

LEAD PROJECT Final Conference
Vrije Universiteit Brussel, 10-12 September 2018

Panel Session:
University governance in the international context: training and learning models, sharing and transferring responsibilities, and risk management

Title of the presentation:
The long-term strategic plan of NOVA University, Lisbon: implications for governance and leadership. Can the lessons learned be transferable?

António Rendas
Rector NOVA University, Lisbon (2007-2017)
President of the Portuguese Council of Rectors (2010-2014)



Topics for sharing and discussing

1. Recent reform of Portuguese Higher Education: from legislation to implementation
2. Implications for NOVA University, Lisbon - managing a strategic plan in the context of the national reform and the global financial crisis, attempting to promote autonomy and accountability
3. Lessons for governance and leadership
4. Are all these experiences transferable?



**Recent reform of Portuguese Higher Education:
from legislation to implementation**

Main policy instruments for modernizing higher education

Reforming degrees and diplomas, 2006:

- Regulating the creation of post-secondary (professional) education programs;
- Flexibility in admissions and access of adults (over 23 years old) to HE;
- Full compliance with the Bologna Process.

Reforming the legal framework, 2007:

- New Legal Regime of Higher Education Institutions;
- New Legal framework for the assessment of higher education;
- Launching of the Higher Education Evaluation and Accreditation Agency;
- Creation of a National Qualifications System and establishment of the National Qualifications Agency.



The New Legal Regime // Law 62/2007

Approved in September 2007 (Legal Regime of Higher Education Institutions – «RJIES»)

Article 1:

- ♦ "This law settles the legal framework of Higher Education Institutions, specifically governing their constitution, attributions and organisation, the functions and powers of their various bodies, **as well as their public supervision by the State within the scope of their autonomy**".

(preceded by an OECD evaluation of Portuguese HE, 2005)

Main changes

- Setting up Governing Boards with external members
- Possibility of an independent legal status for public universities (public foundations)
- Promoting the establishment of consortia among HEI
- Possibility of contract-programs

Governing bodies

- General Council
 - Integrated by 15 to 35 members, according to the institution dimension, and external members – representing up to 30% of the total;
 - Main functions: election of the Rector and validation of budget and the strategic plan.
- Rector (Senate, as a consultative body of the Rector may exist).
- Management Council (Integrated by a maximum of 5 members, appointed and headed by the Rector).

A Stronger Role for the Rector

- Homologating the elections
- Appointing and dismissing the directors of the units without self government
- Appointing and dismissing the directors of the institution's services
- Exercising disciplinary power
- Opening admission procedures for new staff
- Appointing examination panels for staff promotion
- Deciding on rules for academic evaluation
- Deciding on the creation, suspension and extinction of study programmes
- Promoting quality assurance and accreditation mechanisms
- Deciding on the maximum number of new admissions and enrolments
- Allocating social support for students, according to the law

Public Foundations

- Following a proposal formulated by the Rector and approved by greater majority of the General Council, HE institutions may request to the Government the adoption of a public foundation statute.
- Administration:
 - Board of Trustees (5 members)
 - Appointed by Government following institution proposal
 - 5 years mandate, renewable once
- Main functions:
 - Nominate and exonerate the Management Council
 - Ratify General Council decisions
 - Decide on acquisition or sale of real estate assets and authorize credit operations

Universities transformed in Public Foundations

- 2007-2009 : University of Porto (UP)
University of Aveiro (UA)
Lisbon University Institute (IUL/ISCTE)
- 2016-2017: University of Minho (UMI)
NOVA University, Lisbon (UNL)

Role of the Portuguese Government

2010 – A national contract was collectively signed between the government and all public universities and polytechnics aiming at increasing the number of graduates and providing an overall funding of 100M€

2016 – A national contract was collectively signed between the government and all public universities within the scope of developing science and knowledge with a specific compromise of maintaining the national university funding through the present governmental mandate and also reducing the administrative procedures required for recruiting and promoting academic and research staff including those with precarious contracts. The contract also included recommendations to promote open science and enhancing societal and cultural responsibilities in HE.

Influence of New Public Management on HEI?

(Change from academic collegiality to central control ?)

