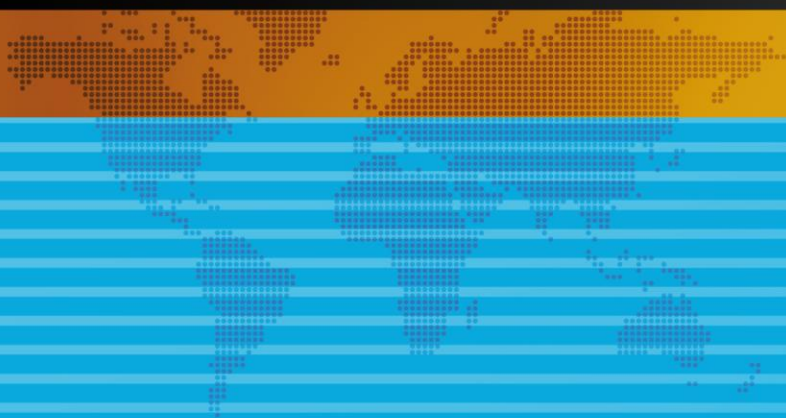


modern oo

EUROPEAN PLATFORM
HIGHER EDUCATION MODERNISATION



ENGAGING IN THE MODERNISATION AGENDA FOR EUROPEAN HIGHER EDUCATION

The MODERN project is carried out with the support of the European Commission. The content of this report reflects the views only of the authors and the Commission cannot be held responsible for any use which may be made of the information contained therein.

Lifelong Learning Project N° 142354-LLP-1-2008-1-BE-ERASMUS-ENW

Contact
ESMU
Rue Montoyer 31
1000 Brussels

© 2012 ESMU

www.highereducationmanagement.eu
e-mail: nadine.burquel@esmu.be

All rights reserved. No reproduction or copy of this publication may be made without written permission.

ENGAGING IN THE MODERNISATION AGENDA FOR EUROPEAN HIGHER EDUCATION

**EXECUTIVE REPORT
MODERN CONFERENCE
BRUSSELS, 30 JANUARY 2012**

MICHELA ARNABOLDI

**SCHOOL OF MANAGEMENT
POLITECNICO DI MILANO
ITALY**

PARTNERS AND STEERING COMMITTEE MEMBERS

ESMU, European Centre for Strategic Management of Universities

Frans van Vught
Nadine Burquel

Project leader, ESMU President
ESMU Secretary-General

CHE, Centre for Higher Education Development

Frank Ziegele
Sigrun Nickel

CEO
CHE Project Manager

CHEPS, Center for Higher Education Policy Studies (University of Twente)

Jon File

CHEPS Executive Director

DUK, Danube University Krems

Attila Pausits

Head of the Centre for University Continuing
Education and Educational Management

EAIE, European Association of International Education

Ruth Graf
Gudrun Paulsdottir

EAIE Secretariat
EAIE Vice-President

ECIU, European Consortium of Innovative Universities

Katrin Dircksen

ECIU Secretariat

EFMD, European Foundation for Management Development

Christophe Terrasse
Boriana Marinova

Associate Director, Knowledge and Surveys Unit
Project Manager, Development Department

HEDDA, Higher Education Development Association

Peter Maassen

Hedda Director

ICHEM, International Centre for Higher Education Management (University of Bath)

Jeroen Huisman

ICHEM Director

MIP, School of Management (Politecnico di Milano)

Michela Arnaboldi

Associate Professor

- > Association of Heads of University Administration (AHUA)
- > Baltic Sea Region University Network (BSRUN)
- > Central European University (CEU)
- > Centre for Higher Education Management and Policy at Southampton (CHEMPaS)
- > Compostela Group of Universities (CGU)
- > Danube Rectors' Conference (DRC)
- > Deans' European and Academics Network (DEAN)
- > ESMU-HUMANE Winter School Alumni Network (WSAN)
- > European Association of Conservatoires (EAC)
- > European Association of Distance Education Universities (EADTU)
- > European Association of Institutions in Higher Education (EURASHE)
- > European Network for Universities of Applied Sciences (UASNET)
- > European Society for Engineering Education (SEFI)
- > European Universities Public Relations and Information Officers (EUPRIO)
- > European University Institute (EUI)
- > Fachhochschule Osnabrück
- > Hochschul-Informations-System (HIS)
- > Heads of University Management and Administration Network in Europe (HUMANE)
- > Association for European Life Science Universities (ICA)
- > Institutional Management in Higher Education (OECD-IMHE)
- > Network of Universities from the Capitals of Europe (UNICA)
- > ProTon Europe
- > Santander Group of European Universities
- > UNESCO-CEPES, European Center for Higher Education
- > The European Higher Education Society (EAIR)
- > The Norwegian Association of Higher Education Institutions (UHR)
- > Universidad Politécnica de Valencia, Center for the Study of Higher Education Management (CEGES)
- > University of Kassel, International Centre for Higher Education Research (INCHER)
- > University of London, Institute of Education (IoE)
- > University of Oldenburg
- > University of Southern Denmark

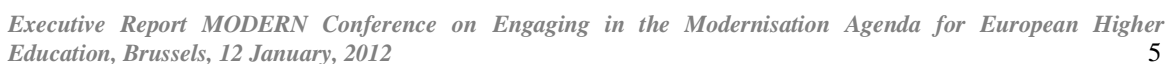


Table of Contents

I. Introduction	7
II. Challenges in the Modernisation of European Higher Education	7
1. Key challenges	7
2. The MODERN contribution to the Modernisation Agenda - Priority areas	11
III. Leadership and Training for university leaders and managers: The providers and the clients	13
1. Training needs and training providers in higher education management	13
2. Peer learning in higher education: The MODERN experience	18
IV. Conversation with providers and clients: Some examples	20
1. International Programme in the Leadership and Management of Higher Education (University of Warwick)	20
2. ESMU-HUMANE Winter School for senior administrators	21
3. Tiziana Maccario, Università degli Studi di Torino (student Master in University Management and Research Centres, Politecnico di Milano) ..	22
4. Katja Mertin, Freie Universität Berlin (student MBA in Higher Education and Research Management, Osnabrück University)	24
V. Special focus on the Modernisation Agenda	24

I. Introduction

This report illustrates the issues presented and discussed during the last MODERN conference which took place in Brussels on 30th January 2012. The report follows the conference structure and development of arguments within three main sections: the first illustrates the key challenges for European Higher Education and the contribution of MODERN; the second section presents experiences from providers and clients; finally, the third section examines specific themes of the modernisation agenda.

