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AALBORG UNIVERSITY
DENMARK

ECIU 2004-2005

Review of Internal Decision Making Processes

Hornemann, Birte C.; Nielsen, Kirsten Mølgaard; Bimberg, Christiane; Bimberg, Christiane; Stich, Andreas; Hunter, Iain; Evers, Jan

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crossing the borders of innovation

ECIU 2004 - 2005

Review of Internal Decision Making Processes



Birte C. Hornemann
Kirsten Molgaard Nielsen

UNIVERSITÄT DORTMUND



Christiane Bimberg
Andreas Stich



Iain Hunter



University of Twente
The Netherlands

Jan Evers

Table of Content

1.	Introduction.....	3
1.1.	The context and the objectives of the report.....	3
1.2.	Decision-making processes at universities.....	4
2.	The governance and management structures of the participating universities and reviews of selected internal decision making processes.....	6
2.1.	University of Aalborg	6
2.1.1.	The governance and management structures	6
2.1.2.	The scientific position planning system	10
2.2.	University of Dortmund	13
2.2.1.	The governance and management structures	14
2.2.2.	Characteristics of university autonomy in Germany	17
2.2.3.	A review of the allocation and appointment of professorships.....	19
2.2.4.	A review of the introduction of new study programmes	23
2.2.5.	References	29
2.3.	University of Strathclyde	31
2.3.1.	The governance and management structures	31
2.3.2.	A review of strategic planning.....	37
2.4.	University of Twente	39
2.4.1.	The governance and management structures	39
2.4.2.	A review of strategic planning.....	41
3.	Conclusion.....	44
4.	Reflections on the ECIU Leadership Development Programme	46

1. Introduction

1.1. The context and the objectives of the report

This Report has been developed in the context of the 2004 ECIU Leadership Development Programme. The aim of the Report is to review the internal decision-making processes of universities. This topic is one of the central fields of academic research into governance of universities. Some scientific papers and models already exist on such decision-making processes and the second section of this Introduction describes some of the most well-known models in abbreviated form. However, the focus of this Report is not on the verification or rejection of these models. Rather, the Report focuses on how decision-making processes work at universities in different countries considering: whether these processes are comparable, whether and to what extent national or legal issues affect decision-making processes, and to what extent the individual universities can learn from this comparison of the decision-making processes. The analysis and the comparison take place on the basis of exemplary case studies of the decision-making processes at the four universities of the authors. The decision-making processes selected are made at all of the universities involved and are of strategic importance. After a very short composition from models of university behaviour in the second part of this introduction in chapter 2 the governance and management structures of the individual universities and the case studies are presented. The third chapter delivers the conclusions.

Some numbers of the participating universities				
	University of Aalborg	University of Dortmund	University of Strathclyde	University of Twente
Founded in	1974	1968	1796, but new Charter in 1964	1961
Students (Winter term 2004/2005)	13.296	21.643	15.134 (full time)	7.000
Staff (Employees in 2004)	1.776	2.789	3.377	2.406 ¹
Full professors	121	283 ²	186	121
other academic	952	1.346	1.078	1.223
non-academic	703	1.160	2.113	1.062
Budget (in 1000€ in 2004)	183.026	199.253	237.054	281.543 ³
state	149.880	161.496	166.147	170.601
third party funding	33.146	37.757	70.147	110.942

¹ fte's 2002

² 315 professorships

³ 2003

1.2. Decision-making processes at universities

Research on organizational features of higher education has resulted in different models of university behaviour. These models provide a framework for the analysis of decision-making processes. Following e.g. Garvin⁴, five models should be mentioned: the collegial model, the bureaucratic model, the political model, the organized anarchy model and the economic model.

Collegial model

The fundamentals of the collegial model are the common values which unify the members of such academic institutions. These universities are characterised by an absence of hierarchy, and the wide sharing of values, which leads to general agreement among members on the purposes of the organization and to decision-making by consensus.

Bureaucratic model

Such universities are characterized by a number of bureaucratic features, e.g. formal division of labour, an administrative hierarchy and the payment of fixed salaries. Such university behaviour is described as the Bureaucratic model.

Political model

The Political model is driven by the various opinion-forming groups in universities and the conflicts that arise between them. The behaviour and the decision-making processes of such universities is primarily a consequence of this organisational structure.

Organized anarchy model

In the organized anarchy model three general characteristics are identified which distinguish such universities from most other organisations: preferences are problematic, technology is unclear and participation is fluid. In those circumstances the way in which various choices are presented to the decision makers can have an important effect on outcome. Perhaps the best known theory on the framework of the organized anarchy model is the **garbage-can theory** of Cohen, March, and Olsen⁵. In this theory, an organization "is a collection of choices looking for problems, issues and feelings looking for decision situations in which they might be aired, solutions looking for issues to which they might be the answer, and decision makers looking for work". Problems, solutions, participants, and opportunities for choice flow in and out of the garbage can, and the linkage of solutions to problems is largely due to chance.

Economic model

The Economic model is based on the thesis that universities must be competitive in the mar-

⁴ Garvin, David A. (1980): "The Economics of University Behavior", Academic Press, New York

⁵ Cohan, Michael D.; March, James G.; Olsen, Johan P. (1972): "A Garbage Can Model of Organizational Choice"; *Administrative Science Quarterly* 17, 1-25.



ket for higher education. Thus, evolution of the local decision-making processes is reactive to changes in the environment (the higher education market). Another assumption of the Economic model is that institutional behaviour is purposeful and goal-directed. With these two assumptions, the economic characteristics of universities can be rationalized.

As Garvin⁶ points out, "Economic analysis, while providing valuable insights, does not touch on many [...] important aspects of university behavior. The analysis here should, therefore, be viewed as an attempt to understand only one small part of these complex institutions". This statement is surely true for all five of the models described. Universities show various characteristics of collegial, bureaucratic, political, organized anarchy and economic behaviour. Because of this, a comprehensive model of university behaviour and decision-making processes should include aspects of these five models. Developing such a comprehensive model is far beyond the horizon of this report. So the report focuses on one special aspect of decision-making processes in universities: the comparison of decision-making processes in different higher education systems and the opportunity to learn from each other.

⁶ page 161

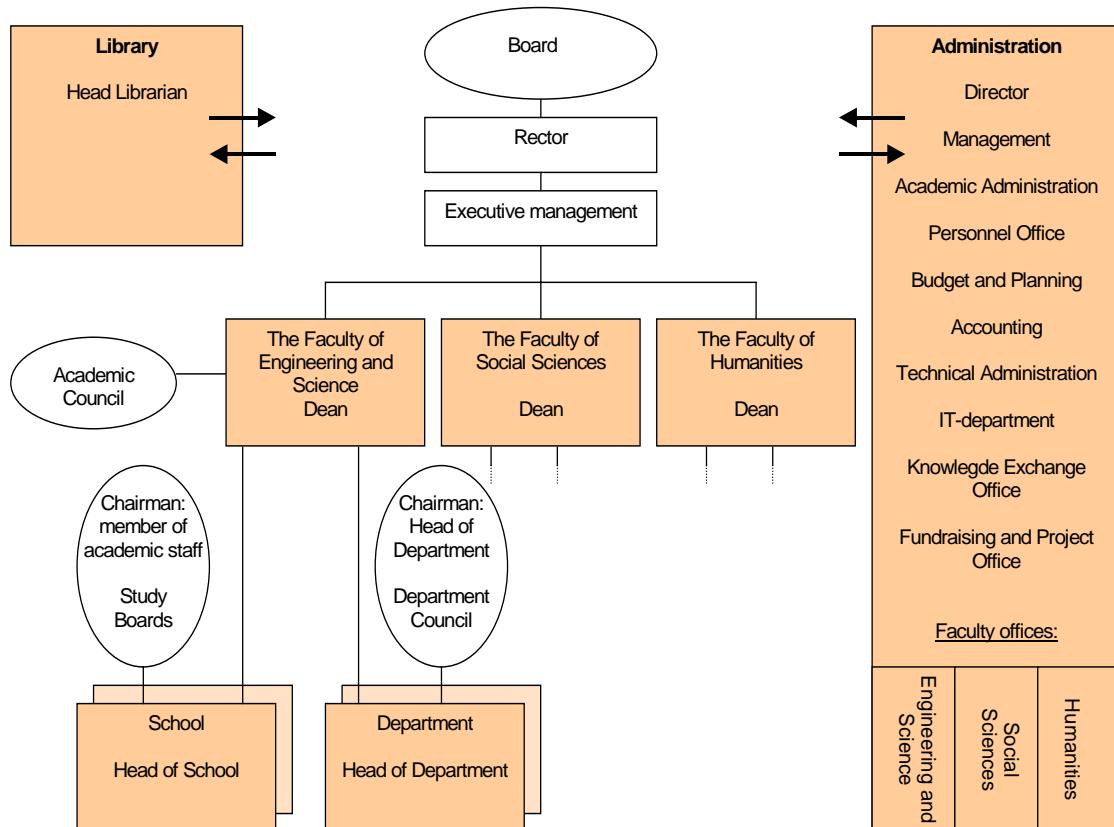
2. The governance and management structures of the participating universities and reviews of selected internal decision making processes

2.1. University of Aalborg

2.1.1. The governance and management structures⁷

Aalborg University (AAU) conducts teaching and research at the highest level in the fields of Engineering, Natural Sciences, Social Sciences and the Humanities.

Aalborg University has more than 13,000 matriculated students, and the annual budget is in excess of DKK 1.3 billion.



⁷ Cf. AAU's proposals for its charter subject to amendment and the approval of the Ministry of Science Technology and Innovation.

Board

The Board is the highest authority of the university. It safeguards the university's interests as an educational and research institution and lays down guidelines for its organisation, long-term activities, and development.

The board consists of 11 members, 6 of whom are external representatives. 2 members represent the scientific staff, including PhD students on university contracts, 1 member represents the technical-administrative staff, and 2 members represent the students. The term of office of the members of the Board is 4 years, except for the student representatives who are elected on a year-to-year basis. External members may be reappointed once. The chairman is elected by and from among the board members. The Rector, Prorector, and University Director participate in Board meetings as observers.

On the recommendation of the Rector, the Board approves the budget, including the distribution of the collective resources and the principles concerning the use of these resources, as well as signing the accounts. The Board also draws up the University's Charter and amendments, subject to the minister's approval. In addition, the Board enters into a performance contract with the minister.

The Board appoints and dismisses the Rector and, on the recommendation of the Rector, appoints and dismisses the other members of the university's executive management, i.e. the Prorector(s) and the University Director.

The chairman of the Board administers the real estate together with a member of the Board.

See also <http://www.aau.dk/led-sekr/bestyrelsen/index.htm>

Rector

The Rector is responsible for the day-to-day management of the university within the framework laid down by the board. The Rector makes recommendations to the Board regarding the employment and dismissal of the other members of the executive management.

In addition, the rector has the following powers:

- Appointment and dismissal of Deans (one Dean at each faculty).
- Recommendation of the budget for approval by the Board and signing of the accounts.
- Laying down the rules governing disciplinary actions regarding students.
- The power to sign on behalf of the university except on matters concerning real estate and the power to decide on all matters not assigned to others by law or delegation.
- Approval of all types of external collaboration with a binding effect on the University.

Under special circumstances the Rector may dissolve the Academic Council and may, also under special circumstances, assume the responsibilities of the Academic Council.

