framework and practice</b></p> <p>1 2 3</p> <p>&lt; [ ] &gt;</p> <p>1: practice aligned on regulation 2: mismatch between practice and regulation 3: practice conflicts with regulation</p>	<p><b>Comparative assessment</b></p> <p><input checked="" type="radio"/> Autonomy enabler <input type="radio"/> Implementation gap: address practice <input type="radio"/> Practice ahead of regulation: update framework <input type="radio"/> Barrier to autonomy: reform needed</p>



# Step 1

## Selection criteria for the executive head:

Are the selection criteria for the executive head stated in the law?

No

Yes

If yes, which of the following best apply to your system? (Tick all that apply)

Law states that executive head must hold an academic position

Law states that executive head must hold a doctoral degree

Law states that executive head must come from within the university

Law states other restrictions. Please specify in comment box.

## Step 2

### Description of regulatory provisions

Rector must hold an academic position, have higher education (but no PhD requirement) and must have work experience in senior positions for 5 years.

**In addition: reference the corresponding legal provision!**

### Description of institutional practice

The criteria for selecting the rector are specified in the "Regulations for the appointment and conduct of certification of the head of a state-owned enterprise, as well as approval of his candidacy" approved by the order of the Minister of National Economy of the Republic of Kazakhstan dated February 2, 2015 No. 70, Chapter 4-1, item 23-7.

The main requirements for the selection of candidates for the post of rector are:

- 1) higher education;
- 2) the presence of seniority in management positions for at least 5 years.

## Step 3

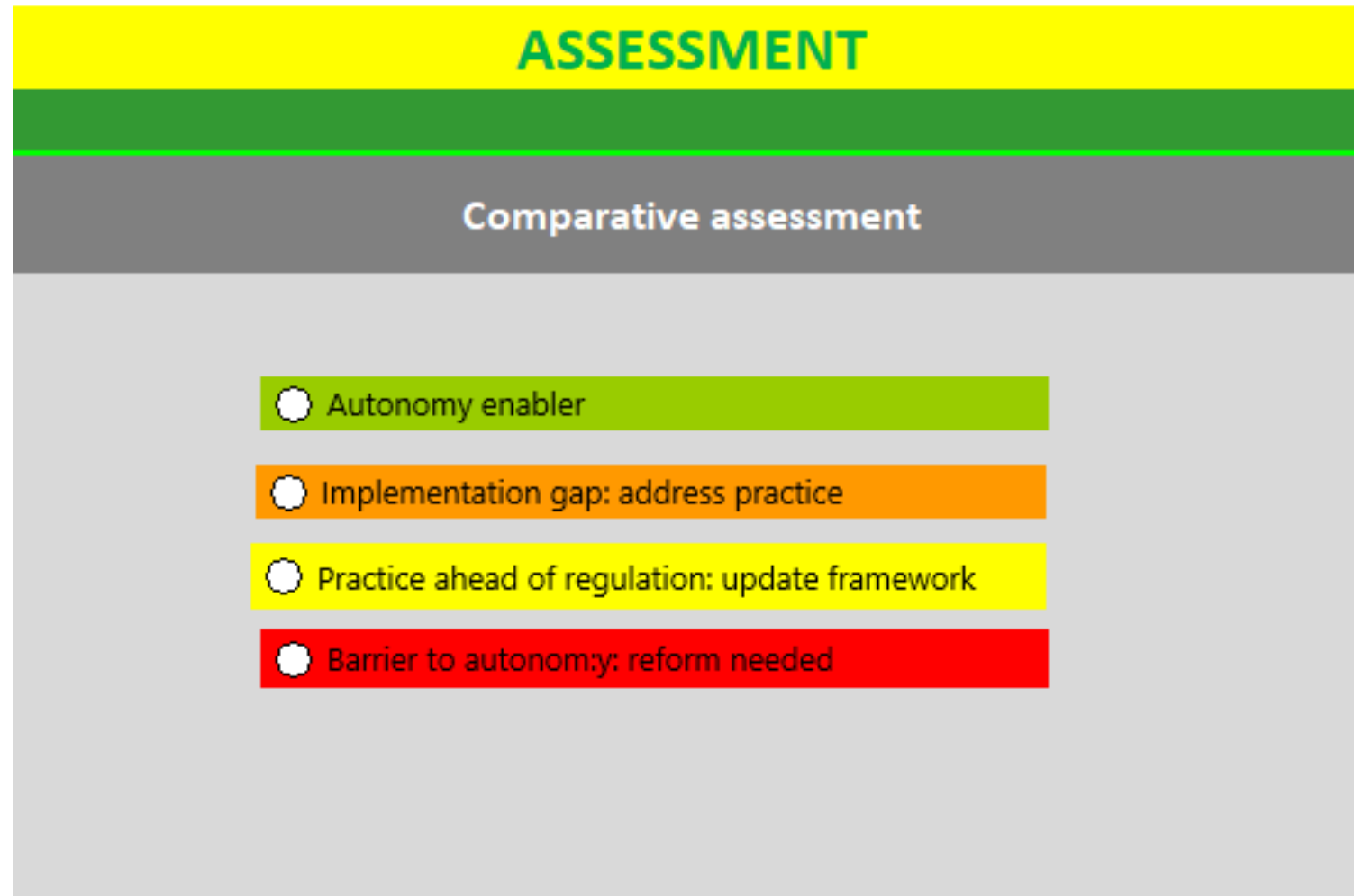
## Alignment between framework and practice

