UNIVERSIDADE NOVA DE LISBOA

EUA Annual Conference 2017- Bergen

University Autonomy in Europe – NOVA University within the context of Portugal

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Rector Universidade Nova de Lisboa (2007-2017)
Former President of the Portuguese Council of Rectors (2010-2014)

Structure

1. Recent reform of Portuguese Higher Education: from legislation to implementation
2. Managing a strategic plan in the context of the reform and the financial crisis, attempting to promote autonomy and accountability
3. Conclusions

The Higher Education Network

- **Public Universities**
  - CRUP — www.crup.pt
- **Public Politechnic Institutes**
  - CCISP — www.ccisp.pt
- **Private Institutions**
  - APESP — www.apesp.pt

CRUP Members

1. University of Coimbra - **UC**
2. University of Lisbon - **UL**
3. University of Porto - **UP**
4. Nova University, Lisbon - **UNL**
5. University of Aveiro - **UA**
6. University of Minho - **UMi**
7. University of Évora - **UEv**
8. University of Azores - **UAc**
9. University of Algarve - **UAlg**
10. University of Tras-os-Montes e Alto Douro - **UTAD**
11. University of Beira Interior - **UBI**
12. University of Madeira - **UMa**
13. Open University - **UAb**
14. Portuguese Catholic University - **UCP**
15. Lisbon University Institute - **IUL/ISCTE**

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).

UNIVERSITY	GENERAL COUNCIL						
	Ext. Members	Repr. Profs. & Res.	Repr. Non teaching staff	Students Repr.	Total	Ext/Int	Ext/Int (%)
U. Coimbra	10	18	2	5	35	10//25	40
U. Lisboa	10	18	1	6	35	10//25	40
U. Porto	6	12	1	4	23	6//17	35
U N L	7	11	0	3	21	7//14	50
U. Aveiro	5	10	1	3	19	5//14	36
U. Minho	6	12	1	4	23	6//17	35
U. Évora	7	13	2	3	25	7//18	39
U. Açores	4	8	1	2	15	4//11	36
U. Algarve	10	18	1	6	35	10//25	40
U T A D	6	13	1	3	23	6//17	35
U B I	8	15	1	5	29	8//21	38
U. Madeira	6	11	0	3	20	6//14	43
U. Aberta	6	12	1	3	22	6//16	38
I U L / ISCTE	10	17	1	5	33	10//23	43

Notes: in the case of the Portuguese Catholic University *the Governing Bodies are*: Magno Chanceler; Rector; Superior Council; Rectorate Council; Finantial Management Council. The Superior Council (similar to the General Council has 9 external members.

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 reform and the financial crisis, attempting to promote autonomy and accountability

- The potential of Portuguese and indeed of most European universities to fulfill their role in contributing to Europe's growth and development is often considered as underexploited.
- However, it is generally agreed that there is great potential for improvement.

The question is not just **what to do** but **how do do it!**

Three possible “internal” directions

- Increasing the number of graduates

  (not the same as increasing the number of students)

- Enhancing quality of teaching, research and innovation, including a great internationalization

  (not the same as enhancing quality in each area separately without sharing objectives and goals)

- Creating funding and governance conditions 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 key issue is more autonomy to allow for strategic decisions

- Nationally between all the partners:
  - Government, engaging all political parties
  - HEI, industries and regions
  - Private sector
  - Society at large

- In EU:
  - Erasmus +
  - Horizon 2020
  - Structural Funds
  - RIS3

- Globally
  - Portuguese speaking countries
  - Latin America
  - Asia (China)

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)

Inovation and Creation of Economic and Social Value (6)

Internationalization (8)

Human Resources (4)

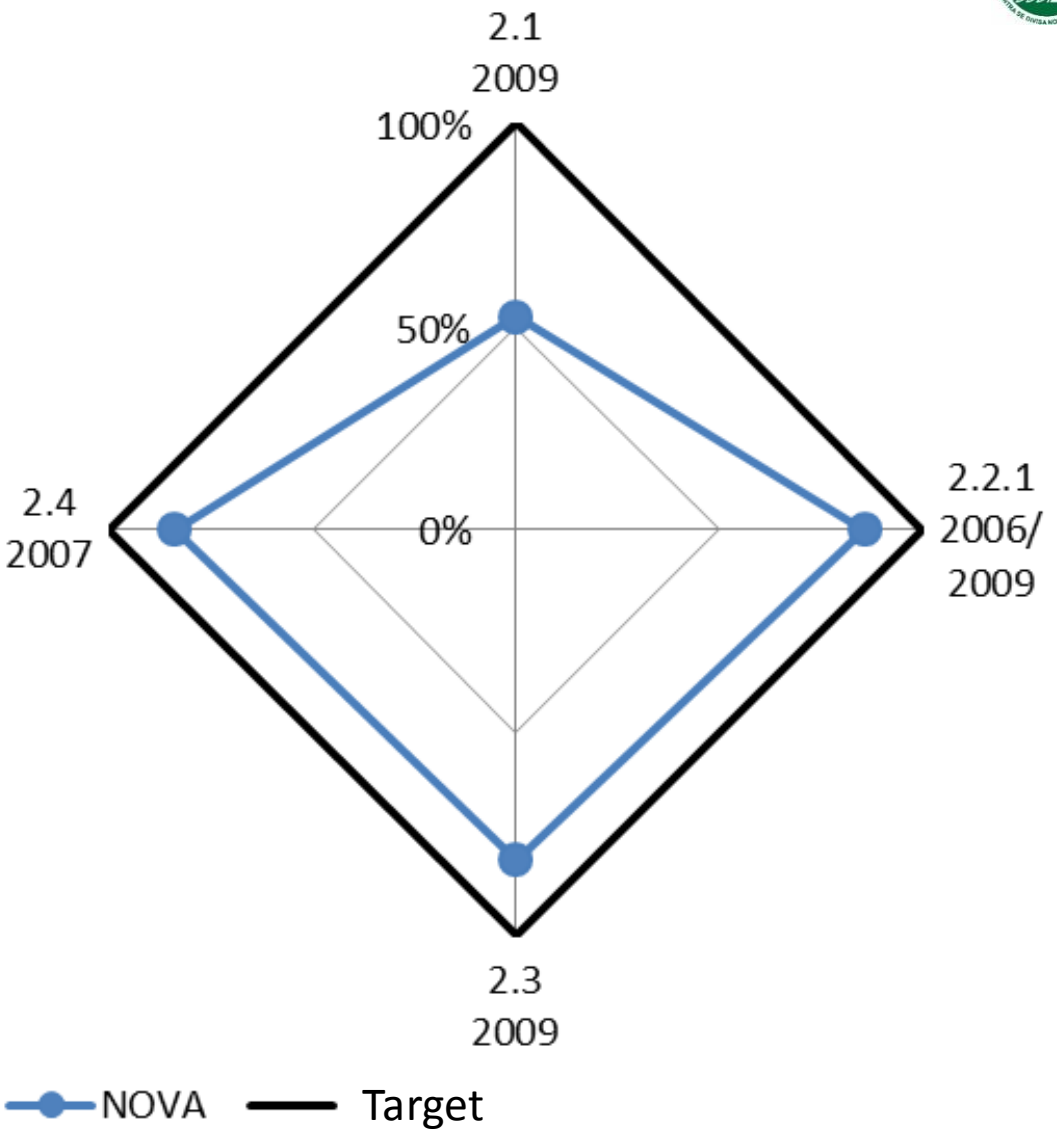
Financial Resources (3)

Social Services (5)

(database since 2009)

Research

2.1 Priorit	Number of peer-reviewed publications
2.2.1 Priorit.	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



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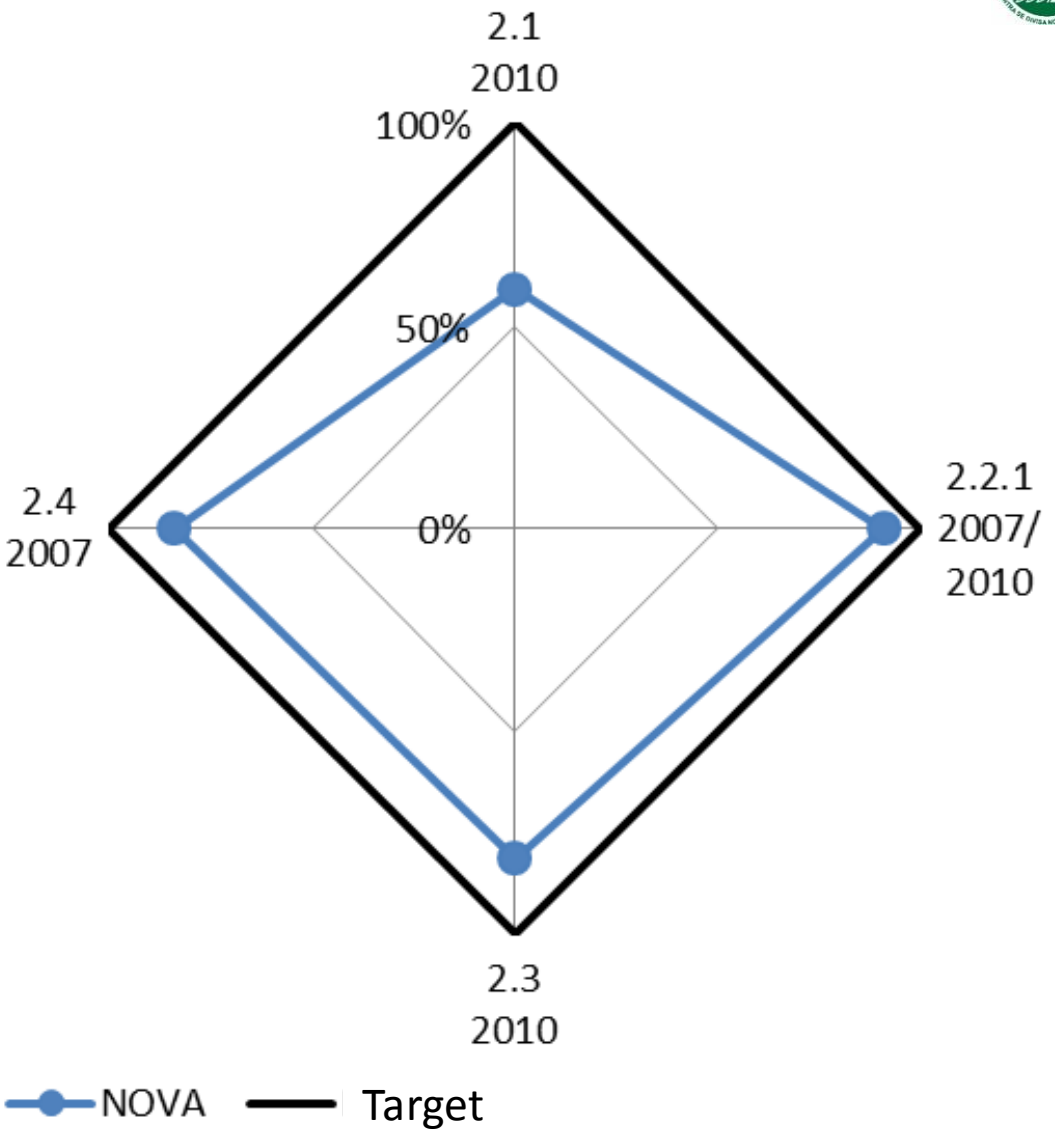