The Faculty of Engineering and Science

Each faculty is headed by a Dean and is organized into departments and study boards. The Dean must be a recognized researcher within the disciplinary fields of the faculty. Furthermore, the Dean must have experience and insight in education and management and must possess management skills and teaching experience. The Dean sets strategies for the faculty's activities in education and research. The Dean is in charge of the management of the Faculty, ensures interaction between research and education as well as the quality of educa-

tion and teaching, and is responsible for the interdisciplinary quality development of education and research in the academic areas of the Faculty. The Dean ensures the framework for the strategic development of individual programmes and crossdisciplinary development.⁸

The Dean employs the heads of department of each of the Faculty departments. The heads of department are appointed, subsequent to public job advertisement, on a fixed-term contract for a period set by the Dean with the possibility of extension. The Dean sets up an appointment committee with representation from the scientific staff, the technical-administrative staff, and the students. The Dean is ex officio chairman of the appointment committee. Those applicants who have not already been declared qualified for a scientific position at the level of at least associate professor are submitted to a standard professional assessment, cf. the ministerial order on appointment of teaching and research staff. If an external applicant is appointed to the position, a job-return position may be arranged at the University.

In addition, the Dean establishes and dissolves study boards comprising one or more programmes or parts of programmes and approves the chairman and vice-chairman of each study board. The Dean appoints and dismisses directors of studies on the recommendation of the study boards involved. The Dean may consult the departments who supply teachers to the relevant study boards in connection with the appointment of directors of studies. The Dean must ensure that the recommended candidate has the qualifications necessary to undertake the duties of a director of studies. The Dean approves study regulations on the recommendation of the study boards. The Dean consults the Academic Council (see below) when approving study regulations and important amendments thereto.

The Dean delegates tasks and responsibilities to heads of department and directors of studies. The Dean may establish advisory bodies (e.g. the Dean's Advisory Educational Committee (Danish abbreviation: DRU)). The Dean has the overall responsibility for the Faculty's programmes and teaching and oversees that programmes and teaching meet the requirements made. In addition to the long-term planning, the Dean is responsible for establishing new programmes and for ensuring that the programmes meet society's competence requirements.

The Academic Council under the Faculty of Engineering and Science consists of the chairman and 14 members. The Dean is ex-officio chairman, and the Council consists of 10 representatives of the scientific staff, including salaried PhD students, and 4 student representatives. The Academic Council summons two or more representatives from the technical-administrative staff to participate in the meetings as observers when the Council discusses the budget and strategy plans for the Faculty. The representatives of the scientific staff are elected for 4 years at a time, and the student representatives are elected for 1 year at a time.

The Academic Council is established and abolished by the Rector, and the Council's responsibilities refer to the Rector or a person authorized by the Rector. At the Faculty of Engineering and Science, the Dean has been so authorised.

The Academic Council has the following responsibilities:

- Commenting to the Dean on the internal allocation of resources.
- Commenting to the Dean on central strategic research and educational areas and plans about knowledge management.
- Making recommendations to the Dean on the composition of expert committees charged with assessing applicants for scientific positions.

⁸ See the strategic plan for the Faculty of Engineering and Science "Strategi 2010".

- Awarding Ph.D.'s and doctoral degrees.
- Making recommendations to the Dean on the appointment of honorary professors.
- Making recommendations to the Dean on the appointment of honorary doctors.

In addition, the Academic Council may comment on all academic matters of substantial importance to the activities of the university and it has a duty to discuss those academic matters put before it by the Dean, e.g. new study regulations.

Departments

The Head of Department is responsible for the day-to-day management and administration of the department, including the teaching activities delivered by department staff. The Head of Department prepares strategies, the work plans that underpin them, and plans and distributes tasks while observing suitable management methods that take into account the different qualifications of staff. The Head of Department may assign specific tasks to employees. During the time when they have not been assigned such tasks, the scientific staff conduct research independently within the research-strategy framework of the University. The Head of Department allocates resources in accordance with the department's budget. He/she is in charge of human resource management for the scientific, as well as the technical-administrative staff. The Head of Department ensures quality and consistency in the department's research and teaching and must ensure that the department is able to deliver research-based teaching to relevant programmes. The Head of Department must, in cooperation with study boards and directors of studies, follow up on evaluations of programmes and teaching.

The Head of Department establishes a Departmental Committee, which has representatives from the scientific staff, the technical-administrative staff, and the students in a ratio of 2:1:1. The Head of Department is Chairman and ex-officio member of the Departmental Committee. The other members are elected directly by and among the scientific staff, the technical-administrative staff, and the students, respectively.

The primary responsibilities of the Departmental Committee are:

- To comment on general guidelines for departmental activities and development.
- To comment on research plans, teaching plans, and other matters of general interest.

In addition, the Departmental Committee must be informed about the Department's budget and accounts and may comment on them. The departmental committee sets its own order of business within the framework of the standard order of business laid down by the Rector.

Directors of Studies and Study Boards

The Director of Studies is the day-to-day head of programmes and as such responsible for their organisation and operation. These responsibilities are undertaken in cooperation with the Study Board. The Director of Studies prepares strategies and work plans underpinning them. The Director of Studies allocates teaching resources on the basis of the Study Board's budget. The Director of Studies is responsible for programme quality and establishes the necessary procedures for the continuous quality management. Together with the relevant Heads of Departments and the Study Board, the Director of Studies must follow up on evaluations of programmes and teaching.

Teachers and students are represented in equal numbers in the Study Board. The Chairman of the Study Board is elected from among the full-time scientific staff. The teachers are elected for 4 years and the students for 1 year. The Deputy Chairman of the Study Board is elected from among the students. The Deputy Chairman participates in the planning of the work of the study board and attends the meetings of the Dean's Advisory Educational Com-



mittee. If he or she is not a member of the Study Board, the Director of Studies participates in the meetings as an observer.

The primary responsibility of the Study Board is to plan and organize the programmes and to ensure that teaching activities are implemented. The Study Board is responsible for programme development and delivery of teaching. The Study Board is responsible for the quality of programmes and teaching and must follow up on evaluations of and complaints about teaching activities in cooperation with the Director of Studies and the Head of Department. In this connection the Study Board may decide who is called on to teach courses. The Study Board decides its own order of business within the framework of the standard order of business laid down by the rector. The Study Board also recommends a Director of Studies to the Dean. Directors of Studies may cover several Study Boards.

The Study Board is responsible for:

- Quality control and quality development of programmes and teaching as well as responding to programme and teaching evaluations in cooperation with the Director of Studies and the Head of Department.
- Preparation of proposals for study regulations and amendments to them.
- Approval of draft budgets, draft plans for courses and examinations, including requisitioning of teaching within the Study Board's domain from the relevant departments.
- Deciding on applications for credit transfers and exemptions.
- Commenting on all matters within its domain that have a bearing on education and teaching and discussing matters within education and teaching submitted to it by the Rector or the Dean.
- Preparation of proposals for ministerial orders on education, examination orders and study regulations for approval by the Faculty.
- Commenting on general rules governing matters affecting teaching within the domain of the Study Board.
- Cooperation with relevant departments on establishing optimum conditions for education and research, including development and updating of programmes and investigating needs in this respect.

2.1.2. The scientific position planning system

The funding coming to the University from the government is a total grant, that can be used for a wide range of expenses within certain limits. The grant includes all groups of expenses such as salaries, laboratories and equipment, buildings and rent etc. The university budget is prepared by Rector and the Executive Management and carried by the University Board. The university budget allocates funds for scientific staff, laboratories and equipment to the faculties.

Allocation of scientific staff is an important part of the strategic planning in the faculties. Within the Faculty of Engineering and Science there are four strategic plans for employment of scientific staff: one for full professors, one for associated professors, one for assistant professors and one for governmental-funded PhD students. The full professor plan is annual, the assistant professor plan and the associated professor plan are revised every year and cover a period of five years. A main principle is decentralisation of responsibilities to the level where the consequences of the decision will most easily be localised and where the competences of decision-making will rest most effectively.

The full professor plan

The number of full professor positions at the university is controlled by government. The Rector and the Executive Management make allocations of new positions among the university faculties. At faculty level the Dean and the Academic Council distribute the full professorships based on departmental demands, the ratio of full professors to associated professors in the departments and the number of talented persons on the market. In addition there are a number of time-limited professorships, a number of which are funded externally. The number of full professorships is low compared to most other countries, at the moment approximately 1:8.

The assistant professor plan

Assistant professors are time-limited positions of 3 years. To ensure continuous staff turnover within the department, some assistant professor positions are allocated independently of the current capacity and teaching demand of an individual department.

The PhD plan

A PhD scholarship runs over a period of 3 years including ½ year of teaching obligations. The faculties have a limited number of governmentally-financed PhD positions. These positions are mainly distributed to the departments on the basis of the number of scientific staff employed in the faculty. The specific PhD research areas are decided at departmental level. Most PhD students are funded externally and co-financed by faculty.

The associated professor plan

The number of associated professors allocated to a department is based on the documented results, demonstrated needs, and the teaching / research capacity of all scientific staff in the department.

The Study Boards are responsible for the education of students. Study Boards requisition lessons and supervision in the departments. If more students attend the educational programmes of a Study Board, this Study Board gets increased resources and more employees are needed in the departments. If the demands on a department from the Study Board decline, the staff numbers will be reduced.

The demand for PhD student courses and supervision is met by departmental staff

If research volume in a department increases, more staff will be employed.

Demands on departments, to support dissemination of research through networks, affects the number of staff allocated.

Academic staff members relieved of teaching and other duties to undertake research projects, or take leave, are replaced by new permanently-employed academic staff.

All unoccupied positions are abolished and redistributed.

The co-financing system

The Faculty co-finances external-funded positions with equivalent university positions (½ teaching and ½ research) giving strong support to successful research groups. The system is

financed by the Faculty budget, reducing the department budgets.

Securing new talent for the Faculty

Talented internationally-recognized persons undertaking work that is cognate to the Faculty research areas are given priority when a position is available.

Appointment of scientific staff

All scientific staff are appointed by the Dean. The appointment is based on the input from a scientific selection committee, which evaluates the applicants for the position. The evaluation covers scientific, as well as pedagogical skills. The interval from the advertisement of a position to the appointment varies from a couple of months to a maximum of approximately one year.

Conclusions

The system of automatic allocation of new staff is based on the incentive that active areas will grow, rather than having a Faculty Strategic Plan.

The general position-planning model works well in well-established departments that are subject to minor changes. The yearly calculation of staff capacity and the abolition of unfilled positions give continuous flexibility to adapt to changes in capacity. The model is constrained by being unable to react rapidly to capacity changes, such as new departments or activities. In such cases special arrangements are required. It is also difficult to fund new initiatives during recession or down-sizing.

Most departments have significant externally-funded research activities, by means of which a significant number of positions are allocated. The related university-funded positions are part of the departmental teaching capacity, which may give rise to the problem of mismatch between teaching topics that are requested and active research areas. The problem is extended in the case of PhD students, who have teaching obligations but are mostly attached to strong research groups, generating a conflict of functions.

The Faculty co-financing mechanism, that doubles externally-funded positions, rewards active and talented groups but at the same time it reduces the possibilities for strategic planning at the department level.

Applications for external funding for research projects can be planned, but at the moment only 10% of the applications are funded, causing considerable difficulty in detailed strategic planning. Occasionally, departments end up with research areas and teaching activities that are unbalanced internally. The imbalance is underpinned by the co-financing process.

The co-financing process supports research activities at the expense of the educational needs.