### Step 4

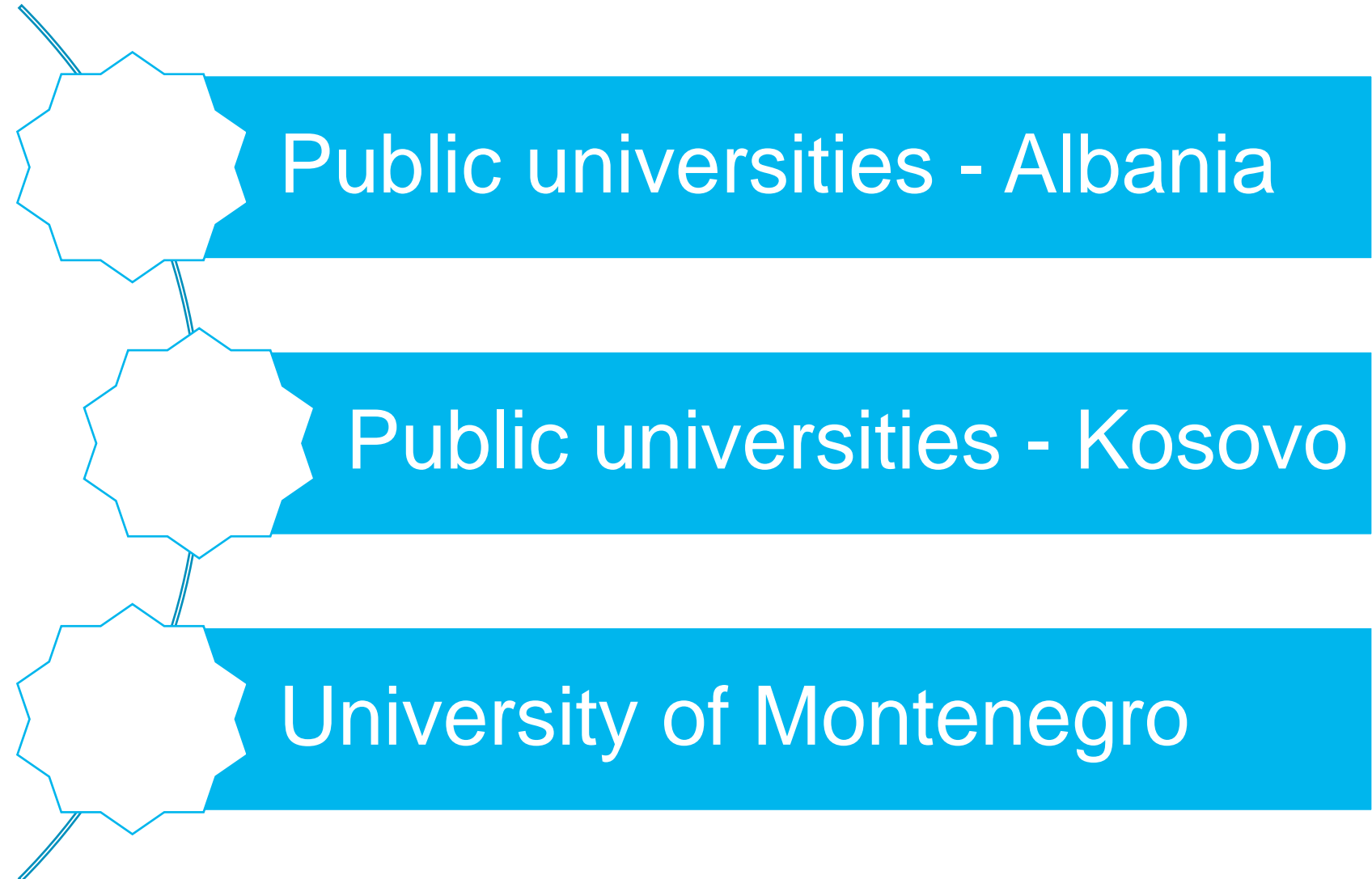


- 1: practice aligned on regulation
- 2: mismatch between practice and regulation
- 3: practice conflicts with regulation

## Step 5



## Datasets to collect



## Sequence of data collection: proposal

### Description of regulatory provisions

- 1 per country
- Response by Ministry
- If possible: a description of the changes entailed by reform considered

### Description of average institutional practice

- 1 per country
- Response coordinated by “university taskforce” of each country

### Data analysis

- Assessment of alignment between regulation and practice
- Assessment of autonomy level

- University taskforces
  - Public Universities Albania
  - Public Universities Kosovo
  - University of Montenegro
  - *One response set per group – must be coordinated!*
  - *Groups can decide on approach: mandate one to pre-fill, then comment.*
  - *Identify differences in institutional practice wherever relevant.*
  - *Descriptions must be clear and honest but do not need to include the names of the institutions.*



- Timeline

- Limited time available
- Run data collection in parallel (Ministry + institutional groups)
- Period to fill in the surveys: May 2021
- EUA to provide full set of Dashboards
- Questions on interpretation of questions must be addressed to EUA – dissemination of clarification to all groups
- **Clarifications/validation round (online meeting): June 2021**

- Quality control

- Regulatory framework description by Ministry
- Referencing actual regulatory provisions
- University taskforces: coordinated responses
- Identification of data issues & correction/validation round
- Q&A with EUA for clarifications

# Organisational autonomy

## 1. Executive head

- Validation
- Criteria
- Term of office
- Dismissal



*The questions focus on the provisions of the regulatory framework.*

## 2. Governing bodies

- Types of governing bodies
- External members inclusion
- External members appointment

## 3. Structures

- Development of academic structures