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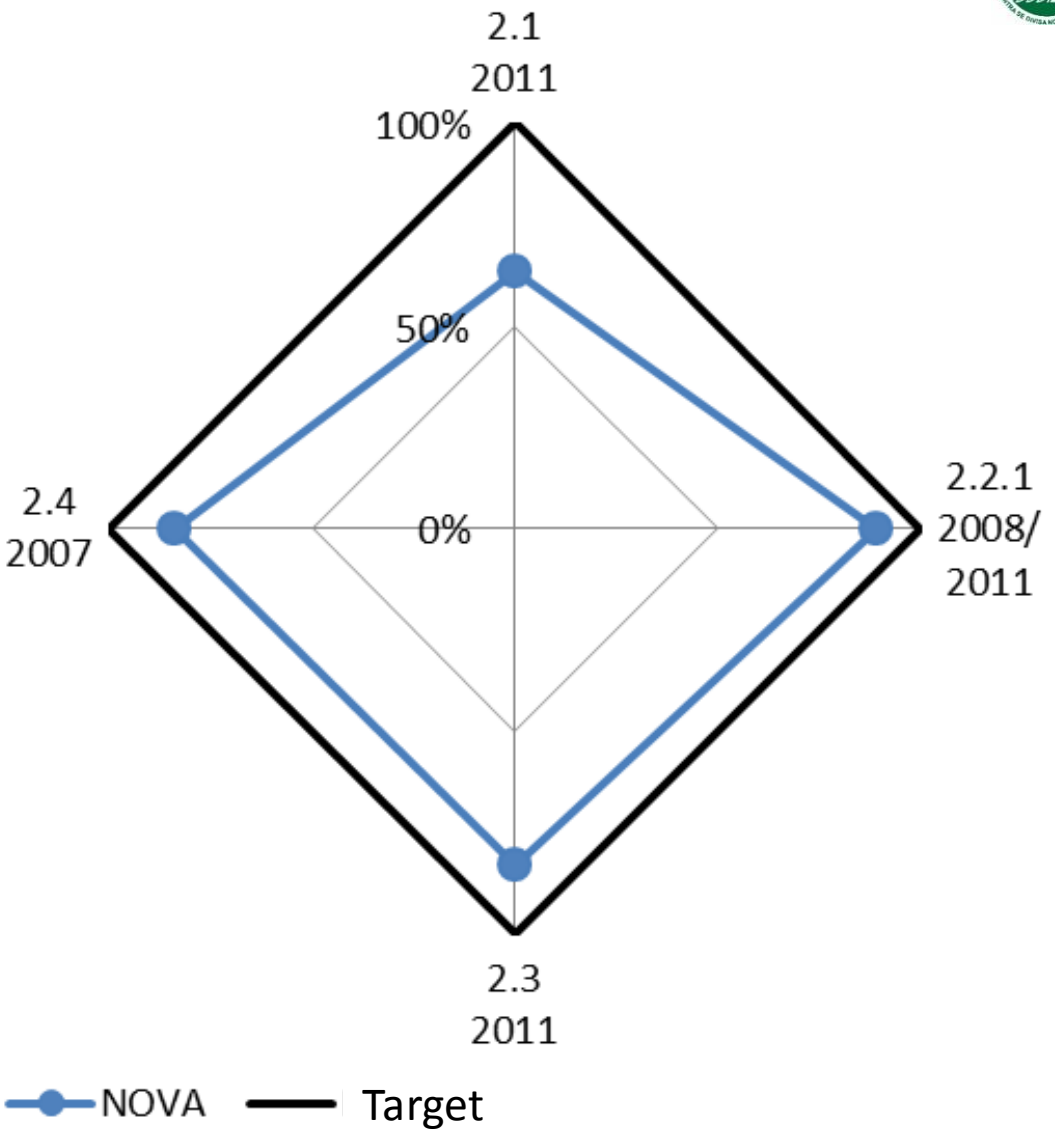

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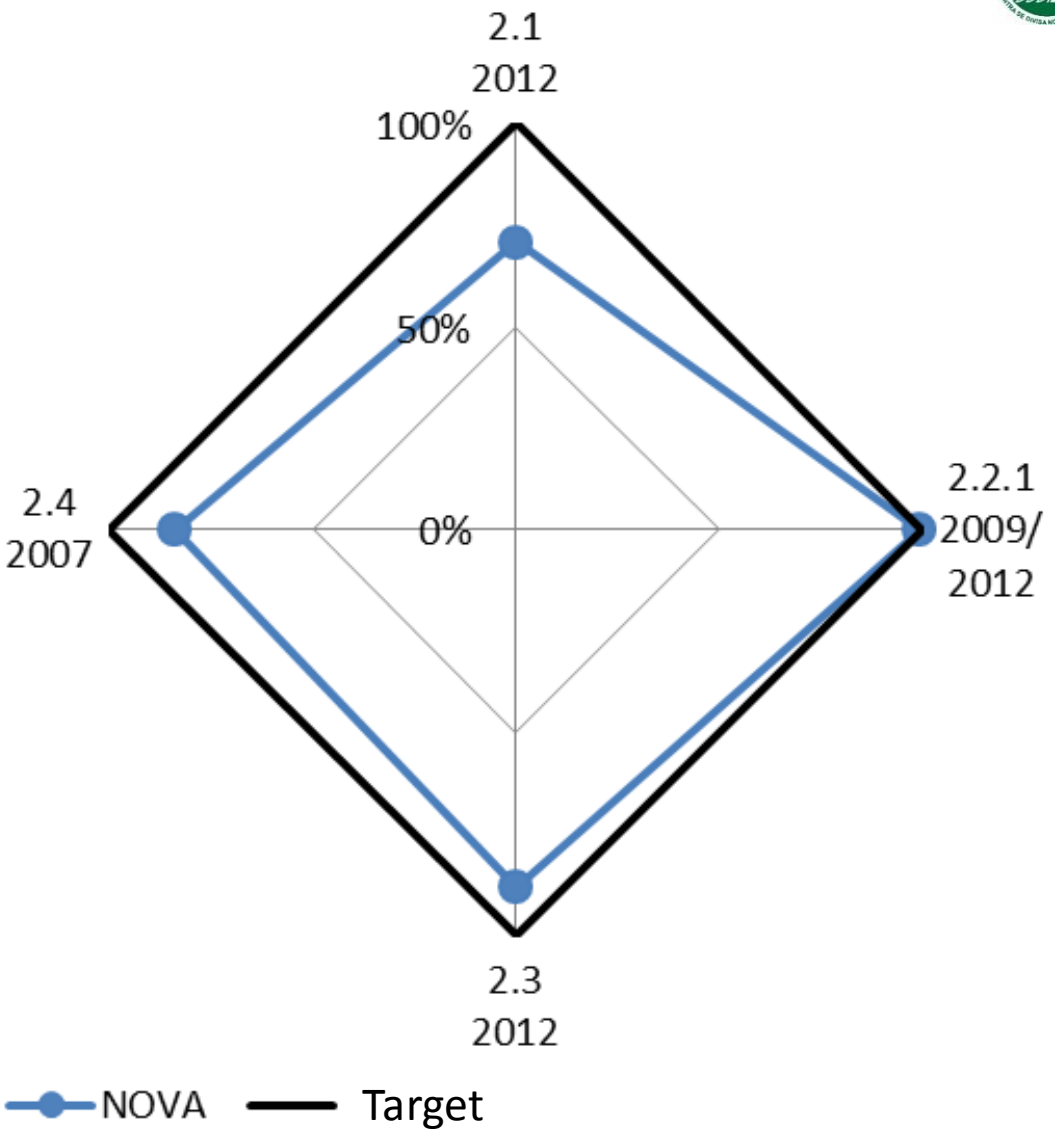

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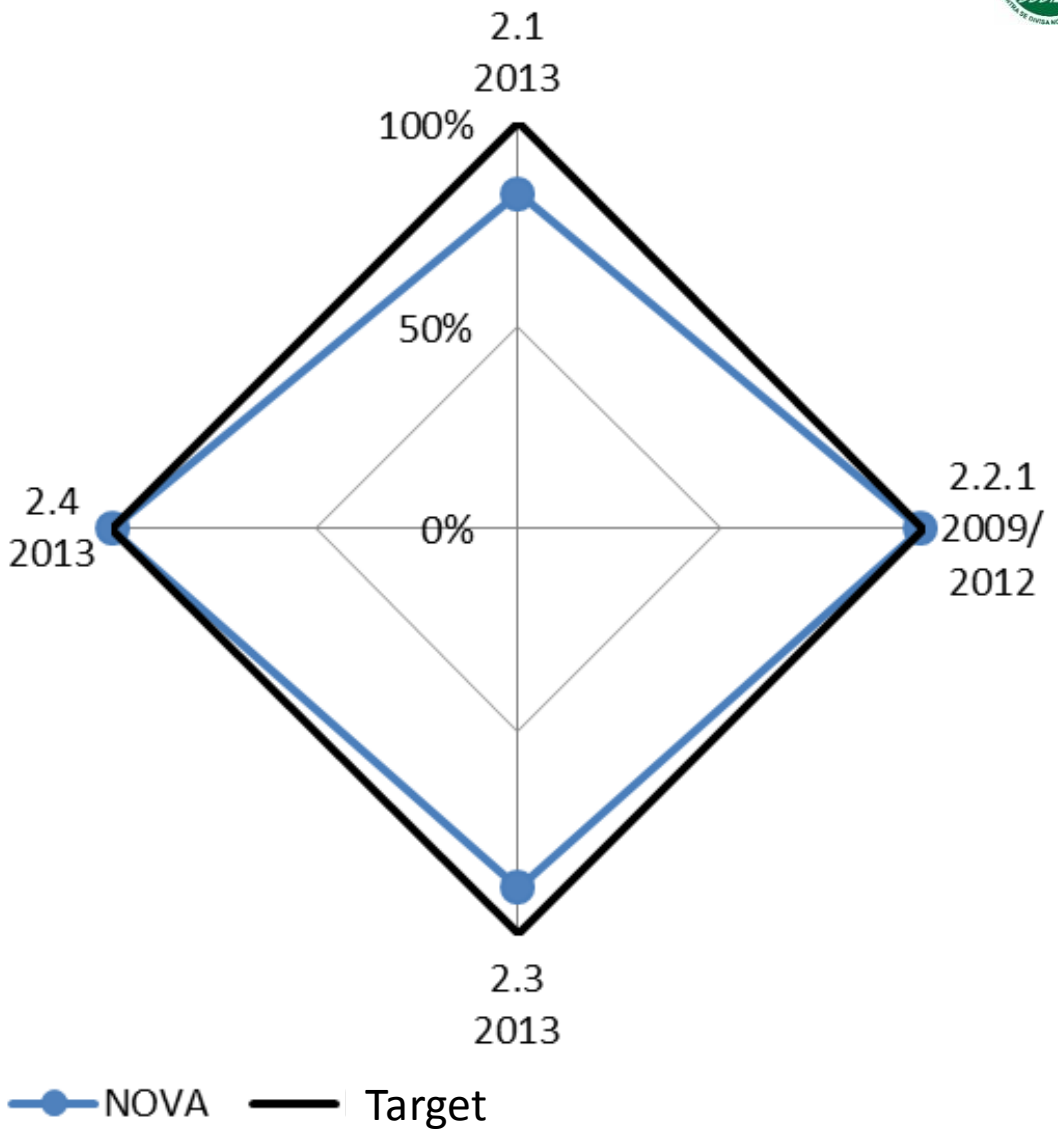

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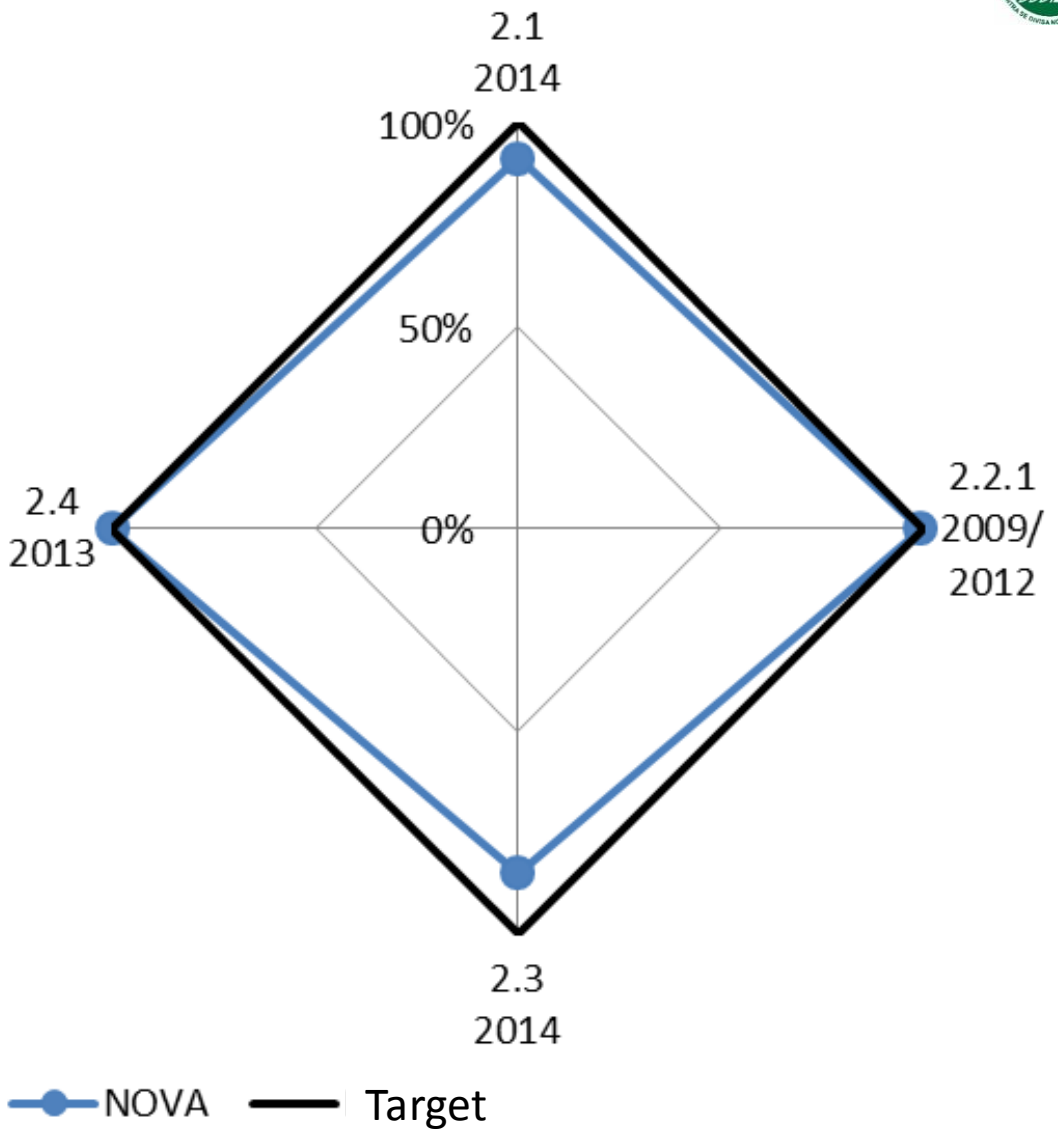