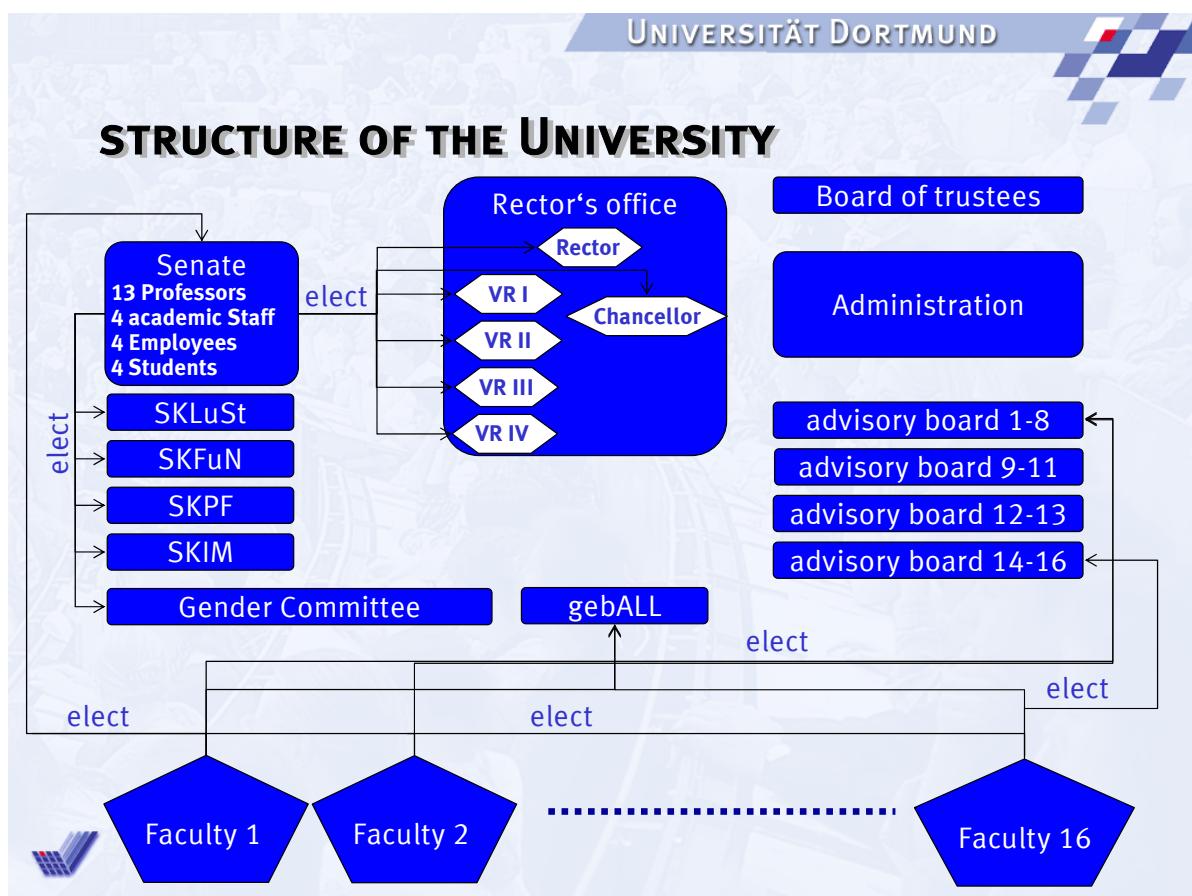
2.2. University of Dortmund

The University of Dortmund combines academic tradition with modern programs to guarantee excellence in the quality of its teaching and research. Established in the sixties as a solution to the socio-structural crises of this former coal and steel district, it has enriched the educational landscape with new and somewhat unique study programs and, thus, acquired a reputation as an innovative reform university. Apart from the strengths of the individual technical disciplines, the University of Dortmund promotes interdisciplinary cross-linking of subjects, which results in it having a special profile of its study programs and in interdisciplinary research.

The University of Dortmund was founded in 1968 with the mission to promote the economical, mental and cultural development of the region. Focus on specific scientific fields (engineering sciences and computer science, natural sciences and economic science), new interdisciplinary study packages and research fields as well as newly-developed methods of training and teaching gave the University a special, singular profile. Organizationally, the University of Dortmund is divided into the following sixteen faculties:

- mathematics
- physics
- chemistry
- computer science
- statistics
- bio and chemical engineering
- mechanical engineering
- electrical engineering and information technology
- spatial planning
- architecture and civil engineering
- economics and social sciences
- educating science and sociology
- rehabilitation sciences
- human sciences and theology
- cultural studies
- art and sports.

2.2.1. The governance and management structures



Rector's Office:

The Rector's Office consists of the Rector, four Vice Rectors and the Chancellor. The Rector's Office is in charge of:

- University development
- allocation of personnel and money to faculties
- evaluation of the fulfilment of all the University's obligations and performance

Rector

The Rector is head and representative of the University (e.g. in the Rectors' Conference). He or she has to be full professor and is elected by the Senate - for a period of office of 4 years. Re-election is possible and not unusual. The rector is Chair of the Senate

4 Vice-Rectors

The 4 Vice-Rectors are elected by the Senate for a period of 2 years. Re-election is possible and not unusual. 3 of the 4 Vice-Rectors have to be full professors. Each Vice-Rector has a special area:

- Vice-Rector I: Studies and study reform
- Vice-Rector II: Research and international relations

- Vice-Rector III: Planning and finance
- Vice-Rector IV: Infrastructure and media

Chancellor

The Chancellor is the head of the administration. He or she is responsible for the finances of the University.

Senate

The Senate is a board of 13 professors and 4 representatives of the other academic and non-academic staff, and students plus advisory members such as the Vice-Rectors, the Chancellor, the Deans, the Equal Rights representative, the representative of the students' General Committee. The Senate chooses the members of the Rector's Office and of the permanent commissions. It is the advisory and supervisory board to the Rector's Office. The Chair of the Senate is the Rector.

Board of Trustees:

The Board of Trustees is the advisory committee which links the University to the local/regional government and to industry, e.g. the Lord Mayor of Dortmund is usually a member of the Board of Trustees.

Permanent Commissions:

- Studies and Study Reform (chaired by one of the 4 Vice-Rectors)
- Research and International Relations (chaired by one of the 4 Vice-Rectors)
- Planning and Finance (chaired by one of the 4 Vice-Rectors)
- Infrastructure and Media (chaired by one of the 4 Vice-Rectors)
- Equal Rights Commission
- Committee of Common Resolutions for Teacher Training (GEBALL)

Central institutions:

Scientific

- the Institute of Robotics Research (IRF)
- the Institute of Environmental Research (INFU)
- the Centre for Teacher Training
- the Centre for Higher Education and Research in Faculty Development

Administrative

- the University Library (incl. the faculty libraries)
- the University Computing Centre
- the Media Centre
- the Centre for Further Education
- the Centre for Foreign Languages

Faculties

The 16 faculties are currently the units that are in charge of matters of administration, re-

search, and teaching. Faculties 1-10 cover natural and technical/engineering sciences and Faculties 11-16 cover social and cultural sciences/humanities

Faculty Council

The Faculty Council is the legislative, self-governing body consisting of 8 professors, 3 members of other academic staff, 1 member of non-academic staff and 3 students. It is in charge of all affairs concerning the Faculty's research, teaching, organisation and regulations. It may establish non-permanent commissions, e.g. for appointment to a vacant chair or creation of a new one.

Dean

The Dean is the executive head of the Faculty and has to be a full professor. He or she is the Faculty's representative within the University and attends all sessions of Senate. He or she is in charge of:

- the Faculty's development plan within the University's development plan
- the organisation and evaluation of the study programmes
- the organisation of examinations

He or she has the right to give orders, including to professorial colleagues, and can reject all decisions made by the Faculty Council or other bodies or individuals in the case of non-compliance with the law or other regulations. The Rector has to be informed in such a case

Vice-Dean(s)

The Dean can be supported by 1 or 2 Vice-Deans (teaching and academic affairs / finances), elected by Faculty Council for a period of office of 4 years. The Vice-Dean (teaching and academic affairs) need not be a professor. Currently 10 of the 16 faculties have 2 Vice-Deans

Central Administration

The **Head of Administration** is the Chancellor. He or she is a civil servant, chosen by the University, but appointed by the Ministry of Science and Research (period of office of 8 years). He or she is Bursar of the University: in charge of finance and budgeting and a member of the University's leading body, the Rector's Office

The **central administration** consists of 6 Departments headed by senior executives and 2 offices:

- Dpt 1: Academic, Student and Legal Affairs
- Dpt 2: Strategic Planning, Development and Controlling
- Dpt 3: Personnel
- Dpt 4: Organisational and Personnel Development
- Dpt 5: Finance, Budget and Research Affairs
- Dpt 6: Buildings and Technical Services

the Office for International Relations
the Office for Public Relations and Knowledge Transfer

The governance and management structures of the University of Dortmund display a highly intricate infrastructure with closely interlinked bodies and partly overlapping responsibilities.





Insufficient coordination of decision-making processes can incur the penalties of tensions and time delays. The centres of decision-making are currently located in the Rector's Office and the offices of the Deans. The University does not enjoy a large degree of autonomy. Delegation of responsibilities to the level of the faculties and institutes would clearly accelerate many important decision-making processes.

2.2.2. Characteristics of university autonomy in Germany

Large influence of the state in matters of content and finances

German universities are public corporations, i.e. authorities within a federal state/ Bundesland. The government has an important say in university affairs - within the state budget and the educational policy framework. Governmental decisions are put into practice by decree. The Ministry of Science and Research has the right of general supervision. Through lobbying or negotiation, the universities try to make their influence felt on these decisions. However, state's influence on issues, such as study programmes, the university budget, property investment and personnel, is still tremendous. The state therefore remains an important tool of governance.

Relatively low amount of university autonomy and limited possibilities to shape the university conditions of the future in the most desirable way

The amount or extent of autonomy experienced by German universities is low. It is only exercised by them in some respects, and only to some extent, c.f. for criteria for autonomy: 'Extent autonomy experienced by universities' (Dr. Peter W.A. West)

Autonomy at the University of Dortmund (and German universities in general)

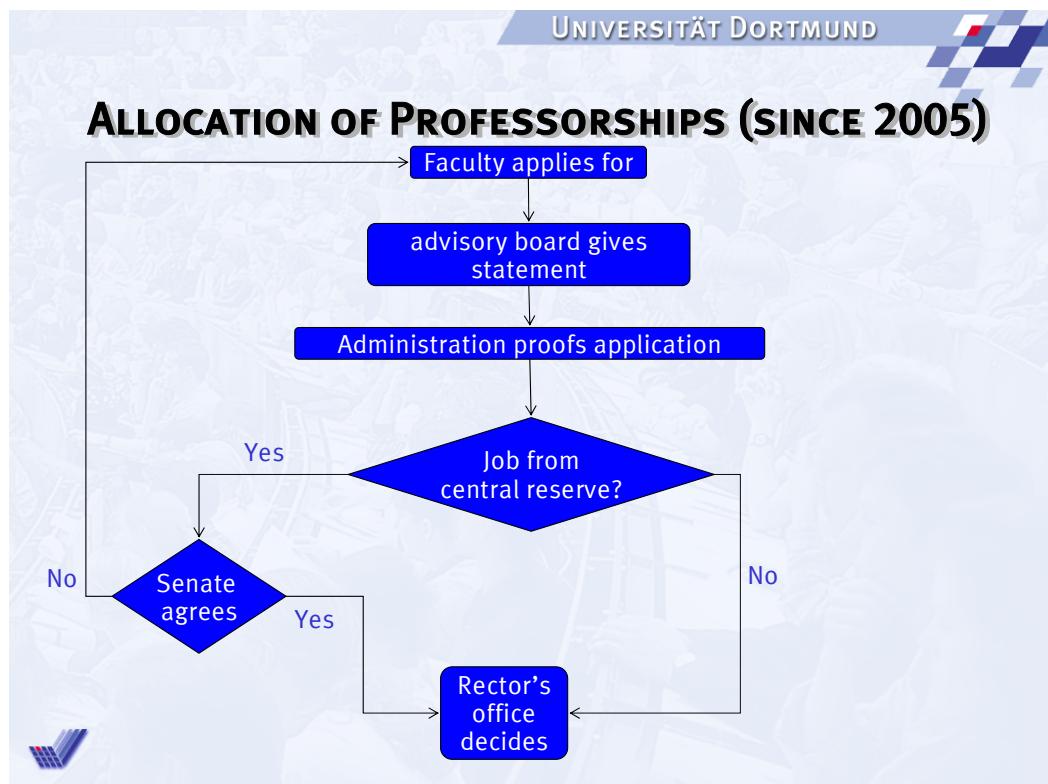
own their own buildings and equipment:	no: buildings owned by BLB; university is just tenant yes: equipments belong to the university
borrow funds:	no; borrowing is possible to a certain extent
spend budgets to achieve their objectives:	Yes
set academic structure/course content:	to some extent, in specific areas, lots of framing conditions
employ and dismiss academic staff:	no and yes – within the limits of the demands of the budget; ultimate responsibility of the Dean
set salaries:	no: fixed salaries, so far yes: new regulations apply to top-up salary (performance-related part of the salary)

decide size of student enrolment:	in a very limited way: <ul style="list-style-type: none">• special Numerus Clausus (restriction on admissions)• introduction possible in line with the governmental regulations• otherwise acceptance of all students in study programmes without restrictions on admissions• acceptance of a specified number of students in study programmes with restrictions on admission according to KapVO (Capacity Order)
decide level of tuition fees:	no (fees are only just now being introduced for students not finishing their studies in due time)

