

STAND

Strengthening university autonomy and
increasing accountability and transparency
of Western Balkans Universities.



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Adapting the Autonomy Scorecard for the STAND Project

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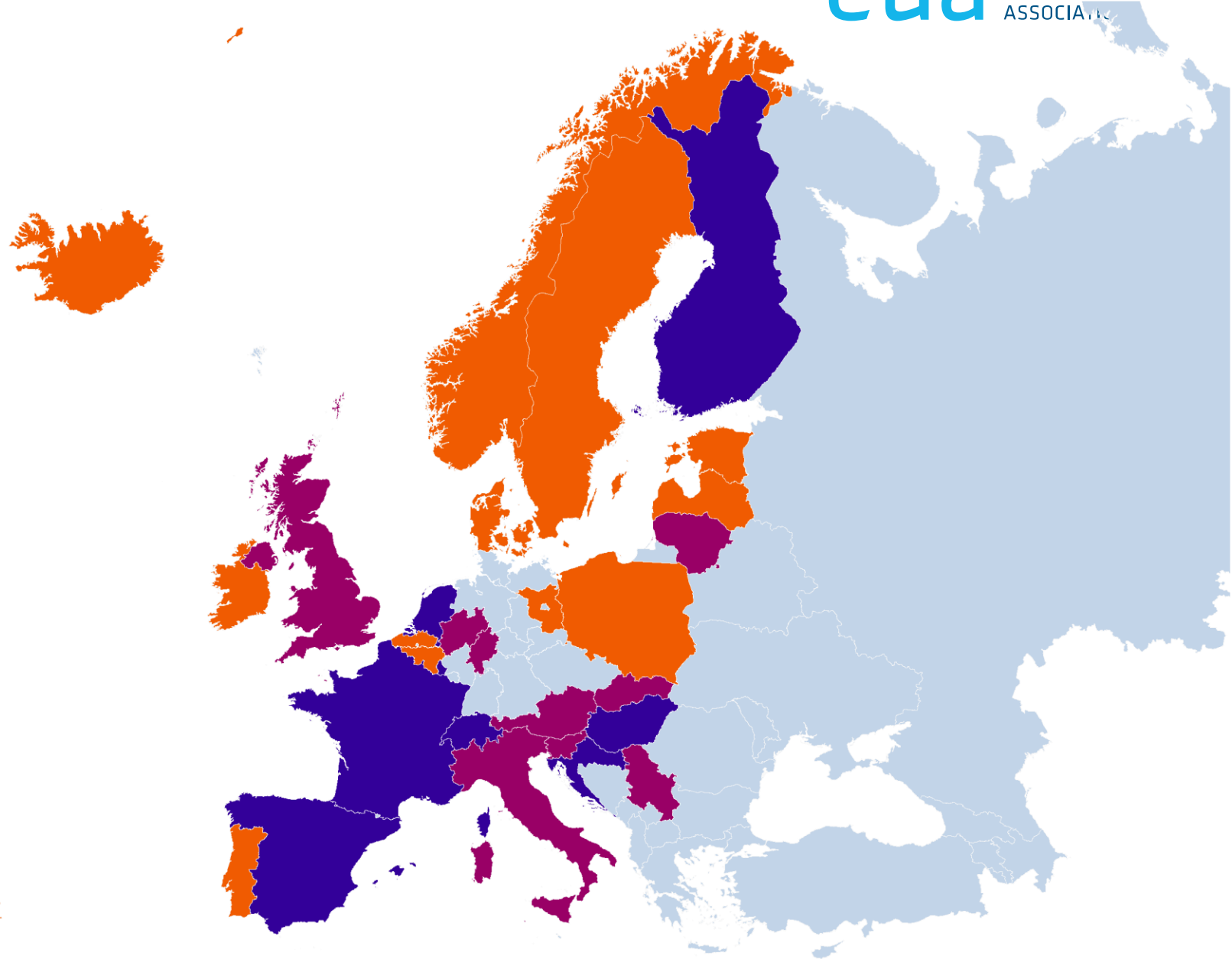
European University Association

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1. EUA Autonomy Scorecard
2. Examples of adaptation
3. EUA's role in setting the data collection & analysis parameters

WHY UNIVERSITY AUTONOMY?

- Enables universities to act more strategically
- Potential towards more income diversification
- Robust internal quality assurance
- Successful Internationalisation strategies
- Important pre-requisite for better performance



WHAT IS EUA'S UNIVERSITY AUTONOMY SCORECARD?