- Decline of academic influence
- More peripheral role of senates and councils
- Strong role of external stakeholders
- More flexibility of personnel appointments
- Possibility of using private rules – foundation universities
- Funding by performance contracts
- More effective quality assessment

Managing a strategic plan in the context of the national reform and the global financial crisis, attempting to promote autonomy and accountability

“Internal” options considered by NOVA University

- **Increasing the number of graduates**
(not the same as increasing the number of students)
- **Enhancing globally the quality of teaching, research and innovation, including a great internationalization**
(different from enhancing quality in each academic area separately)
- **Promote the new governance model as a leverage to allow for HEI to reach full potential while remaining accountable**
(not the same as granting autonomy and interfere at micromanagement level or allowing the system to run without supervision)

The launching of NOVA's strategic plan (2012-2016) was preceded by an extensive internal debate and consensual agreement (2010-2011)

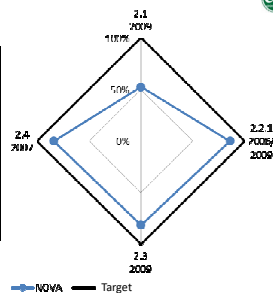
36 Key Performance Indicator (KPI) distributed by 7 areas:

- Teaching (6)
- Research (4)
- Innovation and Creation of Economic and Social Value (6)
- Internationalization (8)
- Human Resources (4)
- Financial Resources (3)
- Social Services (5)

(database since 2009)