Conclusion:

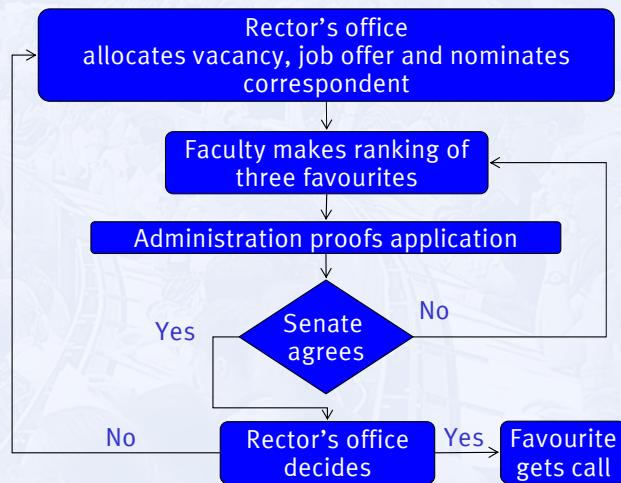
The governance and management structures of the University of Dortmund display a highly intricate infrastructure with closely interlinked bodies and partly overlapping responsibilities. Insufficient coordination of decision-making processes incurs the penalties of tensions and time delays. The centres of decision-making are currently located in the Rector's Office and the offices of the Deans. The University does not enjoy a large degree of autonomy. Delegation of responsibilities to the level of the faculties and institutes would clearly accelerate many important decision-making processes.

2.2.3. A review of the allocation and appointment of professorships





APPOINTMENT OF PROFESSORS (SINCE 2005)



In North-Rhine/Westphalia, the number of professorships available for the universities is fixed in the budget plan of the state. Changes in these numbers are possible only in the context of household negotiations. The internal distribution of professorships within any university is the responsibility of the Rector's Office. The university law of North-Rhine/Westphalia recognises that the responsibility for central distribution of resources lies in the Rector's Office. The procedure for the occupation of professorships can be divided into two parts: the allocation of a professorship and the appointment of the professor. If a professorship becomes vacant, then the Faculty to which the professorship is assigned, can apply for that professorship from the Rector's Office. A request from the Faculty Council is required. By reference to the Strategic Plans of both the University and the Faculty has to justify why, and for which field of application, the professorship should be assigned again by the Rector's Office. Before the Rector's Office reviews the application, a vote from the responsible Advisory Board has to be polled by the Faculty. On the basis of the content of the application and the vote of the Advisory Board, the Rector's Office decides on the allocation of the professorship, its denomination, and the text of the job advertisement. In addition, the Rector's Office designates a correspondent, who shadows the appointment procedure that begins when the Rector's Office assigns the professorship. The Faculty establishes an appointment commission that comprises at least three professors, one member of the academic staff and one student. Generally, the voice of the group of the professors is greater than that of the remaining representatives. The appointment commission evaluates applicants, invites suitable candidates to appointment lectures and provides a prioritised list with suggestions for appointment (appointment list). Reports from two external peer reviewers are required for each of the three candidates on the appointment list. These reports form the basis on which the commission decides the final ranking of the three candidates. This appointment list is then reviewed by the Faculty Council and the resultant resolution is submitted to Senate. If Senate agrees, the list is submitted to the Rector's Office for adoption of the resolutions. If Senate does not agree, it can either make a statement to the Rector's Office, or refer the list back

to the Faculty for renewed consultation. If the Rector's Office agrees to the appointment list, the first candidate on the list receives a call from the University to take up the professorship. Negotiations then take place between the candidate, the Faculty, the Rector and the Chancellor on the equipment dowry for the professorship, and between the candidate and the Chancellor (as the representative of the Rector) over the salary. If an agreement over both is reached, the candidate accepts the call and he or she will be appointed as a professor by the University. Faculties are requested to apply for a professorship two years before the vacancy is to be filled, to ensure smooth reoccupation.

The procedure described was initiated in January 2005. Prior to this, the Ministry had to agree to changes in denominations of professorships, had the right to change the appointment list and to put out the call, and also lead the salary negotiations. Before 2005, a rigid salary system allowed hardly any flexibility for negotiation. In January 2005 the new university law and salary system ('the W-salary') were implemented. Now, the universities can decide, in the context of national political defaults which are subject to goal agreements, where they want to deploy their professorships and with which denomination. Now, the universities appoint and also lead the salary negotiations. Salary negotiations have become more flexible since the implementation of 'the W-salary'. From 2005, the salary of professors is divided into a basic salary and achievement awards. These achievement awards are negotiable individually, in the context of the defaults of the 'the W-salary'. As it has been implemented recently, experience with this model of salary negotiations is still very rudimentary, but it is recognised as more favourable for the Universities than the previous model.

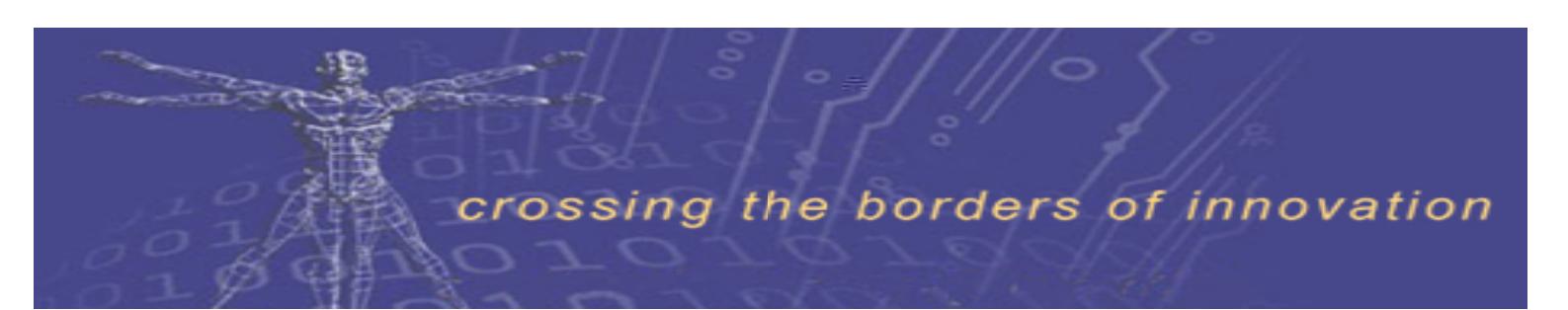
The mobility of German professors between the German states is limited to a certain extent, because of some regulations relating to old-age pensions. For example, when a professor has been working for five years as a civil servant in a state, that state must agree to take over a proportion of the pension if the professor moves to a professorship in another German state. In addition the Ministry of Finance of Northrhine Westphalia has to agree, if the professor is older than 45 years at appointment.

Conclusion

The procedure for allocation and appointment was up to the year 2005 much longer (up to 2.5 years) than comparable decision-processes at the other universities participating in the ECIU Programme (about 4 to 5 months at Aalborg, Strathclyde and Twente) but first experiences with the new model initiated in January 2005 show that by the delegation of the appointments from the Ministry to the universities the duration of appointment procedures shortens significantly. In addition, internal appointments (home calls) are allowed and regular. Furthermore, the governance and management bodies that decide these matters at universities abroad operate below the level of the Rector's Office and of Senate, i.e. at the level of faculties and institutes. They are likely to meet at short notice and much more frequently, which accelerates the speed of decision-making decisively.

The University of Dortmund will enjoy financial autonomy from 2006, but there will be no possibility to create new jobs if there are no cuts in other areas, or unless additional funds from third parties can be found. It is likely that only existing jobs will be administered (allocated due to the capacity utilisation factor). As more money will have to be spent to maintain the existing jobs, through inflation as a result of salary negotiation, this will be difficult enough. There is considerable anxiety that, should budgets reduce in the future, faculties will become understaffed or run into debt. For the University, the allocation of professorships is therefore an important element of strategic planning. From this perspective, the high leverage of the

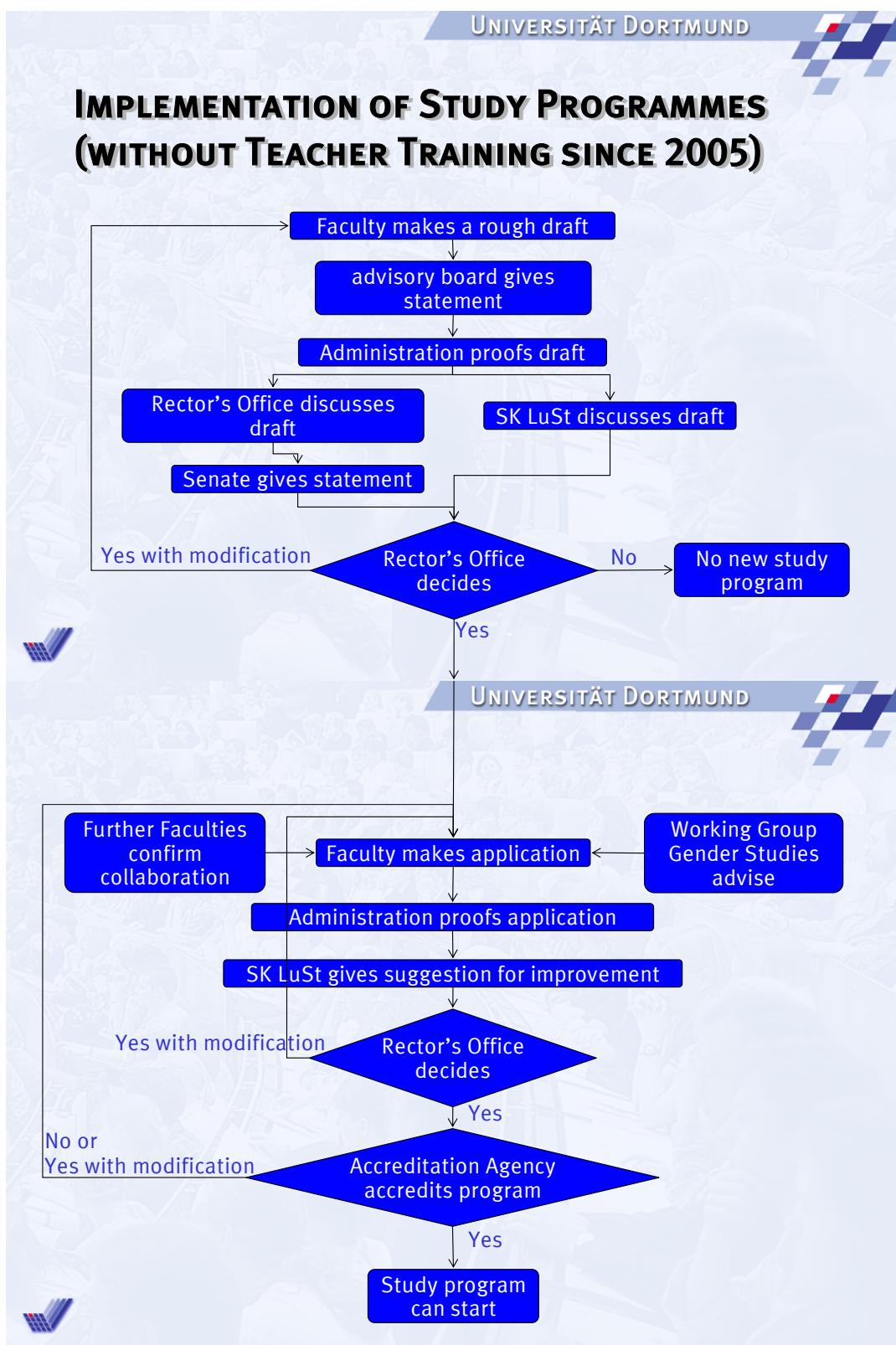




crossing the borders of innovation

age of the Rector's Office in the allocation and appointment process seems to be justified but, on the other hand, the duration of the decision process is mostly much too long.