II. Challenges in the Modernisation of European Higher Education

The need to modernise Higher Education and to build a European Higher Education Area is not a novelty, yet this need has been increased by the world economic situation, the Eurozone financial crisis and the rapid growth of non-European countries, such as China, Brazil and India.

With this challenging context, the first part of the conference was devoted to the discussion of key challenges for Higher Education in Europe, and how MODERN could contribute to build a common European area to promote the professionalisation of higher education management.

1. Key challenges

The two initial presentations by Frans van Vught (ESMU President) and Margaret Waters (Deputy Head of Unit “Higher Education Policy and Erasmus”, DG Education and Culture, European Commission) discussed key challenges for Higher Education in Europe in the context of globalisation.

Globalisation is articulated at three main levels: Firstly, there is economic globalisation, characterised by increasing economic openness, growing economic interdependence and deepening economic integration in the world economy. Globalisation also takes place at the political level, with a process of institutionalisation of international consultation and decision-making, and of the relative reduction of the power of national governments. Finally, globalisation is becoming more and more socio-cultural, with global cultural exchanges and integration potentially weakening traditional social norms and institutions.

The general phenomenon has positive effects in decreasing costs of communication and transportation, and levelling barriers for cross-border activities which can trigger innovation policies and “National Innovation Systems” (NIS).

NIS started to emerge during the 1980s as a new approach to the economics of innovation. With this approach practitioners and scholars aimed to stimulate and emphasise the value of interactions between scientific knowledge and new products and services. After the initial stimuli, NIS took a clear policy orientation which identifies academic institutions as playing a critical role in the national innovation process.

Universities and Research Centres are firstly seen as the central figures as they do research by mission providing several outputs, such as patents and publications; furthermore they are in charge of educating highly skilled human capital which is at the basis of any innovation process.

NIS provide further elements of reflection focusing on linkages between actors in innovation processes which are here labelled as hard linkages, including science parks and incubators, and soft linkages, which instead point at student internships and conferences.

To favour relationships and exchanges for innovation, national governments have enacted different institutional frameworks and strategies, in which two large categories can be identified: prioritisation strategies and competition strategies.

Prioritisation strategies reflect notions of central planning and they are characterised by the intense use of analysis to foresight scenarios and define priorities in order to improve the efficient and effective use of resources. A core element of these strategies is the introduction of performance measurement systems for measuring both the inputs and the outputs of institutions. Examples of these policies are: Australia's research priority setting, Canada's centres of excellence, Finland's TEKES agency, the Netherlands' innovation priority areas, and the UK's foresight assessments and Research Assessment Exercise (RAE).

Competition strategies instead are constructed around the notion of market coordination. Governments emphasised the deregulation and the competitive allocation of resources, encouraging entrepreneurial academic behaviour and diversifying the funding base. Examples of this second strategy are: the US federal science policy, Japan's competitive grants scheme for doctoral training, Canada's competitive research matching funding, Germany's excellence policy and again the UK with the competitive 'third sector' funding.

The European Union (EU) policy is an example of a prioritisation strategy but with elements of a competition strategy.

Frans van Vught illustrated that the origins of the EU strategy go back to the 1980s, although it publicly appeared only in early 2000 with the 'Lisbon Agenda' (2000 – 2010).

Regarding the research policy, this programme had a medium term plan but it allocated only 5% of the total EU research investments. An important step was the launch of the European Research Area (ERA) claiming for higher investment (targeting 3% of the GDP) and setting the link with FP7 instruments such as Technology Platforms, Joint Technology Initiatives, the European Research Council and joint programming.

More generally there are six features which characterise the ERA: adequate flow of mobile researchers, world-class research infrastructures, excellent research institutions, effective knowledge-sharing, well-coordinated research programmes and opening up to the world.

However, higher education policies were a taboo until the nineties, when the first education programmes were launched. These were the Erasmus programme for mobility and the Socrates I and Socrates II programmes. A significant step was made with the Lifelong Learning Programme (2007-2013) which was aimed at enabling “people at all stages of their lives to take part in stimulating learning experiences, as well as helping to develop the education and training sector across Europe” (European Commission website, 2012). An overall budget of nearly €7 billion was committed for the period from 2007 to 2013. The programme funded a range of actions including exchanges, study visits and networking activities.

The Commission often highlights the following bottlenecks in the higher education sector:

- Tendency to uniformity and egalitarianism
- Too much emphasis on traditional monodisciplinarity
- Too little world-class excellence
- Too much emphasis on traditional learning and learners
- Too little transparency
- Too much fragmentation
- Too much isolation from industry
- Over-regulation; state dependency; underfunding.

The ‘Lisbon Agenda’ also points to the knowledge exchange policy. In particular, these policies primarily focused on decreasing barriers: cultural differences between academic and business communities, legal barriers, fragmented markets and lack of incentives. Further actions were enacted to facilitate the creation and marketing of new products and services (the ‘lead markets’). Within this strategy the Competitiveness and Innovation Programme (CIP, 2007-2013) was central to stimulate a more entrepreneurial mindset in universities and staff exchanges between research organisations and industry.

Frans van Vught concluded the picture on ‘EU Innovation in Higher Education and Research’ by pointing out major weaknesses of the process so far. Firstly, evidence was brought on the severe (private) underinvestment in research and education which undermines maintaining the competitiveness of Europe in the globalisation era. This is proved by the limited scientific and technological excellence, related to the relatively low higher education attainment and participation levels, the weak knowledge exchange between academia and industry, and poor framework conditions in terms of access to financing, costs of patenting, and enhancement of entrepreneurship.

In addition to a general low performance of European countries, the relevant issue underlined is the heterogeneity of the member states’ performances. The following table provides four clusters of states based on the innovation process carried out in the last two decades.