Innovation and Creation of Economic and Social Value

3.1.1	Number of nationally submitted patents
3.1.2	Number of internationally submitted patents
3.2	Number of spin-offs/start-ups
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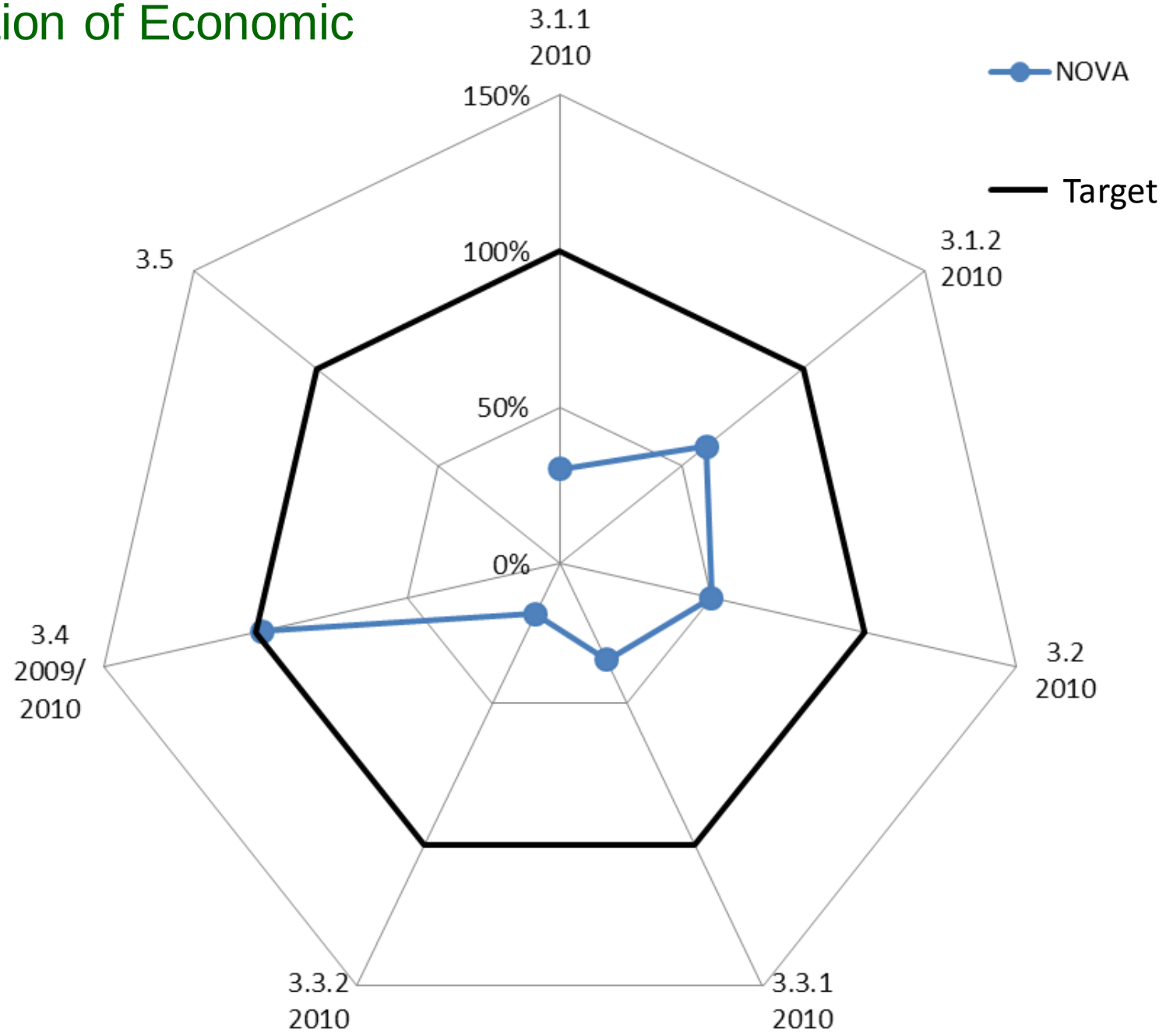
3.3.2	Number of institutional protocols and partnerships with the Public Administration
3.4	Percentage of graduates (from all cycles) with paying jobs until 18 months after degree
3.5	Percentage of students that participate in institutional initiatives in entrepreneurship



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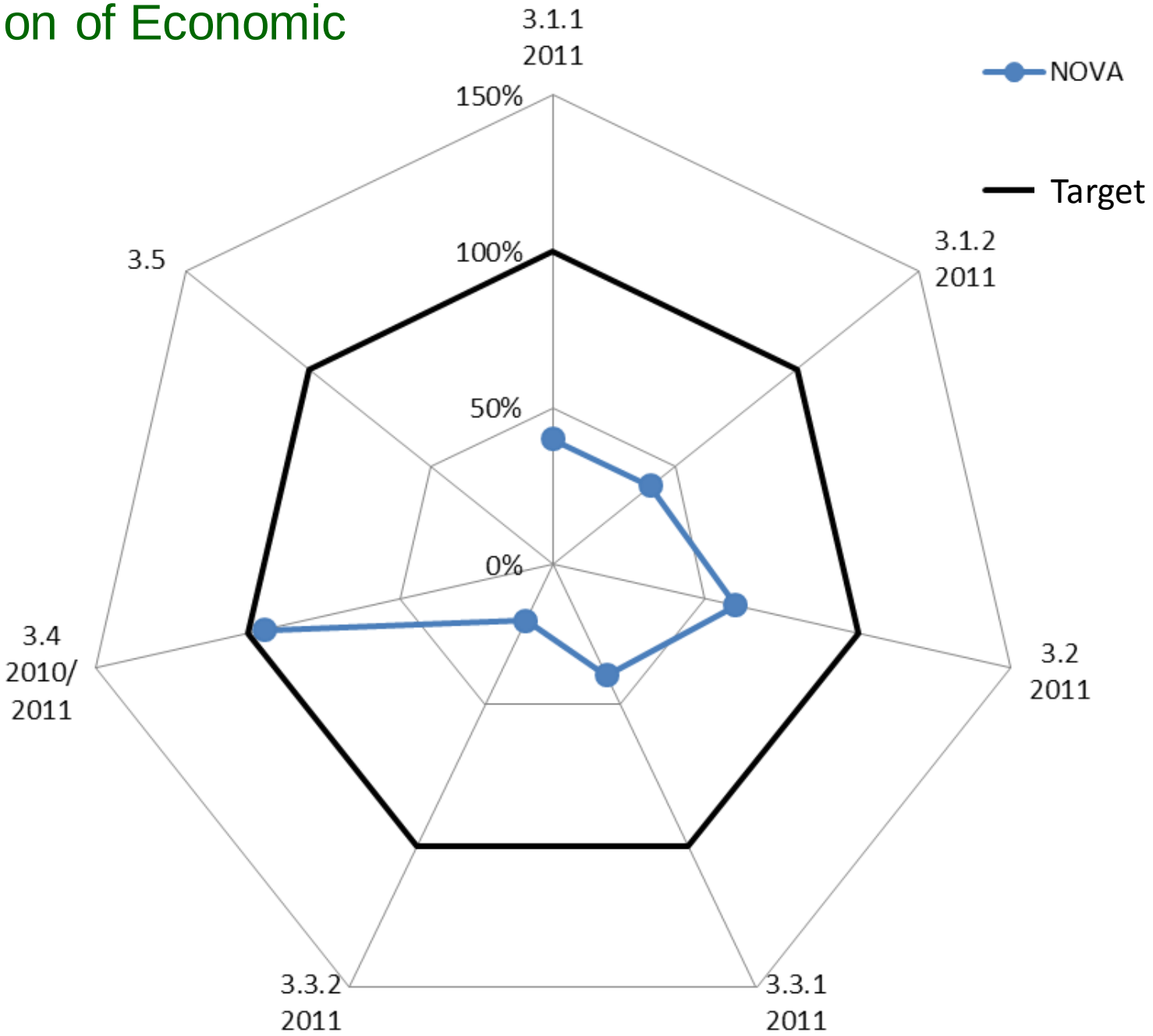

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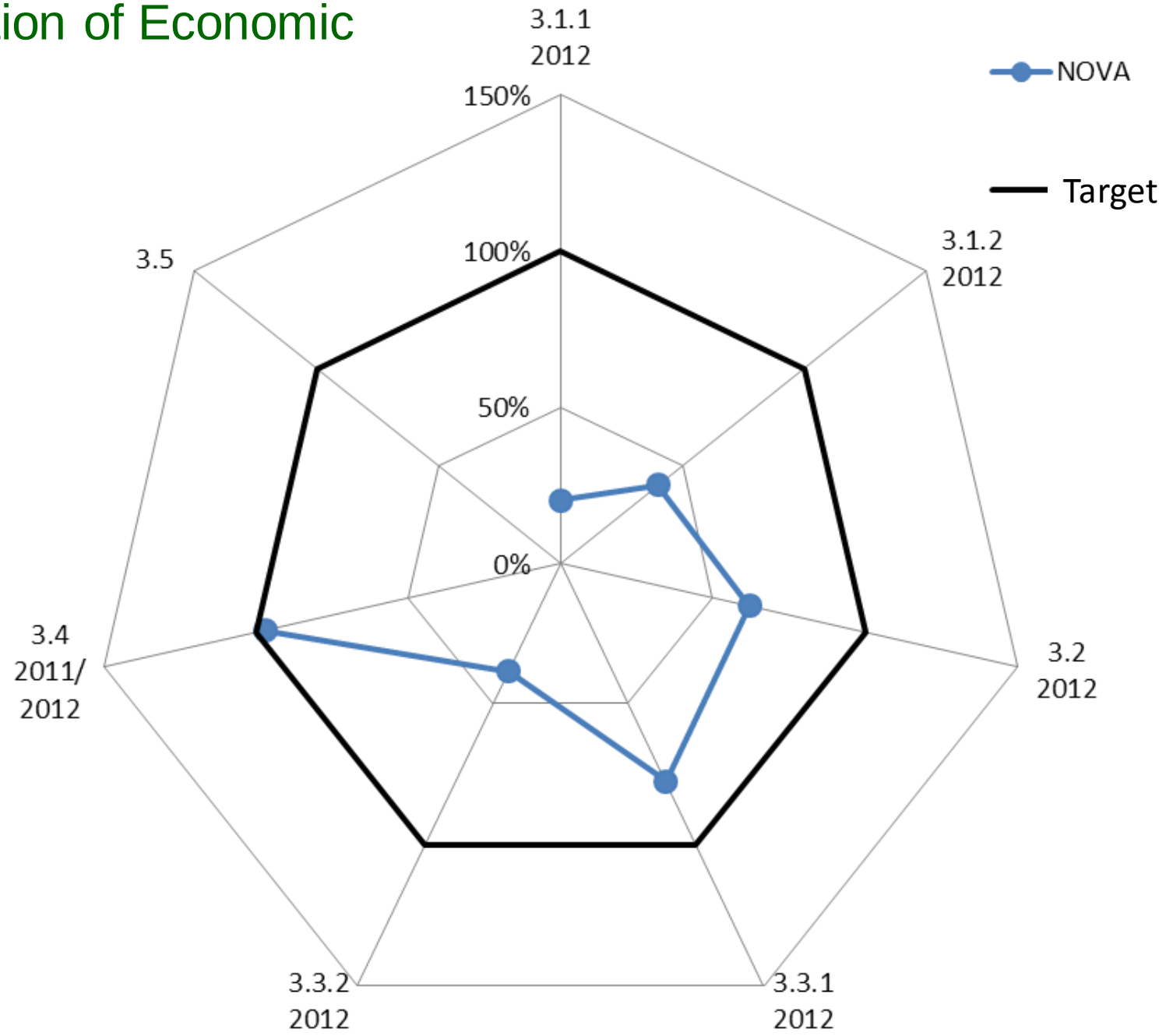