- A unique tool covering 29 higher education systems across Europe
- Scoring and ranking systems for public universities
- First release in 2011; second release in 2017
- Evolution in ATHENA and TRUNAK projects

- Methodology



Scoring over 30 indicators

- based on restrictions which are assigned a deduction value
- percentage scores for each indicator
- Average score per autonomy dimension

Weighting system

- assesses relative importance of the autonomy indicators, based on the input of the European national rectors' conferences

Data collection and verification

- with national rectors' conferences

Autonomy dimensions

Organisational	Financial	Staffing	Academic
<ul style="list-style-type: none"> • Rector selection procedure/criteria • Rector term of office/dismissal • Inclusion/ selection of external members for the governing bodies • Academic structure decisions • Creation of legal entities 	<ul style="list-style-type: none"> • Length/type of public funding • Keeping a surplus • Borrowing • Building ownership • Tuition fees for national/EU students • Tuition fees for non-EU students 	<ul style="list-style-type: none"> • Recruitment procedures • Salaries • Dismissals • Promotions 	<ul style="list-style-type: none"> • Setting total student numbers • Selecting students • Introducing/terminating study programmes • Choosing language of instruction • Selecting QA mechanisms/QA providers • Study programme content design

Key enablers

<ul style="list-style-type: none"> • Strategic governance • Strategic planning • Leadership engagement • Shared services • Collaboration 	<ul style="list-style-type: none"> • Facility use & space optimisation • Strategic financial management & allocation to priorities • Procurement • Internal incentive schemes 	<ul style="list-style-type: none"> • Career path models adapted to new ways of conducting research and L&T • Incentives • Skills development, staff training (diversity) 	<ul style="list-style-type: none"> • Technology enhanced learning • Design & introduction of programmes • Admission policies
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What can we do with the Scorecard?

- Provide data

Staff salaries:



Senior academic staff

Universities can decide on salaries
CH, EE, LU, LV, PL, SE

Decisions on individual salaries are restricted due to an overall limit for all staff salaries
BE-FL, BB (DE), HE (DE), NRW (DE)

Salary bands negotiated with other parties
DK, FI, IS, NL, NO, UK

Salary bands set externally for some or all
BB (DE), HE (DE), NRW (DE), FR, HU, IE, LT, RS

Salaries set by an external authority / civil servant status for some or all
AT, BE-FR, ES, HR, IT, PT, SI, SK