Diversity of innovation performance among EU-Member States	
Innovation leaders	Sweden, Denmark, Finland, Germany
Innovation followers	UK, Belgium, Austria, Netherlands, Ireland, Luxemburg, France, Cyprus, Slovenia, Estonia
Moderate innovators	Portugal, Italy, Czech Republic, Spain, Greece, Malta, Hungary, Poland, Slovakia
Modest innovators	Romania, Lithuania, Bulgaria, Latvia

Table 1 – Diversity of innovation performance among EU-member states

In this context, the presentation concluded by introducing the ‘Europe 2020 Strategy on Innovation’ which is aimed at closing the EU’s innovation gap. The strategy is intended to integrate research and innovation, and focus on societal challenges as well as to create more knowledge-intensive products and services.

The following table summarises the major issues in both research and higher education.

Issues and Actions in Research	Issues and Actions in Higher Education	Issues and Actions in Knowledge Transfer
Costly fragmentation and overlap between national research systems	Universities to diversify and specialise	Need to support whole innovation chain, from research to market
Need for a unified European Research Area where actors move and operate easily	Need to create limited number of world-class European universities	Address lack of finance as major constraint
Simplification of complex funding landscape	Attract international top talent	Few European SMEs grow into global companies
Urgent need for world-class infrastructures	EU needs at least one million more researchers	Much IPR remains dormant
EC proposal to remove obstacles	More people to enroll in	EU patent system is costly

to mobility and cross-border cooperation in research by 2014	higher education	
EU and Member States to complete 60% of priority European research infrastructures by 2015	Educational training should better match business needs	Public procurement hardly used for innovation
International agreements on world-level infrastructures	Percentage 30 – 34 year old with tertiary education to 40% in 2020	Rapid agreement on EU patent needed
Streamlining and simplification of research programmes.	National strategies to boost training and career of researchers	New generation of financial instruments with EIB
	Mobility to be diversified	Regime of cross border venture capital funds
	New multidimensional ranking instrument	Strategic innovation agenda of EIT
	Modernisation of governance and management in universities	Member States to use procurement budgets for innovation
	More entrepreneurial universities	
	University-Business alliances	

Table 2 – Issues of the Europe 2020 Strategy

The table of actions illustrated some general problems, starting with the need to set a prioritisation strategy based on societal challenges. Furthermore, policy integration and multi-level cooperation are needed, linking EU, member states and regions, but also involving different types of actors (governments, industry, households, individuals). Finally, the matter of performance assessment is addressed, particularly taking into account heterogeneity in national settings but also in the type of excellences.

2. The MODERN contribution to the Modernisation Agenda - Priority areas

Starting from the challenges previously presented, Harry de Boer (CHEPS, Center for Higher Education Policies Studies, University of Twente) presented the contribution of the MODERN project in identifying and discussing priority areas for Higher Education which are also available in the six MODERN thematic reports on:

1. Governance
2. Funding
3. Internationalisation and its quality assurance
4. Regional innovation
5. Knowledge exchange
6. Engaging in the Modernisation Agenda (reflecting on it from the angles of the five thematic areas above)

The speaker addressed at first a topic which had not yet been specifically addressed during the previous MODERN conferences but had been identified by the MODERN consortium: Knowledge exchange. Knowledge exchange is central in the Modernisation Agenda which mentions two pillars: teaching and research. In both cases, interactions and partnerships between knowledge providers and businesses are deemed to be as essential to accomplish the knowledge triangle of education, research and innovation. Yet the starting leverage is the improvement of teaching performance, the increase in the number of graduates (productivity) and the decrease in drop-out rates (efficiency). The link with enterprises and public organisations should be pursued by designing qualifications and competences better aligned with labour market demands (relevance – employability). In this strategy, particular attention in the modernisation agenda is given to entrepreneurial and innovative skills also in non-traditional areas such as social enterprises.

To emphasise this multiplicity of perspectives and interactivity, a quote from the Conclusions of the Council and of the Representatives of the Governments of the Member States (2009) is cited:

“for education to fulfil its role in the knowledge triangle, research and innovation objectives and outcomes need to feed back into education, with teaching and learning underpinned by a strong research base, and teaching and learning environments developed and improved through greater incorporation of creative thinking and innovative attitudes and approaches”

The same interaction and multiplicity of actors is at the basis of the second pillar: research. Here, an interaction among knowledge providers is desired, but also partnerships and collaboration with industry and other stakeholders. This collaboration is not ultimately aimed at favouring an increased engagement with start-ups and spin-offs and the creation of regional hubs of excellence.

The speaker then addressed a second theme which had not yet been discussed during the previous MODERN conferences while it had been identified as a key theme by the MODERN consortium: Regional Innovation. Harry de Boer pointed out the need to build on regional strengths and differences. This construction can start from engaging in smart specialisation, setting clear priorities, focus on local strengths or removing bottlenecks to innovation. This action entails, indeed, the capability of governments at different levels to make choices, by contributing to the development of selective clusters that specialise in particular areas and concentrate resources to achieve excellence. This is possible by developing long term partnerships at the regional level and possibly adjusting institutional missions accordingly.