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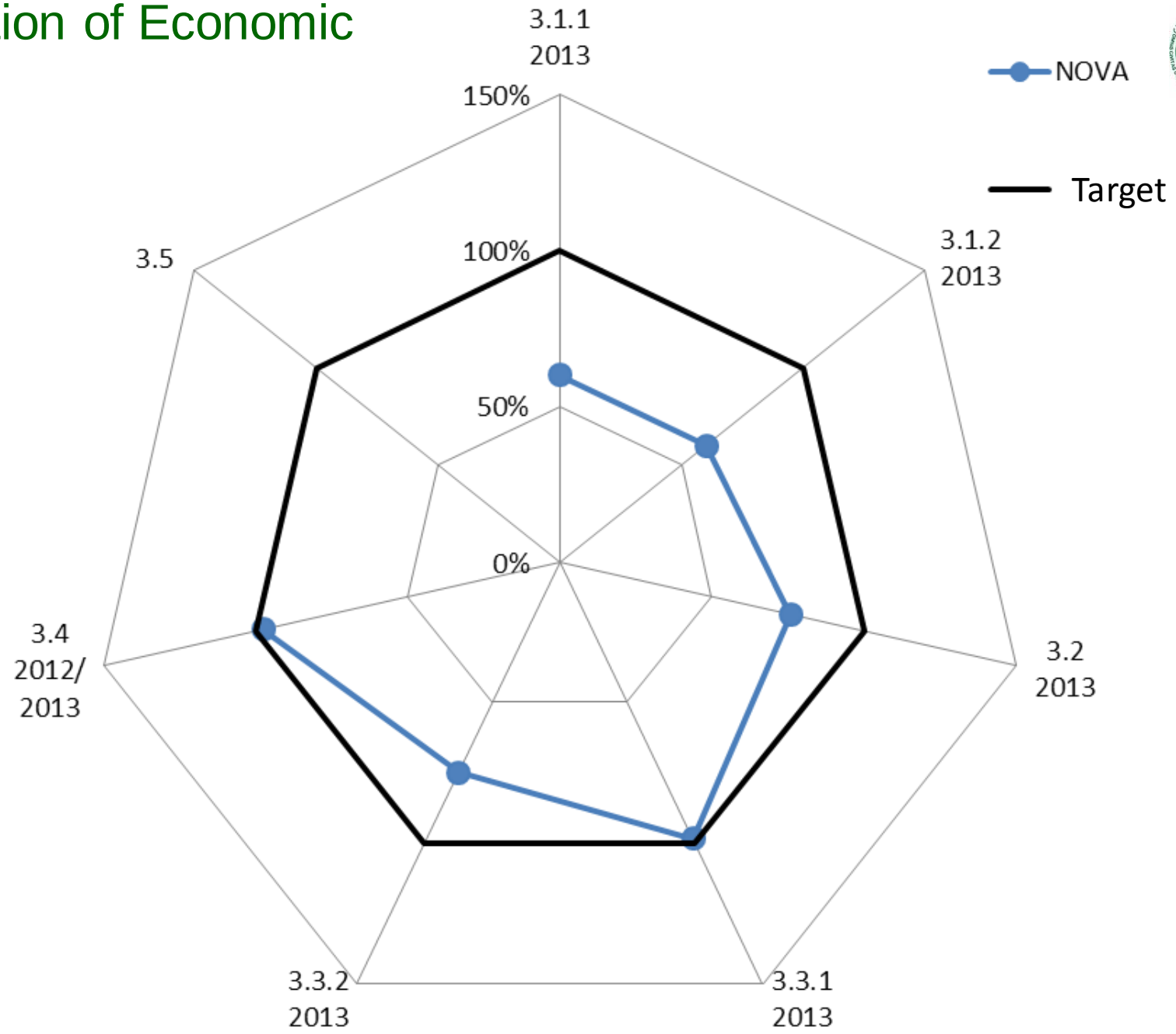

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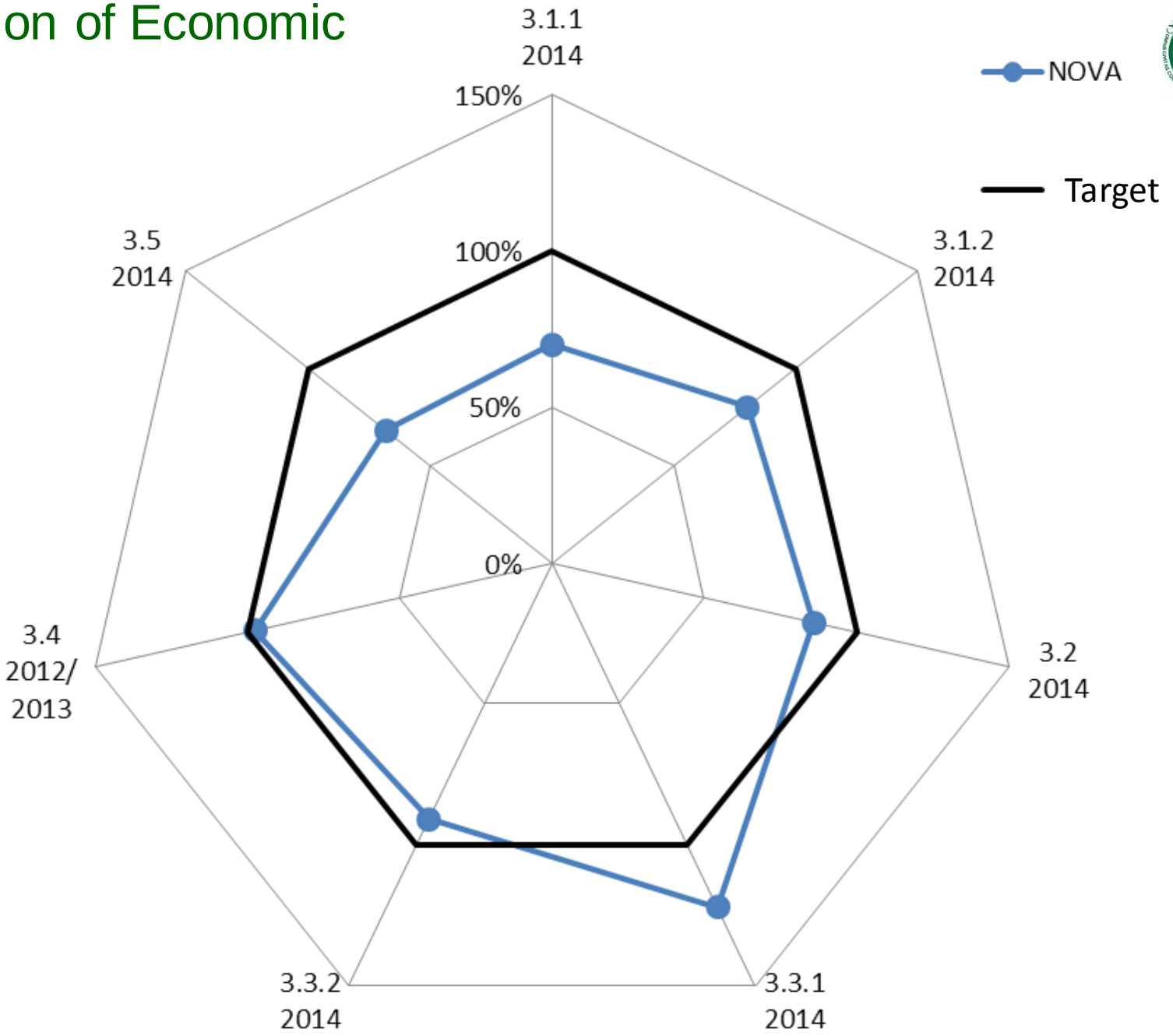

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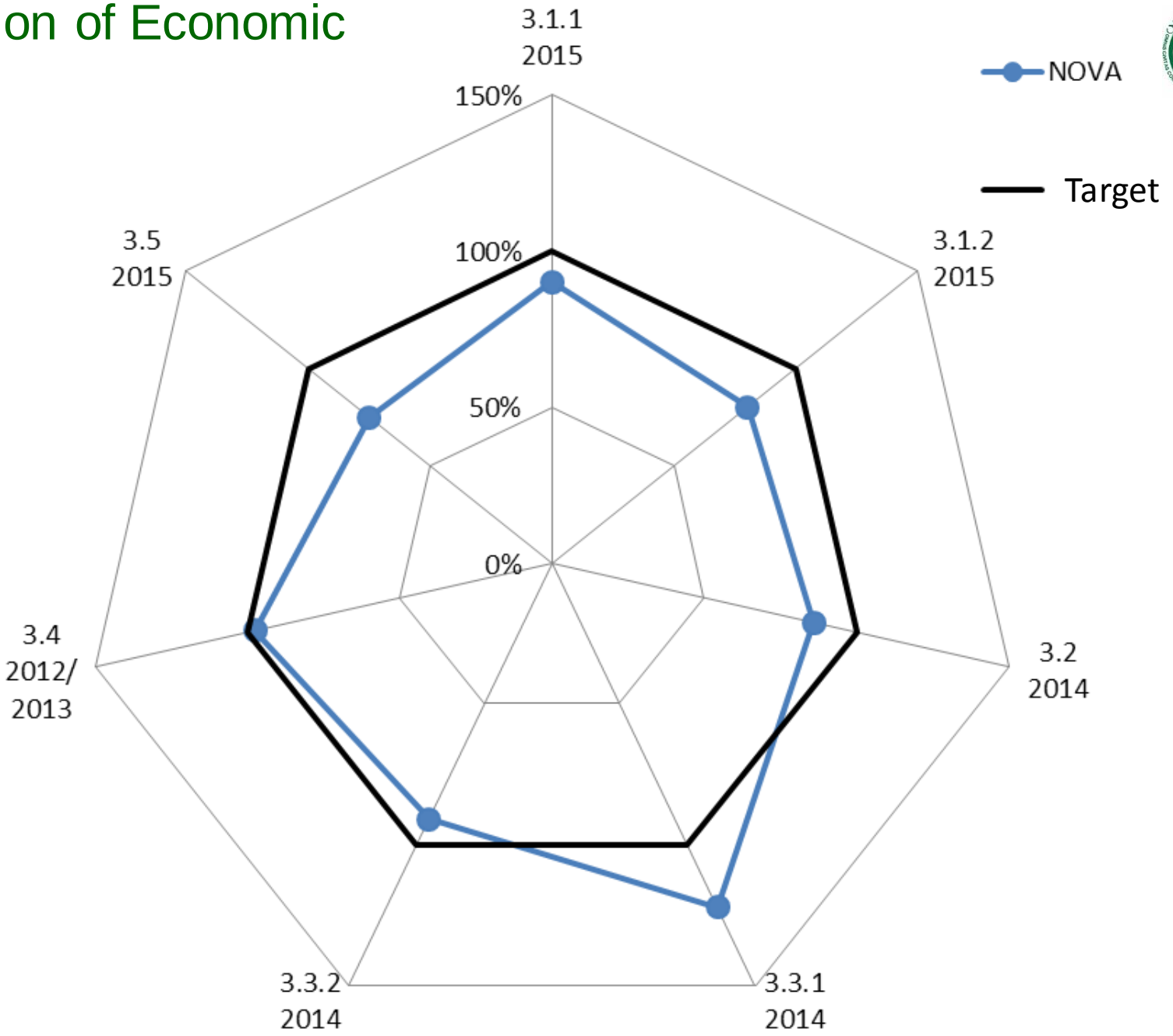

Internationalization

4.1	Number of partnerships in European and global networks
4.2	Number of projects in EU Framework programmes
4.3	Percentage of foreign teachers and researchers
4.4	Percentage of Master's and PhD's taught in English
4.5.1	Percentage of students enrolled in international mobility programmes (incoming)
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4.6	Percentage of joint Master's and PhD's with international institutions