- Creation of separate legal entities

## **1. Public funding allocation**

- Duration of funding cycle
- Type of funding allocation
- Keeping surplus on public funding

## **2. Asset management**

- Ability to borrow money
- Ownership of buildings

## **3. Tuition fees**

- National students
- Foreign students
- BA, MA, Doctoral levels

## Academic autonomy

### **1. Students**

- Student numbers
- Admission mechanisms

### **2. Degree programmes**

- Introduction of programmes
- Termination of programmes

### **3. Language of instruction**

- Bachelor level
- Master level

### **4. Quality Assurance**

- Selection of quality assurance mechanisms
- Selection of quality assurance agency
- Curriculum design



## Staffing autonomy

- 1. Staff recruitment & salaries**
- 2. Staff promotion & dismissal**

## Funding system

- Additional information to contextualise the autonomy analysis
- Based on average situation per type of institution
- (included in the university taskforce surveys only)

## Governance

- Additional information to contextualise the autonomy analysis
- Based on average situation per type of institution
- More detailed view of governance arrangements
- (included in the university taskforce surveys only)

- Responsibilities
  - Ministry responses + liaison with Ministry from consortium
  - Contact database for responses [May 2021]
  - Collect regulatory documents
  - Monitoring of process, reminders, collection of responses [May 2021]
  - First analysis & detection of issues = core workpackage team [June 2021]
  - Draft report: identification of areas where autonomy is deemed most important and shortcomings of the current governance system [timeframe]
  - Roadmap development: suggestions & guidance for reform process [timeframe]



## Guiding questions for the group work

For each system

Step 1: liaison with Ministry

Who is responsible to liaise with Ministry and collect response?

Who should be contacted in Ministry?

Who is responsible to collect relevant legal documents?