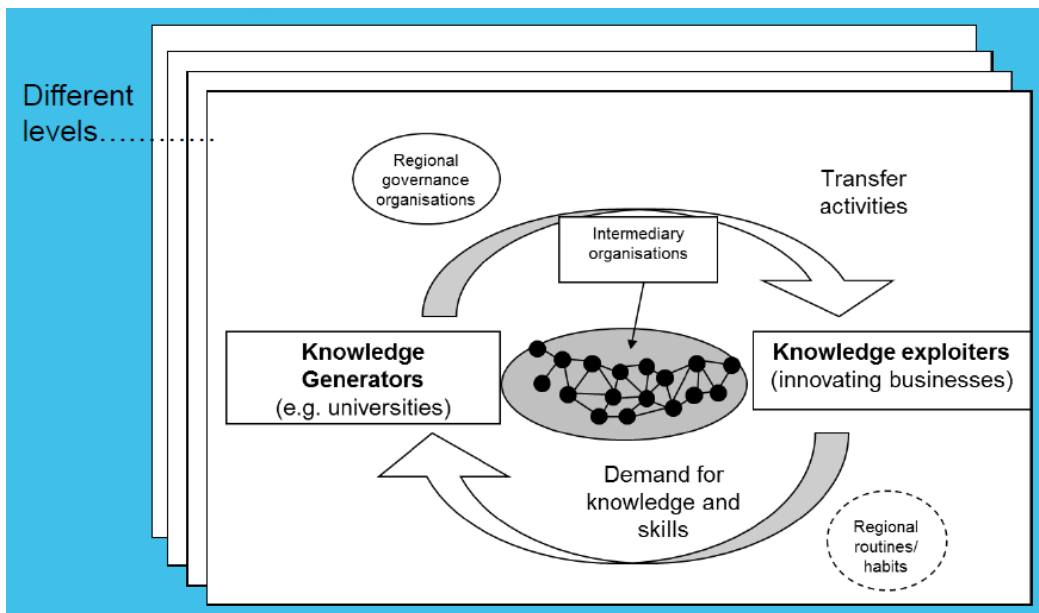


Figure 1 – The multilayered regional development

The last theme tackled in the presentation was governance and funding, and more specifically the changes in the regulatory frameworks. As evidenced also in the first presentation, Harry de Boer summarised that despite differences, higher education systems are increasingly characterised by market-based governance and contractualisation within a general setting of institutional autonomy ('agentification'). In this setting yet more accountability and transparency is claimed which is at the basis for competitive and performance-oriented funding mechanisms, but also to set priorities by enacting selective policy interventions to create focus and mass.

III. Leadership and Training for university leaders and managers: The providers and the clients

A second issue tackled during the conference was *leadership and training for university leaders and managers*. The debate was opened by presenting the results of the MODERN survey on training needs and provision.

1. Training needs and training providers in higher education management

The speaker representing the MODERN Project illustrated the background of the Mapping the field exercise which had been carried out as part of the project. Higher Education institutions are traditionally professional organisations controlled by the academic profession in which administration used to be seen as a "necessary evil". Some fundamental changes were brought into this vision in the last two decades. More specifically, Higher Education institutions across Europe moved from a bureaucratic model of administrative tasks and positions to a more managerial model with the upgrading of the university administration.

This progressive change created bi-professional Higher Education institutions where two categories are now present: the academic profession and the management profession, i.e. Higher Education Management (HEM). Whereas the academic profession is characterised by clear conditions for entrance into profession (PhD; academic output), the management profession still has unclear conditions for entrance, more than general management qualifications, what appears to be important is the “learning by doing”. In this context, the institutionalisation of a managerial profession in higher education faces several challenges:

- Lack of clarity about the specific nature of HEM as a profession
- Lack of structured education requirements
- Lack of structured professional education programmes for HEM positions
- Lack of consistent and attractive career tracks for HEM within higher education institutions
- Lack of comprehensive studies concerning the developments of the HEM practices.

The MODERN project and specifically the Mapping the field exercise contributed to enhance our knowledge about HEM, with the survey carried out on training needs and education/training provision.

HEM training/education needs were assessed, addressing the following dimensions:

- Respondents’ background information
- Main HEM challenges and needs
- Institutional activities to address the HEM training/education needs
- Major gaps between needs and provision
- Priorities and urgency
- HEM training needs of new leaders/managers and senior academic staff.

The following figure shows the response to the question “In my institution, not enough is being done to satisfy the HEM training/education needs”.

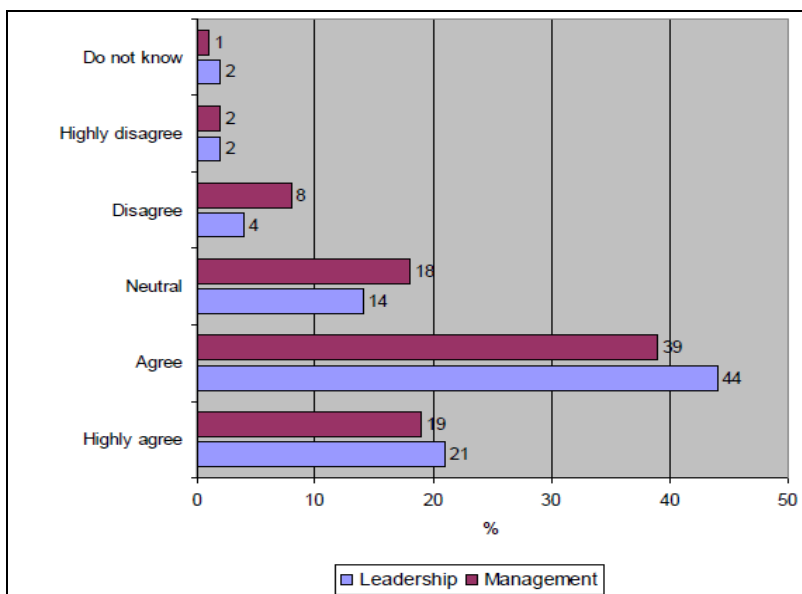


Figure 2 – A response from the survey on management and leadership training needs

Despite this statement, participation in training programmes is quite low and the survey showed that the most important reasons for the lack of participation of HEM staff in training/education is related to various reasons ranging from the lack of funding (44%) to the resistance among academic staff (38%).

Most important reasons in my HEI for the lack of participation in training/education of HEM staff	Percentage
Lack of time of HEM staff	32%-55%
Lack of funding	44%
Resistance among academic staff	38%
Lack of interest among HEM staff	20%-36%
Lack of relevant programmes	23%-32%

Table 3 – A response from the survey

The speakers continued the presentation outlining the most important HEM training needs for leadership, where the most important dimension is the institutional strategic management.

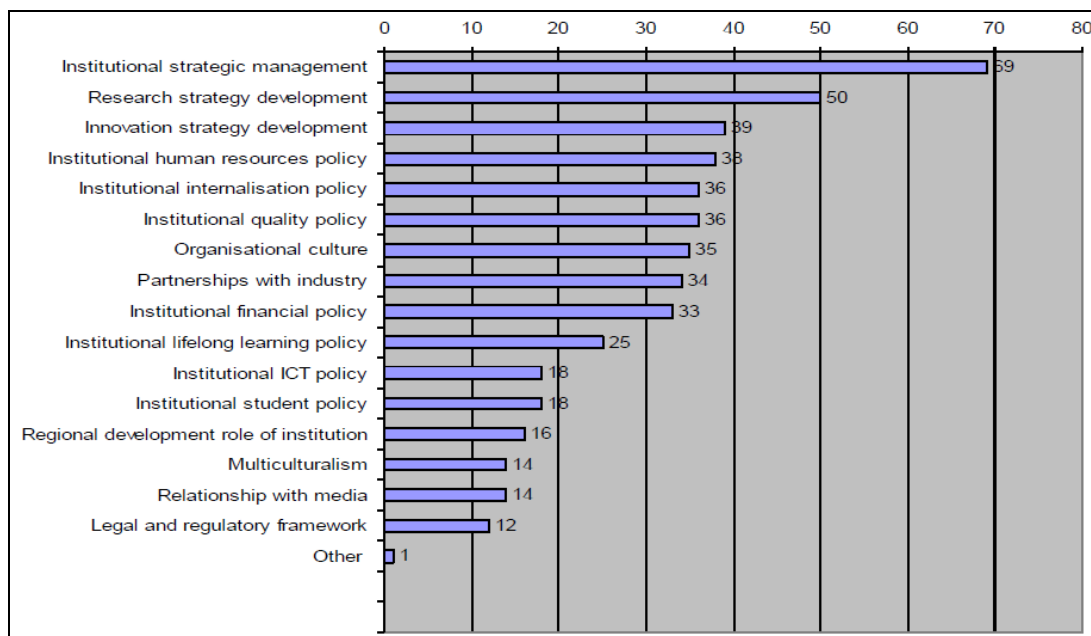


Figure 3 – A response from the survey (leadership needs)

The authors of the Mapping the field report continue by discussing a crucial aspect for stimulating the participation in educational programmes: the recognition of training and educational diplomas during selection. The following table illustrates the most important current criteria for selecting HEM job applicants.

Most important current criteria for selecting HEM job applicants	Percentage
Having management experience in a HEI	29%
Having a high motivation for working in a HEI	16%
Having relevant practical knowledge on HE	16%
Having management experience from outside HE	15%
Having an academic degree in admin. sciences	13%
Having an academic degree in HE management	11%
Other	1%

Table 4 – A response from the MODERN survey

Illustrating the instruments suggested by respondents for developing expertise, two types of trainings resulted as favourite according to a previous study carried out by Attila Pausits a couple of years earlier:¹ short courses (4-18 days) and master degree programmes. Yet when asked their willingness to participate, short courses and seminars are preferred (see the following figures).

¹ See the MODERN report *Mapping the field – The needs and supply of Higher Education Management Programmes* available on the MODERN website.

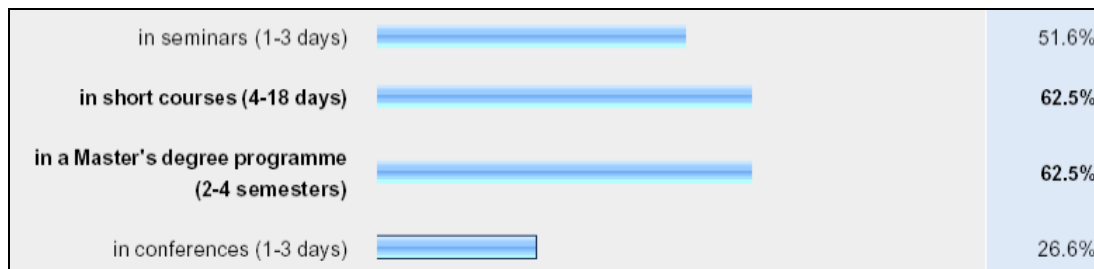


Figure 4 – Preferences for developing management expertise in higher education (Pausits, 2009)

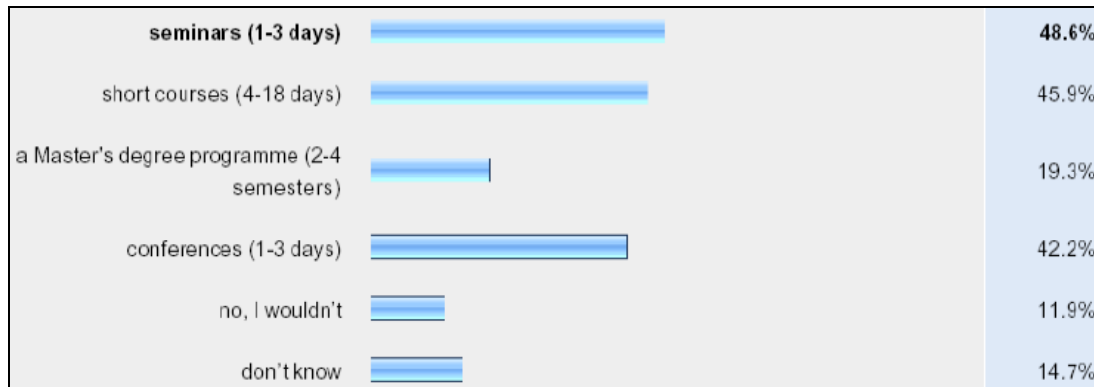


Figure 5 – Willingness to participate (Pausits, 2009)

Summarising the results of the study, the speakers pointed out to the HEM training/educational challenges:

- Importance to separate between training needs for new HEM staff (formal requirements to enter HEM jobs) and experienced, currently working HEM staff (Lifelong Learning)
- Clarifying institutional HEM human resource management: general management skills/competences *versus* HE knowledge
- Improving the understanding of the HEM practice
- Improving the understanding of the training/education needs of incoming and experienced HEM staff.

Regarding the provision of HEM training/education it was highlighted that there was no comprehensive overview available. Unlike the USA, there is no tradition in higher education in Europe to develop professional programmes for HEM staff. In this light, MODERN contributed to a more professional and effective relationship between training/education needs and provision, and it aimed to build up (bottom-up) a dynamic overview (portal) of providers and of various types of provision. Heterogeneity is visible at different levels: pricing, titles, workload, length and profiles (broad range of topics from educational management over HE-Management to Science Marketing).

The presentation was concluded entailing critical issues for both human resource functions and individuals. Addressing Human Resources, the main problem is the lack of

career pathways and qualifications and their relation to training activities; only a small number of institutions have a clear training policy. This implies the lack of assessment of professional skills and competences when selecting candidates for management positions. At the individual level, the main obstacles to engage in training are the lack of time and funding, emphasised by the absence of relevant training programmes. The European sphere is further challenged by a general lack of interest in international programmes.

2. Peer learning in higher education: The MODERN experience

A second important aspect developed within MODERN was peer learning. The presentation on peer learning started by illustrating that the higher education organisational culture is defined by collegiality/peer review. Furthermore with the influence of globalisation, the development of higher education management has been even more dynamic in the last decade, requiring exchange of practices. Peer learning is entailed as one of the most appropriate methods for exchanging practice at the international level.

It is a mutually beneficial sharing of knowledge, ideas and experiences between the participants which has a number of benefits: the development of social and collaborative skills among the participants, the provision of a more active and participatory learning experience, offering opportunities for self and peer assessment. This method could adequately answer the needs of higher education managers by enabling a structured, output oriented exchange of participants' experiences, combining expert input with an exchange of knowledge and experiences. However quite often people sit together and talk a bit about their experiences, opening questions on the efficiency of various settings and formats.

To make peer learning more than a discussion we need adequate structures; two tested examples are gallery walk and peer coaching, for which it is important to define learning outcomes, reference frames of the learning process, the composition of the peer group, person-related factors and group-related factors.

In the MODERN project three types of activities were carried out to contribute to the development of peer learning:

- a survey: peer learning practitioners were asked about their experience
- experimental peer learning workshops
- workshops focused on specialised topics: funding, internationalisation, leadership.

Three workshops were planned to take place during the duration of MODERN. A first workshop entitled "From strategy to quality: Internationalisation as an element of QA-systems in Higher Education Institutions" took place in Amsterdam on 5-6 May 2010. A

second event on “Funding in Higher Education: The Deans' perspective” was held in Berlin on 5-6 October 2010. A final peer learning workshop for senior leaders was cancelled due to a low number of participants. It was replaced by a workshop on leadership internationalisation which attracted more than 30 participants. Table 5 summarises the key concepts of the two workshops.

The participants expressed a general satisfaction about the workshops on their feedback forms; peer-learning was accepted as an adequate approach and the topics addressed were adequate for an international audience. In terms of method, the techniques adopted were successful (gallery walk, case studies, peer consulting) and the rules agreed upon in the beginning of the workshops and the international character helped to create an open atmosphere. The inclusion of experts' inputs was positive although it is suggested to be used rather in small numbers.

It was important to devote time for team-building at the beginning, involving participants in the fine-tuning of programmes by asking questions in advance. During the workshop the crucial capability of the moderator is the adaptability to the context and development with a general appreciation from participants of clear moderation concepts without over-conceptualisation.

Nevertheless, there were also several challenges to overcome which is important to improve the provision of this type of training particularly at the international level. The international dimension was in fact an important challenge, especially with regards to the recruitment where clear aims resulted more successful than complex messages. During the workshop moderators needed to face a high level of heterogeneity; this was evidenced in the “Funding” workshop in terms of hierarchy, country situations, governance models. Finally, in terms of training outcomes, one workshop resulted to be not enough: repeated workshops with the same group would allow deeper understanding and the integration of learning in human resources and organisational development.

The concepts of Two workshops	Workshop 1 Berlin, October 5/6, 2010	Workshop 2 Amsterdam May 5/6, 2010
Topic	Funding	Internationalisation
Subtopic	Managerial issues of funding inside universities	Good practice: concepts for QA-systems and internationalisation strategy building; cases from European universities
Variable 1: agenda setting	Flexible (operators' suggestions + pre-collection of participants' issues)	Flexible (operators' suggestions + pre-collection of participants' issues + flexible, reactive agenda)
Variable 2: approach to topic	knowledge-oriented elements included	rather experience-oriented (weak transfer of standardised knowledge)
Variable 3: target group heterogeneity	expected rather homogeneous (Deans, Heads of Department=two leadership levels), heterogeneous concerning HE systems	rather homogeneous (QA managers, or vice presidents for QA)

Variable 4: design of group work	presentations and group discussions	presentations and working groups
Variable 5: role of moderator	rather strong: pro-active instructions, intensive use of moderation techniques	rather strong: pro-active instructions, intensive use of moderation techniques
Variable 6: role of experts	strong: agenda setting, three inputs	weaker: agenda setting with participants, three inputs
Variable 7: moderators and trainers techniques	gallery walk	Intensive preparation of case presentations together with the participants before the workshop; moderated working groups during the workshop
Variable 8: basic problem-solving technique(s)	peer consulting on a participant's case	peer consulting on a participant's case

Table 5 – The MODERN Peer Learning Workshops on Funding and Internationalisation

A short intervention was brought forward by Christophe Terrasse (EFMD), who was in charge of the organisation of a specific peer learning workshop targeting Senior Leaders. The workshop topic was 'Effecting Change in Higher Education' and it was planned to be delivered in April 2011. The workshop was cancelled due to a limited number of registrations. He highlighted the possible issues in this cancellation: different expectations; heterogeneity of the group; increased need for customisation; scepticism on this type of training.

In conclusion Frank Ziegele (CHE) pointed out that peer learning is definitely a good approach, yet he provided some suggestions for future events: carry out various rather than one workshop; use established networks in the international context; make use of pre-activities and selection of participants; much easier to be carried out nationally; however, point out the advantage of exchange with no close competitors; use the techniques tested.

IV. Conversation with providers and clients: Some examples

The conference was also an opportunity to learn about the experiences of providers and clients from across Europe. Two providers and two clients reported about their experiences.

1. International Programme in the Leadership and Management of Higher Education (University of Warwick)

The conversation with providers was opened by Nicola Owen, Acting Registrar of the Warwick International Programme in the Leadership and Management of Higher Education (IPLM).

The IPLM is a two-week leadership programme for senior leaders in higher education from around the world, which is led and delivered by practitioners for practitioners. Rooted both in theory and its practical application, the course is delivered by a mix of key speakers, dynamic case studies and a series of visits to a cross-section of universities in the UK.

The target audience of the IPLM is composed by academic and administrative leaders with a significant level of experience in the leadership and management of Higher Education (e.g. Head or Deputy Head of School, Faculty or Department, Deputy and Senior Assistant Registrar). Its aim is to support participants in fulfilling their roles both now and in the future.

The programme covers several topics such as developing strategy, financial management, leadership, governance and organisational change, entrepreneurialism, institutional brand and reputation. During the course, Syndicate Groups are formed to work on a series of three case studies, based on the same fictional University and on real life scenarios involving governance, strategy and financial planning issues. The programme also includes institutional visits to four other universities in the English Midlands, for instance University of Birmingham, to hear and observe strategy and leadership in action.

2. ESMU-HUMANE Winter School for senior administrators

In the mid-nineties ESMU launched HUMANE, which was meant to become the European network of heads of administration. Since the beginning there was awareness of the need to prepare the next generation of heads of administration, and a one-week programme was considered the ideal design for this type of exchange. The first experience was experimented in 2003 as a winter school (ESMU-HUMANE Winter School for Senior University Administrators).

The school has three aims: It is first of all an “Awareness exercise”, discussing strategic management in a European/international context (the impact of EU policies on universities; the effects of globalisation) and the importance of integration of academic matters with finance, HR and communication in university strategy. The Winter School also aims at sharing knowledge on specific thematic areas such as governance, leadership strategic management, human resource management, finances, communication and ICT. Finally, it stimulates leadership and management skills, by discussing choices and decisions to be made by senior administrators.

As conceptualised since the beginning, the format is a highly intensive programme with plenary sessions and practical work in small groups (e.g. practical exercises, case study work and cases brought by participants). The target participants are “fast-rising” administrators located in different functional areas (HR, IT, finances, etc...) and in

different areas of the administration (Central administration/faculty administration). Participants are selected on the basis of their potential for future leadership. Each year 30-35 participants are enrolled from the broader Europe.

The School Secretariat is based at ESMU and the School Director is Nadine Burquel. The scientific programme is shared and developed with the ESMU-HUMANE Winter School Steering Committee composed by:

- Peter West, Winter School Chairman, Special Adviser to the Principal of Strathclyde University and ESMU Board member
- Flemming Andersen, University of Southern Denmark
- Dietmar Ertmann, Karlsruhe Institute of Technology
- Margarida Mano, University of Coimbra

A contribution to maintain a network across Europe among participants was made in 2003, when ESMU and HUMANE established the Alumni Network. All alumni are invited to an annual workshop and to all ESMU and HUMANE events. Furthermore, the alumni group is the place for thematic and bilateral visits.

This initiative is reported to have an impact at several levels. Firstly, benefits have been evidenced in terms of professional development, with participants having noticeable career progression. A second benefit is the establishment of a European-wide gathering of senior administrators. Finally, there is a value in professional networking at the European level.

3. Tiziana Maccario, Università degli Studi di Torino (student Master in University Management and Research Centres, Politecnico di Milano)

The experience of participants in programmes was opened by Tiziana Maccario, project manager at the University of Torino and student of the Master in “University and Research Centre Management” at MIP – Politecnico di Milano.

Firstly, Tiziana Maccario briefly presented the programme which is two-year master course (60 credits), articulated in 400 hours of lectures, self-learning and the development of a project. The target audience is composed of administrative directors, executives and officers with high potential in the universities, public research centres and education institutions. The Master is provided by the School of Management of Politecnico di Milano and the current cycle started in November 2010 and ends in July 2012. The Master is provided every two years, and the next start will be in November 2012.

The master course is organised in four different modules. The first is the *Analysis of the reference frame* (52 hours). The aim of this module is to give a better understanding of the education and research system through the comparison of different European models as well as the analysis of possible governance, organisation and management

models of higher education and research institutions. The main subjects are: economics of education, governance, education and research law and public funding.

The second module is devoted to *Management tools* (116 hours) aimed at strengthening the problem solving and project design skills of the participants, which are essential to promote and manage change in a flexible manner and to offer participants the tools to transform objectives into effective and efficient outputs. The main subjects are: management control, management accounting, audit, risk management, project management, business process reengineering, customer satisfaction, business and corporate strategy, recruitment, career management, communication and marketing.

The third module *The acquisition of behavioural and organisational skills* (80 hours) is provided in two summer schools. The objectives of this area are to develop behavioural, interpersonal, organisational and negotiation skills, which are fundamental to characterise a leadership able to leverage the motivation and coordinate the different components of the system.

The last module is dedicated to the *Integration of functions: processes and services* (128 hours). The objective is to provide knowledge on the functioning of the main services provided by a research/education institution, and to introduce a process management model in order to integrate different management functions. Subjects taught include: organisational models, internationalisation, services for students, European Research Area, intellectual property rights, purchasing and assets.

During the two years of the master participants are required to accomplish an innovation project aimed at developing skills and organisational applications in close contact with the working environments of the participants. Part of the project is the possibility of staff exchange and internships. The project is supervised by two tutors, one belonging to the faculty and the other one being a mentor from the institution in which the students apply the work. The results are discussed in a final plenary session.

Regarding teaching methods, participants have active interaction with teachers through the analysis of case studies, and development of solution strategies (both in groups and individually). To support sharing, a web learning portal is available where participants can interact through forums and chat, FAQs, use of content, research and document sharing. There are evaluation tests aimed at a constant monitoring of learning. As previously highlighted, there are two residential workshops in the summer period.

The challenge for the participants after the master course is to contribute to the innovation of their institutions in a European dimension.

4. Katja Mertin, Freie Universität Berlin (student MBA in Higher Education and Research Management, Osnabrück University)

The second student experience was presented by Katja Mertin, Managing Director at Freie Universität Berlin and student of the MBA in Higher Education and Research Management at the University of Applied Sciences Osnabrück.

The speaker first introduced her perspective on the higher education clients' needs in terms of feasibility and benefits. Feasibility is pursued through a flexible programme structure, a balanced relation between classes and self-study, varying forms of examination and well accessible programme facilities. The main benefits are related to state of the art knowledge, practical orientation, face to face interaction, presentation and peer learning, as well as (relatively) homogenous groups.

The MBA Programme in Osnabrück fits these needs by adopting a flexible structure. Firstly the course allows the certification of single courses and the possibility of time-outs. Furthermore, flexibility is provided through block courses on weekends, varying forms of exams and a good accessibility. In terms of benefits, the MBA uses and transfers a New Public Management approach, inviting for critical reflection, but always compatible with a practical orientation. Face-to-face interaction is stimulated, mixing teaching formats and favouring real networking.

V. Special focus on the Modernisation Agenda

Before the concluding session, a specific session was devoted to the Modernisation Agenda.

More specifically Jeroen Huisman (Director of the International Centre for Higher Education Management, School of Management, University of Bath) introduced trends in governance in Europe. In a context of increasing accountability towards governments and – in some, but not all countries – increases in institutional autonomy, more power is assigned to executive bodies at the central organisational level. This governance is characterised by a more business-like approach and a move away from shared governance, implying less input in governance from the traditional internal stakeholders (students and staff).

An interesting feature is the increasing role in governance played by external stakeholders, and the important roles of “supervisory” bodies (that control/advise executive management).

Jeroen Huisman challenged the audience to reflect if these trends are inevitable, problematic, or more effective. A particular focus was given to the following issues:

- The role of externals, do they provide a helpful perspective or are they nosy outsiders?
- The role of academics and students: introducing the contrast between the ideas/concepts of democratic imperative versus guarantee for non-change
- Supervisory boards: are these government in disguise or a way to strengthen internal governance?
- The changing relationship between governments and institutions.

A second important aspect which was addressed by Frank Ziegele, (Managing Director CHE) was performance measurement, rankings and benchmarking. He stressed the importance of transparency in the HE sector, but also highlighted the need to better define the idea about the **functions** of transparency. Frank Ziegele emphasised that form follows function, i.e. that the transparency tools have to be designed according to functions.

Functions of transparency include: inducing incentives and competition, supporting decisions, inducing learning effects, ensuring accountability (as counterpart to autonomy), promoting institutional strategy/goal orientation and profiling. Yet there is even a greater variety of functions, which they have to be explicitly reflected upon.

Knowing the different functions, it is possible to come to a clear understanding of the different transparency instruments (classification, ranking, benchmarking, formula funding, quality assurance etc.) while, often, the implementation of these instruments lacks conceptual clarity. To enhance conceptual clarity, the use of the following three categories is suggested; this encompasses horizontal vs. vertical differences; internal learning effects vs. giving public information vs. inducing incentives; and different stakeholders as target groups.

The categories and their functions:

- *Classification*, which is meant to show horizontal diversity, to support strategic profiling, to analyse the coverage of the functions of HEIs in a system and to identify comparable institutions
- *Ranking*, to show vertical diversity, performance differences, to induce performance incentives, to support decisions especially of students, to allow strength-weakness-analysis and to give public information
- *Benchmarking*, to induce learning in a closed shop, to support institutional decisions, to look at processes, include analysis and find best practice.

The speaker highlighted that, from the perspective of institutional management processes, strategic profiling is difficult without the support of data collections representing profiles. These are required to analyse strengths and weaknesses, make objectives tangible, control success or failure of strategy, motivate staff, communicate

strategy and find the right (comparable) benchmarking partners. Data collection never stops and it is relevant throughout the entire strategic process.

Although data collection is essential for transparency, it often does not sufficiently reflect the functions of transparency and the information needs of instruments and stakeholders. In many cases, institutions tend to produce “data cemeteries” and neglect the link between data and institutional management. To avoid this situation, a test of the relevance of data is required for functions, instruments, and also stakeholders. Data needs to be rendered accessible for users, but most importantly integrated into steering processes and decision-making. Data and the right understanding for HE management are an important support but it needs to be remembered that it does not replace leadership decisions. Finally, there is a warning to always make a critical analysis of existing indicator/data sets and stop irrelevant data collections.

Data collection is indeed a burden for higher education institutions and in many cases there is a potential to lower the cost of data collection, especially by a better coordination of data collections. Some strategies include: exchange of data between data set producers, coordination of EU projects (U-Multirank, U-Map, E3M, EUMIDA), coordination between the different levels of data collection (faculty, institutional, national, international), multiple use of data for different functions, harmonisation of concepts and indicator definitions. These strategies are crucial to avoid that bureaucracy destroys the acceptance of data-based management.

A recent trend of the last two decades is the international dimension. As higher education and research become more international, data collections on the international level (European and worldwide) also gain relevance. But existing international data collections face serious problems. Firstly, there is a one-dimensional focus on research with no transparency of diversity of missions (diversity is the European strength). There is the lack of field-based information (relevant for stakeholders) and arbitrary weighting, with no user-driven information. Comparability is often challenged by taking into account different contexts. Finally, there is a trade-off between relevance and cost of data collection (existing rankings require limited institutional data, but are of limited use).

In order to overcome problems in international data collection, the speaker mentioned that the European Commission launched several projects. They are complementary and together they have the potential to substantially enhance transparency in European Higher Education. For instance, they launched EUMIDA: a register of HEIs, U-Map: description of differences in profiles (classification), U-Multirank: comparison of performance (ranking), E3M: focus on the third mission. These projects contribute to form a coherent transparency system in European Higher Education.

The U-Multirank project, for example, addresses the problems on the international level and links classification, ranking and benchmarking efficiently. It adopts a multi-

dimensional, multi-level, user-driven ranking system, without calculating composite indicators. Its classification identifies comparable institutions (from a user perspective). The ranking is made within the group of comparable institutions/faculties and benchmarking uses the ranking data for a group of benchmarking partners (combined with additional information). To carry out the project, the engagement of the European Commission is necessary as the market does not provide this (expensive) kind of ranking.

International data collections face a number of practical challenges. The U-Multirank project is a good example to look at typical problems that have to be overcome. A problem is the measurement of performance in traditionally non-covered dimensions such as regional engagement and knowledge transfer. Furthermore, there is a need for feasible business plans for comprehensive data collection (trade-off between generating revenue and accessibility of data and independence of the data producer).

The session was concluded by a debate of some key questions:

- Is there the imperative of data collection? Or do we exaggerate?
- Are we professional enough to use the instruments?
- What role should the European Commission take in international data collections?
- How could we ensure the success and further development of U-Multirank and the complementary data systems?

The conference was concluded by Frans van Vught reminding the key challenges that Higher Education institutions have to face in the globalised era: emphasis on traditional monodisciplinarity, difficulties in engaging beyond national boundaries, emphasis on traditional learning and learners and the need to improve evaluation through transparency and benchmarking.

May 2012



modernoo
EUROPEAN PLATFORM
HIGHER EDUCATION MODERNISATION