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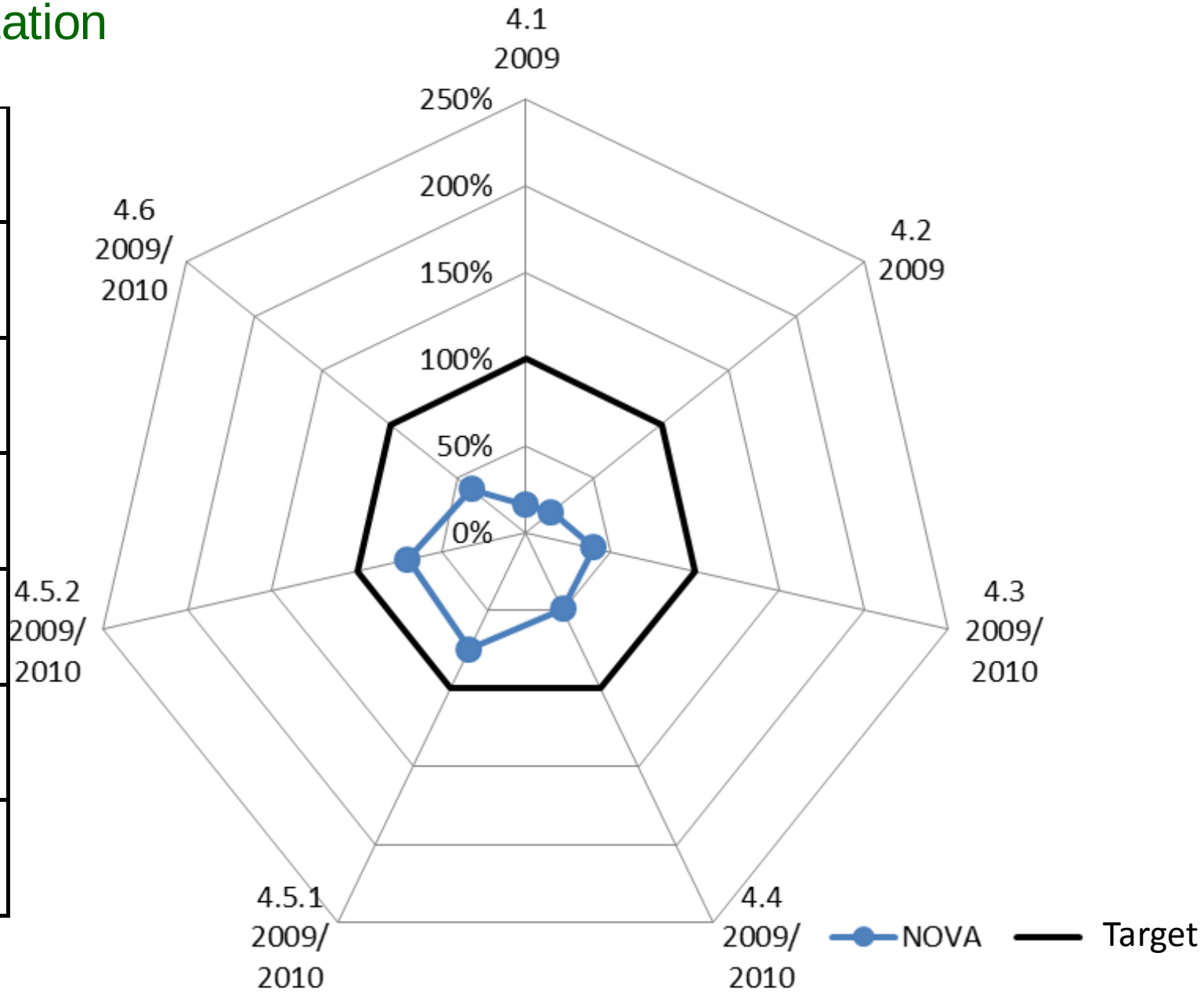

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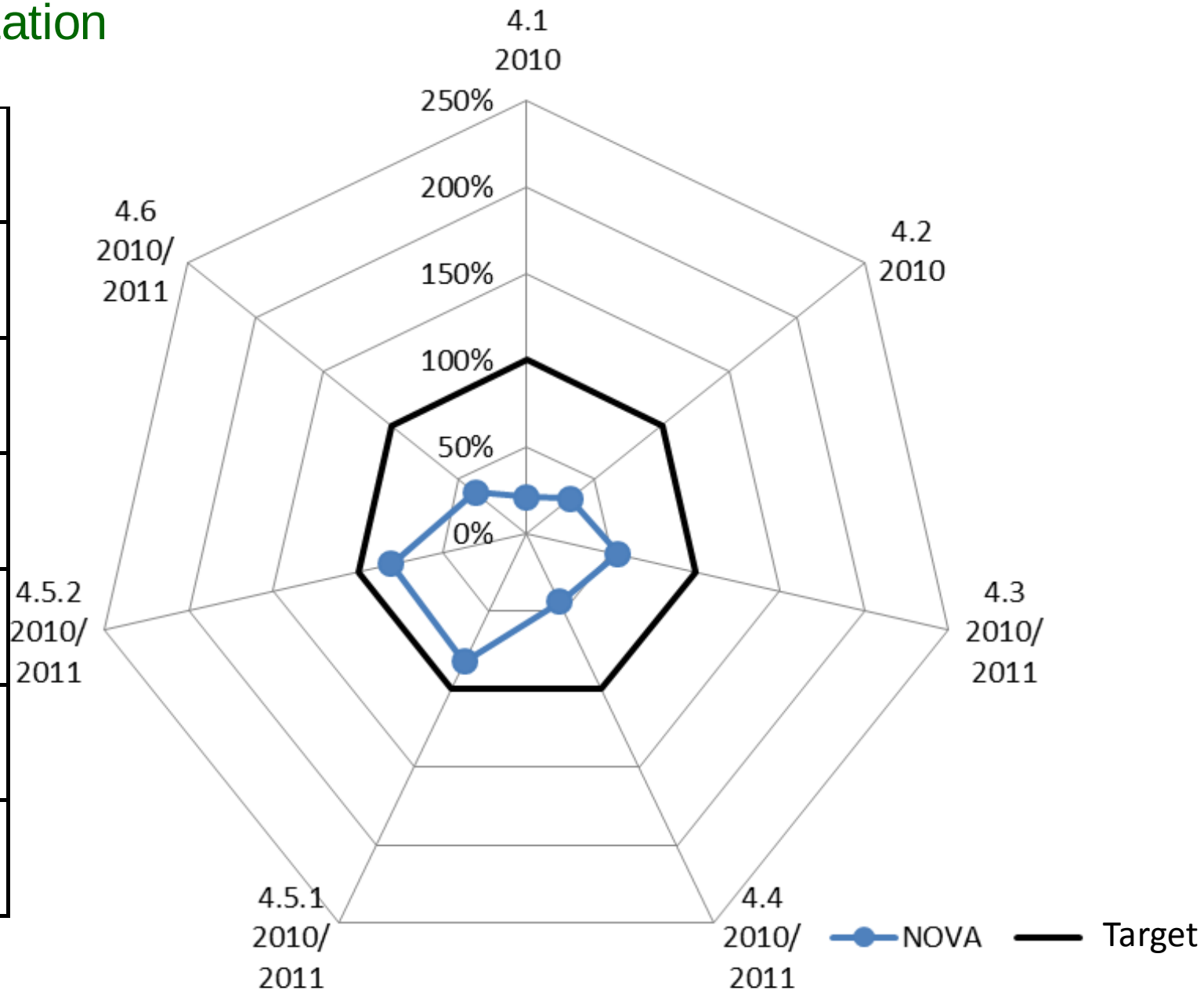

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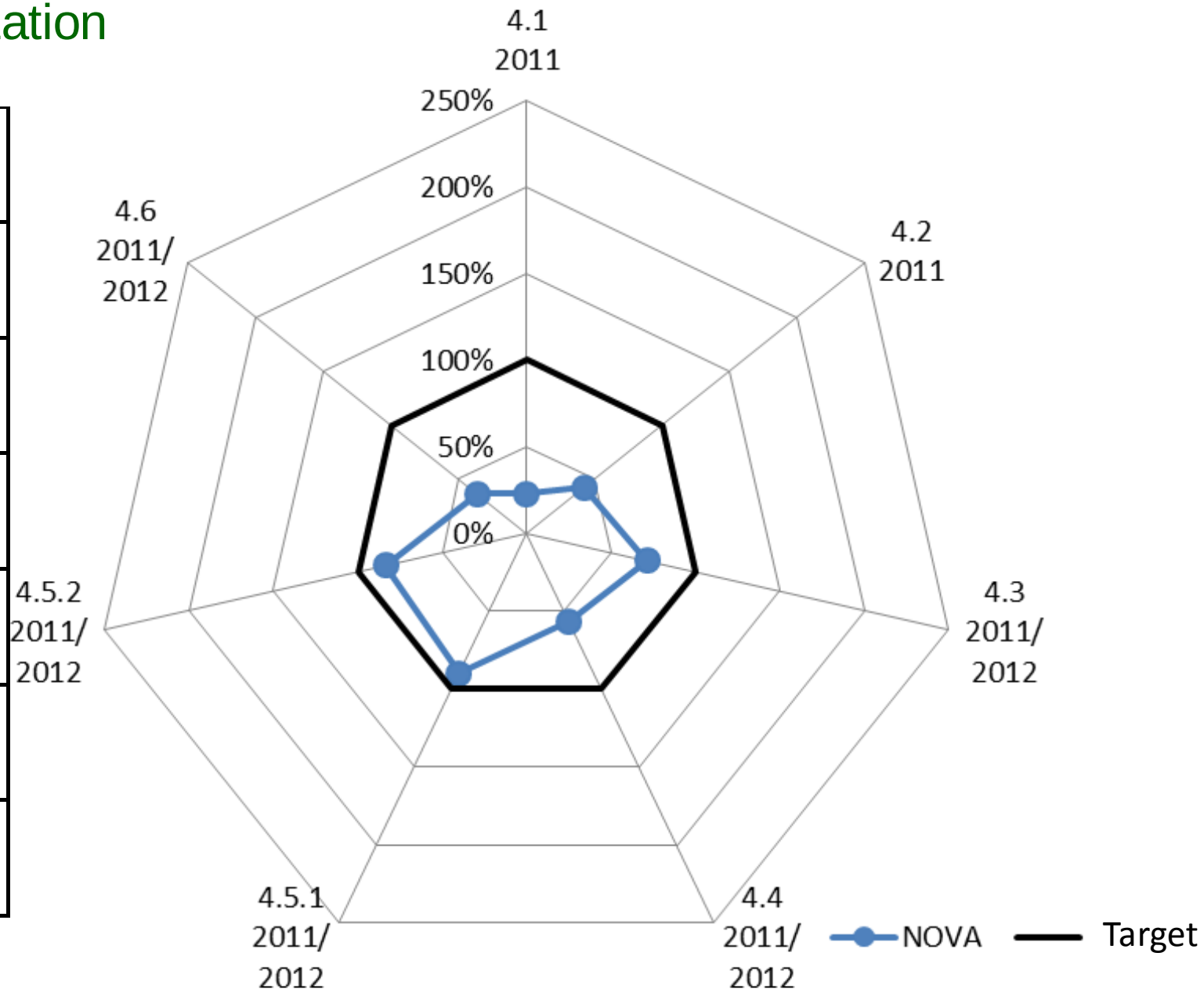