Step 2: university taskforce

Who is part of the university taskforce? Who is responsible to coordinate the taskforce?

Who outside of the consortium should be included?

Who is responsible to set up taskforce meetings? Separate meetings for each dimension? +  
General consensus meeting to validate response?

Step 3 : overall process

Who is responsible to collapse the data into the dashboard for each system?

Who is responsible to check that everyone is on track with their tasks?

→ Set deadlines for each step

# Group Discussion: Montenegro process

- Step 1 Liaison with Ministry

Vice rector for academic affairs is responsible to liaise with Ministry and collect response.

Director of the Directorate for higher education should be contacted in Ministry.

Vice dean for academic affairs will be responsible to collect relevant legal documents. 12.05.2021

- Step 2 University task force

Vice rector for academic affairs, Vice rector for science and research, The head of Finance, General Secretary of the University and the head of Scientific Board, are part of the university Task force.

Vice rector academic affairs will be responsible to coordinate the task force. Members of the Supervisory Board from external stakeholders should be included as well, The head of Scientific Board. He will also call for the Task force meetings, on 15.06.2021. As the University of Montenegro is the only public university, general consensus is not under question.

- Step 3: Overall process

The office for international affairs will fill the data, under the supervision and responsibility of the Vice Rector. As a Task force coordinator he will also check that everyone is on track with their tasks. 10.07.2021.

## Group discussion: Albania process

- Step 1: Liaison with Ministry

It will be Polis university responsible to liaise with the Ministry and collect the responses.

- Step 2: University taskforce

Albanian taskforce will consist of one representative from the UT (Ledjon Shahini, Head of Scientific Research and Projects Unit) and one rep from UAMD (Renata Tokrri, Vice-rector for Academic Affairs). Ledjon will be responsible to coordinate the taskforce.

We would be willing to include in the process other public universities, such as University of Elbasan, Un. of Korca or Un. of Shkodra. Hopefully they will accept the invitation and will provide the information required.

Ledjon is responsible to set up taskforce meetings. We plan to organize meetings to discuss about all four dimensions, and not separate meetings to each dimension.

Also, we think of holding a general consensus meeting if the responses given by the Albanian partners (UT, UAMD) don't match with each other.

deadline for 1st meeting: June 15th

deadline for 2nd meeting: June 22th

consensus meeting (if necessary): June 29th

- Step 3: Overall process

I am the person in charge for collapsing the data into the dashboard.

Renata is responsible to check if we are all on track with the tasks.

# Kosovo Process for Autonomy Scorecard Assessment

# Step 1: Ministry

Facilitator (IBCM: Bujar)

- Ministry (HED- Minister's Cabinet)
  - KAA?
  - IBCM (Bujar)
  - USAF (Bujar)
  - UKZ (Dukagjin)
  - UGJK (Laura)
- 
- Date: to be coordinated with the Ministry

## Step 2 – University Task Force

Facilitator: UP - Prof. Avdulla Alija

- Vice-Rectors responsible
  - General Secretary
  - Student representative
  - Representative of Parliamentary Commission for Education
- 
- 8 partners x 3 participants = 24 (26)
  - Procedure:
    - 1. Each representative of university will fill the first draft at the university level (30 May)
    - 2. The coordinator/facilitator will merge a single draft (10 June)
    - 3. Workshop to validate the dashboard (15-16 June) (venue: UASF)

## Step 3: Overall country coordination

- IBCM Team (Bujar, Mihone, Alfia) will be responsible for monitoring and coordinating the activities for Kosovo assessment processes.

# Deadlines

- Step 1: TBC (20<sup>th</sup> June to be completed)
- Step 2: 20<sup>th</sup> June 2021
- Step 3: 30<sup>th</sup> June
- Final draft: 15<sup>th</sup> of July 2021



# Data analysis – achieving a structured overview of university autonomy in STAND countries

- Process

- Draft report: identification of areas where autonomy is deemed most important and shortcomings of the current governance system
- Roadmap development: suggestions & guidance for reform process
- Feedback rounds– Consortium needs to establish priority levels for actions