2.2.4. A review of the introduction of new study programmes



Abbreviations:

GEBALL:	Gemeinsam beratender Ausschuss für das Lehramt (Committee of common resolutions for teacher training)
ZFL:	Zentrum für Lehrerbildung (Centre for Teacher Training)
BA/MA-LA:	Bachelor und Master im Lehramt (Bachelor and Master Programmes in Teacher Training)
IAA:	Institut für Anglistik und Amerikanistik (Institute of English and American Studies)
MSWF:	Ministerium für Schule, Wissenschaft und Forschung (Ministry of Science and Research of North- Rhine Westphalia)
KMK:	Kultusministerkonferenz (Conference of the ministers of education and the arts)
LPO:	Lehramtsprüfungsordnung (examination order for study programmes in teacher training)
LAGB:	Gesetz über die Ausbildung für Lehrämter an öffentlichen Schulen/ Lehrausbildungsgesetz (law regulating the teacher training for future teachers at public schools)

The administrative units which are mainly in charge are: Dpt 1: Academic, Student and Legal Affairs; Dpt 2: University Planning and Controlling; the Rector's Office (the Rector, the Chancellor, Vice-Rector I) and the Permanent Commission for Studies and Study Reform. Various other associations are also involved, e.g. GEBALL and ZFL. The introduction of new study programmes is affected by decisions in the areas of university development, budgeting, and personnel. The Deans and faculties produce structural development plans within the University's structural development plan; they are responsible for the organisation and evaluation of the study programmes. The Vice-Deans are in charge of teaching and academic affairs.

Analysis of the decision making process in the introduction of new modularised study programmes in the Teacher Training in English and American Studies (preliminary step towards the introduction of Bachelor and Master Programmes/BA/MA-LA)

1. The context: internationally divergent conventions of education and teaching programmes

The Bologna process was an important initiative to make international standards of education compatible and to facilitate student mobility all over Europe. However, there were extreme difficulties in transferring the Anglo-American system of Bachelor and Master degrees to Germany. The most severe difficulties in the introduction of the new study programmes occurred with the German Diploma study programmes of the natural and technical/engineering sciences which held, and still hold, an international reputation. Fewer difficulties, though some obstacles, occurred in the humanities (familiarity with British and US programmes; student exchange with universities in English-speaking countries, more easily compatible structures). The greatest problem that presented itself in the area of Teacher Training was to keep the well-proven quality of a close interlink between scholarly disciplines (e.g. in English and American Studies: linguistics, literary and cultural studies) and didactics (teaching English as a Foreign Language/EFL). Generally speaking, there has been slow international acknowledgement of the new academic degrees.

2. Finances/budgeting

The state provides by far the largest proportion of the annual income of universities. The annual budget is about 200 million Euro. More than 80% is allocated by the state. It claims the right to exert its influence on the new study programmes. Consequently, the influence of the government of the federal state of Northrhine-Westfalia is tremendous. Measures of the recent past such as 'Quality Agreement', 'Review', 'Objective Agreements', 'Study Reform', 'Strategic Concept' related to research and teaching, but simultaneously aimed at bringing the universities in Northrhine Westphalia in line with the current financial situation.

Currently, there is gradual movement towards more budget autonomy and flexibility for universities, e.g. changes from traditionally segmented budgets towards lump sum-oriented budgets. Universities are given the power to decide on how to spend their resources on personnel and material. However, under decreasing budgets this will become more difficult. The new system of administering finances will require intensive financial planning in the future. It is expected that this will in fact result in the administration of financial shortages. It is estimated that 5 to 10% more funds will be needed to maintain the existing posts. This will create competition and tensions from 2006. Introduction and implementation of the new study programmes was declared by the Ministries to have to be cost-neutral (no additional claims on professorships, rooms, equipment etc.).

3. Characteristics of the decision making processes

1. Difficult political and economic framing conditions

German universities are supposedly to enjoy a larger degree of autonomy in the future. However, there is simultaneous interference from economics and politics. While politics has to formulate framing conditions, the economy has to take care of the finances. Significantly, and absurdly enough, the educational specialists did not have a major say in the introduction of the new study programmes.

2. Lacking autonomy in matters of contents and organisation

The implementation of Bachelor and Master Programmes at the Faculty of Cultural Studies in non-Teacher Training areas (Applied Linguistics; Applied Literary and Cultural Studies) in the middle of the 1990s had been a 'bottom-up' process, spreading beyond the faculty to the whole university, initiated by the IAA. In contrast to this, the introduction of the new modularised study programmes in Teacher Training was a 'top-down' process steered and supervised predominantly by the two Ministries of Research and Education. The education experts were insufficiently listened to. They rather had to obey orders.

3. Neglect of the application of professional management principles and principles of strategic planning

The whole process did not display indicators of professionalism such as proactivity, a clearly-defined strategic planning process, avoidance of conflicting allegiances; and incrementally-achieved long-term changes.

4. Insufficient coordination

Coordination between the decision-making bodies was lacking on all levels, i.e. between the ministries of Science and Education (conflicting claims; the guidelines of the Ministry of Education were particularly rigid), the University, the faculties, and the IAA. Already, the theoretical documents for the implementation required an iteration of decisions between faculties,

Dpt. 1 and 2, the Rector's Office, SK LuST, Senate, the working group "Gender Studies", GEBALL, and the two Ministries. A paradoxical situation existed: a contradiction between the top-down character of the process and the involvement of too many people and institutions on diverse levels of decision-making processes, i.e. seemingly democratic procedures were prevailing. This resulted in a high amount of wrestling among the various decision bodies.

5. Confusing information policy

There were huge delays in processing significant and badly needed information. At the same time people were confronted with quickly changing and conflicting pieces of information, i.e. there were constant changes of the framing conditions for the process along the way. This caused some irritation among colleagues because of conflicting claims, demands, and an enormous time pressure. The situation was untenable over years due to the unnecessary waste of time, energy, and human resources. There were good intentions on all sides, but it was hard to compensate the mismanagement over such an extended time span.

6. Dissatisfactory time management

The process was conducted between September 2000 and September 2004 - from first official declarations and documents on the national and federal level (KMK, Ministries) to sorting out the last practical details at the University. The new study and examination regulations of the transition model (LPO, LABG) will actually only be in effect for two years. Yet the detailed work on the practical details lasted five semesters.

The University's own concepts for the implementation were not heeded: The University had devised procedures to facilitate the preparation and implementation, suggested single steps and a general time frame with the aim of avoiding delays in time due to lack of coordination among all parties and bodies involved. The procedures suggested conceptual (3 months), processing (4 months), approval (3 months) and accreditation phases (6 months) (total:16 months). The implementation was to occupy another 6 months. The total length of the process was to span 22 months.

Over the whole period of the introduction and implementation there were belated reactions and responses. During the initiatory phase, fundamental decisions on the shape of modules and the outlines of the future study structures were made and first concepts of modules were developed. This phase was much too long, drawn out, lacking coordination, and caused a lot of insecurity. As a consequence, important compulsory guidelines were finalised much too late. This affected the other phases negatively. In the middle phase, details were sorted out, contradictions resolved, and manageable practical solutions offered. Delays in the conclusion of the initiatory phase resulted in the detailed work having to be conducted under the worst conditions imaginable (shortest time span within the whole process). This proved to be the most difficult and hectic phase. In the last phase, the descriptions of modules, course offers, core curricula, standards, competencies, study and examination orders were finalised.

Due to shortcomings from the outset, the final phase was hopelessly behind schedule. By the time the last details could be worked out, the study programmes had started already, i.e. students had to enrol without official approval of the programmes (a phase that lasted two semesters). Official approval was given a year after the start of the new study programmes. At that time, relevant study documents, such as study plans and module certificates, were still being completed and colleagues in charge of single modules were still being appointed.

7. Numerous accompanying and disturbing factors

The two phases (introduction of credit points and modular structures, and Bachelor and Master programmes) were confused. After a certain point, they started to overlap and ran in parallel, which resulted in confusion, tensions and time pressure. The Tuning Process with the University of Bochum was initiated at a time when the new study programmes of Bochum had already been officially approved, those of Dortmund were in the final phase, and both turned out to be incompatible, i.e. the original aim of the introduction of the new study programmes, to facilitate the students' mobility between universities, cannot be said to have been achieved because it will be much more difficult in the future for students to change universities after their Bachelor degree.

8. The struggle to maintain the existing quality of teacher training

A lot of attention, however, was paid by the colleagues implementing the programmes to the impending dangers of sacrifices and losses (in quantitative and qualitative terms). The whole project can be characterised as a half-hearted, insincere reform of the Teacher Training system. Actually neither the US-American nor the British model was adopted and the confusion of incompatible old and new study elements has continued. One fundamental contradiction has remained. There is the necessary compatibility of study programmes at the 13 universities in Northrhine-Westfalia on the one hand, and the required uniqueness, i.e. the special qualities through which to distinguish one institution from another) on the other. Both are part of the competition process.

9. Excellent outcome

The outcome - paradoxically enough – was excellent. This is due only to the fact progression deficits were being constantly compensated by yet more intensive work on behalf of colleagues at the base of the University. The example can be regarded as a proof of the outstanding value of the civil servant system in employment (high commitment to work and perseverance even under conditions of change, tensions, conflict and crisis).

10. Difficulty of recognition

In Germany the 6-semester Bachelor and 1 or 2 years- Master programmes are regarded as insufficient in quality to become a teacher. Thus they have to be complemented by the first state examination and a 2nd phase of teaching and teacher training in special Teacher Training Seminars of 2 years.

11. Trans-national, intercultural perspectives

In Denmark, the first Bachelor and Masters Programmes were introduced in the late 1970s/at the beginning of the 1980s. The measure did not create a big national stir. The humanities and social sciences already had Bachelor and Masters Programmes before the Bologna process was initiated; whereas only the engineering sciences had to introduce them anew. On ministerial order, the old 5-year candidate programme was replaced by a 3+2-years Bachelor and Masters programme. The MA was placed on top of the curriculum studied previously. The numbers of students accepted for the Bachelor and Masters programmes is not regulated. The ministry did not prescribe the contents of the programmes, and the guidelines were very general. Only teachers for the gymnasium are trained at the University of Aalborg (in addition to teachers for tertiary education). The process of implementation was very short (a couple of months), but the discussion of the competencies and qualification took about two years.