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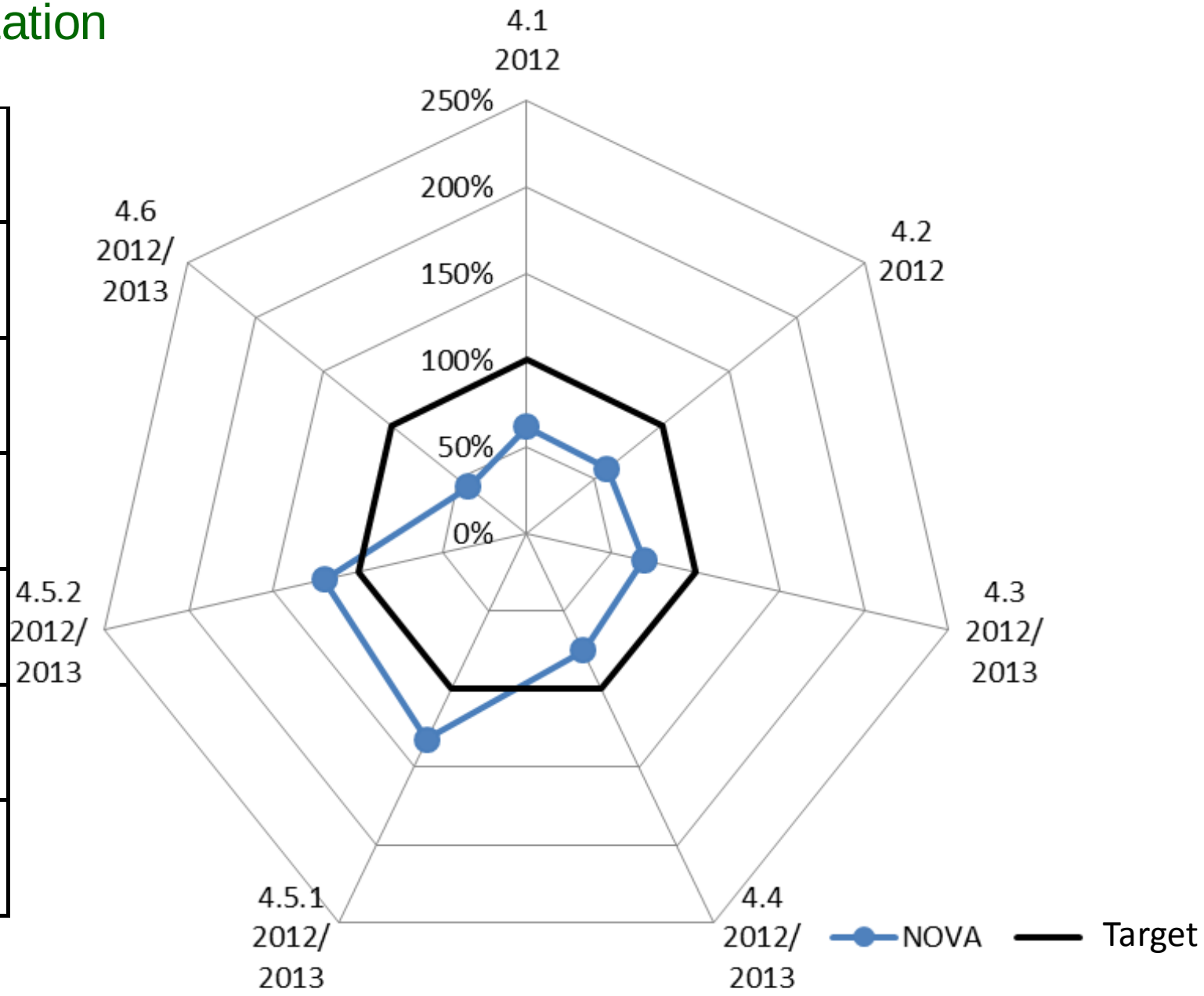

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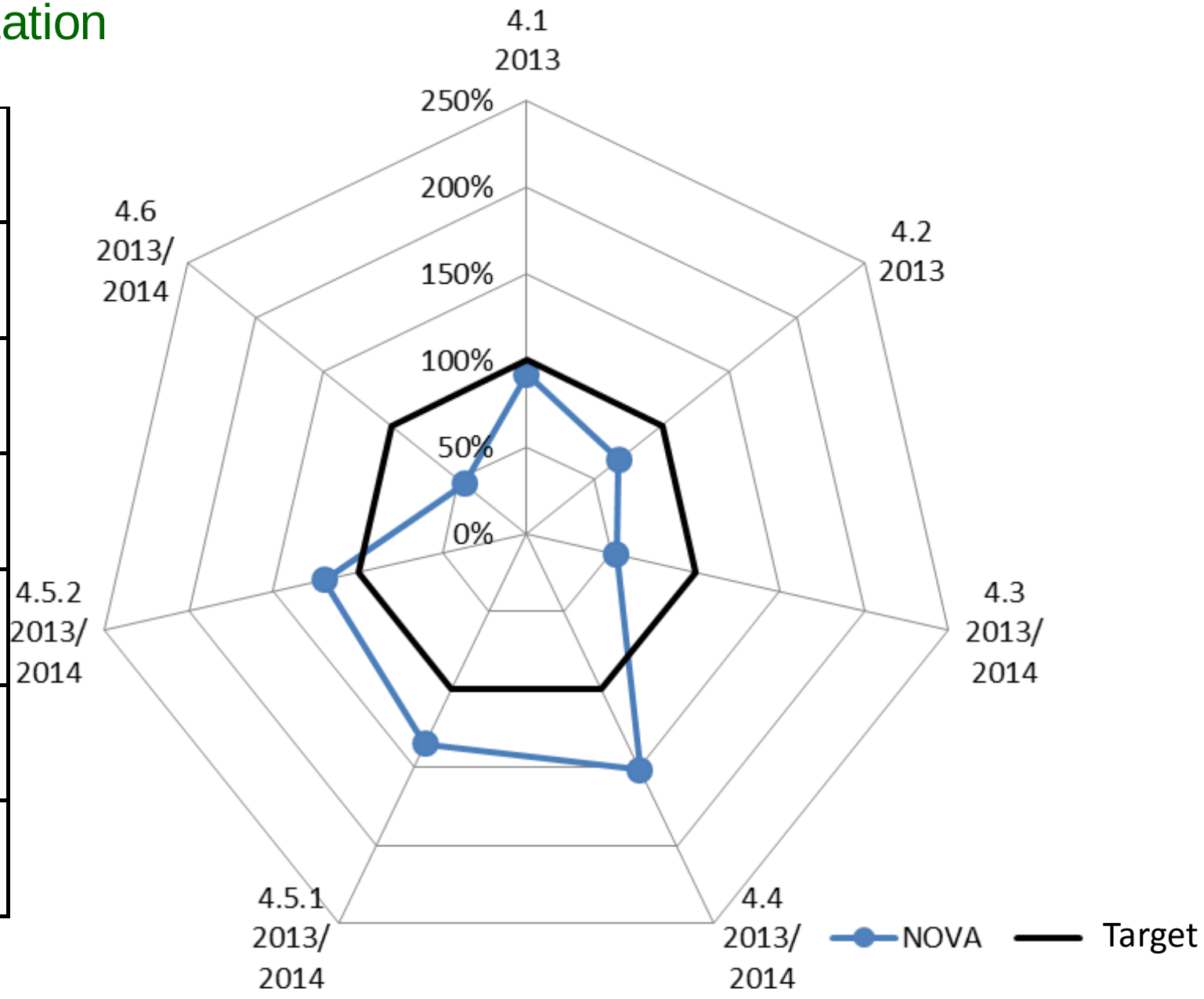

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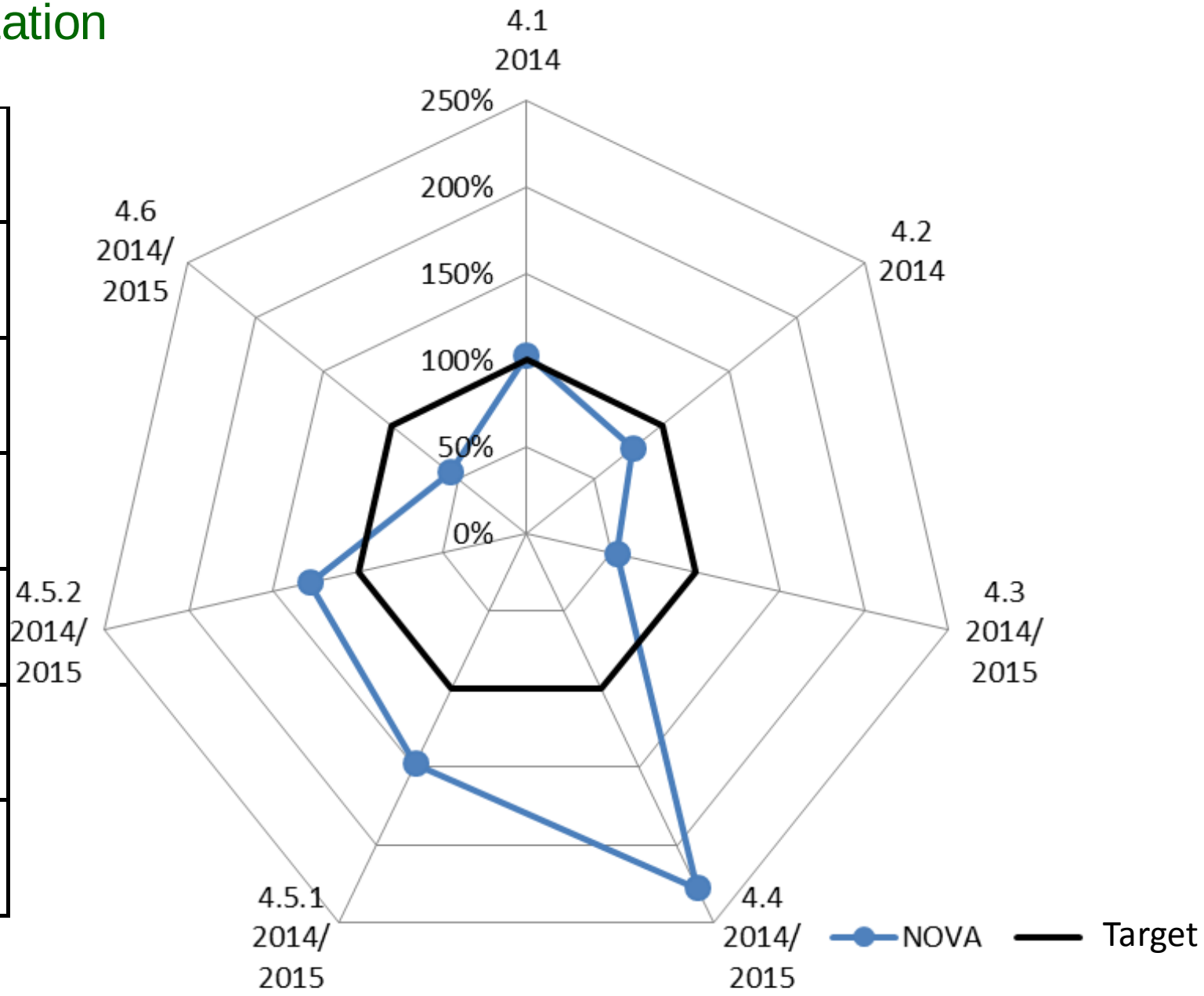

Financial Resources

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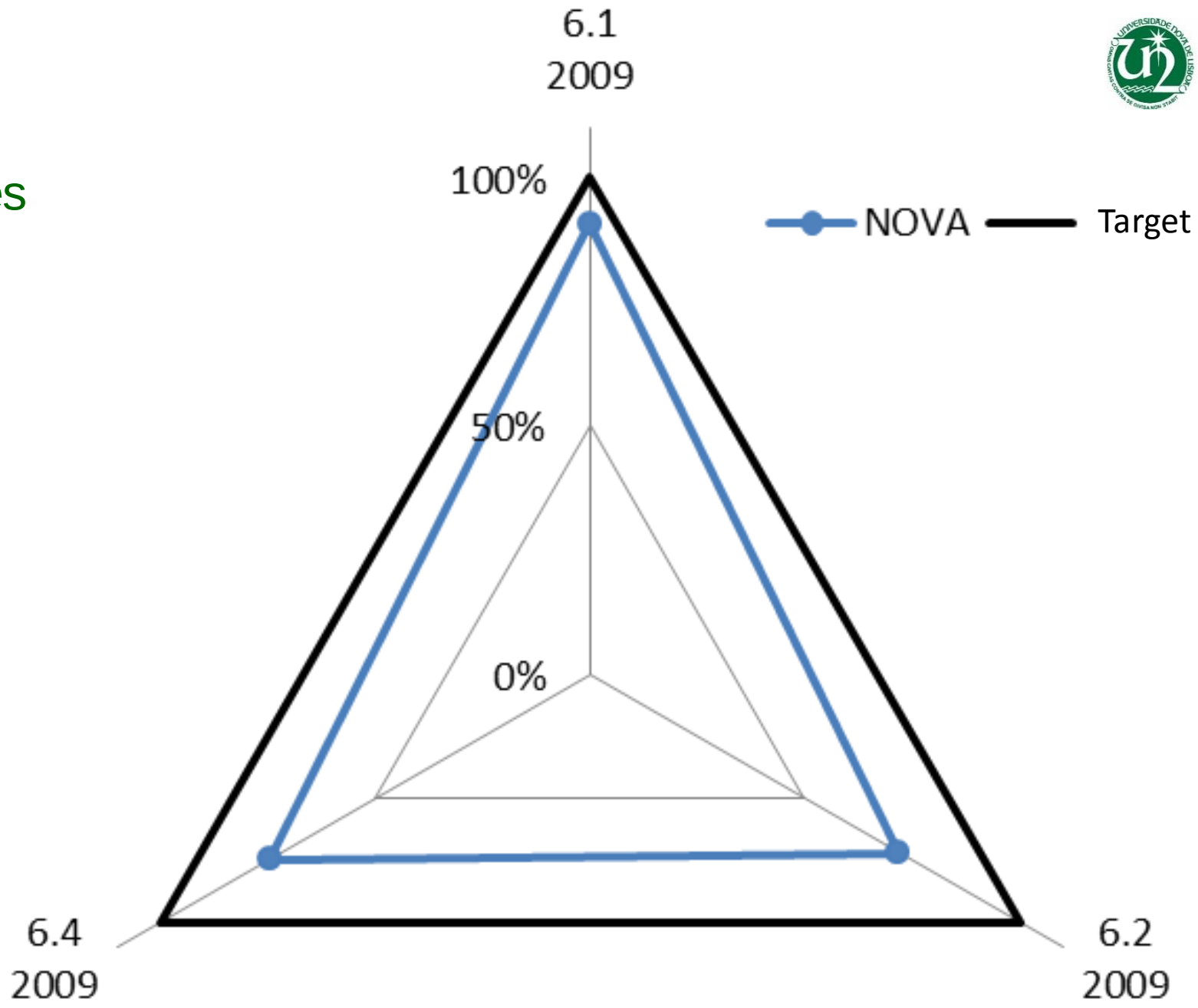
6.4	Percentage of revenue from research funding



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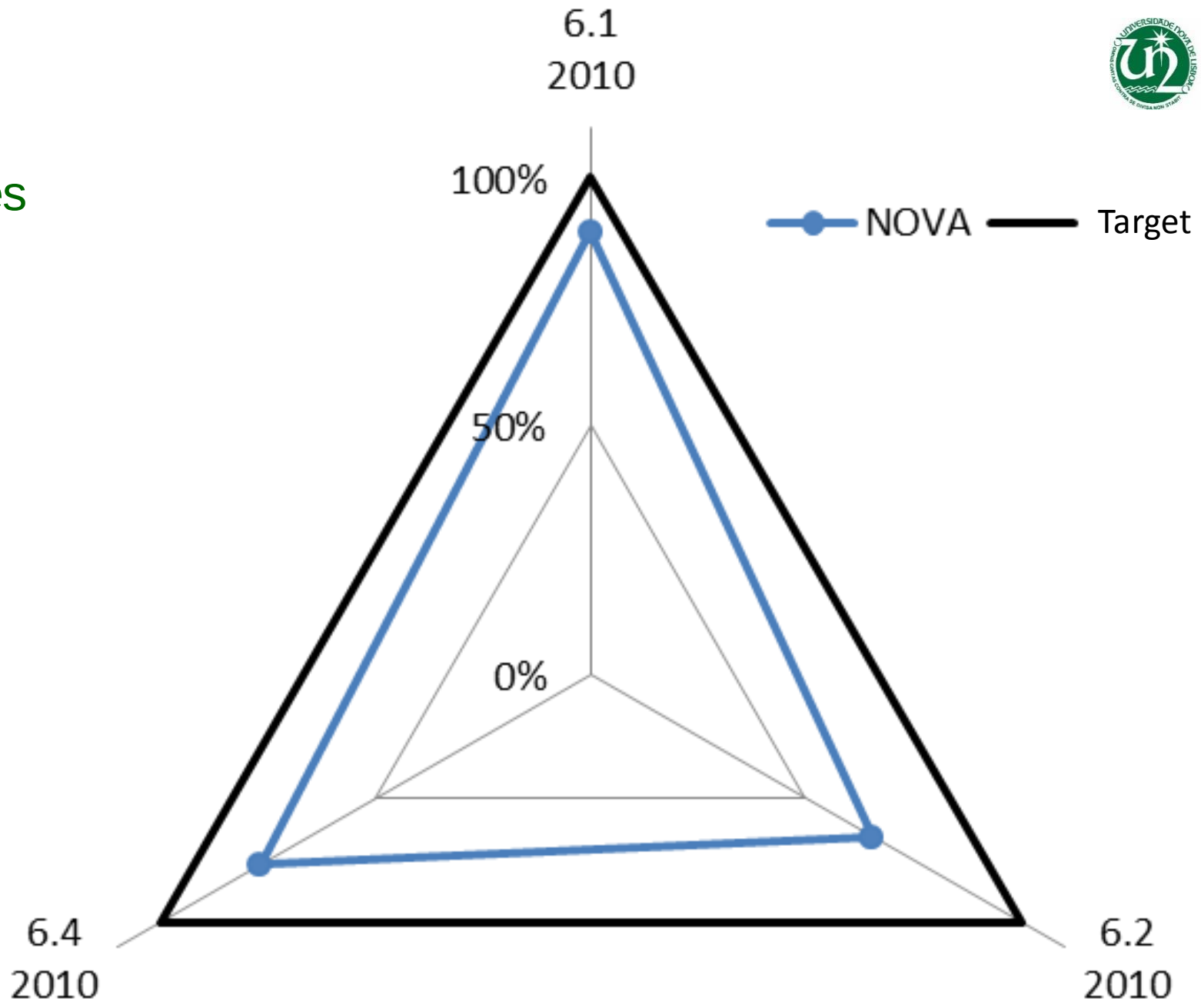

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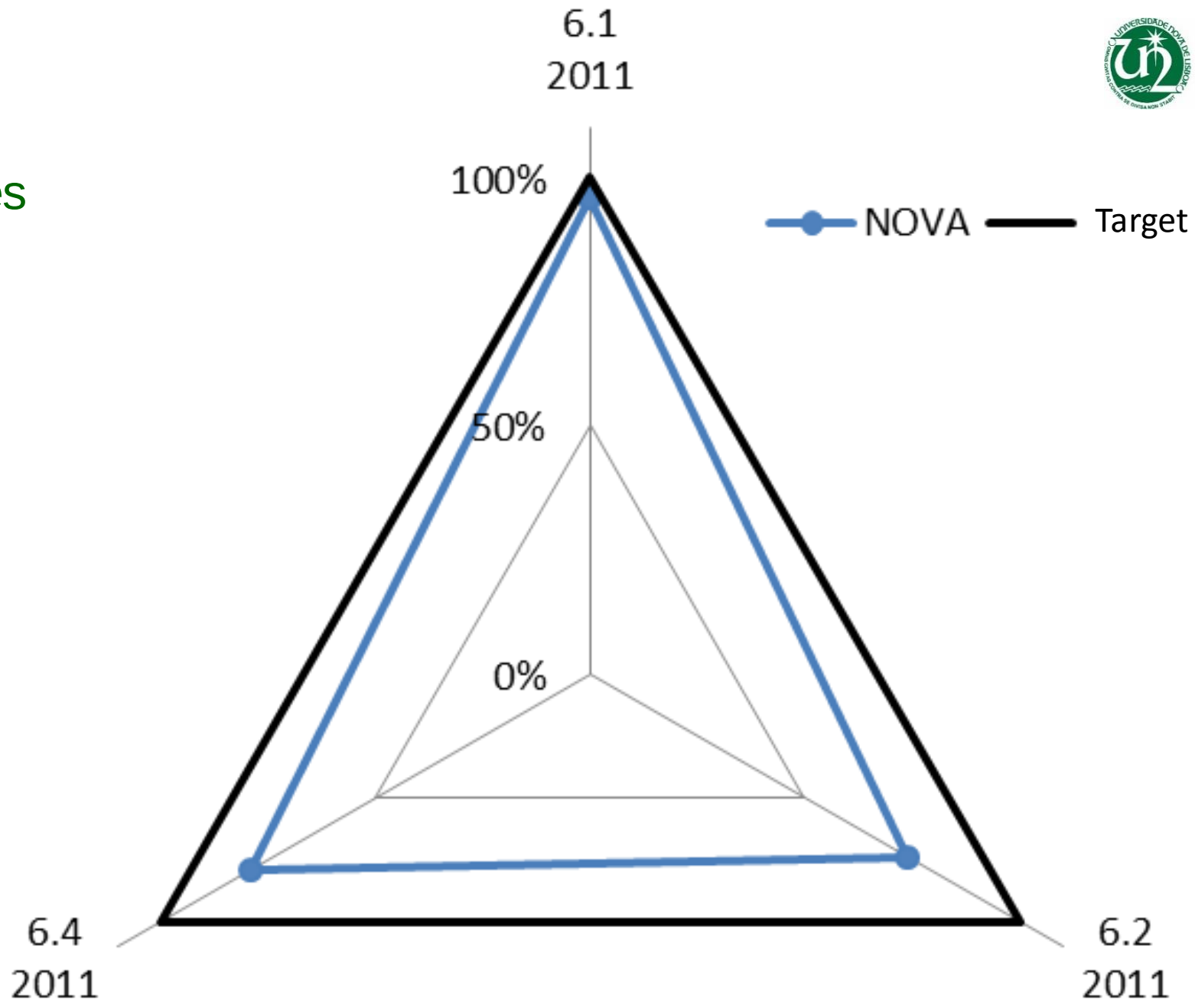

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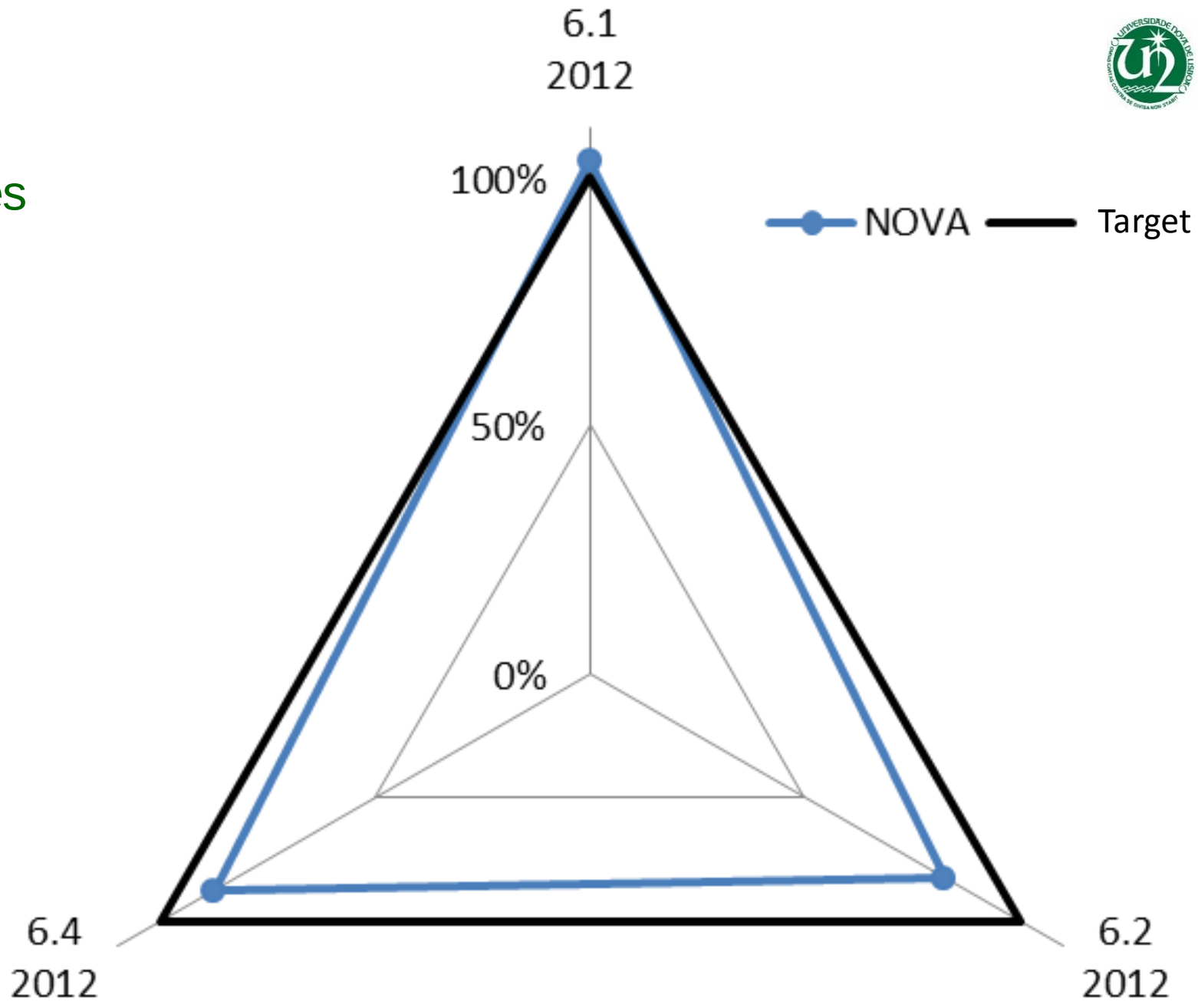

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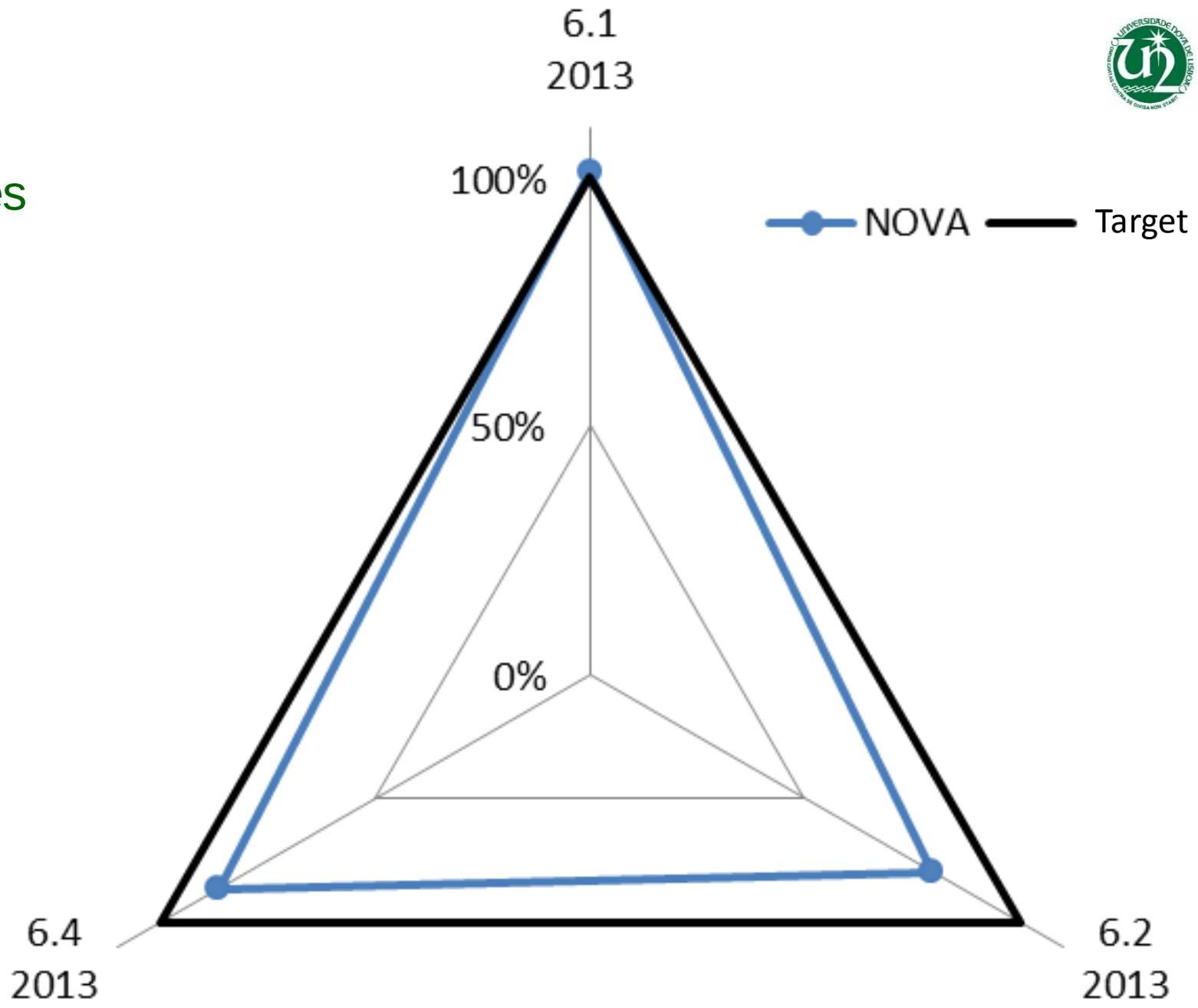

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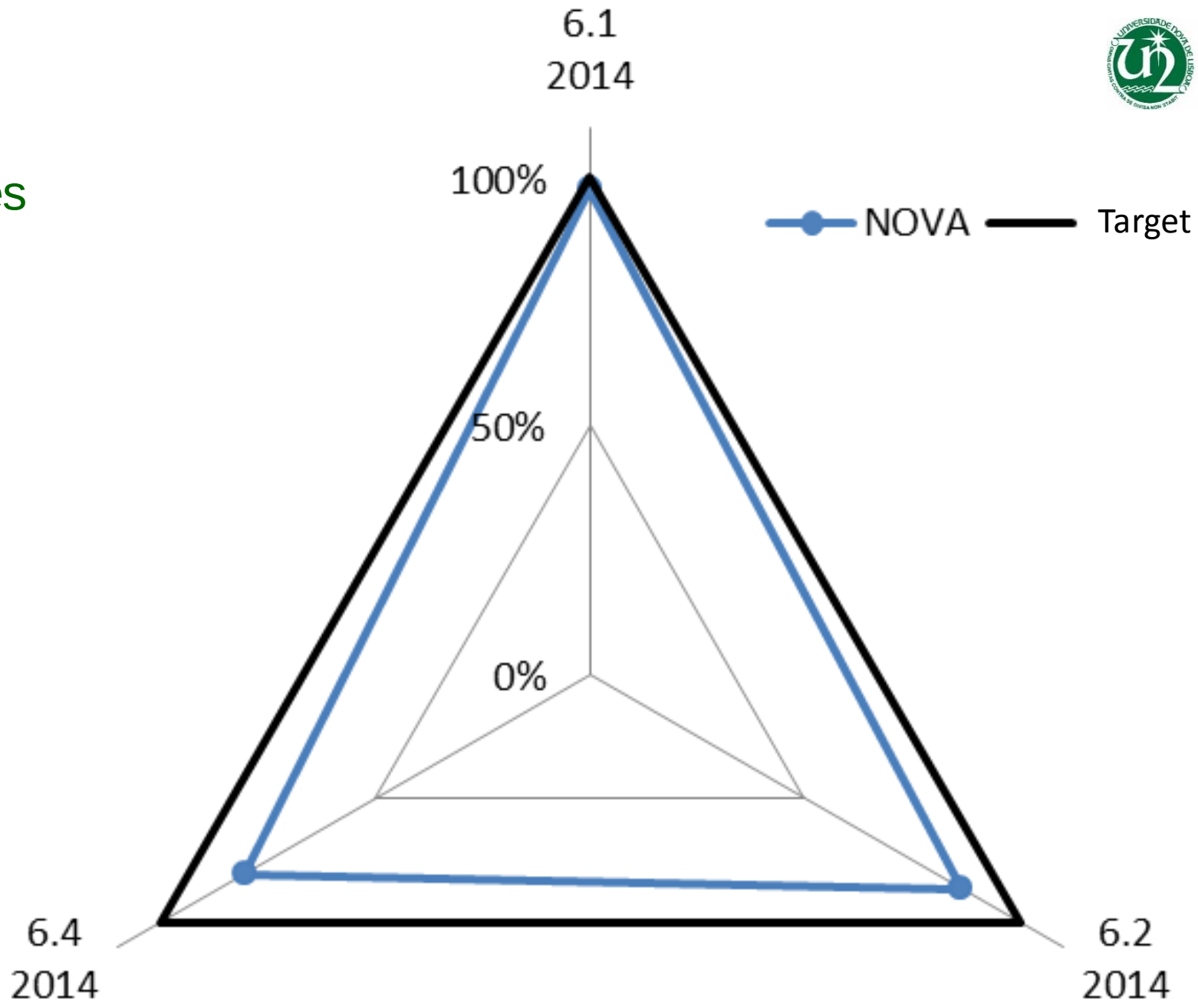


Evolution of the KPI

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 programs (slow increase not reaching target)

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

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

Conclusions

Challenges

- Institutional autonomy
  - is a complex concept that consists of various interconnected elements
  - is contingent on the diverse cultural, political, legal and historical backgrounds of Europe's HE systems;
  - cannot be measured objectively.
  - There is not just one model!
- The Autonomy Scorecard
  - had to take into account constantly changing legislative frameworks and at times contradictory policy developments;
  - had to simplify complex situations.

Position of Portuguese Universities in the Autonomy Scorecard

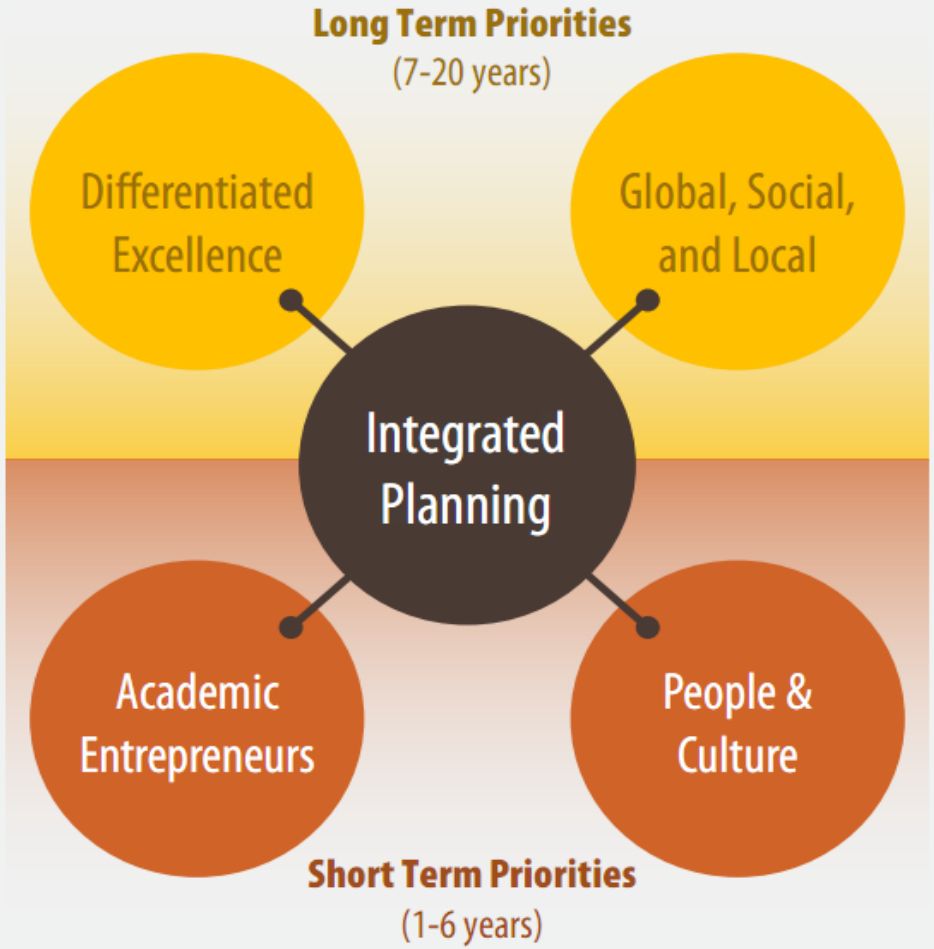
Portuguese Universities were placed in the higher middle level group with the highest score in **organisational autonomy** due to the recent legal changes introduced in the management of the HEI (Legal Regime of HEI, 2007) wich allowed, amongst other measures, for the inclusion of external members in the General Council and for the capacity to create new legal entities, named university foundations.

In comparison with organisational autonomy a smaller score was noted in the following two áreas: **financial autonomy** due to a significant freedom in most areas except for owning buildings, borrowing money and setting tuition fees for the first cycle students. A similar reduction was found in **staffing autonomy** because of the limitations due the fact that most of the university staff is composed of civil servants. The recently created university foundations were, until recently, able to overcome some of these issues except for the tuition fees in the first cycle (Bologna).

The lowest score for Portuguese Universities was found in **academic autonomy** due to the absence of capacity to decide on overall student numbers and on selection criteria for the first cycle. Once a cycle of studies is registered it needs to follow an accreditation process run by the Quality Agency, the single provider in Portugal.

The implications of the global economic crisis, and their national effects, have already affected Portuguese Universities leading to tighter control by the Government over university budgets through an increase in bureaucratic burden which already threatens financial autonomy.

The present legal framework proved, until now, extremely useful in preserving **institutional autonomy** thus allowing Portuguese Universities to be competitive in the international environment.



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