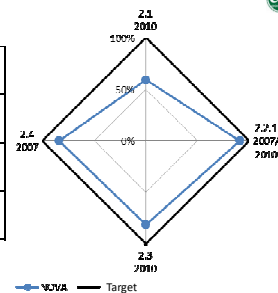
Research

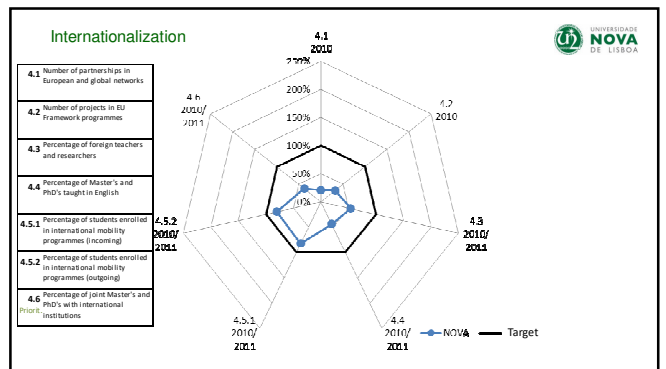
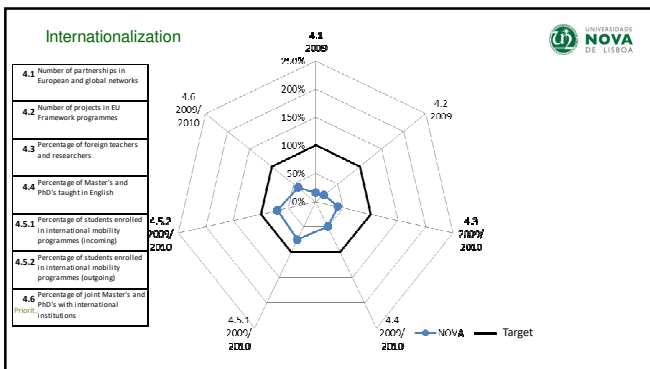
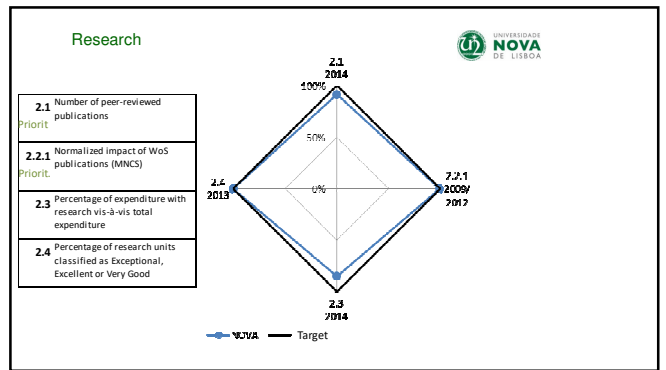
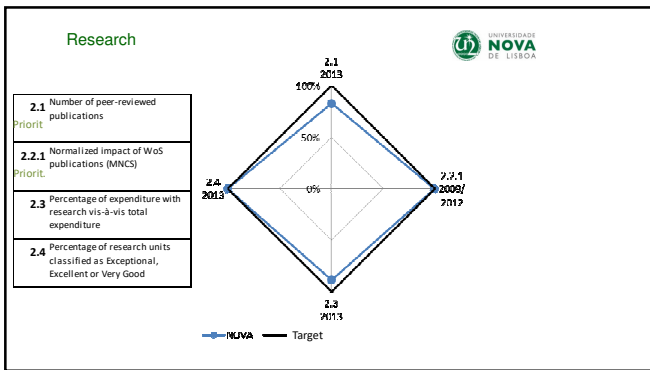
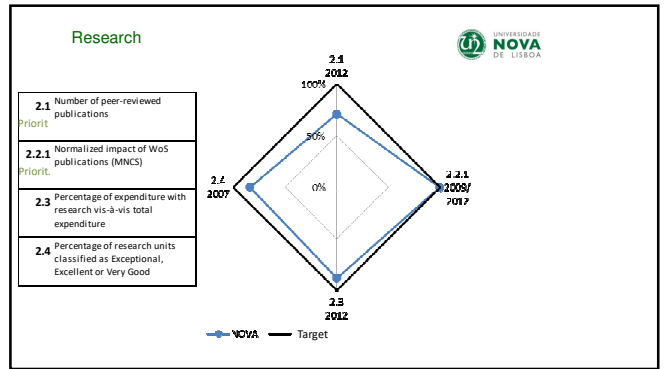
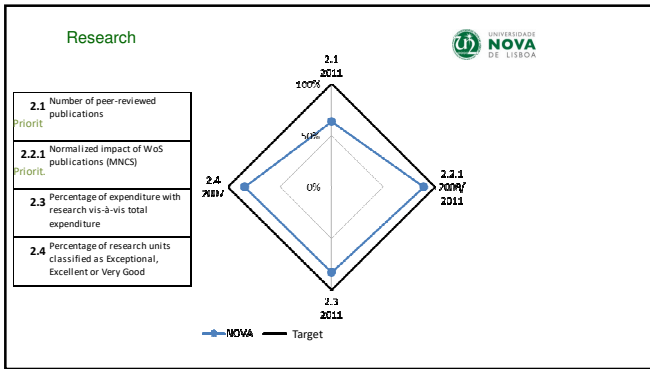
2.1	Number of peer-reviewed publications
2.1.1	Normalized impact of WoS publications (MNCs)
2.3	Percentage of expenditure with research vis-à-vis total expenditure
2.4	Percentage of research units classified as Exceptional, Excellent or Very Good