<p>Termination of degree programmes</p>	<p>In principle on the initiative of universities; the closure may also result from amendments to the national classification of specialties</p>	<p>Accredited institutions should be fully competent to decide on termination of programmes.</p>	<p>(Estonia, Finland, and Iceland). Universities in most countries have full authority to close programmes. Only in a small number of systems do they need to negotiate this with a public authority. There may nevertheless be requirements to provide students with adequate alternatives to continue their studies in the same academic field, whether in the institution or not.</p>
<p>Language of instruction</p>	<p>Universities must offer the programmes in official languages of KZ / can decide (trilingual education goal)</p>	<p>Some improvements were registered with the inclusion of some English-taught programmes for state-sponsored study places.</p>	<p>In more than two-thirds of the countries studied, universities can choose the language of instruction. In the remaining countries, there are varying restrictions which are seen as a competitive disadvantage when trying to attract international students and staff. Only 2 systems (LV, HR) do not provide public funds for programmes taught in other languages.</p>
<p>Selection of QA mechanisms</p>	<p>Institutional accreditation (state license) is considered voluntary but</p>	<p>Barrier to autonomy – reform needed (institutional accreditation should</p>	<p>It is rare for universities to be able to select quality assurance mechanisms freely and according to their needs. This is the case only in the three German states included in the Scorecard</p>

1. Organisational autonomy: Challenges / Areas for reform

Challenge	System-level	Institution-level	Indicate feasibility level <sup>11</sup> and timeframe
	Action proposed	Action proposed	
Modernising selection of university leadership	Adapt selection procedure in law with balanced committee and remove need for external validation	Develop criteria for rector adapted to institutional profile	
	Allow universities to decide on selection criteria		
Evaluation of university leadership	Reduce external authority involvement in evaluation of leader – consider involving other stakeholders (use supervisory board)	Develop in statutes clear tasks and assessment procedure for rector. Develop policy on term of office (duration, option to renew or not)	
	Allow universities to introduce rules for term of office of university leader		
Modernisation of governance	Rationalise governance model in law by limiting the rules to 2 main bodies (senate and board) while allowing universities to establish additional consultative bodies (decision-making should be limited to the 2 main bodies to avoid fragmentation)	Develop internal guidelines clarifying the respective roles of the governing bodies and the roles of advisory bodies	
	Limit rules regarding size and composition of bodies to basic parameters		

- Illustration on roadmap & recommendations

**Action plan**

Cross-cutting							
Challenge	Priority level	System-level			Institution-level		
		Action proposed	Feasibility level	Timeframe	Action proposed	Feasibility level	Timeframe
Critically low level of public funding for higher education	1	Develop a long term plan for investment in higher education	3	3	Engage in diversification activities	2	3
		Set up tax incentives fostering investments in higher education from the private sector & favourable tax policy for HEIs	3	2			
Lack of sufficient funding for research for universities	1	Set up specific schemes for funding for research for universities	2	2	Further develop research capacity and demonstrate value	2	2
Weak position of Armenian National Rectors' Conference as a stakeholder in the higher education sector	2	Include status and areas of activities in law	1	2	Involve all members in activities and engage into visible activities	1	1
Significant disparity between legislative autonomy and autonomy in practice	2	Set up evaluation of reform processes with independent international participation	2	2	Reform internal regulations and processes that hinder the use of autonomy in practice	2	2
Lack of long term strategic planning both at system and institutional level	1	Develop and engage in a dialogue with the stakeholders on a long term strategy for the development of the Higher Education system	1	1	Engage in a dialogue with the ministry on a long term strategy for the development of the Higher Education system	2	2
		Implement ATHENA project recommendations	2	2	Implement ATHENA project recommendations	2	2

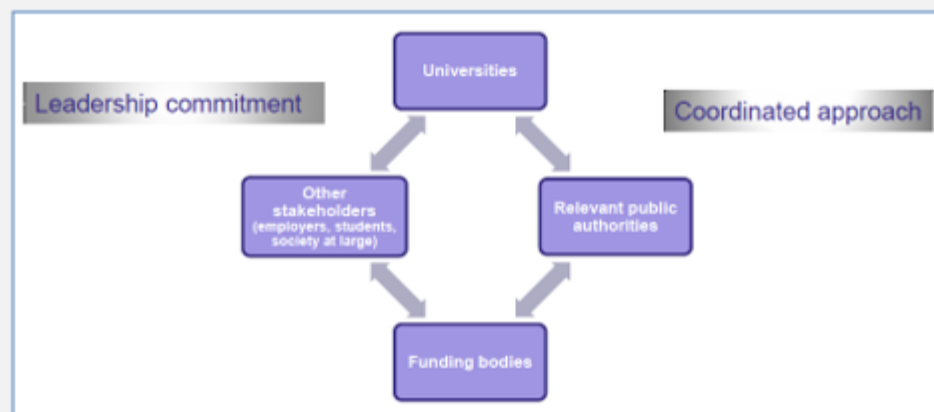
# • Roadmap & recommendations

## Example: the [report on Kazakhstan](#)

### I. Pre-requisites for the process

Through the policy analysis and development phases of the ATHENA project, it has become clear that certain steps are necessary to create the conditions necessary for supporting an effective and comprehensive reform agenda.

- Establishing a climate of mutual trust and regular dialogue and consultation to ensure that decisions meet the requirements of all stakeholders
- Ensuring that there is transparency in policy discussions
- Drawing up a plan with clear steps to be taken and a timeframe for this process



### II. EUA recommendations: actions and objectives

#### a) **Actions and objectives on a system-wide level**

The following actions are proposed by EUA as primary objectives to support the reform programme:

- 1) Streamline and simplify rules and procedures for universities:
  - a) A single legal status and legal code to govern higher education institutions
  - b) Less bureaucratic and restrictive procurement processes
- 2) Update the modalities through which public funding is dispensed:
  - a) Remove line-item budgets
  - b) Introduce a modern cost weighting system using some output criteria (e.g. degree completion)
- 3) Raise the level of public investment in higher education, particularly in research activities
- 4) Give universities more freedom to set tuition fees for fee-paying students, in particular international students (combine with appropriate student support system)
- 5) Delegate control of HR structures and processes to universities
- 6) Ownership of buildings and renting without permission (let universities keep surplus).
- 7) Create incentives to stimulate diversification of income sources and create a higher education policy climate in which businesses are welcomed as investors and partners
- 8) Remove government oversight of student selection process
- 9) Give universities the freedom to decide on the language of tuition and dropping mandatory course content
- 10) Provide support to institutional human resource development through specific funding
- 11) Evaluate the agreed reform plans with the inclusion of independent international experts

#### b) **Actions and objectives at an institutional level**

Work is also required at institutional level to help ensure that universities themselves can benefit from future reforms. This is supported by the ATHENA project Training Seminars on financial management, governance reforms and human resources development. Best practices and practical recommendations for each of these topics are gathered into thematic ATHENA toolkits.

- 1) Develop and build institutional capacity and human resources:
  - a) Introduce a more strategic approach to university management
  - b) Build leadership and managerial skills, including middle management level
  - c) Develop the finance function to address also strategic aspects of financial planning
  - d) Create better defined career paths with a focus on fostering young talent
  - e) Develop a long term succession planning and create an environment to encourage young staff to get involved in management and governance
- 2) Adopt full costing as a principle for financial planning
- 3) Simpler procurement procedures
- 4) Improve internal allocation models
- 5) Balance centralisation with decentralisation
- 6) Develop a network at different levels with other institutions to exchange expertise and implement agreed actions from ATHENA

### 3 How to change a governance model? Recommendations

#### Modelling – choice of governance model

GOVERNANCE ELEMENTS	MODALITIES	PROVISION(S) SET IN			NOTES
		LAW	GUIDELINES IN LAW	UNIVERSITY STATUTES	
Number of governing bodies	<ul style="list-style-type: none"> <li>Unitary/dual structure</li> </ul>				
Distribution of responsibilities	<ul style="list-style-type: none"> <li>Strategic overview, finances, staff, academic and student affairs</li> </ul>				
Reporting lines	<ul style="list-style-type: none"> <li>Checks &amp; balances</li> </ul>				
Size of governing bodies	<ul style="list-style-type: none"> <li>How many members for each governing body?</li> </ul>				
Composition of governing bodies	<ul style="list-style-type: none"> <li>Independent capacity or representative?</li> <li>Which constituencies should be represented in which body?</li> </ul>				
Selection modalities	<ul style="list-style-type: none"> <li>Election/appointment</li> <li>By whom?</li> </ul>				
Selection criteria	<ul style="list-style-type: none"> <li>Competences, gender balance ...</li> </ul>				

## • Implementation

Available toolkits on governance models, human resource management and financial management