In the Netherlands, the introduction of Bachelor and Masters programmes took place at the end of the 1990s. The University of Twente replaced the 4-year candidate programme by a 3-years Bachelor programme, and the 2-year Doctorate programme by a 2-year Masters programme (one year for teachers) followed by a 3-year Doctorate programme.

In Scotland, the Bachelor phase is one year longer than in England. But because the students are only 17 years old at entry, the exit point is the same for Scottish and English students. There have been teacher graduates at the University of Strathclyde since the 1980s. The Bachelor degree for secondary school requires a certain number of points at a certain undergraduate level. The teacher degrees were recently accredited by the General Teaching Council for Scotland (GTCS). The programmes re-accredited. At present there are two models of qualification: an integrated Bachelors of 4 years including subject-based studies, educational studies and teaching practice (studied concurrently; better suited for Primary School), and an entry with an undergraduate degree (3 or 4 years) plus a year of educational qualification (postgraduate diploma). In both programmes the students have to do practical work at school of at least 92 days. The 1- year-induction at school can be compared to the German "second phase". Afterwards the students are registered by the GTCS. Student numbers are controlled by government. Due to the fact that the existing models were close to the Bologna Process already no major measures of adaptation were needed. Despite the still existing difficulties in the international recognition of the German Bachelor the University of Strathclyde might accept German Bachelors after an individual achievement check.

Suggestions for improvement

Fundamental decision-making processes like the one described above should, by all means, be conducted in a bottom-up process. Measures of this dimension require the application of professional management principles such as proper coordination, adequate time management, responsible management of human resources, and avoidance of conflicting allegiances. The aim for the future must be to involve fewer decision bodies, to avoid a shifting back and forth of decisions between various bodies, and shift of power in decision making from further up to further below (cf. Denmark, Netherlands).

The value of participation in the ECIU workshop

Participation of colleagues from the University of Dortmund in the ECIU workshop since 2003 can be regarded as a first important and long needed step in the improvement of the professional quality of university management. There is no tenure track in Germany. Neither have professors/scientific staff been especially trained (or paid) for administrative work so far, i.e. everything is done on the basis of learning by experience. As administrative work for non-administrators may occupy up to 70% of their capacity (in other countries: only 10%), work in that field has to be professionalised by all means. Scholars/scientists cannot be expected any longer to good-naturedly and unselfishly fulfil an absurd over-demand of administrative work at the cost of research or teaching (the teaching load has also been recently increased; it was the highest world-wide already, e.g. double of Denmark). Such a bad practice, which displays a non-professional attitude, does not make universities fit for the future. Therefore it is not tolerable any longer.

The major advantage of the workshop programme is the inclusion of scholars/scientists and administrators. This enhances their mutual understanding of the tasks that have to be fulfilled together in a satisfactory way to guarantee a smooth running of important academic affairs.

The topics of the assignments reflect a number of important trends and developments at

stake right now. The most important insights by participants were certainly gained – apart from single plenary sessions and lectures – from work in the assignment groups, i.e. face-to-face/interpersonal communication and the international comparative perspective. In detail it could be recognised that the cultural practice of academic affairs is still highly diverse within Europe. This diversity should not be sacrificed or levelled, but the positive experiences in some countries and universities have to be made available to other universities as quickly as possible so that they can improve on still existing deficits. It is to be hoped that our report will fulfil this function.

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4. Acknowledgements

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- the Dean's assistant, Bernd Essmann,

for their support in updating information on all relevant issues concerned.

2.3. University of Strathclyde

2.3.1. The governance and management structures

The Charter

The University of Strathclyde was established by Royal Charter in 1964 to advance learning and knowledge by teaching and research, particularly into the basic and applied sciences, to enable students to obtain the advantages of a liberal university education and to be both a teaching and examining body.

The Charter establishes:

- A Chancellor as Head of the University
- A Principal as the Chief Academic and Administrative Officer of the University and as Vice Chancellor in the absence of the Chancellor
- A Vice-Principal to perform functions delegated by the Principal or by the Court in the Principal's absence
- A General Convocation to appoint the Chancellor, to receive an annual report on the working of the University and with the right to appoint four members to Court
- A Court to be the Governing Body of the University
- A Senate to be responsible for the Academic Work of the University, both in teaching and in research, and discipline of the Students
- Schools of Study/Faculties each to be run by a Board of Study comprising Professors, Heads of Departments and other academic staff chaired by the Dean)
- An Academic Congress to comprise all academic staff and to be chaired by the Principal
- A Committee for each Department to comprise all academic staff and to be addressed by the Head of the Department at least once a year
- A Students' Association
- A Graduates' and Former Students' Association

The Scope of the University's Powers

- By Special Resolution of the Court and subject to approval by the Privy Council, Statutes may be made and amended as necessary to regulate or prescribe provisions of the Charter and other proper provisions.
- By Resolution of the Court and subject to the recommendation of Senate for matters concerning the academic work of the University, Ordinances may be made and

amended as necessary to further regulate or prescribe provisions of the Statutes.

- By Resolution of the Convocation, Court, Senate or Boards of Study as appropriate, Regulations may be made pursuant to the Charter, or the Statutes or the Ordinances. However, approval of the Privy Council is required to make any amendment to the Charter and/or Statutes.

Statutes

Statutes define the composition, selection procedures (where appropriate) and duration of appointment for membership of:

- The University
- The General Convocation
- Court
- Senate
- Schools of Study

Statutes define the powers and functions of Court and Senate and confirm their entitlement to establish Committees. They define the method and term of appointment of those Senior Officers required by the Charter. They require Court to appoint a Secretary to the University, a Librarian, an Auditor or Auditors, and permit it to appoint a Deputy Principal or Deputy Principals, Academic staff, and other staff. A Statute requires Court to appoint a Dean of each School of Study. Statutes prescribe periods of study necessary to qualify for graduation, require the University to hold Congregations for the purpose of conferring degrees and empower the University to confer Honorary Degrees. There are Statutes to govern the removal and retirement of Officers and Members of Staff

Therefore, the University of Strathclyde has a rigorous framework of 'rules and regulations' that allows it to be essentially self-governing. Systematic and substantial changes to the framework have to be approved by an outside body, the Privy Council. Historically, the Privy Council was the name given to the group of ministers who acted as chief advisers to the King or Queen. But, as the power of the monarch declined, the Government Cabinet replaced the Privy Council as the senior decision-making body in the country. Today, the Privy Council's duties are largely formal and ceremonial, but in the context of university governance it provides a check and balance on changes that are proposed. It is rare for the Privy Council to refuse a request from a university, except in that it would put that university seriously out of line with the others.

ORGANISATION AND MANAGEMENT

Introduction

The University is managed through a system of Committees and Senior Officers which is underpinned by a Central Administration and a small number of Special Support Services. Committees comprise an appropriate representation of academic staff from across the whole



University spectrum, together with representatives from other categories of staff, students and lay members where appropriate.

Senior Officers comprise the Principal, the Vice-Principal, the Pro Vice-Principal, the Deputy Principals, the Secretary to the University and the Librarian and Head of Information Resources Directorate. The Vice-Principal and Pro Vice-Principal are elected by the Senate, whereas the Deputy Principals are appointed by Court on the nomination of the Principal.

Therefore, the top level of management has a blend of permanent appointed staff (e.g. the Principal and University Secretary), fixed-term appointed staff (such as the Deputy Principals) and elected members (the Vice-Principal and Pro Vice-Principal).

The University Committee Structure

The Court

The Court is the overall Governing Body of the University with membership drawn from out with the University (Lay Members), Senior Officers, academic and non-teaching staff and the Students' Association. It is responsible for the management of the University's resources. On matters relating to the academic work of the University, it will normally only act on the recommendation of Senate. The Lay Members are particularly important and hold important responsibilities: as Chair, Financial Matters (Treasurer), Employment Matters: The Deputy Convener (Staff) and Property Matters (The Vice-Convener).

Therefore, the Governing Body is informed and influenced substantially by individuals from out with the University.

Committees of Court

The Committees of Court are as follows:

- the Audit Committee which assists and advises Court in the discharge of its responsibilities by, amongst other duties, the review and monitoring of effective accounting policies, practices and reporting procedures. It receives executive summaries of internal audit reports, reviews the University's draft Annual Accounts and provides a line of direct communication with the University's Auditors.
- the Business Ventures Group which provides advice, managerial services and early seed funding to enable research results to be translated into commercial ventures. It has an important role to play in exploiting the intellectual property rights of the University with particular emphasis on the creation of new companies and institutes. This reflects the entrepreneurial ethos at Strathclyde.
- the Equal Opportunities Committee which is a sub-committee of Staff Committee and is responsible for equal opportunities issues within the University. It reports to Court on an annual basis through Staff Committee.
- the Group on Property which is responsible to Court for property developments (including the acquisition, disposal and leasing of property). It is guided by the University's Strategic Plan, Campus Plan and Financial Regulations in executing this remit.

Expenditure is subject to the express authority of the Convener of Court, the Treasurer, the Principal and the Vice-Convener of Court and all Group recommendations are referred to the University Management Group for comment prior to submission to Court.

- the Joint Negotiating and Consultative Committee (Court and AUT) which is responsible for the consultation and negotiation of the terms and conditions of employment of academic and academic-related staff.
- the Staff Committee which is responsible for employment policy, including appointing procedures, review procedures, conditions of employment, etc. It is convened by a lay member of Court.
- the Statutory Advisory Committee on Safety which is responsible to Court for the proper application within the University of the Health and Safety at Work etc. Act 1974 and of all other relevant legislation. It also keeps under review the effectiveness of safety training offered to staff and students, and conducts inspections and investigations as necessary. It reports to Court via UMG but can also provide advice and report direct to Court, UMG or other bodies as necessary. The Committee has three subcommittees – the Genetic Modification Safety Committee, the Personal Safety Group and the Technical Working Party on Fume Cupboards.

Senate

Senate is responsible for all academic matters within the University, the detailed powers and functions being set down in Statute (XIV). Meetings of Senate are chaired by the Principal and the membership is drawn entirely from within the University as follows:

ex officio: The Principal, the Vice-Principal, the Pro Vice-Principal, the Deputy Principals, the Deans, the Librarian and Head of Information Resources Directorate, and the Heads of Academic Departments.

elected : 25 Professors, 40 Non-Professorial Academic Staff and 4 members of full-time Research Staff (all elected from the relevant Electoral Colleges).

Therefore, this elected body which has the majority of members from the non-professoriate has a very important 'check and balance' role in the overall governance of the University. It is a truly democratic body in which the 'workforce' can voice opinions or dissent to the 'management'. The relationship is bilateral. Voting is allowed but many outcomes are agreed by consensus. Senate is informed on many aspects and issues of university activity by its committees.

Committees of Senate

The Committees of Senate are as follows:

- the Academic Committee which is responsible to Senate for monitoring student progress at both undergraduate and postgraduate level; monitoring quality assurance procedures and practices at the institutional level and for advising Senate on the adequacy of such practices and procedures. It also advises Senate on policy relating to methods and general patterns of study, examinations and assessment and student counselling.