Other restrictions
BE-FL, HU, IE, NO, PL



Senior administrative staff

Universities can decide on salaries
CH, EE, LT, LU, PL, SE, UK

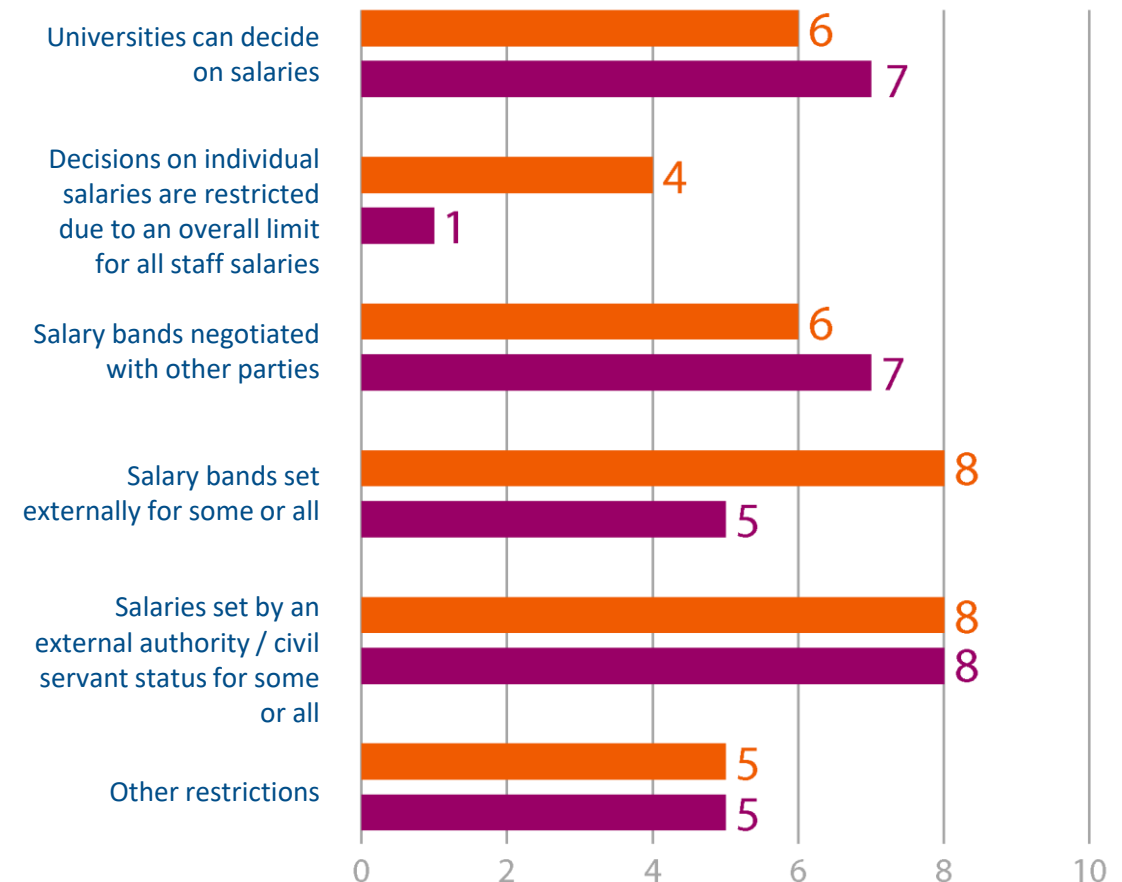
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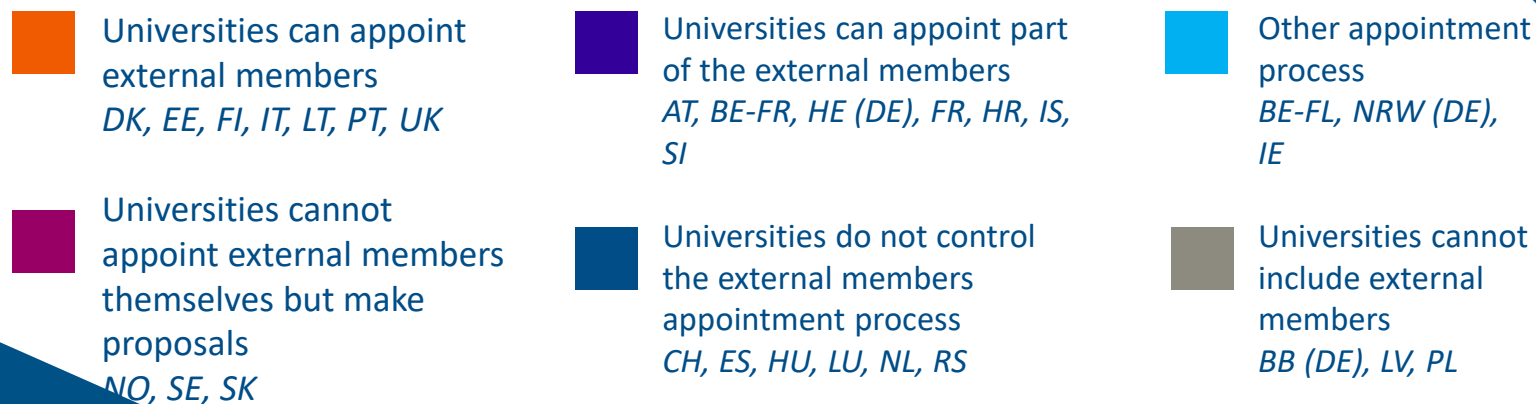
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- Provide comparison

External members in governing bodies:



- Score

*Financial
autonomy*

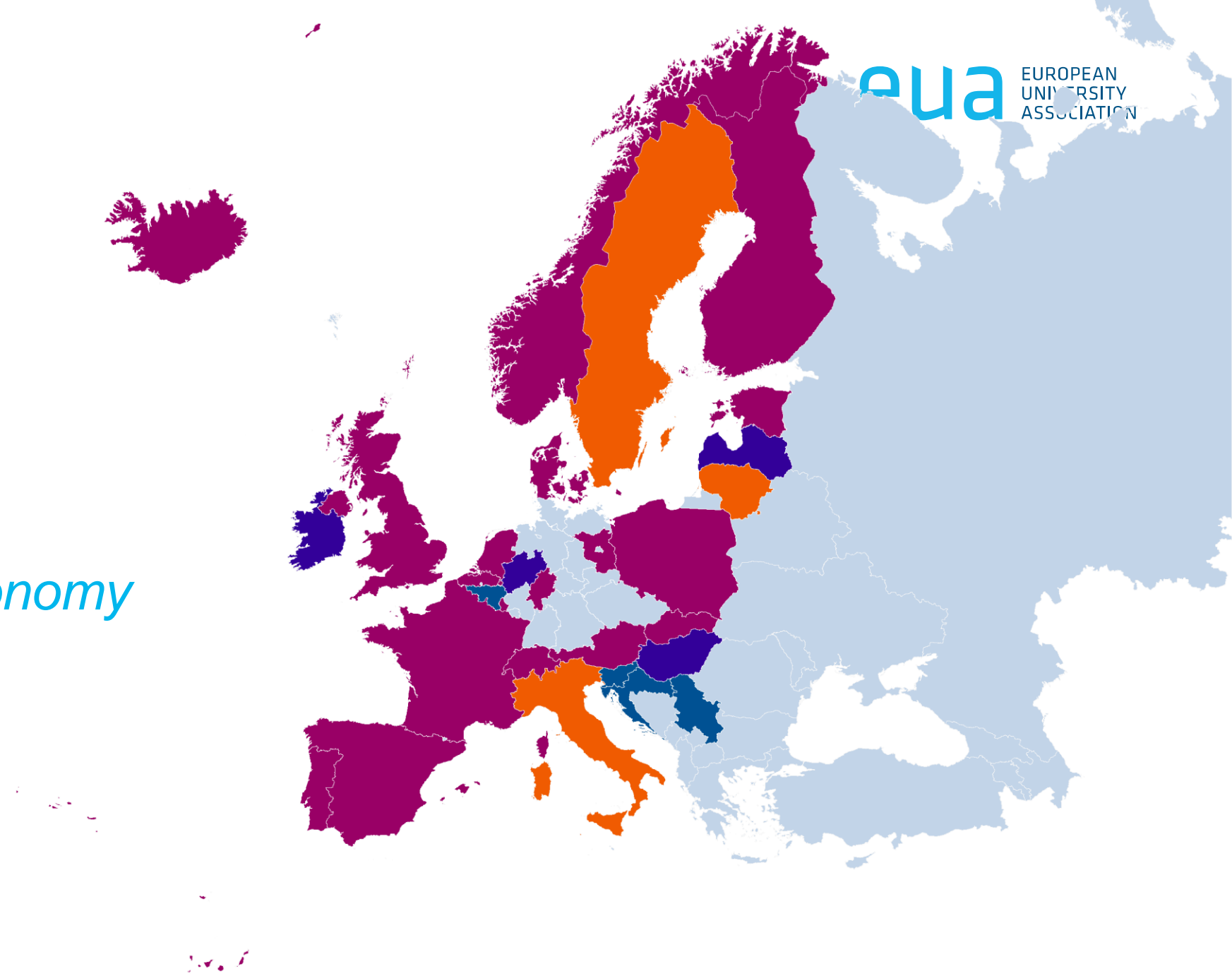
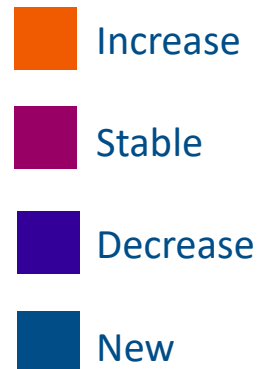
Rank	System	Score
1	Luxembourg	91%
2	Latvia	90%
3	United Kingdom	89%
4	Estonia	77%
	The Netherlands	77%
6	Flanders (BE)	76%
7	Italy	70%
	Portugal	70%
	Slovakia	70%
10	Denmark	69%
11	Finland	67%
12	Switzerland	65%
13	Ireland	63%
14	Lithuania	61%

15	Croatia	60%
	Iceland	60%
17	Austria	59%
18	Slovenia	57%
19	Sweden	56%
20	Spain	55%
21	Poland	54%
22	French-speaking community of Belgium	52%
23	Serbia	46%
24	France	45%
25	Brandenburg (DE)	44%
26	North Rhine-Westphalia (DE)	43%
27	Norway	42%
28	Hungary	39%
29	Hesse (DE)	35%

- Monitor developments

Organisational Autonomy

Evolution 2010 to 2016



Success factors

- Broad and inclusive discussion within the sector about indicators and weightings – ensuring the methodology is fit for purpose and responds to the needs
- Long-term development, including in-depth data validation
- Solid and transparent methodology and openness about limitations
- Conditions to establish a tool that supports a structured, fact-based dialogue, in partnership with the sector and public authorities

Lessons learnt

- Most important added value: starting and structuring the dialogue between sector and public authorities
- An exclusive tool for policy development
- Informing policies at European level
- Institutional support

- Challenges in fully understanding the state of play for each indicator and assign correct deduction values
- Some “blind spots”
- Limited capacity to take into account gap between regulation and practice

- Promoting a more flexible approach to the Scorecard

Example 1: Kazakhstan



Executive leader selection, appointment, term of office and dismissal

Autonomy indicator	Situation for public universities (national and state universities)	Situation for joint-stock companies	Situation for private universities	Assessment
Selection procedure for rector	Set in law / Appointment by President of RK or Minister	Set in law / external validation by Minister	University decision (the law defines the body responsible for selection)	Public universities: Barrier to autonomy – reform needed JSC: intermediary model Private: autonomy enabler
Selection criteria for rector	Set in law / higher education degree & publications + work experience (for state universities)	Set in law / same as for state universities	Set in law / same as for state universities	Selection criteria (and procedure) are very detailed
Dismissal of the rector	Set in law / Dismissal by President of RK or Minister	Responsibility of board-type body with external validation by Minister	Responsibility of board-type body	Barrier to autonomy – reform needed
Term of office of the rector	3-years period set in law / evaluation by external authority	Responsibility of board-type body	Responsibility of board-type body	Public universities: Barrier to autonomy – reform of the evaluation procedure needed

Example 2: Simplified assessment

Comparative Organisational Autonomy

Free to...	BE-fr	DE (NRW)	FI	HR	IE	NL
Select executive head without external validation	X	X	√	√	√	X
Decide on selection criteria for executive head	X*	√	X	!	√	√
Set the procedure to dismiss the executive head	√	X	√	√	√	√
Set the term of office of the executive head	X	X	!	X	X	√
Decide to include external members in governing bodies**	X	X	√	!	X	X
Decide on academic structures	√	√	√	X	!	√
Create legal entities	√	√	√	√	!	√

√ - Yes, universities can do this without any significant restrictions

! – Universities can do this, but with significant restrictions

X – No, universities cannot do this

NB: The Scorecard records data for public universities.

** The university of Liège (BE-fr) has rules outlined in law for the selection of the executive head.*

*** In most cases, marked by 'X', the composition of the main decision-making body is strictly regulated, with mandatory inclusion of external members.*

Source: EUA Autonomy Scorecard 2017, <https://www.university-autonomy.eu/>

Comparative Financial Autonomy

Free to...	BE-fr	DE (NRW)	FI	HR	IE	NL
Borrow money	√	!	√	!	!	√
Keep surplus	!	√	√	√	X	√
Own buildings	X*	X	!	!	!	√
Set the tuition fees for national/EU students at Bachelor level	X	-	-	X	X	X
Set the tuition fees for national/EU students at Master's level	X	-	-	X	√	X
Set the tuition fees for national/EU students at doctoral level	X	-	-	√	√	√
Set the tuition fees for non-EU students at Bachelor and Master's level	!	-	!	√	√	√
Set the tuition fees for non-EU students at doctoral level	!	-	-	√	√	√

√ - Yes, universities can do this without any significant restrictions

! – Universities can do this, but with significant restrictions

X – No, universities cannot do this

- No tuition fees

* The university of Liège (BE-fr) needs to secure the approval of the government to sell buildings

Setting the parameters for data collection and analysis

- Establishing the assessment team
- Drafting the methodology and work plan outline
- Defining the required desk research on needs
- Assessing constraints and possibilities for the development of scorecards
- Reviewing positive examples from programme countries
- Drafting an interview programme with relevant stakeholders in Kosovo, Albania and Montenegro and relevant Ministries and accreditation agencies
- Training for the drafting of the final report and recommendations
- Organising a feedback meeting with stakeholders

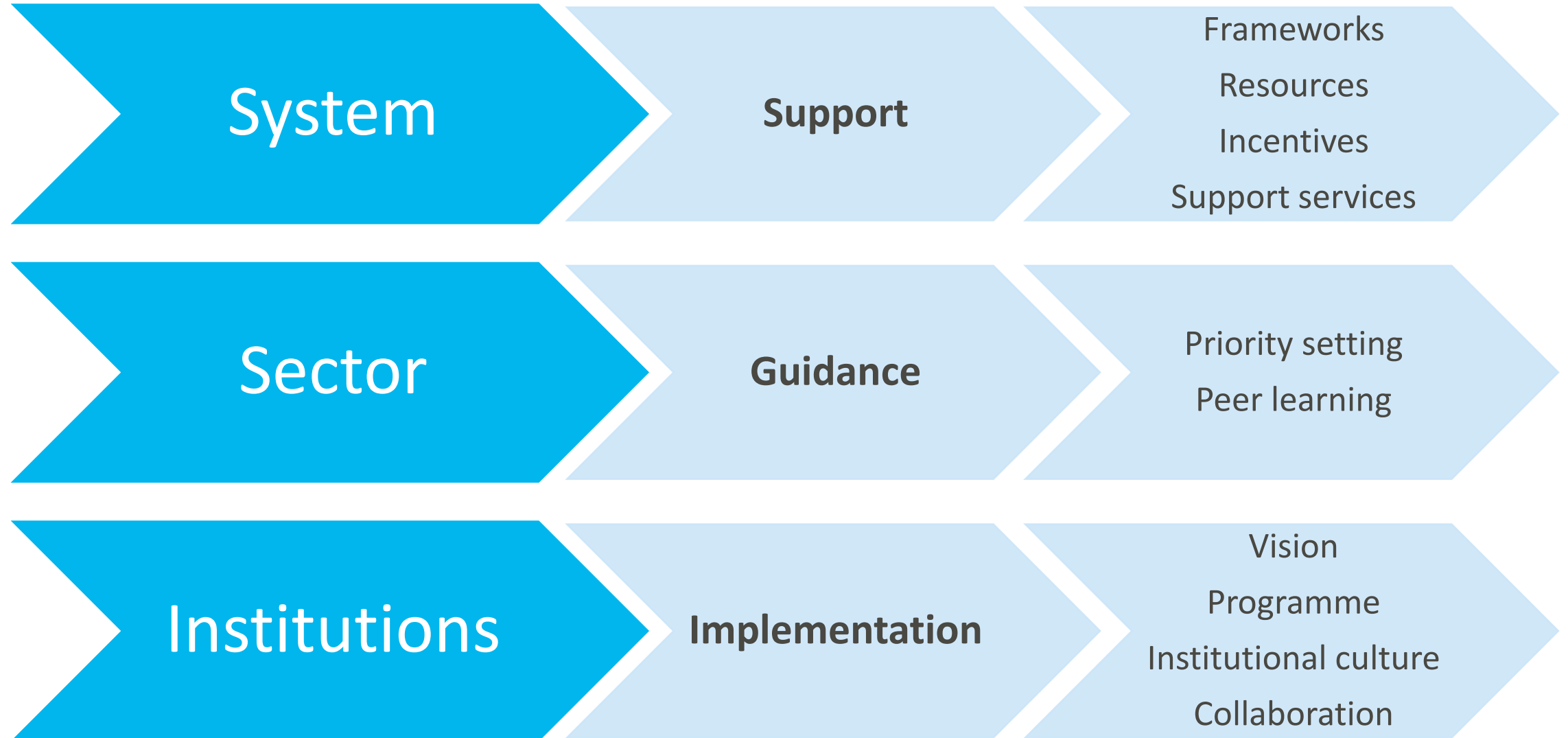
Goal

Develop realistic assessments of needs for the strength of university governance in partner countries

Example: Recommendations for organisational autonomy

Challenge	System-level	Institution-level
	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	
Accountability of university leadership	Reduce external authority involvement in evaluation of leader – consider involving other stakeholders	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 bodies	Rationalise governance model in law by limiting the rules to 2 main bodies while allowing universities to establish additional consultative bodies / avoid fragmentation	Develop internal guidelines clarifying the respective roles of the governing bodies and the roles of advisory bodies Develop guidance / induction material for external members
	Limit rules regarding size and composition of bodies	
	Broaden rules for inclusion of external partners, to foster the participation of representatives of civil society and business in board	

Success will come through collective ownership



Thank you for your attention

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