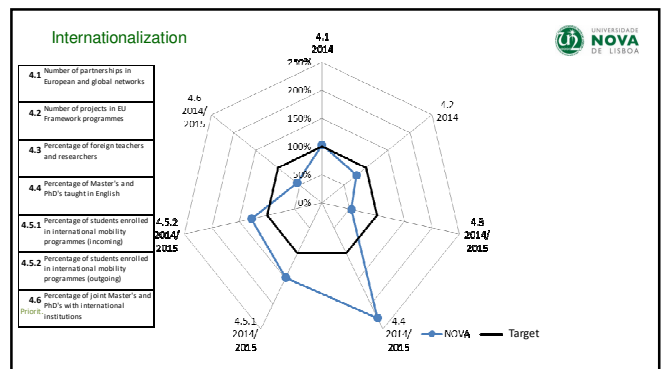
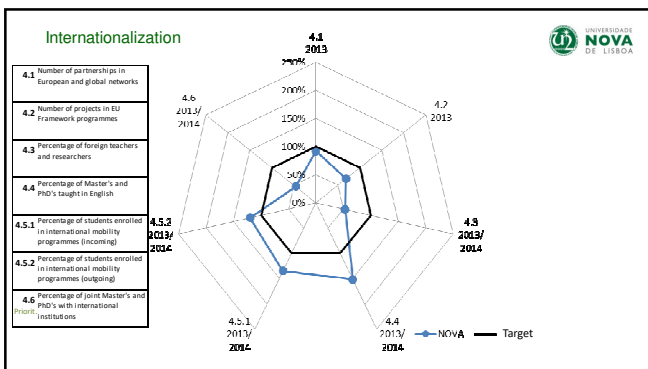
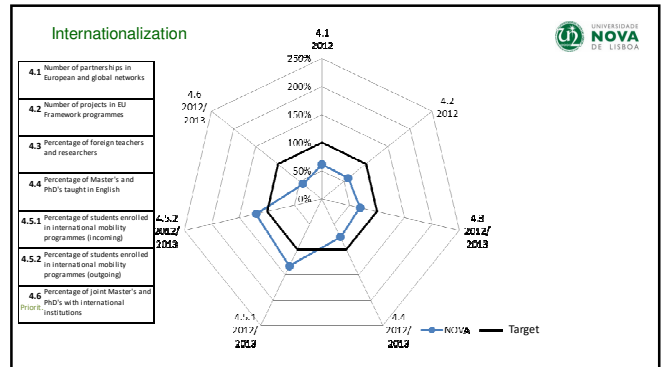
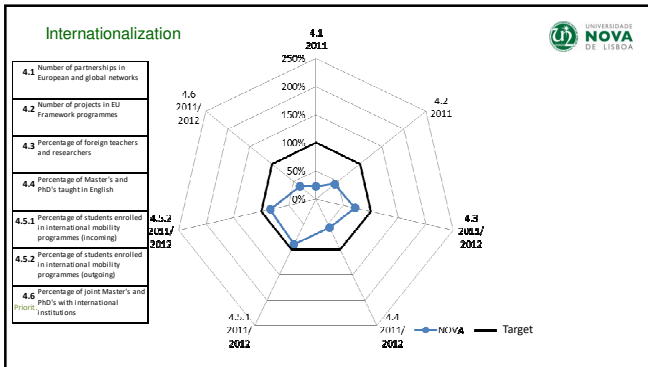


Research

2.1	Number of peer-reviewed publications
2.1.1	Normalized impact of WoS publications (MNCs)
2.3	Percentage of expenditure with research vis-à-vis total expenditure
2.4	Percentage of research units classified as Exceptional, Excellent or Very Good







Evolution of the KPI

Research – targets very closely reached except for the expenditure in research as a % of total expenses (small increase with limited change)

Innovation – employability of graduates (target reached)
 Protocols with companies (target reached) and public administration (large increase very close to target)
 Patents, spin-offs/start-ups and students involved in entrepreneurship activities (large increase close to target)

Evolution of the KPI (cont.)

Internationalization – students enrolled in incoming and outgoing mobility and cycles of study taught in english (targets reached and overcome)

Partnerships with European and global networks (slow increase but target reached)

Projects in EU framework programmes (slow increase not reaching target)

Foreign teachers and researchers (very limited increase only reaching 50% of the target)

Funding: self – funding (own-resources (target reached) tuition fees and revenue from research funding (very limited increase not reaching target))

Lessons for governance and leadership

Importance of the Strategic Plan

Differentiated excellence

- Can you identify the “strengths” and “weaknesses” of your university and monitor them?
- Do you promote measures to improve and correct at both levels (S &W)?
- Do you support these measures with funding, staffing and resources?

Act simultaneously at local and international/global level

- How do you act at institutional level concerning local and regional partnerships?
- What international/global strategies affect your institution? How are they related with your institutional objectives?
- Have you developed instruments to identify and monitor your performance “vis a vis” those local and international/global trends?

People and institutional culture

- What are the skills and capabilities you need from your staff, academic and non-academic?
- Do you have a plan for staff development?
- Is this plan “grafted” in your strategy?

Academic entrepreneurship and innovation

- How is innovation placed in your strategic planning?
- Do you support long-term innovations?
- Is there an innovation plan “grafted” in your strategy?

Concluding

- How do you develop your strategy?
- How do you implement your strategy?
- Lesson 1 – Define a plan for the long-term (4y - 8y)
- Lesson 2 – Discuss openly at all levels, both internally and externally
- Lesson 3 – Develop a tool to make it visible
- Lesson 4 – Share it and be ready to adapt showing flexibility
- Lesson 5 – Empower leadership at central governance level