- the Advisory Group on Student Progress and Examinations Monitoring is a sub-committee of Academic Committee which also has a key role to play in academic quality assurance. It monitors student progress, receives information on the pass rates in first and second year classes and monitors reports from External Examiners.
- the Advisory Committee on Lifelong Learning consults with the Faculties on all matters pertaining to Lifelong Learning and promotes the advancement and extension of this throughout the University.
- the Senate Appeals Committee which makes decisions on behalf of Senate on appeals from students against decisions of Faculty Appeals Committees.
- the Ceremonials and Honorary Degrees Committee considers and makes recommendations to Senate on University ceremonials, the award of honorary degrees and the members of staff to present honorary graduands.
- the Discipline Committee considers individual student disciplinary cases (in accordance with the provisions of Regulation 5 - Student Discipline). It also makes recommendations to Senate on matters of policy relating to student discipline.
- the Educational Strategy Group is responsible for developing and promoting strategies for enhancing teaching, learning and assessment within the University. It can report to both Academic Committee and Senate.
- the Higher Doctorates Committee oversees the examination of candidates for Higher doctorate degrees: appointing Examiners, receiving the Examiners' Reports and making recommendations on these to Senate.
- the Ordinances and Regulations Committee considers, on Senate's behalf, changes to the form of the Statutes, Ordinances, Regulations and any other rules and procedures of the University. It also makes recommendations to Senate on these issues.
- the Research Committee is responsible to Senate for the promotion, development and monitoring of research and scholarship within the University and for the co-ordination of the University's responses to national research assessment exercises.
- the Senate-Student Committee considers matters of mutual concern to the Students' Association and Senate and advises Senate on the policy and regulations for the student services.
- the Student Recruitment Group is responsible for the co-ordination of University, Faculty and Departmental recruitment strategies, dissemination of best practice of recruitment/marketing techniques, and the formulation of long term recruitment/marketing strategy for the University.

University Management Group

The University Management Group (UMG) was established in August 1987. It is chaired by the Principal and comprises the Senior Officers (here defined as the Vice-Principal, the Pro Vice-Principal and the Secretary to the University) and the five Deans. The other Senior Officers, the Convener of Court, the Treasurer and the President of the Students' Association attend UMG, though they are not members. UMG's role is to assist Court and Senate by for-

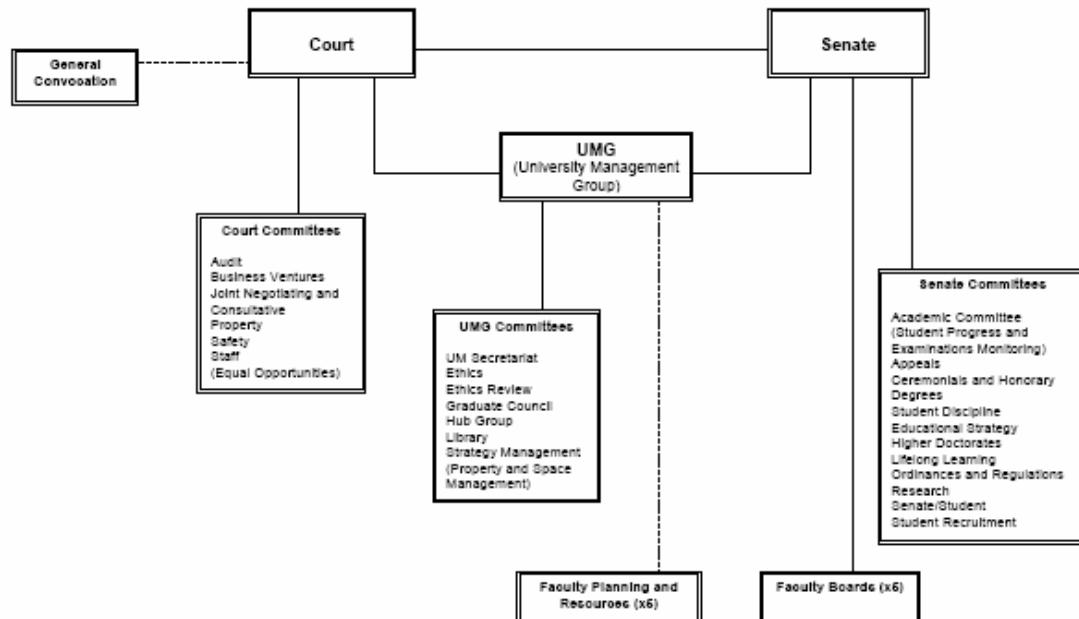
mulating policy proposals and overseeing the implementation of agreed policy.

Strathclyde operates a devolved budget with Deans holding and deciding how to allocate funding associated with their discipline. UMG is therefore an important forum, of these primary budget holders and senior managers, which meets fortnightly. Clearly, proposals formulated by UMG have a significant standing.

Committees of UMG

The Committees of UMG are as follows:

- the Ethics Committee which considers the general ethical issues relating to teaching and research which involve investigations on human subjects.
- the Graduate Council which is a cross Faculty strategic group with the task of advising UMG on recruitment and retention strategies, external factors, scholarships, resource allocation and the student experiences within all postgraduate areas (instructional and research).
- the HUB Group advises UMG on strategy and policy in the management of information technology resources.
- the Library Committee of UMG which is charged with considering all aspects of University Library policy, including resourcing.
- the Property and Space Management Group which reports to UMS on issues of campus development and space planning and management.
- the Strategy Management Group was first convened by the Principal in October 2001. It comprises the Principal, the Vice Principal, the Pro Vice-Principal and the Secretary to the University. It is supported in its work by a Technical Sub-Group comprising the Directors of Estates Management, Finance and Planning. SMG has a responsibility for advising UMG on the overall strategic direction of the University.
- the University Management Secretariat comprises the Vice-Principal (Chair), the Principal, the Pro Vice-Principal, the Deputy Principals and the Secretary; it acts as a filter for UMG (making recommendations on papers bound for UMG, preparing reports etc.) but also has minor powers delegated to it to resolve on certain issues.



ANNEX 1: THE UNIVERSITY COMMITTEE STRUCTURE

2.3.2. A review of strategic planning

The University of Strathclyde has a 5-year Strategic Plan, currently operating from 2003-2007. It is an important document that states clearly the Vision and Mission Statements of the University and how these will be addressed and implemented over the time period.

Strathclyde gets the major part of its core funding from government, through the 'Scottish Higher Education Funding Council' (SHEFC). It operates a metrics-based formula for funding of teaching and research, but increasingly uses funds that are earmarked ('top sliced' from its budget) for special purposes. Many of these are linked to the directives of the devolved government in Scotland, the Scottish Executive, that holds budgetary responsibility for activities such as health and education. Each of the universities in Scotland has to bid competitively for this valuable earmarked resource and most initiatives require that any proposal is concordant with the Strategic Plan of the university that is making it. Therefore the Strategic Plan has to be bold and individualised to the University, but be sufficiently generic that it applies to any initiative coming from SHEFC in several years' time. So it has to be constructed against the mutual tensions of 'horizon scanning' and 'contingency planning'.

The Strategic Plan has three strands: Innovative Learning, Research Excellence, and Personal and Professional Development. The last is concerned both with development of staff and the community in the hinterland of the University.

The Strategic Plan is not simply a policy document: it contains hard targets to be achieved over the period. Of course, approaches to such achievement can also be monitored during the period.



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The Strategic Plan was constructed in a partial ‘bottom up’ approach, whereby faculties made individualised contributions of their own Plans that were collated, sifted and presumably prioritised by the central office. Two issues arose when the plan was announced – (1) some descriptions had become so generic that it was difficult to match strands of research, e.g. in Science or Engineering, to a descriptor such as ‘healthy population’ or ‘advanced technologies’, and 2) at least one Faculty had to realign its own Plan on research significantly to fit the University version. This resulted in both a diminution of the perceived value by staff of contributing to the strategic planning process, and a valueless feeling for those who could not identify loosely with the contents of the document.

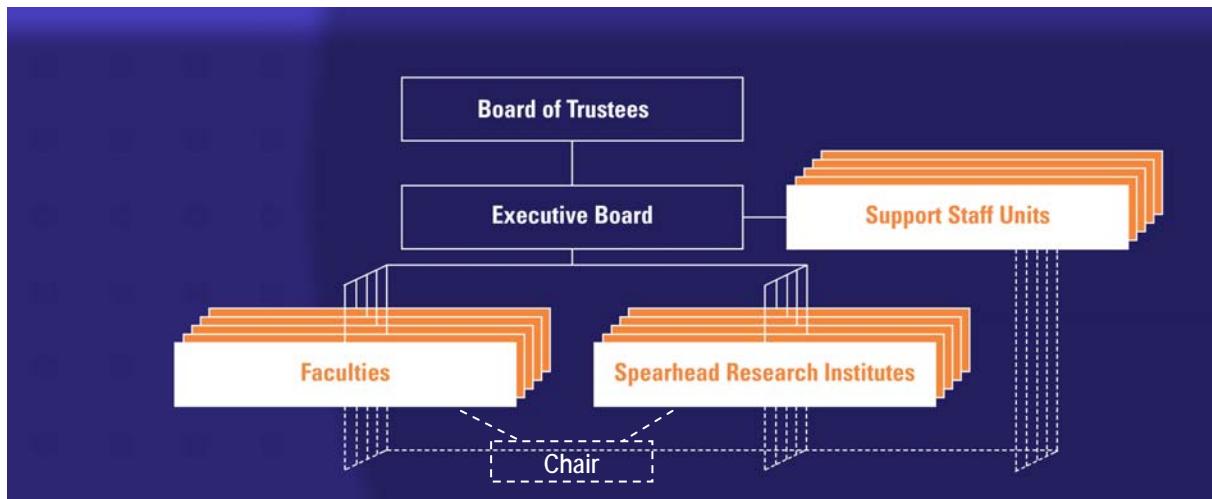
It is clear that the University Strategic Plan needs to be succinct and a platform for subsequent adaptive interpretation - to satisfy the requirements of SHEFC for bids to earmarked initiatives. It cannot go into microscopic detail. However, a more iterative process might have generated a document in which more staff believed that they were stakeholders.

The measurable targets are a necessary part of the Plan, and will need careful consideration (probably revision downwards) during the period of execution. Were they set too high? Were they realistic? By involving staff more in the process of generating the Plan, there could be better engagement on why and how revisions might need to be made. At present, many staff claim absolution from the planning process and this perspective needs to be attended to in generation of the next version of the Strategic Plan that will come into force in around two years.

2.4. University of Twente

2.4.1. The governance and management structures

Organisational Structure:

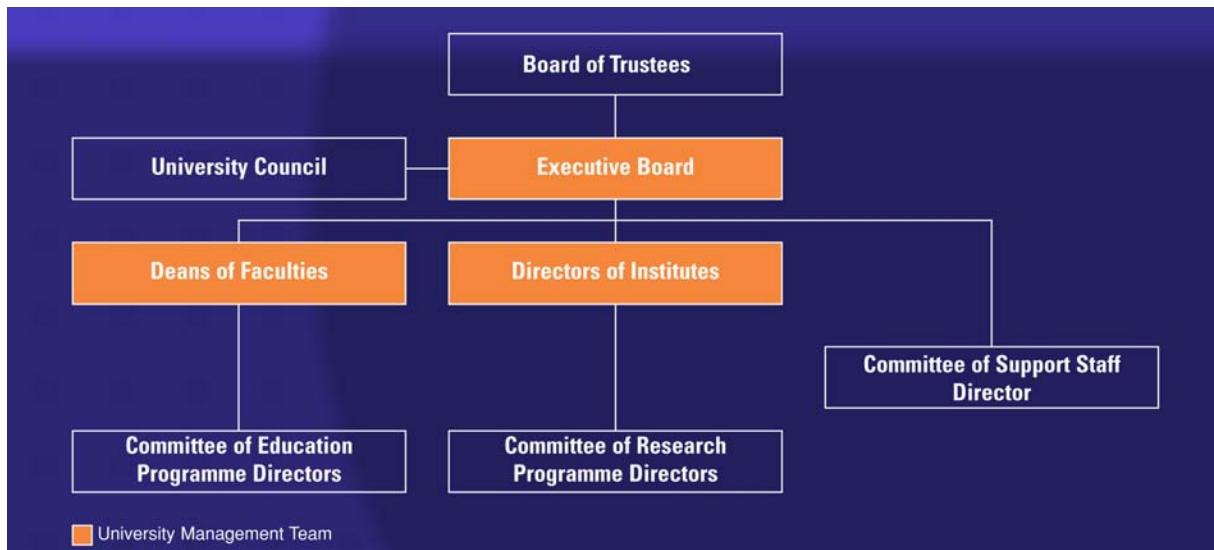


The organisation is split into faculties, research institutes and support staff units. Academics are employed via faculties. Faculties control the budget for education, and research institutes control budgets for the research programs. A chair has the integral responsibility for education (funded by the faculty) and research (funded by the institute) in its field of science. Although this structure has a built-in tension between faculties (who have to employ their people) and institutes (who own the budget for research), the big advantage is a better positioning of the university to acquire external funding for research. Research institutes can clearly profile themselves internationally with their research programs.

Faculties: Behavioural Sciences; Business, Public Administration and Technology; Electrical Engineering, Mathematics and Computer Science; Engineering Technology; Science and Technology

Research Institutes: Institute for Biomedical Technology (BMTI); Centre for Telematics and Information Technology (CTIT); Institute for Nanotechnology (MESA+); Institute for Mechanics, Processes and Control-Twente (IMPACT); Institute for Governance Studies (IGS); Institute for Behavioural Research (IBR)

Management Structure:



University Management Team

The University Management Team consists of the Executive Board plus the Deans of the faculties plus the scientific directors of the research institutes. The Executive Board sets out the strategic directions in close consultation of the UMT.

Board of Trustees

The five members of the Board of Trustees are appointed by the Ministry for a period of four years. The Board of Trustees appoint the members of the Executive Board. The Board is responsible for the overall supervision of the management of the university.

Executive Board

The Executive Board consists of maximum three members, amongst whom is the rector magnificus. The rector (a professor) is appointed by the Board of Trustees after consultation of the deans, the scientific directors and the Executive Board. The Executive Board "runs" the University.

University Council

The University Council represents employees and students in participating in the processes of developing and implementing the University's policies. The UR consists of nine members chosen by and from employees, and nine members chosen by and from students.

Committee of Education Programme Directors

This committee coordinates and prepares the strategic direction for education, and reports to the UMT. The Committee consists of the deans of the faculties and the Rector. It is chaired by the member of the Executive Board responsible for education.

Committee of Research Programme Directors

This committee coordinates and prepares the strategic direction for research, and reports to the UMT. The Committee consists of the scientific directors of the research institutes and the Rector. It is chaired by the member of the Executive Board responsible for research.

Committee of Support Staff Directors

This Committee consists of the directors running either the support staff organisation in a faculty or one of the central support staff units. The Committee is chaired by the Secretary of the University.

2.4.2. A review of strategic planning

The current strategic plan 2001-2005 is to be replaced with the Strategic Plan 2005-2010.

The new plan is agreed upon in April 2005. The process to create the new Strategic Plan is described below. The description of the process is based on an interview with Leo Goedegebuure, former executive director of CHEPS (Center for Higher Education Policy Studies – a renowned research institute). Leo Goedegebuure was invited by the University Management Team (UMT – executive board + deans + directors of research institutes) of the UoT to facilitate the process for creating a new Strategic Plan.

Early 2004 Leo set up a plan for having a new Strategic Plan by the end of 2004.

March 2004: executive board created a one-pager with starting points. The deans were requested to do the same. The output was distributed to the UMT.

UMT had an off-campus day for discussion and brainstorming. (This was repeated once every 4 months.) This resulted in a long-list of topics possibly to be covered in the Strategic Plan.

Based on this list, Leo set up a possible structure of the Strategic Plan, which he discussed with the Rector. The resulting structure became the basis for a bullet-wise Draft 0 of the Strategic Plan, which was handed over to the UMT for discussion (facilitated by Leo). After the UMT discussion Leo facilitated the Executive Board in an in-depth discussion to decide on the distinctive parts of the Strategic Plan. After this, Leo held one-on-one meetings of 1-2 hours with each of the deans and institute directors. In these meetings deans and directors were confronted with specific issues.

All of this resulted in the writing of Draft 1 of the Strategic Plan. Draft 1 was extensively discussed with the Executive Board in a one-day session off-campus, based on a list of issues. (The Rector stayed in touch with the Board of Trustees during all of the process.)

The outcome of this resulted in the writing of Draft 2, which was discussed with the UMT in mid-summer 2004. After adjustments, the Strategic Plan Public Draft 1 was released for discussion in the University. Up till then the University Council was only informed in a limited way about the process. The University Council expressed the wish that they would like to organise plenary sessions with the different units and stakeholders of the university, which was whole-heartedly supported by the Executive Board.

These public meetings took place in November 2004, and resulted in a list with comments. The comments were handed over by the University Council to the Executive Board. Based on these comments, the Executive Board adjusted the Strategic Plan (internally, no public discussion), resulting in a Public Draft 2 in December 2004. Some major adjustments were realised, an important one being that from the original description "technical research university" the adjective "technical" was removed.

Just before Christmas, the University Council gave their comments on Public Draft 2 to the Executive Board, which discussed them in January 2005. The outcome of Public Draft 3 was to be put on the agenda of the UC/EB meeting for agreement by the UC of February 6. This did not happen. The University Council was not satisfied with the answers given by the Executive Board. It was decided to have some further discussion in a smaller group. This discussion took place in March, in which the Rector further reacted to the objections of the University Council. The result of this was that some textual changes were incorporated into the Strategic Plan, which was accepted by the Executive Board. In a final plenary meeting with the University Council in April, the Council agreed with the Strategic Plan, to be formally confirmed via a letter from the Council.

So in overview:

Jan/Febr '04	Plan for developing new Strategic Plan
March '04	Starting points formulated by Executive Board, deans, directors of research inst
	Off-campus one day brainstorm with UMT, resulting in long-list of topics
	Facilitator delivered bullet-wise Draft 0 for discussion in UMT
	Facilitator helped Executive Board to formulate the chapters of Strat Plan
	Facilitator held 1-to-1 meetings with deans and directors of research inst
	Writing of Draft 1
	Off-campus one day discussion of Draft 1 with Executive Board
	Writing of Draft 2
Mid summer	Discussion of Draft 2 with UMT
Aug '04	Public Draft 1 released
Nov '04	University Council held plenary sessions with university units
	List of comments handed over by University Council to Executive Board
Dec '04	Public Draft 2 revised and released based on comments UC
X-Mas	Comments of UC on Public Draft 3 to Executive Board
Jan '05	Public Draft 3 sent to University Council (not public)
Febr '05	University Council did not agree with Executive Board about Strategic Plan; they asked for some adjustments
March '05	Small-group discussion between representatives from the University Council and the rector, resulting in textual changes
Apr '05	University Council agreed with the Strategic Plan

Observations on the process of developing the Strategic Plan:

- Although the development of the Strategic Plan was done in about a year, it took longer than planned. There were two important reasons for this. The first reason is that changes in the Executive Board by the end of 2004 took longer than expected. Two of the three members left in December 2004, including the Rector. The successor for the Rector was not known until then. At the moment of writing, the Chairman of the Executive Board has



just been appointed. The second reason is that speed of decision by the end of 2004 was for an important part was determined by the meeting calendar of the University Council.

- April 2005 the third member of the Executive Board announced his departure.
- The complete replacement of the Executive Board is a risk for the implementation of the Strategic Plan.
- Support Staff Directors were not involved in the writing of the Strategic Plan, at least not until the very last month. This resulted in a last-minute not-inspiring chapter about Support Staff in the Public Draft. Support Staff were not happy with it (euphemistically speaking). General impression out of the first Public Draft: support staff is a “necessary evil”, which is not motivating! The second Public Draft improved somewhat on this. The final chapter on support staff will be kept short. The reason given is that it is better firstly to undertake an evaluation of the reorganisation of the support staff. This reorganisation of support staff took place by the end of 2003, and was part of a bigger reorganisation in which the number of faculties was also reduced from 10 to 5 and the research institutes received a status that made them more independent from the faculties.
- Last but not least: the overall process went smoothly, with quite well managed involvement of the stakeholders (except the support staff). Co-operation with the University Council was managed well (plenary sessions with university units facilitated by the University Council).

3. Conclusion

Based on exemplary case studies of strategic importance such as strategic planning, appointment of professors/scientific staff and the implementation of new study programmes the present investigation posed questions of the current quality of decision making processes at four selected European universities represented in ECIU.

Our investigation has established the fact that our universities display various characteristics of diverse models of decision-making, i.e. collegial, bureaucratic, political, organized anarchy and economic behaviour. However, the aim of this report has not been to verify or reject one of those models. Yet some of the current practice proved to be obsolete indeed and not updated enough.

Furthermore, our research into the governance structures of the four participating universities has led to our increased awareness that the current practice of decision-making is highly diverse at each university and in each country. The processes involve administrators and academics alike. For the latter group the work load in administration has been growing over the years and is often inadequately high due to the conflicting demands of research and teaching as well.

The task of suggesting areas of improvement and change in university management requires acknowledgement that national and legal guidelines in each country limit the action that can be taken, i.e. despite university autonomy growing, now and in the future, there is no such thing as unbounded liberty to alter procedures. Besides, decisions in one area can trigger long-term effects in others. They do not work in a vacuum but may be very complex in their interactions. Therefore solutions that only function well within special national, social or cultural contexts cannot be exported to other countries in original form. Lastly, cultural diversity within the European academic framework should be maintained and not be levelled solely to allow such transfer. In summary, complete standardisation is not the ultimate solution for university management for various reasons.

However, this does not mean that one should, or could not, learn from each other. The assignment, difficult and demanding as it was, brought about clear-cut ideas as to where the problematical areas are and which changes would be advisable. If standardisation is not an option for European universities, what are the options for the future? Where should changes take place?



crossing the borders of innovation

The potential for change within manageable reach certainly lies in the areas of professionalisation and decentralisation. They must necessarily take individual forms at each university and in each country depending on the state of the art already reached. The major aim should be a re-organisation of governance and management structures. In detail the following aspects are likely to produce positive effects when the accompanying circumstances of action defining the respective situation are meticulously analysed and considered with distinction. In other words, the following categories apply to each university to a different extent:

- shift of decision making power to the appropriate levels of competency
- balanced combination of bottom-up and top-down processes
- academic administrators to support the scientific staff on various levels of the university
- more clearly defined responsibilities, i.e.
 - more efficient labour subdivision among all bodies involved
 - better coordination and quicker communication
 - avoidance of conflicting claims and allegiances
 - reduction of bureaucratic obstacles and hindrances
 - quicker adaption to changes in capacity and current tasks and work demands

4. Reflections on the ECIU Leadership Development Programme

The process of discussion and communication was as important as the subject of the assignment. All of us have been benefiting from discussing cultural and structural differences in higher education systems. The success of the group work was largely a consequence of the mixed composition of the group (administrators and scientists). The combined competencies of the participants increased the quality of the work tremendously. For the future we should like to make the following suggestions

- the principle of mixing administrators and scientists in the assignment groups should be continued
- the visit to different universities should be kept up
- the quality and importance of the lectures should be improved
- new topics for the assignments should be defined or chosen by the participants themselves: not one single assignment for the whole year, but short focused assignment on different themes at each meeting
- the goal for the programme should be more clear for the participants and visible during the programme

The Team:

