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PROJECT REPORT
TRANSITION TO UNIVERSITY AUTONOMY IN KAZAKHSTAN -TRUNAK

Work Package 2. Development. Bringing together Kazakh HEI's needs and EU models for university governance.

Outcome ref. 2.1 Discussion Groups - Alternative scenarios for increased autonomy of the Kazakh universities.

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1. Introduction

The subject of the TRUNAK project is university autonomy in Kazakhstan. It is therefore relevant to say some initial words about two fundamental questions that justified the presentation of the Erasmus+ project proposal to the EU and that explain the general framework of the project and this report.

Why is university autonomy important? In today's world, university autonomy is seen as enhancing their capacity to conduct innovative and world-class research and to train students to play leadership roles in the 21st century. Autonomy for institutions is recognised by the European Higher Education Area and Bologna Process¹ as one of the key values for reform.

How is university autonomy linked to academic freedom? This is clearly stated in an extract from the European Higher Education Area in the 2018 Bologna Process Implementation Report²: “Institutional autonomy, encompassing the autonomy of teaching and research as well as financial, organisational and staffing autonomy, is a necessary condition to ensure that academic freedom can operate.” (Page 41).

Kazakhstan has been a full member of the European Higher Education Area and the Bologna Process since 2010³. The political decision of collaboration in frame of the EHEA has been followed by systematic steps towards the implementation of the strategic goals of the reform. The TRUNAK project, and this report in particular, are intended as contributions to the reform process of higher education in Kazakhstan.

1.1 The TRUNAK project

“Transition to University Autonomy in Kazakhstan” (TRUNAK) is a Structural Measures Erasmus+ Capacity Building Higher Education project. As such, the project aims at fostering the design and implementation of sustainable institutional autonomy reforms in higher education in Kazakhstan, a country that made this a national priority under the Erasmus+ programme. The project proposal was submitted to EU in 2017 and approved the same year. The project activities started 15 October 2017. The project will end 14 October 2020.

The members of the project consortium are:

- Project Coordinator: Karaganda State Medical University (KSMU), Kazakhstan. From 2019-01-01 the status of the university has changed from State university to Non- Commercial Joint Stock Company. The new name of the institution is Karaganda Medical University (KMU)
- Astana Medical University (AMU), Kazakhstan.
- West Kazakhstan Marat Ospanov State Medical University (WKMOSMU), Kazakhstan.
- M. Kozybayev North-Kazakhstan State University (NKSU), Kazakhstan.
- Karaganda Economic University of Kazpotrebsouz (KEUK), Kazakhstan.
- Kh. Dosmukhamedov Atyrau State University (ASU), Kazakhstan.
- The Ministry of Education and Science of the Republic of Kazakhstan (MES).

¹ <http://www.ehea.info/>

² European Commission/EACEA/Eurydice, 2018. The European Higher Education Area in 2018: Bologna Process Implementation Report. Luxembourg: Publications Office of the European Union. https://eacea.ec.europa.eu/national-policies/eurydice/content/european-higher-education-area-2018-bologna-process-implementation-report_en

³ <http://eha.info/page-kazakhstan>

- The Ministry of Healthcare and Social Development of the Republic of Kazakhstan (MHSD).
- Lund University (LU), Sweden.
- European University Association (EUA), Belgium.
- University of Ljubljana (UL), Slovenia.
- Lublin University of Technology (LUT), Poland.
- Savonia University of Applied Sciences (Savonia UAS), Finland.
- Aga Khan University - Institute for the Study of Muslim Civilisations. (AKU-ISMC), United Kingdom.
- Università Cattolica del Sacro Cuore (UCSC), Italy

Associated project partners:

- Kazakhstan Medical Student Association, Kazakhstan
- HTAcamp, Italy.

The overall goal of the project is to develop an evidence-based consensus around a feasible model of university autonomy for Kazakhstan that can facilitate decisions about the level of organisational, financial, staffing and academic autonomy that is desirable in the national context. The project promotes an inclusive approach to autonomy by fostering dialogue between the higher education sector and the relevant public authorities to ensure ownership of the reforms and achieve regulatory change towards a higher degree of autonomy. University leaders and Ministries will gain insight on how the European Union university partners implement autonomy in their specific contexts. Together they can discuss and outline a feasible model of university autonomy for Kazakhstan as part of the ongoing transition process of modernisation of higher education institutions. Universities will analyse in depth each area of university autonomy and together with the Ministries will find their own path to the achievement of increased autonomy. The European University Association, as a member of the TRUNAK project, provides the conceptual and knowledge platform in the field of university autonomy, and its Autonomy Scorecard tool serves as an instrument for the study of the state of play in Kazakhstan.

1.2 Objectives of the TRUNAK project

- To analyse the state of play and need for university autonomy in Kazakhstan and to give suggestions and recommendations for a model of university governance.
- To contribute to the definition of the roles of key stakeholders of academic governance.
- To engage the stakeholders in an in-depth debate on autonomy.
- To provide institutional perspective on autonomy by involving the University leadership, i.e. a bottom-up approach.
- To contribute to a constructive discussion together with the Ministries, about the model of governance to apply in Kazakh universities.
- To implement on a pilot basis a model of autonomy.
- To establish a Consulting Group for assistance to universities implementing governance reform.
- To disseminate the results and achievements of the project and the experiences gained by the Partner universities and the Ministries.

1.3 Work packages

The activities for the achievement of the objectives are structured in three operational work packages, WP1, WP 2 and WP4. WP 3 and WP 5 are dedicated to project quality and management.

WP 1 Preparation. Analysis of the need of university autonomy in Kazakhstan.

A survey investigation was performed by the European University Association with the support of the coordinator to collect information on the regulatory framework applying to each type of university in Kazakhstan (several legal statuses co-exist in the system), and to assess needs in the field of university autonomy. Both relevant Ministries (Ministry of Education and Science and Ministry of Healthcare) were consulted in the process, together with universities of each of the identified groups. Senior staff of the partner universities were trained in the University Autonomy Scorecard methodology and were involved in the collection of data, quality control and analysis. The results are presented in the report “State of play of university governance and recommendations for the reform process” elaborated by the European University Association.

WP 2 Development. Bringing together Kazakh HEIs’ needs and EU models for university governance.

Kazakh and EU project partners work together to analyse the results of the survey presented in the report by the European University Association. Workshops are organised for discussion of similarities and differences. Alternatives for increased autonomy of the Kazakh universities are discussed. The target groups of the workshops are the leaders of the partner universities, senior university staff, representatives of the Ministry of Education and Science and Ministry of Healthcare. The results are presented in a report. A basic model of autonomy is developed, following the EUA concept, i.e. addressing the four autonomy areas and the indicators for each area. The objective is to develop a plan to implement the model in the pilot partner universities. Experiences gained during the implementation phase are documented and systemised to be used later under the dissemination phase to other universities. A reference group to ensure sustainability of the results is formed.

WP 4 Dissemination and Exploitation

Organisation of a conference to discuss and promote the model. Central Asian universities are invited for regional dissemination of the Model. Developing a base for sustainability of the autonomy discussion via reference group.

1.4 Scope of the Report.

This report is the result of the work performed in the framework of TRUNAK Work Package 2. The Karaganda State Medical University and the North Kazakhstan State University are the leaders of the Work Package. Specifically, the report is the outcome of the subtask WP 2.1 “Discussion Group” of the TRUNAK project. The task, as described in the original project proposal is: “Workshop in EU university. Kazakh and European partners together analyse the identified needs. EU partners will present the models of autonomy applied EU countries. EUA will provide expertise on the current state of play of university autonomy in Europe (overview of current trends, different models). Alternative scenarios for increased autonomy of the Kazakh universities are elaborated and presented in a report.”

The purpose of this report is to serve as basis for the next step, which is the Work Package 2.2 “Development of a basic model of autonomy. Using the findings of the Discussion Group, a model of autonomy is decided together by the Partner universities and the Ministries. The description of the autonomy model must be done according to the EUA Autonomy Tool methodology, giving the degree of freedom of decision in the areas of Financing, Academic, Organization and Staffing and using the indicators for each area.”

1.5 Structure

The report consists of:

- the present introductory section presenting the structure and objectives of the TRUNAK project and the structure and methodology of the report;
- the conceptual framework and state of play of university autonomy in Europe;
- examples from the EU project partner universities;
- the results of the of the discussion groups;
- a comparative analysis/ discussion/ similarities/ differences/ solutions with EU systems;
- conclusions. Identified areas for reform, at system and university level.

1.6 Methodology

This report follows the methodology presented in the original project proposal to EU. Additional, complementary activities have been carried out, in order to enhance the quality of the work of the Discussion Group. In accordance with the TRUNAK project's bottom-up approach to the development of a model of university autonomy for Kazakhstan, the objective of organising a discussion group was to engage the stakeholders in an in-depth debate on autonomy. The WP 2.1 Discussion Group has been the forum for the exchange of ideas and experiences between representatives of the Kazakh members of the project, including the Ministries, and the EU members. University leaders and senior management of the Kazakh universities discussed and presented their points of view on the need for increased autonomy in specific areas of university governance. The EU partners contributed with descriptions of the higher education governance systems of their countries and provided examples of how their own universities tackle the challenges that the system imposes so as to achieve an acceptable degree of internal freedom to manage research activities and education consistent with the principle of university autonomy. Concrete proposals emerged for changes in the regulations governing the activity of the Kazakh universities, and for internal measures within the universities to take full advantage of the degrees of freedom allowed by greater autonomy.

In summary the methodology applied for the report is:

1. Study by EUA on the state of the play
2. Formation of groups at each Kazakh partner university
3. Workshops in EU universities
4. Elaboration of the consolidated report

1. Study by EUA on the state of the play

During the project preparation phase (WP 1), a system-wide survey was performed as an instrument to reach the two target groups: universities and public authorities. The aim was to collect information for the WP 2.1, dedicated to the Discussion Group. The purpose of the survey was to assess the current regulatory framework for universities in Kazakhstan and determine the need for increased autonomy and to understand the points of view of the universities. The overall objective was to help to perform qualitative discussions with Ministries and identify specific important areas of interest. The questionnaire followed the EUA model, i.e. collection of information about the four autonomy areas (Organisation, Financing, Staffing, Academic), and the related indicators for each area. The survey was conducted for each type of university and responses from the Ministries and from universities were compared. The results of the Survey were used as a point of departure for the development of

recommendations and suggestions for a governance model suitable to the higher education sector of Kazakhstan.

2. Local discussion groups

As preparation for the subsequent workshops in EU countries, meetings were organized at each project partner university in Kazakhstan. Using the report of the EUA Survey on the state of the play on autonomy in Kazakhstan as a reference, university leaders and senior management discussed the current situation and the need for more autonomy, trying to identify specific points to propose changes. The results were consolidated in a single document that was used as a base during the workshops dedicated to WP 2.1 Discussion Group. In addition, the project consortium decided to carry out an extra activity in connection with the organisation of a Global Conference on University Autonomy at Karaganda State Medical University in November 2018. Four workshops were organised, dedicated to each dimension of university autonomy. The Kazakh and EU project partners led the workshops and presented their work to other Kazakh and Central Asian universities.

3. Workshops in EU.

In the original project proposal, one single workshop was planned to be held in Lund University, Sweden for a meeting with all project partners. Due to the very large number of participants, it was decided to divide the event into three workshops in Lund, Ljubljana and Lublin respectively. It was felt important to expose as many university representatives as possible to different regulatory frameworks and to the experience of EU peers. Representatives of the Kazakh partner universities, the Ministry of Education and Science, the Ministry of Healthcare, the European University Association and the EU partner universities were invited. Workshops were in general well attended; the Ministries were represented in 2/3 of the events. In total 69 participated, 41 from Kazakhstan, 28 from the EU. The workshops were led by Kazakh and EU partners. Host universities contributed to the workshops by involving senior university managers and experts in university administration to the meetings who presented national and local regulatory systems and participated in the discussions. EU partners contributed with presentations and examples from their own universities. The participants were divided into two groups, one group discussing Academic and Staffing dimensions of autonomy, and the other Organisation and Financing. The groups alternated the areas of discussion to ensure that all participants were involved in the discussion of all dimensions. The results of the discussions were collected and presented at the end of each workshop in a report.

4. Elaboration of the consolidated report of WP 2.1

The reports from each workshop were collected and merged. The leaders of Work Package 2, Karaganda State Medical University and North Kazakhstan State University, met in Karaganda to work on the consolidation of the reports in a single document. This is presented below in the chapter dedicated to results of the discussion groups.

2. University autonomy in Europe

The present chapter briefly outlines the conceptual framework for institutional autonomy in the field of higher education and its importance for modern, efficient and responsive universities. It summarises relevant developments in Europe, considering the different trends and autonomy models

that co-exist. Finally, the chapter considers the necessary conditions to fully ‘operationalise’ autonomy and enhance the strategic profiling of universities⁴.

2.1 University autonomy: conceptual scope

In line with the work of the European University Association, “institutional autonomy” refers to the constantly changing relations between the state and higher education institutions and the degree of control exerted by the state, depending on the national context and circumstances. (Estermann & Nokkala, 2009). University autonomy is analysed according to four main dimensions, covering organisational, financial, staffing and academic matters. The aim is to assess the degree of autonomous decision-making by universities in a series of specific areas under each of these dimensions. This approach has made it possible to move the debate on university autonomy from a basic discussion on the need for more autonomy in exchange for more accountability, to a more in-depth structured and fruitful exchange that allows benchmarking and setting of concrete reform procedures on a more objective footing. (Bennetot Pruvot & Estermann, 2017).

The relationship between the state and institutions is shaped through specific rules and regulations. The analysis of institutional autonomy in the TRUNAK project therefore focuses on the legal framework, and to some extent on the funding framework, to assess the degree of autonomy of higher education institutions.

2.2 Why autonomy matters

Autonomy is not a goal to be pursued in itself; rather, it is a fundamental pre-requisite for universities to be able to develop strategic profiles, operate in a competitive environment and deliver on their important societal duties⁵. The overall objective consists in meaningfully enhancing the institutions’ ability to build strategic profiles – through the development of their academic offer, supported by proper financial management capacity, adequate HR strategies and a reflection on the governance model (Bennetot Pruvot & Estermann, 2017).

2.2.1 A fast-changing environment for higher education and research

Changing expectations over the last decade of how universities should contribute to a knowledge-based economy and society have transformed the relationship between the state and higher education institutions (Estermann & Nokkala, 2009). Beyond the traditional work of teaching and producing research and innovation, higher education institutions are tasked with various roles, including for instance acting as catalysers for innovation ecosystems, promoting societal inclusiveness, contributing to sustainable development, etc. At the same time, universities face new challenges. These include evolving student populations, a changing labour market resulting in the need for continued professional development, and challenges to university autonomy in how to address such trends.

2.2.2 Strategic profiling, efficiency and increased responsiveness

In order to take up these roles and address these challenges successfully, universities need to be able to take decisions on the issues affecting them, such as their management, finances, human resources and academic profile. Institutional autonomy is the condition for universities to decide on these matters and develop relevant strategic profiles that will allow them to better respond to the needs and expectations of their constituencies.

⁴ This chapter draws from various works of EUA on the topic of university governance, autonomy and efficiency.

⁵ Estermann, T., “Why university autonomy matters more than ever”, University World News, 7 April 2017, <https://www.universityworldnews.com/post.php?story=20170404132356742>

Autonomy is also a key driver and enabler in the context of efficiency. For example, improved financial and staffing autonomy allows institutions to pursue new sources of income, to optimise their governance and management models and to react to internal and external changes in a more responsive manner. A higher degree of organisational and staffing autonomy also allows universities to better engage in cooperation (such as shared services, collaborative procurement, research and teaching partnerships) and to hire and retain the highly skilled staff needed to implement strategic efficiency and institutional development programmes. (Estermann & Kupriyanova, 2019)

Autonomy is correlated with greater accountability. Institutions become responsible for monitoring and enhancing the quality of their core activities, designing adequate governance structures and management processes, developing proactive staffing policies and managing finances in a sustainable manner. As the sector in Europe has traditionally been heavily regulated by the state, the transition towards autonomous management in universities is a gradual process which needs to be accompanied and supported by public authorities.

2.3 The European context

2.3.1 University autonomy in the European context: Bologna Process, European Higher Education Area, European Research Area

The European Commission and many European governments have recognised the need for university autonomy. In its Communication “Delivering on the Modernisation Agenda for Universities: Education, Research and Innovation” (May 2006) the European Commission marked as a priority the creation of new frameworks for universities, characterised by improved autonomy and accountability. The Council of the European Union (2007) confirmed this approach and makes an explicit link between autonomy and the ability of universities to respond to societal expectations. In this framework, university autonomy is not only crucial to the achievement of the European Higher Education Area (EHEA), but is also a determining factor in the completion of the European Research Area (ERA), as stated in the European Commission’s Green Paper “The European Research Area: New Perspectives” (April 2007). The EU Flagship Initiative “Innovation Union” of the Europe 2020 Strategy for Smart, Sustainable and Inclusive Growth (2010) stated the need for European universities to be freed from over-regulation and micro-management in return for full accountability. (Estermann, Nokkala & Steinel, 2011).

2.3.2 Evolutions in Europe

EUA’s Autonomy Scorecard provides an overview of the state of play and the evolution of university autonomy in most European countries in the last decade⁶. Importantly, several university governance reforms have taken place across Europe, both within national systems and inside the institutions themselves. University governance is therefore addressed in two ways – in the nature of the relationship between universities and public authorities; and in the changes made to internal university organisation.

While some countries have achieved a relatively high degree of university autonomy on all or most of the four dimensions considered, the comparative analysis shows that there is no unique model to foster autonomy. Countries scoring high in at least three dimensions include models as diverse as those in Finland, Luxembourg, Estonia or England (UK). Additionally, a lack of a global view on

⁶ See www.university-autonomy.eu and in particular the comparative report and country profiles published in 2017 (available from the website).

university autonomy persists when designing and implementing reforms. Finally, the challenging economic context of the last decade has impacted autonomy in different ways beyond financial matters. This has notably led to public authorities exerting stronger steering through funding mechanisms, while reconfiguration of the higher education system in various countries, including concentration processes such as mergers, have generated new questions for university autonomy.

2.4 Different autonomy models and trends

2.4.1 University autonomy in context

The rules and conditions under which Europe's universities operate are characterised by a high degree of diversity. This variety reflects the multiple approaches to the ongoing search for a balance between autonomy and accountability in response to the demands of society and the changing understanding of public responsibility for higher education. Indeed, the relationship between the state and higher education institutions can take a variety of forms, and it should be stressed that an "ideal" or "one-size-fits-all" model does not exist⁷.

In addition, in most European countries, universities remain largely funded via the state, with the associated expectation that they fulfil a series of societal missions. This, in turn, tends to come with higher degrees of regulation connected to these political and societal choices. (Bennetot Pruvot & Estermann, 2017)

This means that any analysis of autonomy should not be carried out in isolation and must take account of the broader context. Indeed, it requires consideration of the specific development, culture and traditions of national higher education systems across Europe, in addition to present legal frameworks and ongoing higher education reforms. Thus, there is no ideal model of autonomy, but rather a set of basic principles that constitute crucial elements of autonomy, and that, when implemented in the context of a given system, support universities in carrying out ever more complex missions. (Estermann & Nokkala, 2009)

2.4.2 From direct control to strategic steering

Public authorities still retain a central role in the regulation of the higher education system. But the modalities of the control exerted by the state on higher education institutions have evolved, and many studies have identified a trend away from direct state control towards indirect steering mechanisms (Estermann & Nokkala, 2009).

Steering by the state is indeed increasingly expressed through funding modalities (more frequent use of performance-based funding, objectives set in multiannual contracts) or via accountability requirements.

It is crucial to the development of a forward-looking higher education system that public authorities complete the transition towards their role of strategic steering and move away from direct control. The key challenge for policy makers in this respect is related to the development of an 'optimal background' - an encompassing framework, which enables universities and other higher education institutions to be more efficient and effective. This fundamental task involves finding a proper balance between autonomy and accountability, efficiency, equity and effectiveness, trust and control, change

⁷ Bennetot Pruvot, E. (2017). University Autonomy in Europe. *Doctoral Education Bulletin*, 10, p. 13.

and continuity, diversity and standardisation, output and input focus, top-down and bottom-up approach (Estermann & Kupriyanova, 2019).

2.5 What is needed to make autonomy effective

2.5.1 Fully implemented, enabling regulatory frameworks

There remains a frequent gap between formal autonomy – autonomy “on paper” – and a university’s actual ability to act independently. Significant increases in accountability measures have frequently curtailed university autonomy, highlighting the importance of striking a balance between institutional freedom and adequate accountability tools. Conversely, autonomy reforms may have happened without subsequent thorough implementation. It is therefore important to grant more attention to the quality of the reform implementation and follow-up. In some cases, several reforms were passed within a relatively short period, raising questions about the quality and speed of implementation as well as the stability of the regulatory environment for universities.

2.5.2 Trust & dialogue – both at sector level and within institutions

Establishing a climate of trust between public authorities and universities requires time and effort. This can start with setting up a regular framework for dialogue between the Ministry and sector representatives, to ensure that decisions are fit for purpose and to increase the quality of subsequent implementation. The National Rectors’ Conferences may be an adequate negotiation partner for the public authorities provided that its structure is professionalised and sound feedback loops with its member institutions are established (TRUNAK report).

More autonomous strategic management of the higher education institutions requires that there is internal trust towards the leadership and management teams of the institutions. This trust is built on a shared understanding of the mission and strategic vision for the future development of the university, on adequate internal communication channels, and on the confidence that both the leadership and management teams have the necessary skills to engineer and embed change, and to lead by example in these processes (Estermann & Kupriyanova, 2018).

2.5.3 Capacity building in strategic management

Reforms in the field of governance and autonomy may not succeed unless they are accompanied by measures to develop institutional capacities and human resources. The need for efficient and effective management and leadership and for new technical and specialist expertise in a variety of areas must be addressed if universities are to respond to the new demands placed on them⁸. Crucially, this issue needs to be dealt with jointly, both by universities and the relevant public authorities.

There is a need to generate a new, strategic approach towards university management. This means developing the steering function of the leadership team. Moving towards more autonomy requires that the leadership is trained according to its new tasks (TRUNAK report).

This chapter has mapped the current state of the discussion on university autonomy and has pointed towards some milestones and essential conditions for universities and public authorities to work together towards greater autonomy, efficiency and responsiveness of the higher education sector.

⁸ Estermann, T. and Bennetot Pruvot, E., “Institutional autonomy in higher education”, in: J. C. Shin, P. Teixeira (eds.), *Encyclopedia of International Higher Education Systems and Institutions*, Springer Netherlands, 2019

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European University Association 2019. *Transition to university autonomy in Kazakhstan – State of play of university governance and recommendations for the reform process* (TRUNAK project).

European University Association 2019 (forthcoming). *Efficiency, effectiveness and value for money: insights from the USTREAM project* (provisional title), T. Estermann and V. Kupriyanova.

3. Examples from the EU Partners. Practical experience of autonomy in their institutions

The following section focuses on the practical experiences of the EU partners to the TRUNAK project, addressing university autonomy from an intra-institutional perspective. A systematic analysis of the regulatory frameworks in which these universities operate is available via the EUA Autonomy Scorecard Country Profiles⁹.

3.1 Aga Khan University - Institute for the Study of Muslim Civilisations, United Kingdom

Aga Khan University (International) in the United Kingdom is a part of the Aga Khan University that operates internationally in Pakistan, Afghanistan, East Africa, and the United Kingdom. At present, its sole academic unit, established in 2002, is the Institute for the Study of Muslim Civilisations (AKU-ISMC). Its degrees are currently awarded under the authority of its parent university's charter from the Government of Pakistan and have to meet the requirements of Pakistan's Higher Education Commission. It also enjoys full academic recognition in the UK, including the right to use the title of university. AKU-ISMC currently offers a two-year master's programme in Muslim Cultures. Students are recruited internationally on the basis of academic merit; to date they have come from seventeen different countries. AKU-ISMC recognises the fundamental importance of academic freedom for its staff and students, while at the same time as an institution it works towards a greater understanding of pluralism and diversity within the contemporary world.

AKU-ISMC is therefore a very unusual institution within the UK system of higher education. The UK framework of autonomy has nevertheless proved sufficiently flexible to allow it to function effectively. AKU-ISMC is thus able to fulfil its distinctive mission while at the same time meeting all the norms of

⁹ <https://www.eua.eu/resources/publications/351:university-autonomy-in-europe-iii-country-profiles.html>

UK academic life, for example academic freedom, commitment to student development and focus on original research, that characterise other institutions of higher education within the UK.

The key elements of the UK framework for university autonomy (including other recognised institutions of higher education) are:

1. A set of broad social objectives that are set by the government and enjoy wide support within civil society, for example a commitment to inclusionary policies when admitting students.
2. A regulatory system that focuses on outcomes and is in part owned by the higher education sector as well as the government. The key elements of this system are the Office for Students (OfS - established in 2018 by government legislation) and the Quality Assurance Agency (QAA), which conducts many of the reviews required by the OfS and which relies heavily on members of higher education institutions to carry them out. The OfS adopts a risk-based approach to its task. OfS, working with the QAA and the Privy Council (an agent of the government), must approve any application to establish a new university, whether public or private, and the right to award degrees. The QAA has developed a Code of Practice, recently revised, which sets out expectations of how universities and institutions of higher education should manage their affairs, and this is used as the basis of the periodic reviews that it conducts.
3. A focus on the student. This includes ensuring that the quality of the education offered is uniformly high within the UK and offers value for money.
4. An atmosphere of trust between universities and higher education institutions on the one hand and the government and the public on the other.
5. A commitment to transparency.

The UK framework is perhaps best characterised as one of ‘constrained autonomy’. Provided institutions can demonstrate on a regular basis that they are achieving their overall goals, consistent with broad government and social expectations, they enjoy a great deal of autonomy. The higher education sector as a whole is represented by various organisations which work with the OfS and the government to ensure the health of higher education and to offer advice and training to universities and institutions in their work.

Organisational autonomy (governance)

Higher education institutions in the UK are required to demonstrate that they have robust systems of governance that are capable of providing strategic direction, monitoring overall performance, and identifying and responding to risk, whether this is academic, financial or from any other source. At the level of detail many different governance structures can be found. The government does not lay down a single format either for composition or for method of selection but in almost all cases governing bodies will include outside members as well, often, as student and staff representatives.

In the case of AKU-ISMC there is a dual structure. Overall university policy and funding is determined by a distinguished board of international trustees which meets three times a year. In the UK, there is a smaller board of directors (technically, the directors of the not for profit company that acts as the AKU-ISMC legal personality in the UK). The local board meets twice a year and receives reports from the AKU-ISMC Director. It is expected to provide expert advice both to the AKU-ISMC Director and to the Board of Trustees but is expected to operate within the strategic framework laid down by the latter.

The Director of AKU-ISMC is appointed by the Board of Trustees on the recommendation of a search committee. He or she reports to the Provost of Aga Khan University, who is responsible for his or her annual performance reviews and other personal matters such as approval of leave. He or she makes regular reports through the Provost to the Board of Trustees.

Financial autonomy

As independent legal entities British institutions of higher education have the right to own property and can raise financial resources from many different sources. However, in most cases their two most important sources of income are subject to government regulation. The first of these is tuition income, where the government imposes a ceiling on fees for undergraduate students (but not for postgraduate); the OfS assesses the quality of teaching provided by an institution. The second is generic funding for research; this too is subject to regular review of the quality of research and publication at each institution. Doing well on these two indicators is an important driver of internal policies and strategy at individual institutions. Overall funding from government sources has been declining relative to expectations from the higher education sector, and universities are constantly seeking to expand their own resources, for example by expanding numbers of international students and by exploiting their intellectual property.

In the case of AKU-ISMC, much of its funding currently comes from the parent university. However, several of its faculty members have been successful in obtaining grants from various funding sources, in particular the European Research Council and the British Academy. Only by achieving and maintaining high standards of research, recognised internationally, can AKU-ISMC continue to be successful in its search for external research funding.

Staffing autonomy

British higher education institutions have to operate within general UK employment legislation. This gives individual employees protection against arbitrary dismissal and discrimination. Salaries at more junior levels are generally fixed within bands negotiated by the sector as a whole and employee unions. At senior levels institutions have discretion to negotiate individual salaries, but all salaries above a certain level (currently £150,000 per year) have to be made public.

As a private institution, AKU-ISMC is bound by general employment legislation but otherwise sets its own policies. In practice, it endeavours to maintain parity with other similar institutions.

Academic autonomy

British higher education institutions in general have considerable autonomy in how they develop programmes of study and more generally in how they monitor their own teaching activity. Two important sets of guidelines are subject statements and the framework for higher education qualifications, both produced by the QAA on the basis of extensive consultation with the sector. While institutions have the right to establish new programmes of study, they are expected to do so in accordance with the QAA Code of Practice. This expects institutions to take advice from a wide range of stakeholders in the development of new programmes. The role of the external examiner, which is defined in the QAA Code of Practice, is also important in the regular monitoring of an institution's degrees. The examiner will generally be an established academic from another university in the UK (occasionally outside the country). He or she has the right to see all assessed material produced by students and also to review syllabi and other course material.

Admission of students is the prerogative of the individual higher education institution, but the composition of the intake to public institutions is closely monitored by OfS and is a regular subject of public debate in the press and in Parliament.

AKU-ISMC broadly follows the QAA Code of Practice in the development and monitoring of its academic programmes and the admission of students.

Conclusion

The UK model of autonomy has evolved over a long period of time in response to the specific needs of society and the economy, and to different political pressures. Two key areas of tension at present are financial constraints and the transition to mass higher education (both are current features of most European countries). AKU-ISMC has been able to utilise the present system to good effect.

3.2 Lund University, Sweden

Below follows a short introduction to the Swedish university system regarding laws and regulations. Then follows a description of funding in relation to internal autonomy and staffing matters specifically for Lund University (LU).

Sweden has in total 31 governmental universities and higher educational institutions. These are considered as governmental authorities belonging to Ministry of Education. The Swedish Parliament determines the universities that should exist and the initiation of new universities and higher educational institutions. As well, the Swedish Parliament determines the annual economic resources that will be supplied annually. Swedish university laws and regulations include the Swedish Higher Education Act¹⁰ and the Higher Education Ordinance¹¹.

The Swedish Higher Education Act contains provisions about the higher education institutions that are accountable to the Government. These provisions are often supplemented by the regulations in the Higher Education Ordinance. In these there are in general no mentions of financial terms. However, in general, the funding can vary widely as a consequence of applications for external projects from government, EU, and private sources.

A number of problems have been identified regarding the Swedish University system:

- Comparatively low autonomy has hampered specialisation, diversity, and innovation
- Important political goals such as collaboration, equality, broad recruitment, and life-long learning have not been implemented
- Limited connection between education and research
- Problems to supply knowledge and competence to some important societal areas

In Sweden, before the government submits a bill, a special investigator or a committee is often appointed, which is commissioned to investigate a particular issue. The result is gathered in a report and published in the series "Statens offentliga utredningar – SOU" (The State Public Investigations)¹². Conclusions from a special inquiry, conducted under the responsibility of the Ministry of Education, on how to reform governance and funding of universities have been put forward in the report "Betänkande av Styr- och resursutredningen (STRUT)" (Report of the investigation on Steering and Resources)¹³. The Swedish name of the report, released in February 2019, is "En långsiktig, samordnad och dialogbaserad styrning av högskolan" which can be translated as "A long-term, coordinated and dialogue-based governance of the university".

The objectives of this report are as follows:

¹⁰ <https://www.uhr.se/en/start/laws-and-regulations/Laws-and-regulations/The-Swedish-Higher-Education-Act/>

¹¹ <https://www.uhr.se/en/start/laws-and-regulations/Laws-and-regulations/The-Higher-Education-Ordinance/>

¹² <https://www.sou.gov.se/>

¹³ <http://www.sou.gov.se/utredningen-om-styrning-for-starka-och-ansvarsfulla-larosaten/>

- Visualise universities' role in society
- Improve interaction with society
- Clarify responsibility between government and university
- Suggest long-term governance
- Develop results-monitoring to ensure high quality and transparency
- Develop mobility, equity, broad recruitment and future needs for life-long learning and nation-wide education
- Strengthen connection between education and research
- Improve specialisation and collaboration
- Clarify responsibility between research funding agencies

In the context of the current discussion on the process of increased university autonomy for the Kazakh universities, an extract from the Swedish STRUT report can shed light on the spirit of the relationship between the governing function of the Ministry and the higher education institutions:

"Principles for appropriate steering

State steering needs to take its departure in the purpose of HEIs and the conditions for the fulfilment of this purpose. The overarching purpose of HEIs can be summarized as the creation, preservation and transmission of knowledge for a better world. The HEIs' mission includes being responsive to societal needs, but also an indispensable freedom and critical distance. The free pursuit of knowledge is the hallmark of HEIs, and a condition also for their development of research and education to meet specific needs.

A first precondition for the fulfilment of HEIs' complex mission is therefore academic freedom, as a basis for the development of knowledge and the necessary trust that this development is not controlled or limited by political, economic or other interests.

Academic freedom needs to be reflected in corresponding responsibilities in the form of integrity and high quality. Academic norms of quality and integrity are upheld through collegial processes which, consequently, are also central preconditions for HEIs' mission. An active societal responsibility in the form of public engagement and dissemination of knowledge is also central. Lastly, a long-term view, coupled with room for flexibility and renewal, are important conditions.

On these grounds we believe that appropriate steering for strong and responsible HEIs must:

- *Promote academic freedom, quality and responsibility – guarantee the free pursuit of knowledge and promote a strong quality culture through maintaining focus on results and quality while avoiding detailed steering or misaligned incentives.*
- *Promote societal responsibility – on a basis of strong academic integrity, HEIs should be expected to do what they can to ensure that the knowledge and competence they build contributes to society in various ways.*
- *Promote the ability for strategic action – provide long-term conditions that allow HEIs to take responsibility according to their different profiles.*

This is in line with the reforms initiated by the Swedish Government towards trust-based public management, which places emphasis on intrinsic motivation and professional norms and knowledge, and combines a clear responsibility for meeting overarching goals with flexibility on how to meet them. An increased focus on dialogue is an important part of this. So is coordination between different political expectations of HEIs, including joint consideration of education and research. Steering should be knowledge-based with follow-up and evaluation of reforms, take a long-term view and be less detailed. In general, government should set overarching goals while HEIs have a great degree of freedom in how to achieve them. The government's role includes a national overview of and strategy for higher education and research, weighing higher education and research against other societal needs, and coordination of steering to include factors that impact HEIs but are outside their sphere of influence.

The role of HEIs is to develop education and research through their local and professional knowledge, in the regional, national and international contexts in which they operate.

Steering should be more tailored towards different HEIs' profiles in order to leverage the diversity of the Swedish higher education landscape and promote cooperation where HEIs can use each other's strengths for joint development of high-quality research and education. This requires a dialogue where HEIs can explain the role that they see for themselves in a national context and where the government's knowledge of HEIs' different profiles is thereby continuously maintained.

Follow-up and evaluation fill important functions to drive quality, provide a basis for priorities, and provide transparency to interested parties concerning quality and results. At the same time, it must be used in moderation and designed so as to avoid negative side effects such as homogenisation, goal displacement or crowding out of intrinsic motivation. Evaluation and follow-up should as far as possible be relevant and useful both to the government and to HEIs. A strong quality culture and continuous quality assurance within HEIs provide the foundation for maintaining and improving quality. External reviews which reveal quality and relevance are important drivers for maintaining a quality culture and the trust of society."

The suggested new structure is shown in **Fel! Hittar inte referenskälla..**

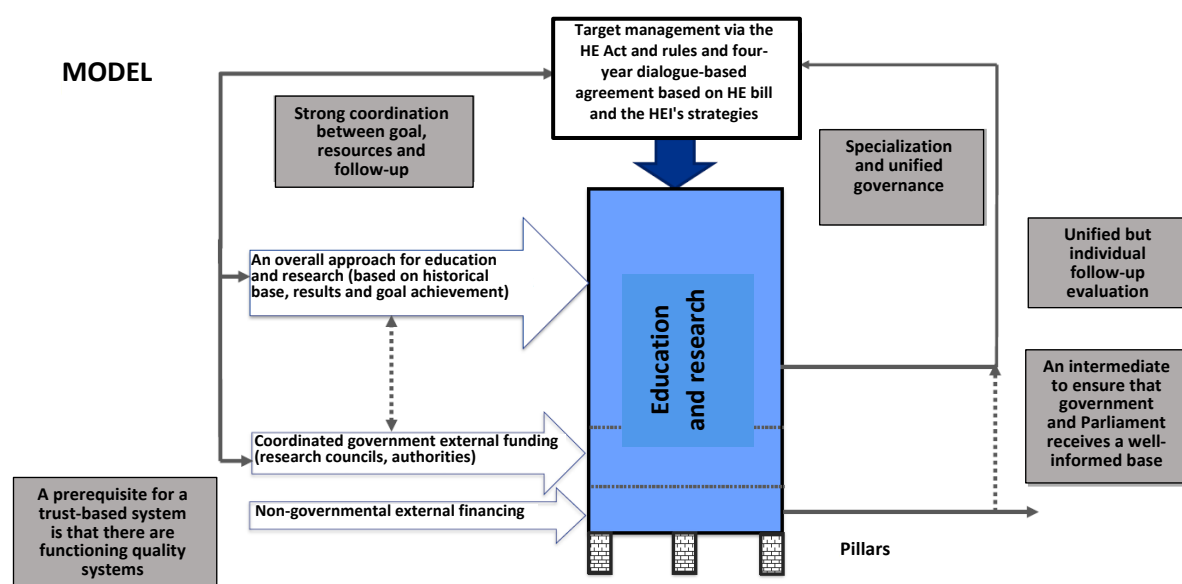


Figure 1 Suggested new structure for university funding and governance in Sweden

Staffing autonomy at Lund University

Regarding staffing, Lund University central administration allows for a rather large autonomy to the grass-root level of individual departments. However, since 55% of the budget comes from non-permanent funding (compared to 45% directly granted by the government), in reality hiring permanent staff is very complicated. The policy is that all staff should be hired permanently and participate equally in education and research. Thus, the university should as well present clear career paths to staff. However, the present funding system with 55% of the budget as non-permanent funding (means that many staff are hired as researchers on project-based funding. These staff are thus less likely to participate in educational activities. The STRUTEN report suggests an increasing share of funding directly from the government. This would probably alleviate some of the mentioned staffing challenges for the university.

Figure 7.3 Revenue (SEK million)

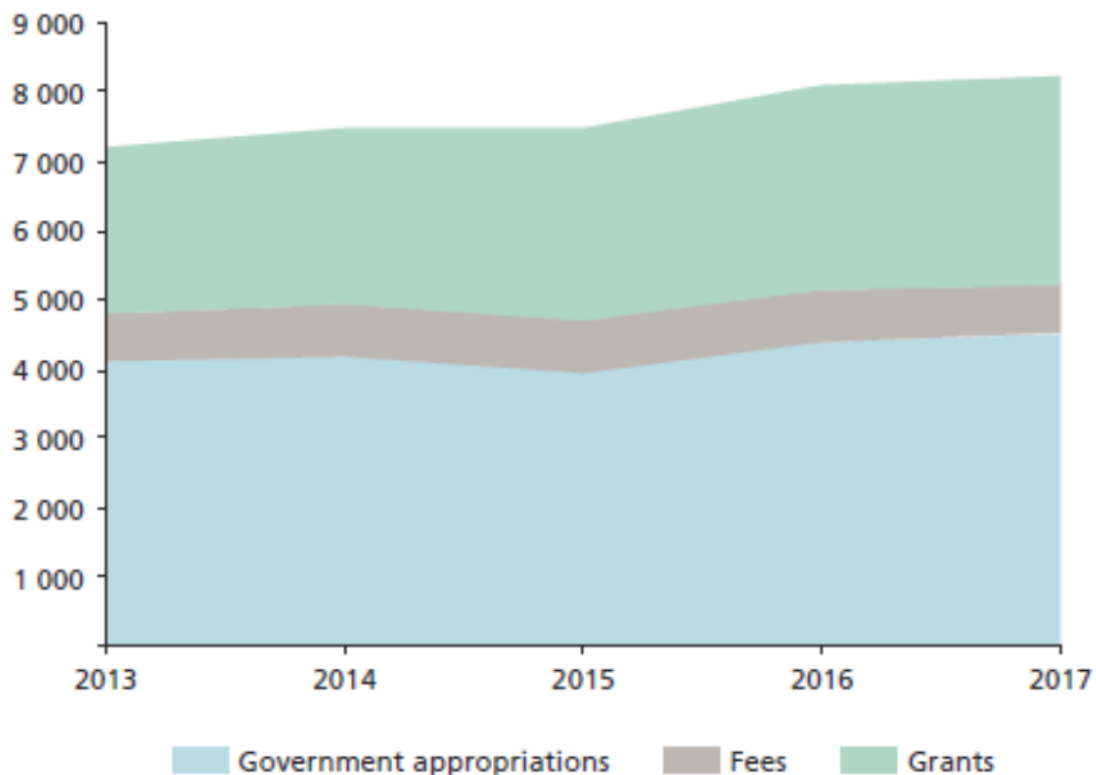


Figure 2 Lund University funding

3.3 Savonia University of Applied Sciences, Finland

The practical experience of autonomy in Savonia University of Applied Sciences

Higher education in Finland has a dual structure. Universities and universities of applied sciences (UAS) provide higher education and both sectors have their own profiles. Universities mainly focus on the production of knowledge and research-based education. Universities of applied sciences (former polytechnics) offer a vocationally-oriented education connected to labour market needs. Higher education institutions are autonomous actors that are responsible for the content of their education and research as well as the development of their own activities. Universities of applied sciences are public limited companies whereas universities are independent legal entities.

The universities of applied sciences reform was implemented in 2014–2015. The objective of the reform was to create the legislative framework and functional preconditions allowing UASs to become stronger providers of education for experts, builders of regional competitiveness, reformers of working life and developers of innovations. The reform aimed to improve the ability of universities of applied sciences to operate more independently and flexibly as well as to speed up the structural reform of UASs and an improvement to the quality and effectiveness of their operations. Funding for UASs was reformed to better support their educational objectives, including better quality of

education and research. Currently, all 23 Finnish Universities of Applied Sciences are non-profit registered limited companies.

Savonia University of Applied Sciences is one of the largest universities of applied sciences in Finland. Founded in 1992, Savonia provides strong competence to students in six fields of study distributed over three campus locations. Savonia has about 6 500 students, 500 employees and an annual budget of approximately 45 million euros. Savonia has operated as a public limited company in the Ministry of Education and Culture's administrative branch since the beginning of year 2015.

Organisational autonomy

The universities of applied sciences reform has strengthened the autonomy of universities of applied sciences in relation to municipalities. The new operating license practice has improved the ability of UASs to react to changes in the operating environment and to target their operations according to regional needs. As an independent legal entity, Savonia UAS makes independent decisions on matters related to its internal administration. Due to the reform, decision-making processes are seen to have become more flexible and fast. The UAS reform has also clarified the roles of UAS's board and operative management. In a limited company the role of the president (rector) has changed, and the president now has more authority and responsibility for finance and human resources policies.

Financial autonomy

In connection with the annual budget formulation, Finland's Parliament decides on the amount of core funding allocated by the Ministry of Education and Culture to the higher education institutions. The Ministry disburses the disposable core funding using the financing models for universities and universities of applied sciences. Besides the core funding, higher education institutions receive financing from other sources (external funding), such as the The Finnish Funding Agency for Innovation (Tekes), foundations, enterprises, the European Union and other international sources.

The appropriations for core funding are allocated to universities of applied sciences based on their performance in education as well as research and development. Part of the financing for both higher education sectors is allocated based on their strategies, which are formulated together between the Ministry and each institution. The core funding model is presented in the picture below.

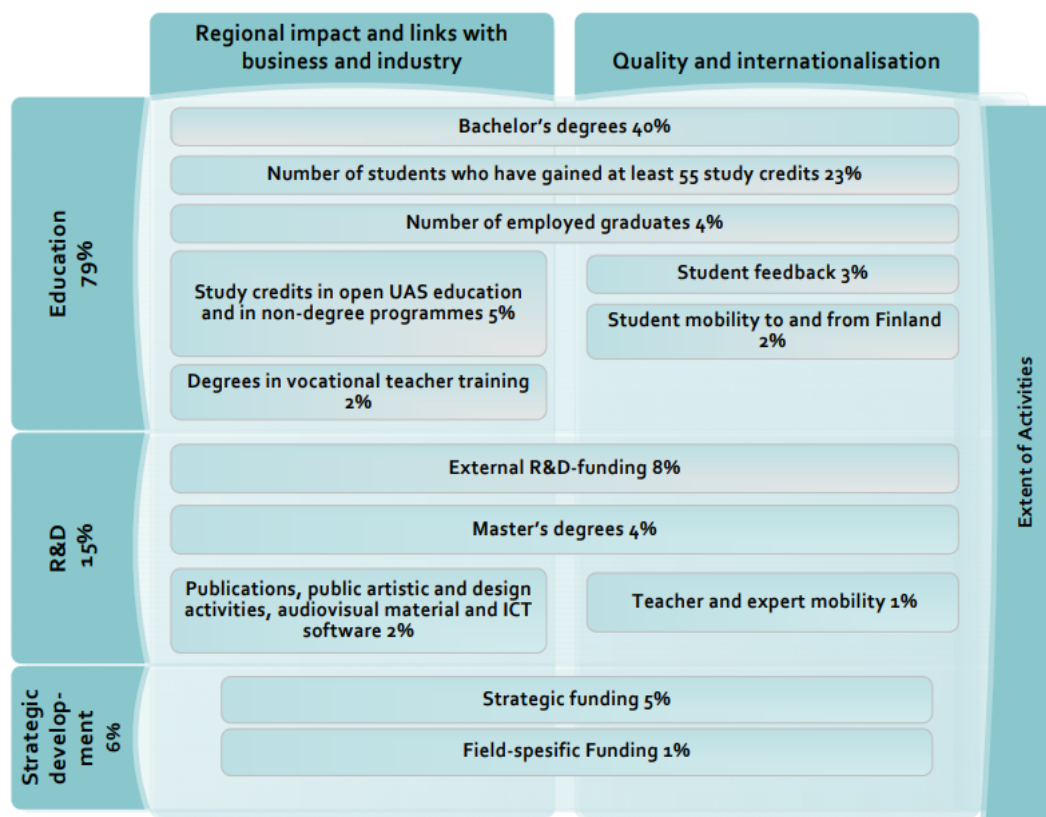


Figure 3 Universities of Applied Sciences, core funding model 2017

The model allows the core funding divided between the higher education institutions to be allocated as a single entity. The higher education institutions then decide on the internal allocation of funding independently based on their strategic choices.

The transition of universities of applied sciences to limited companies has increased each UAS's responsibility for their finances and strategy. The funding model and degree limits push the boundaries of autonomy and give the Ministry of Education and Culture a tool for the strategic steering of universities of applied sciences. Significant autonomy to decide on internal allocation of resources has enabled the university to develop an income-generating strategy. Budgeting and demand for efficiency are nowadays as important in UASs as they are in other kinds of companies.

In Finland Universities of Applied Sciences cannot charge tuition fees for national/EU students but are now free to set tuition fee levels for non-EU students enrolled in English-taught programs above a minimum level set by the government. Decisions on how the tuition fees are collected are made by the universities of applied sciences.

The new funding model has also made higher education institutions to apply actively for competitive research and development funding. Whether they will be successful is a matter of how well they fulfil the respective funding organization's requirements. In order to get competitive funding Savonia needs to be well aware of future needs of work life and organizations in the region.

Staffing autonomy

UASs can decide on recruitment, promotions and dismissals of senior academic and administrative staff. The only restriction concerns salaries, which are negotiated with other parties.

Overall, the changes in the UAS reform from the point of view of the legal status of the personnel are minor. Most of the impacts of the reform are created indirectly based on the strategic choices of UASs, which, for example, are fundamentally affected by the change in the funding model. The impact of the reform on the staff is partly dependent on the legal status of the UAS before the reform. The most important changes in the legal status of the personnel have been in the UASs where the administrator had been a joint municipal authority. In these UASs, the service relationship of the personnel has changed into an employment relationship as a result of the reform.

The reform has enlarged the management and supervisory work of UASs. UASs are more result-oriented than before, and awareness of performance and the factors used to measure it has strengthened throughout the organisation. In the work of teaching and guidance staff, this is reflected, for example, in the increase in the number of students studying and in the search for external project funding. Overall, work has become more goal-oriented and result-driven.

Academic autonomy

Finnish UASs may freely introduce degree programmes but only within the scope of their determined study fields (decided at national level). UASs may also freely develop programmes in languages other than the national ones and are responsible for reviewing the quality of their activities. Savonia has internal regulations on how each curriculum is formed. The curricula are based on common competences (European and National Qualifications Frameworks) and needs of work life. In Savonia University of Applied Sciences, the Vice-President approves the curricula.

As the activities of higher education institutions are based on significant autonomy, Savonia has the possibility to adapt its educational and research and development activities to the needs of the companies and other organisations in the region. Savonia engages in applied research and development activities on selected focus areas (the Vice-President approves the project applications). The philosophy of the focus areas is built on product development, creative experiments, entrepreneurship, innovations, business expertise and internationality.

Conclusion

The UAS reform has changed the operating models and practices of UASs in several ways. The most important change driver since the beginning of 2014 has been the new financing model. As a rule, the operating processes of UASs have been streamlined in the direction guided by the funding model. In addition to the financial model, the decrease in funding has contributed to a clearer focus on finance-related issues at the UASs. The Finnish UASs are systematically investing in the issues that the financial system encourages: to promote students' studies, to obtain qualifications and an annual 55 credits, to Open University studies, to publishing and to research and development. The operational processes have been increasingly adapted to foster in-time graduation of students.

3.5 University of Ljubljana, Slovenia

Introduction

The University of Ljubljana is the largest higher education institution in the Republic of Slovenia. Being a public and comprehensive university, covering all fields of higher education, it has a complex internal structure. The university's mission is to be as well engaged in science and research. With its 23 faculties and 3 art academies, it has evolved slowly towards a more decentralised organisational model. In

practice, its faculties enjoy a high degree of autonomy within the University, while the Rectorate mainly acts as a central point of contact in relation to the ministries and provides general guidelines and instructions to its faculty members.

As shown in the EUA Autonomy Scorecard, the Slovene higher education system does not stand on the top of the scale when measuring certain components of university autonomy. It is important to stress that the universities in Slovenia have strived for a separate Law on universities, which would allow them to gain a better and even more autonomous position within the country. So far, the universities in the Republic of Slovenia are part of the higher education sector and are regulated on the basis of general legislation on higher education, such as the Higher Education Act and other legislation which affects the actual life at the university. The most important limitation that concerns the independence of the University of Ljubljana is the fact that the university is a part of the public sector and is therefore limited in setting the salaries, employment criteria and internal procedures regarding expenditures from public funding.

With a relatively secured funding level in the last few years, the University is currently able to fulfil its obligations and tasks but has to comply with a broad range of regulations that somehow limits its ability to set the strategy and evolve. For example, significant difficulties arise from not being able to freely set the salaries and therefore attract international staff.

This chapter briefly outlines the typical characteristics of autonomy of the University of Ljubljana and the crucial points that would have to be addressed in the near future to enable the university to evolve more independently and achieve the set goals more effectively.

As already mentioned, the university has established – through the 100 years of its existence – a decentralised internal structure. This section therefore presents a general picture about the University of Ljubljana but focuses as well on the faculty level, in order to represent the degree of autonomy of one specific faculty, namely the Faculty of Medicine.

Organisational autonomy

In this section, we describe the specific situation of the organisational structure of the University of Ljubljana, which is set by the Higher Education Act. The bodies of the University are: Rector, Senate, Administrative board and Student council. And on the level of the university members – that is faculties, the bodies according to the Higher education act are: Dean, Senate, Academic assembly and Student Council. The Slovenian law recognises faculties and academies of art as higher education institutions and ‘members’ of universities, which therefore have limited capacity to decide on academic structures. In addition higher education institutions and other university member institutions may have other bodies in accordance with their memorandums of association and statutes (Article 20). In practice for example the Statute of the University of Ljubljana has established another body of the university members - that is the Academic Assembly. And according to the University Statute working bodies of the senate are as well stated (for example habilitation commission, commission for the field of education, commission for quality, etc.

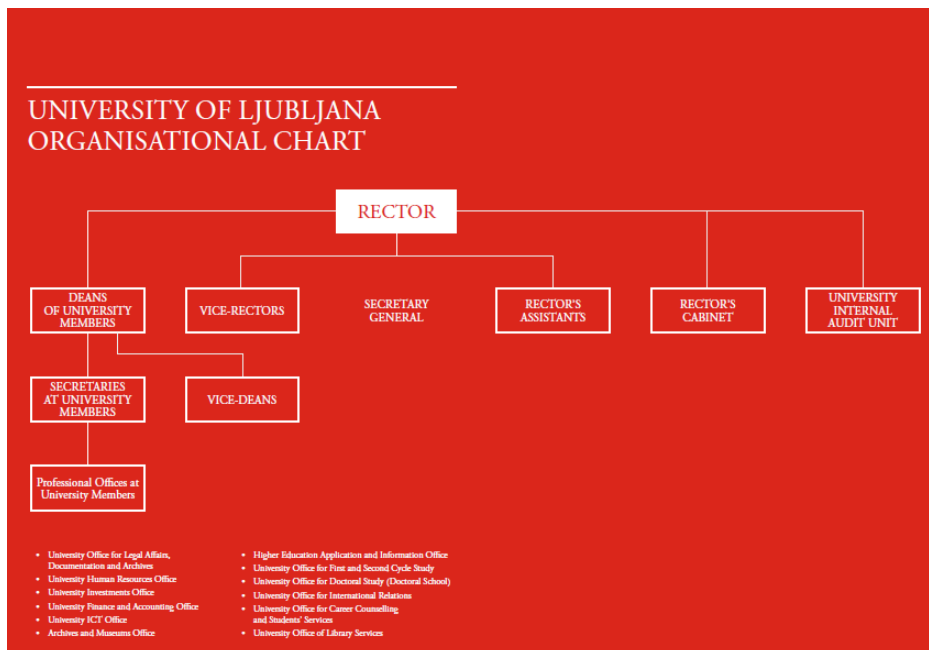


Figure 4 Organisational chart of the University of Ljubljana

UNIVERSITY BODIES:

The Rector leads and represents the University.

University Senate is the highest academic body of the university and is the decision-making body, the Rector is a member of the Senate by virtue of his position.

Administrative Board is a managing body that decides primarily on the matters of economic nature and ensures smooth pecuniary operations of the University.

Student Council is a body of the students of the University and consists of the presidents and vice presidents of the student councils of university members.

BODIES OF THE UNIVERSITY MEMBERS (FACULTIES):

The Dean leads and represents the Member and is the academic chair of the Member and conducts tasks on the grounds of law, the ordinance on the establishment of the university, these Statutes and the powers of the Rector transferred by the latter to the Dean. At the same time the Dean is responsible for the legality of the Member's activities and is also the managing body of the Member when the latter operates within the activities where legal capacity of the Member is not limited.

Senate of the Member is the highest academic body of the Member and it deliberates and decides on academic matters in the fields of research and development, the artistic and the educational work of the Member. The sessions are convened and chaired by the Dean.

Academic Assembly of a Member reviews the reports of the Dean on the work of the Member and gives proposals and initiatives to the Senate and it as well elects the members of the Member's Senate among the university lecturers and/or researchers at a secret ballot.

Administrative Board of the Member decides on managing the resources obtained by the activities within the Member's legal capacity.

Student Council of the Member is a body representing the students and it deliberates on all the matters concerning the rights and obligations of students, gives opinion on pedagogical workers in the proceeding of election into the titles, forms opinions of the Member's students for the University Student Council and elects members of the working bodies of the Member and proposes candidates for the working bodies from among the students whenever so stipulated by the Member's regulations.

Slovenian public universities are only allowed to create non-profit legal entities. However, in comparison to the university structure, there is one important difference: faculties are legal entities and can establish legal bodies, whereas the university is officially considered as a public body and does not have that right. This fact gives the faculties an important advantage because, with the establishment of legal bodies, they can compete on the market and generate additional income that allows them to develop more efficiently.

While government intervention in university governance and organisational matters can be considered limited, Slovenian universities have limited scope for strategic central management due to the historically high organisational autonomy of faculties. This is, in particular, the case for the University of Ljubljana, which is the oldest and by far the largest university in Slovenia.

Financial autonomy

The biggest challenge of the university is how to support the development of its activities through the financing it gets. The University of Ljubljana as a public university gets most of its funding from the Ministry of Education, Science and Sport of the Republic of Slovenia based on an annual lump sum budget. The financing of the university is set in law with governmental directives on funding. Apart from the years of the economic crisis, the University of Ljubljana has enjoyed a relatively stable funding for its educational programmes. However, it should be noted that in Slovenia there is no secured structural funding from the ministries for covering and financing the research and scientific activities of the university. Therefore, the university has to constantly apply for projects funded by national, European or other bodies.

Staffing autonomy

The main challenge of the public universities in the Republic of Slovenia, with regarding to staffing autonomy, is that they are considered as part of the public sector. In practice, this means that salaries and employment conditions are set by legislation on public employees and the university has absolutely no chance to set the criteria individually. Even the academic staff forms part of the public sector and they have to comply with the same rules as for example other civil servants (like teachers, nurses, medical doctors etc). The challenge in practice is that the university struggles in keeping the best individuals because it cannot offer the salaries the best scientists would get abroad. The same is true when attracting foreign staff. Many specific conditions that apply to the public sector (regulations on the use of Slovene language, setting the salaries etc) do not give the university the ability to follow its strategy; mostly, it gets the people who are willing to come on the basis of these rigid conditions. It is very important therefore for the university to represent itself as an attractive environment for the staff at home and from abroad.

The next barrier that the University faces in the area of staffing as well as academic autonomy is the language criterion. By law the language of instruction is Slovenian. All the administrative staff have to prove their competency in Slovenian and this already limits the ability of the university to attract other staff for administrative posts. On the other hand, there is a bit more flexibility when selecting the academic staff, however the set salary conditions are the limiting factor. The University is aware of this kind of limitation so it regularly interacts with the ministries and makes suggestions and proposals on changing the system, especially by proposing a special law on universities that would place them more appropriately, bearing in mind the special circumstances of the higher education sector. Currently no major steps have been made in this direction; however, this topic is regularly debated within the Rectors' Conference.

Academic autonomy

In brief, universities in Slovenia have autonomy on how to design their study programmes and only have to follow Article 35 of the Higher Education Act. For the Faculty of Medicine, the only exception is the fact that medical education falls within the scope of regulated professions, so we have to ensure the EC directives and minimum criteria as well. Additionally, we have autonomy on how to select the accreditation body. Although we still have a double accreditation system, accrediting both the institution (only the university and not the faculties) and the study programme, there is no rigid system and a high degree of freedom is given to the university. According to the new rules, programme accreditation is carried out when the programme first opens; after that only internal university quality assurance is needed, although with the possibility of an external audit. The main obstacle in Slovenia with regard to academic autonomy are the provisions on the use of the Slovene language. The University is obliged to have programmes (at least for the 1st, 2nd, and uniform single cycle master programmes) in Slovenian and only if the programme is provided in Slovenian can we offer it in other languages as well.

Thoughts/reflections on UL governance that can be of interest for the debate about the Kazakh reform

Organisational autonomy

Selection criteria of the Rector. The University of Ljubljana has positive experience in this matter and the candidates for the Rector are automatically people who have an established position within the university and who have broad support within the university body. The Rector is the highest decision-making body of the university.

It is important to secure the independent role of the Senate, which is a professional body. In the case of University of Ljubljana, the Senate is composed of only academic staff of the university and student representatives (1 member per each faculty and art academy, the Rector and 7 student representatives). It is important to give special consideration to the selection criteria for the members of the Senate. In the case of the University of Ljubljana, only full-time employees, holding the university lecturer and/or researcher title may be elected as members of the Senate. This criteria excludes part-time academic staff and all administrative staff. However, the University Statute makes an important distinction when referring to the Faculty of Medicine. A lecturer of a medicinal clinical subject who is not a full-time employee of the University may also be elected as a member of the University Senate provided that his hours of employment amount to at least 25 per cent of full time. Since in general it is more difficult for young academic staff to get the post of full-time lecturer and/or researcher, they consequently have less chance of being members of the Senate.

The Administrative board has an important role in deciding upon non-academic matters and ensures the undisturbed financial, investment and development operations of the higher education institution; therefore, it is crucial that the university has a high level of autonomy in selecting its members. In the case of the University of Ljubljana the Administrative Board has nine members: four representatives of the University, three of them being representatives of the employees conducting higher education activities, and one representative of other employees, one representative of students, one representative of the employers and three representatives of the Founder, that is Slovene government. It is important to stress out that the representatives of the Founder have only 1/3 of the total votes and do not have veto power, so the university is still able to follow its internal strategy and policy without requiring their approval. The decisions are namely taken on the basis of a majority vote. Additionally the president of the Administrative Board is always elected among the representatives of the employees conducting higher education activities and the vice president from among the representatives of the Founder or vice versa.

Since one of the core tasks of universities is to provide quality educational programmes, it is essential that all constituencies are actively involved in the decision-making process. This includes academic staff, faculty staff and students.

At the faculty level we see as a criticism of organisational autonomy the fact there is no clear distinction of the roles and powers of the Academic Assembly and the Senate. At the faculty level, it selects the members of the Senate that in the end have the power of confirming the appointment of the elected dean and taking all important faculty decisions.

Financial autonomy

What is an important set back for the financial autonomy of the University of Ljubljana being a public university is the fact that public universities can not charge fees to national and EU students at Bachelor and Master levels. And in addition the level of fees for international students at all levels and for all students on doctoral level is set in cooperation with the State.

The capacity to keep financial surplus at the end of the financial year is at the level of the university, contributing to its ability to make strategic decisions for the future; faculties have to have a balanced financial year.

Staffing autonomy

All staff in Slovenian public universities have civil servant status. The fact that all employees of the university are part of the public sector payment system means that whatever change there will be in this system it will have great influence on the university as a whole as well. Therefore, when setting the staffing dimension of autonomy, one always has to have a broader picture in mind. Universities must obtain the approval of the ministry on an annual Human Resources plan, which includes the number of proposed recruitments for the following year. The approved plan sets the limits for the recruitments. The individual recruitment process for senior academic staff is set by universities. At the University of Ljubljana, a selection committee with one member external to the faculty and one member external to the university, reports to the dean of the faculty. The rector decides on the proposal for appointment. In the case of senior administrative staff, the recruitment process is the responsibility of faculties, with deans making the decision. Staff salaries are set externally and apply to civil servants across all public sectors. There are nevertheless special provisions for university academic staff, which allows for additional income on the basis of extra teaching, research/project work. There are restrictions on the promotion of senior administrative staff as their status is linked to the national salary system which also includes promotion criteria. The system provides for the possibility of promotion on the basis of seniority and performance appraisal. Dismissals are regulated in accordance with civil service rules.

Seen from the faculty point of view the UL faculties enjoy a high degree of autonomy when defining the posts and selecting the staff, either academic or administrative. The Rectorate has to officially approve the opening of a position but later the faculty organises all internal procedures on how to select the candidates.

Academic autonomy

There is absolute trust between the ministry and university on how the universities design the study programmes and the ministries do not set any obligatory content that each study programme should contain. We think that this is a crucial aspect for academic autonomy. The government should trust the universities that they are able to design their study programmes on their own, of course by securing the internal quality assurance mechanism as well.

3.6 Università Cattolica del Sacro Cuore Roma (UCSC), Italy

University Autonomy in Italy

Since 1980, university autonomy and evaluation systems have been fundamental instruments that, throughout the years, have significantly strengthened the central role of universities in Europe. Indeed, despite periods of lack of public resources, these systems have been fundamental for expanding the training offer, increasing the number of students and reducing dropout rates, but also enhancing the quality of teaching, research and research tools.

The foundations of Italian university autonomy are laid in the art. 33 of the Italian Constitution, enacted by the Constituent Assembly on 22 December 1947 stating that “[...] *Higher education institutions, universities and academies, have the right to establish their own regulations within the limits laid down by the law [...]*”. From that moment on, the text of the above-mentioned article never changed, paving the way for an increasingly advanced system. But it is only in 1989 that the law (168/89) officially established the autonomy of Italian universities. Indeed, according to the law 168/89 universities become independent public bodies with their own legal personality. Until that moment, universities were considered as organs of the State.

Main points of university autonomy in Italy

In the next paragraphs, the autonomy dimensions will be briefly analysed and described according to the Italian context and the related norms.

1. **Organisational / regulatory autonomy** allows universities to have their own Statute and regulations. The autonomous Statute determines the disciplinary area of the university and is its law of reference. The only limits are the principles established by the Constitution and the laws that expressly concern university institutions.
2. When analysing **financial autonomy**, one can consider the law 168/1989 and the law 537/1993. The first gives directly to the universities the possibility of adopting their own regulations for administration, finance and accounting in order to regulate the terms and methods for the preparation of financial statements (i.e. annual and final balance sheets), the organ responsible for their approval, the contractual procedures and the administration of the assets. The second law further sets out and specifies the allocation of financial resources. In fact, through this norm the financial resources allocated to the Universities are grouped into three separate chapters called “Fund for the programming of the development of the university system”, “Fund for construction and equipment”, and “Fund for ordinary financing”. With these laws, the responsibility of universities increases in relation to the management of resources and, as a consequence of stringent constraints imposed at a central level, an increasingly careful planning of activities is also required.
3. **Academic autonomy** grants each university the power to issue its own educational regulations that lay the basis for the qualifications it offers. In Italy, academic autonomy was formalised only with the Ministerial Decree (MD) 509/1999. This decree, in fact, determines the new kind of qualifications that the universities can issue and, for the first time, the universities are free to design their own training offer by defining the details of their study courses, according to the standards defined at national level. More specifically, the titles that universities can award according to MD 509/1999 are: three-year degree, specialist degree, specialisation diploma and research doctorate. Also, the Ministerial Decree 270/2004 can be considered as a significant legislative action as it provides that universities can award additional titles namely, degree, master's degree, diploma of specialization and research doctorate.

With regard to research activities, the President Decree (DPR) 382 of 1980 is an important reform which, for the first time, recognizes the university as the primary centre of scientific research and assigns a role of coordination of the country's scientific and technological research to the Ministry of Education. In this way, Universities have put themselves at the service of the development of the country.

The DPR 382 is indeed an innovative law in a number of ways, as it defined the new structure of the university, established the role of researchers, the research doctorate, the possibility of contracts and research agreements, and has allowed universities to organize themselves by departments.

4. The law 168/1989 establishes the Ministry of University and Scientific and Technological Research. Article 6 of the Law reiterates the primary role of scientific research in universities and the autonomy of research by teachers and academic units.

Italian university performance

The Scorecard of the European University Association provides an overview of the "autonomy performance" of the university systems of the countries of the European Union and, therefore, indicates what are the strengths and possible weaknesses of each country's system. Italy is classified as having a medium-high degree of organisational and financial autonomy and medium-low for the academic and staff autonomy dimensions. In detail, the ranking of Italy for each dimension is:

Sixteenth place in organisational autonomy. This is the effect of Italian laws that limits the decisions of universities when prescribing the selection criteria.

Seventh position in financial autonomy. This is because the financial system is quite flexible and depends on the decisions of the university, including the internal allocation of funds received and the level of tuition fees.

Eighteenth place in academic autonomy. This is due to the fact that, as well as the general control of numbers and the selection of students, there are some limitations in the design of the content of academic programs, for which public authorities specify educational activities and objectives.

Twenty-fourth place in staffing autonomy. There are legal restrictions in the recruitment of staff, definition of salaries, and rules for dismissal. Also, the promotion of academic and administrative staff is mainly regulated by law and often subject to public competition.

Strengths and Weaknesses of UCSC.

UCSC is strongly committed to put the human being at the heart of its mission and vision. Therefore, teaching as well as medical practice are deeply rooted in ethics. Although UCSC is a private university, it is also a public-law institution subject to the same sets of rules and legal framework as public universities. Specifically, the university it is required to fulfil the same quality objectives as all the other public-law institutions. UCSC has found its private status a real asset in providing high-level teaching and services to its enrolled students. For example, UCSC has been building up a wide network with private institutions, enterprises and universities across the world to maximize its students' global experience. On the one hand, being part of a great national and international network attracts highly motivated students as they feel it represents a plus to their education, and on the other hand it attracts top-level doctors, professors, and researchers willing to work within a dynamic environment. Moreover, since UCSC can autonomously set a limit to the number of students who are accepted per year, it can ensure an optimal ratio between the size of the teaching body, infrastructure, services provided, and student numbers. Furthermore, UCSC's facilities are built in a campus-like fashion so that students can actively live within the university and have easy access to library, restaurants and recreational spaces and sport facilities.

Since UCSC is a private institution, it can decide on the level of tuition fees, which are set at a higher level than the average charged by public universities. UCSC mitigates the risk that higher fees limit access for students with a financial aid policy supporting students most in need. Students who meet

specific criteria can apply for scholarships covering tuition fees, on campus accommodation costs or both.

Conclusions

In Italy, the discussion about autonomy and the competitiveness related to it in the different areas and divisions within the Italian University system is certainly related to more responsibilities and to a strict control on the part of the State, which plays a fundamental role in the basic funding of universities. Indeed, the distribution of funds is linked to all the activities and results achieved. This responsibility is carried out by the National Committee for Assessment of the University System (CNVSU, formerly Observatory). As competitiveness and autonomy should be tied to quality and assessment, the role of the Committee is not only that of being an external controller but also a leading figure in supporting this process. Indeed, an efficient national evaluation system must foresee interactions and the necessary agreements between processes of self-evaluation, internal and external evaluation. Therefore, in the perspective of addressing universities towards developing a new model of autonomy, the consideration that the concept of autonomy is bound not only to more “freedom”, but also to quality assurance and more responsibilities, is very important.

4. Results of the discussion groups

As stated in the section 1.6 Methodology, in the framework of the Work Package 2.1 “Discussion Group”, workshops in Lund, Ljubljana and Lublin were organised for discussion on the challenges and opportunities of increased autonomy. In each workshop, the representatives of the universities (EU and Kazakh) and of the ministries were divided into two sub-groups by autonomy dimension (Academic & Staffing and Organisation & Financial), with alternation of dimensions to ensure that all members participated in all dimensions. At the end of each workshop, the results were presented followed by a general discussion.

4.1 General considerations

The members of the Discussion Group took into consideration one of the fundamental principles declared in the Magna Charta Universitatum (Bologna, September 18, 1988), in which autonomy is defined as one of the fundamental principles of universities: *“The university is an autonomous institution at the heart of societies differently organised because of geography and historical heritage; it produces, examines, appraises and hands down culture by research and teaching.*

To meet the needs of the world around it, its research and teaching must be morally and intellectually independent of all political authority and economic power”. The members of the Discussion Group pointed out that dialogue between government bodies and universities in the field of autonomy development will be more effective if the criteria for assessing the autonomy of universities are clearly defined and understood among all stakeholders.

In the Law of the Republic of Kazakhstan “On Education” (with changes and additions as of 21.02.2019), in Article 11, “Objectives of the education system”, p. 7, one of the objectives of the system is formulated as follows: “expanding the autonomy and independence of educational organisations, making education management more democratic”. The members of the Discussion Group agreed that the development of new approaches to autonomy requires the legal consolidation of the concept of “university autonomy”; its definition and the introduction of the criteria for organisational, financial, academic and staffing autonomy.

The example of EU countries shows that the concept of “university autonomy” is regulated on a constitutional basis. For example, the Constitution of Poland, Article 70, clause 5, states the following: “The autonomy of the institutions of higher education shall be ensured in accordance with the

principles specified by statute". The Constitution of Slovenia includes Article 58 (Autonomy of Universities and Other Institutions of Higher Education) - "State universities and state institutions of higher education shall be autonomous. The manner of their financing shall be regulated by law." In Finland, university autonomy includes the right to make decisions related to institutional, internal, and administrative management. In Russia in the Law on Higher and Postgraduate Professional Education the autonomy of a higher educational institution means its independence in the selection and placement of staff, the implementation of educational, scientific, financial, economic and other activities. The autonomy is defined somewhat differently in the Model Regulations on the Higher Professional Education Institution. In this document, autonomy is defined as "the degree of self-government that a higher educational institution needs in order to make effective decisions regarding its statutory activities." The principles of university autonomy, as a rule, are reflected in the statute of the educational institution.

As long-term objective, the group suggested to include of the university autonomy concept in the Constitution of Kazakhstan and the development of the Law of Universities. The incorporation of the definition of autonomy into Kazakhstani legislation should be based on the definition and structure developed by EUA.

4.2 Staffing autonomy

The analysis of the state of play by EUA identified a series of challenges/opportunities which formed the basis of the thematic discussions in the workshops.

Transfer of the decision on the ratio teaching staff/students to the universities.

In response to the challenge "Enhance flexibility for strategic recruitment" at the system level, the members of the Discussion Group supported the EUA recommendation to transfer the capacity to decide on the ratio of teaching staff/students to the competence of universities. This question caused an active discussion in all groups. On the one hand, the freedom to decide about the ratio would significantly expand the autonomy of universities and their capabilities. On the other hand, this could risk significantly reducing the quality of the services provided, in particular in the private sector, and that therefore the change would have to be accompanied by a reinforcement of the mechanisms for quality assurance.

Modernisation of Human Resources

The discussions about the challenge on "Modernisation of Human Resources management practices/excessive administrative load on academic staff" lead to the formulation of recommendations for changes at system and institutional level.

There are budgetary programs to finance the training of teaching staff in the MES and for the training of teaching and administrative staff in the Ministry of Healthcare. The ministries should allocate these specific funds for the professional development of the staff, regardless of the form of ownership of the institution. The analysis of the current situation in the universities under the jurisdiction of the ministries demonstrates the need to develop a program aimed at staff development. The implementation of budget programs should provide training to senior managers, middle managers and employees. The program should focus on the training of university management personnel in strategic, executive and coordination functions; the development of human resources in activities such as planning, reception, retention, evaluation of personnel, work with unions; etc.

For their part, the institutions would have the responsibility to develop personnel policies, which should include the principles for hiring, preserving, firing, developing and rewarding academic and

administrative staff. Concrete measures were proposed as for example that the institution independently develops and approves the rules for recruitment and promotion of academic staff and researchers in accordance with the staffing policy; that certification of teachers should be included in the staffing policy and determined by the university not less than every five years, that the regulations on salaries are developed by the university itself; etc.

4.3 Academic autonomy

The members of the Group of discussion proposed unanimously to base the model of academic autonomy on four principles: responsibility, trust, transparency and responsibility, and proposed to define the motto "From regimentation to regulation" as a guide for the development of academic autonomy. In general terms, for the design of a model of academic autonomy, it was proposed to consider the interaction of the elements: Ministry - educational process - student admission and graduation.

Student intake and selection

EUA identified as a challenge the absence of involvement of universities in the matters of student intake and selection; nevertheless, the discussion groups recommended to maintain the function of determining the state educational order (grants) and its distribution at the system level, that is, under the responsibility of the MES.

Involve universities in state sponsored student selection

The Discussion Group suggested that the MES should maintain the function of establishing the Unified National Testing (UNT) threshold score for participation in the competition of educational grants. When awarding educational grants to applicants, the division into languages of instruction should be eliminated. The group proposed to make amendments and additions to the Model Rules of admission to study at universities, allowing the universities to plan the student selection process based on the results of the UNT. The reforms proposed are:

- admission of applicants to training areas carried out independently by the universities;
- universities decide on the threshold level of the UNT score for students admitted on tuition fee basis;
- gradual registration of students that pay tuition (pre-registration, conditional registration, registration) based on the results of the first and second stages of the UNT (January, March);
- establishment of additional criteria for the selection of students by universities;
- selection of the language of instruction by the student, including when enrolling in universities.

Excessive Ministry control over academic affairs

In response to this challenge, the discussion focused on quality assurance mechanisms and on the issue of institutional and specialized accreditation. Currently, both institutional and programme accreditations are required. The Register of recognized accreditation bodies should include all agencies included in the European Quality Assurance Register for Higher Education (EQAR). At the system level, it was proposed to develop a National Code of Quality for Higher and Postgraduate Education.

To reduce the level of control of the Ministry on the mandatory content of educational programmes the groups proposed changes, eliminating some regulations, and reforming structures and procedures that can be more effectively managed at institutional level. These changes are:

- Remove the reference “in accordance with the Model/standard Rules” and / or “in accordance with the procedure established by the authorized body” in laws and regulations.
- Exclude all rules regulating academic activities in the Model Rules of Higher Education Institutions.
- Review the structure and content of State Compulsory Educational Standard (SCES), excluding the detailed regulation of the educational process, SCES should be given a framework context.
- Reduce the scope of comprehensive disciplines to 15% of the total of degree programmes and determine the list of comprehensive disciplines, delegating the content of curricula to the university (cancel the Model Curricula regulation).
- The universities determine the ratio basic disciplines / major disciplines.

At the institutional level, in order to increase the responsibility for planning an academic course, it was suggested that universities should be given the following competences:

- The university independently determines the content and design of the degree programmes, based on the structure of SCES, as currently done.
- The university independently decides on opening the degree programme in accordance with the license for the area of training, as currently done.
- The university is responsible for the quality of the degree programme through:
 - the development of an internal quality assurance system, without which institutional accreditation is not possible;
 - the creation of academic committees involved in the development of content and design of the degree programme;
 - the systematic monitoring and evaluation of the quality of students’ academic achievements, progressive testing, teaching materials and results.
 - Universities independently award degrees, including PhD.
 - Universities determine the procedure for giving academic leave, the procedure of academic results transfers and readmission.

To visualise the result of the discussions on Academic Mobility, the group elaborated Figure 5 and 6:

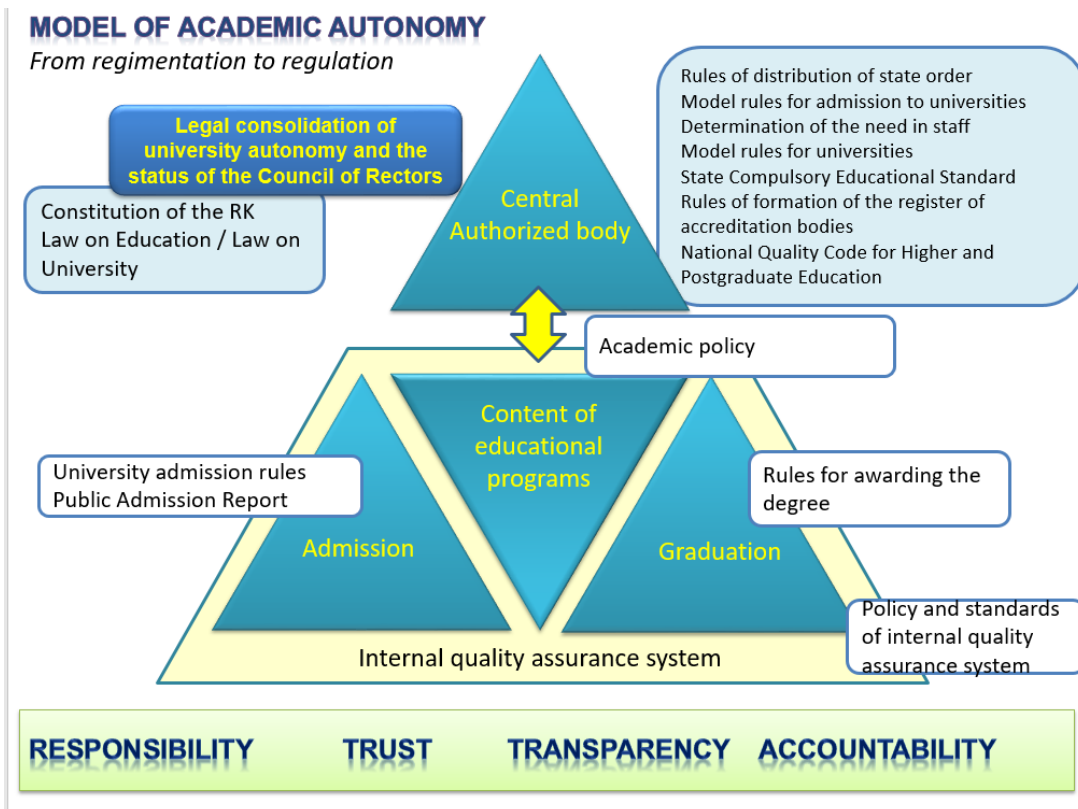


Figure 5 Model of academic autonomy (1)

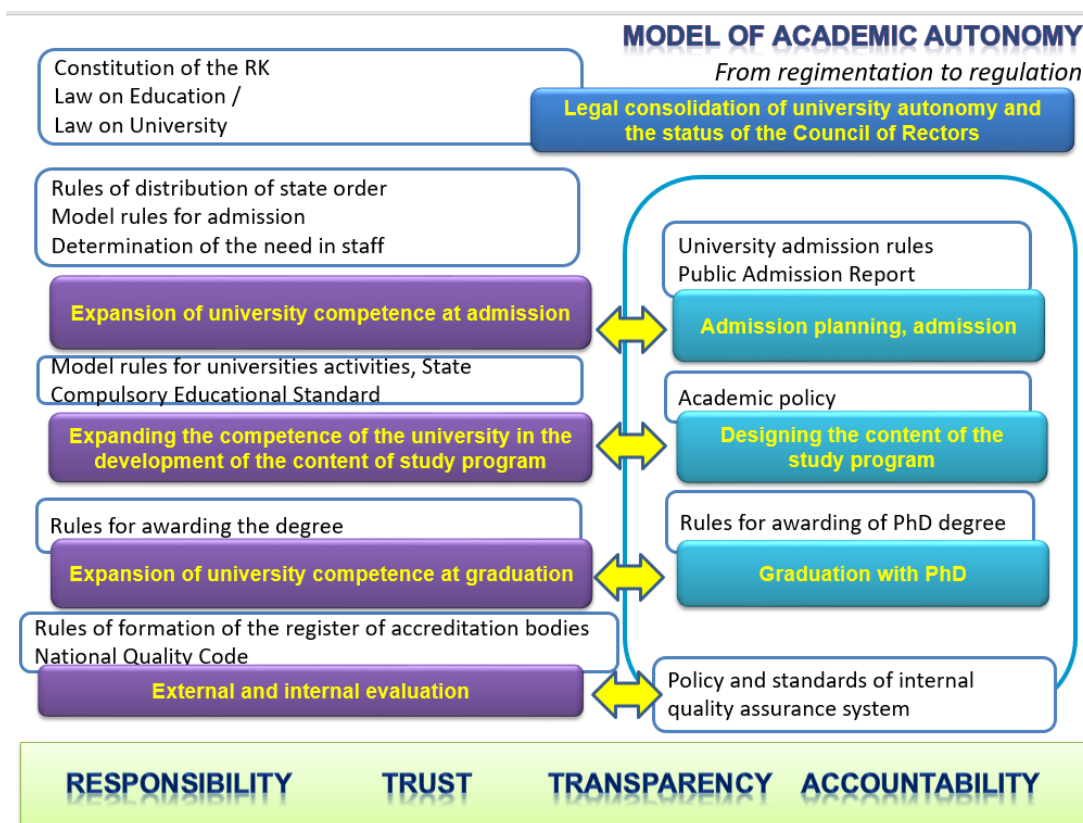


Figure 6 Model of academic autonomy (2)

4.4 Financial autonomy

Challenges identified by EUA:

Inadequate funding modalities

Restricted ability of universities to manage their own assets and financial affairs

Lack of income diversification

The Discussion Group devoted great effort to analysing the situation of financial autonomy. It has been difficult for the group to describe the current situation and react to the challenges and recommendations formulated by EUA, partly due to the co-existence of different organisational models in the Kazakh university sector. This has been particularly evident in the case of universities recently reorganised by the State as Non-commercial Joint Stock Companies, in which the State is the dominant shareholder. In addition, in the case of the State-owned universities, the regulatory frame is complex and it has been difficult for the group to formulate concrete reforms. In both cases, the conclusion is that the system is overly complex and fragmented, and therefore does not provide enabling framework conducive of strategic, long-term financial management. For this reason, the coordinating team of Work Package 2 proposed the creation of a TRUNAK team tasked to continuing to discuss Financial Autonomy and formulate proposals for changes. As illustration of the difficulties encountered by the Discussion Group, the result of its work on Financial Autonomy are presented in the table in chapter 4.6.3.

4.5 Organisational autonomy

There were divergent opinions within the Discussion Group on the responses to the challenges for increased Organisation autonomy, indicating that universities should receive more freedom to develop their own internal management rules, which would allow them to adapt more easily to the conditions of their internal and external context. The increased freedom in decision making by the university management would contribute to the sense of ownership over the development of the institution.

Modernising selection of university leadership

The members of the Discussion Group proposed to replace the current procedure established by law, which requires external validation for the election of the rector, with a new procedure. The group proposed to develop internal institutional processes, that may differ between institutions, but the outline of the core process should be as follows:

- The selection criteria would best be addressed by the individual universities.
- Announcement of the position with information and application requirements.
- The candidates are required to present a strategic/development plan for the mandate.
- The candidates' profiles are discussed at Academic Council.
- The Academic Council recommends a candidate to the Board of Directors, who takes the decision on appointment directly or via the Republican Commission or Shareholder.

The group also discussed the alternative of applying a totally different system, in which the rector is elected by the students and staff of the university, with involvement of the Academic Council and the appointment decision by the Board of Directors or the corresponding university body.

Evaluation of university leadership

In line with the proposal above on a new procedure for the election of the rector, the discussion Group proposed to reduce the involvement of external authority in evaluation. The body that decides on appointment of the rector should be responsible for the evaluation. The group proposed changes in the law to exclude "certification" of rector and members of the Board from the Code of the Republic of Kazakhstan "On the Health of the people and the healthcare system". In the case of universities organised in the form of Joint Stock Company, this regulation is contradictory to the law on Joint Stock Companies, which stipulates that the rector is accountable to the Board of Directors. At the institutional level it was suggested to prescribe clear objectives in the university charter, the procedure for selecting and evaluating the rector, and the duration of the mandate.

Modernisation of governance bodies

In the case of JSC universities, the members of the Discussion Group agreed on that the composition of the Board of Directors should not exceed eight members and that the chairman of the Board should not be a representative of a shareholder (the Ministry). The group proposed amendments in the Law on Education regulating the competences of the Board of Directors and the Academic Council. The group had divergent opinions about the competences of the governing bodies as stipulated in the law, a circumstance that indicates that the decisions should be at the level of the institutions, and not at system level. In the current system, the Board of Directors cannot decide on matters as appointment, business trips, vacations, etc of the university leadership. For this reason, the group proposed to adhere to the law regulating Joint Stock Companies, where these decisions are the competence of the Board or the Chairman of the Board, instead of the shareholder (Ministry). This important decentralisation measure should be accompanied by the development of accountability mechanisms to guarantee transparency and quality, ensuring that there is a system for internal monitoring and external quality evaluation.

During the workshop in Lund, the discussion group actively participated in debates, for example, on the question of the composition and operation of the Academic Council. The representatives of the universities had different opinions, demonstrating that there is no single model of organisation of the governing bodies.

4.6 Tables of the work of the discussion groups in Lund, Ljubljana and Lublin

The task assigned to the participants in the Discussion Group was to analyse, together with the representatives of the EU universities, the challenges for ministries and universities of Kazakhstan. The results were compiled into tables for each dimension of autonomy. The data collected should be viewed as the raw data of the report. The tables follow the structure of the EUA report on the state of the play and recommendations for reform in Kazakhstan. The work of the three discussion groups was structured as follows:

- Propose specific changes at the system and institutional level.
- Degree of consensus in the group for the proposed reforms.
- The time frame for reforms.
- The mechanisms or regulations to change.
- Accountability measures.
- Justification of the proposed changes.

4.6.1 Staffing autonomy

Challenge	Recommendations at system level	Recommendations at institutional level	Consensus (+, ++, +++)	Timeframe	Mechanisms (what regulations to change)	Ways of accountability	Justification of changes
Enhance flexibility for strategic recruitment <u>System:</u> Consider removing student/staff ratio and take a more qualitative approach <u>Institutional:</u> Develop strategic thematic portfolios of responsibilities for vice-rectors	Transferring the establishment of academic staff/ student ratio to the competence of the university	The Board of Directors approves the students/staff ratio	++	1 year	1) MES RK cancels the order determining the ratio of teaching staff/students (1 year). 2) MES RK introduces into the Law on Education, within the competence of the Board of Directors of the non-commercial Joint Stock company, the approval of the teaching staff/student ratio (1 year). <u>At the university level:</u> 1) The university develops a mechanism for calculating the teaching staff/student ratio on the basis of the Internal Quality Policy and the assessment of the profitability of educational programs (1 year). 2) The Board of Directors approves the Teaching staff/student ratio (1 year)	1. Annual analysis for the Board of Directors	
Modernisation of Human Resources practices / excessive administrative burden on academic staff <u>System:</u> Allocate targeted funding to develop Human Resources skills across university sector <u>Institutional:</u> Draft tailored salary and promotion processes to incentivize staff development Recruit and train staff to develop capacities	Allocation to <i>university</i> of targeted funding for staff professional development <i>regardless of form of incorporation</i>	The university develops personnel policy. The university independently develops and approves the rules for recruitment and promotion of academic staff and researchers in accordance with the staffing policy	+++	1-5 years	Implementation of the budget program of the Ministry of Education and Science on targeted funding for staff professional development regardless of form of incorporation (3-5 years). The budget program should provide training for top managers, middle managers and employees. The program should be focused on the formation of a strategic, executive and coordinating role for university managers;	The system of performance indicators for the implementation of the budget program Internal Audit Services of Board of Directors	In accordance with the current legislation, universities have staffing autonomy. In this connection, there is a need to develop and approve at the level of universities personnel policy and internal regulatory documents defining the qualification requirements for positions, rules for admission and dismissal of teaching staff and employees, and remuneration. In the Republic of Kazakhstan there are programs for budget financing of advanced training of teaching staff at the level of the MES of the RK, teaching staff and

Challenge	Recommendations at system level	Recommendations at institutional level	Consensus (+, ++, +++)	Timeframe	Mechanisms (what regulations to change)	Ways of accountability	Justification of changes
					<p>development of human resources in such activities as planning, reception, retention, evaluation of personnel, work with trade unions, etc. (1-3 years)</p> <p><u>at the university level:</u></p> <p>1) The university develops personnel policy, which includes the principles of hiring, preserving, dismissing, developing and encouraging teaching and administrative staff (1 year).</p> <p>2) The university introduces long-term personnel replacing planning (1 year).</p> <p>3) The university creates the conditions for attracting young employees to management positions(1 year).</p> <p>4) The university takes measures to reduce administrative work-load of academic staff (1-3 year). For example, through strengthening the role of student self-government and reducing the amount of administrative and educational work of teaching staff.</p> <p>5) The university develops an adapted remuneration process.</p>	Board of Directors Academic council	staff at the level of the MH of the RK. Analysis of the current state of affairs in universities under the jurisdiction of the Ministry of Education and Science of the Republic of Kazakhstan demonstrates the need to develop a program aimed at staff development
Limited ability to compete on salaries <u>System:</u> Allow greater flexibility in salary setting	The university has more flexibility in setting salary						

4.6.2 Academic autonomy

Challenge	Recommendations at system level	Recommendations at institutional level	Consensus (+, ++, +++)	Timeframe	Mechanisms (what regulations to change)	Ways of accountability	Justification of changes
Legal consolidation of the concept of “university autonomy”	As long-term objective, the group suggested the inclusion of the university autonomy concept in the Constitution of Kazakhstan and the development of the Law of Universities.		+++	1-5 years	Legal consolidation of the concept of “university autonomy” in the Law on Education (1-3 years): <ul style="list-style-type: none"> • definition of the concept; • introduction of criteria for academic, organizational, financial and staffing autonomy. 2. Development of the Law on the status of universities (3-5 years) 3. Legal consolidation of the autonomy of universities in the Constitution of the Republic of Kazakhstan (3-5 years)		At present, the concept of “university autonomy” and its main features are not defined and not enshrined in the regulatory legal acts. The lack of legal consolidation of this concept and its features creates difficulties in the distribution of powers between the MES of the RK, MH of the RK and universities
Strengthening the coordinating role of the National Conference of Rectors / Association of Rectors in the dialogue between government bodies and universities	Determine the legal status of the National Conference of Rectors				Determine the status of the National Conference of Rectors / Association of Rectors at the legislative level (1-year)		The Council of Rectors formally exists, but due to the fact that its status is not legally defined, it plays a special role in relations with the MES of the RK, MH of the RK, Parliament and the Government

<p>No influence of universities on student intake and selection</p> <p><u>System level:</u> Capacity to decide on overall number of students</p> <p><u>Institutional:</u> Take more active role in student intake planning</p>	<p>1. MES together with Ministry of labour and social protection of population of the Republic of Kazakhstan forms the state educational order (grant) and carries out its distribution according to the areas of training taking into account the needs of the regions.</p> <p>2. The MES establishes the threshold level of the UNT score for the participation in the competition for the educational grant.</p> <p>3. The MES carries out the award of educational grants to applicants according to the areas of training without division into the languages of instruction.</p> <p>4. Into the UNT certificate and the certificate of the grant holder enters the QR code.</p> <p>To form unified database of UNT results with access to university admissions committees</p> <p>5. The Central Authority, in conjunction with the local executive body, upon completion of the admission company, conducts a comparative analysis of student enrolment in educational programs in relation to the demand of the labour market, incl. regional</p>	<p>The university develops its own admission rules, in which:</p> <ul style="list-style-type: none"> - selection criteria for educational programmes are defined both for educational scholarships and fee-based study; - threshold mark of Unified national testing is set for enrolment on degree programmes of educational scholarships, but lower than it is set by standard rules; - admission regulations for fee-based study are determined, including the threshold level of the Unified national testing (UNT) mark, additional entrance tests; - Both regulations and form of the entrance examination as well as foreign students selection criteria are determined. <p>2. University independently carries out student enrolment on the degree programmes in the framework of areas of training taking into account labour market needs, including regional needs</p> <p>3. University independently plans the language of instruction in the context of educational programmes.</p> <p>4. University determines the overall plan of admission based on facilities (study area and service resources).</p> <p>5. University independently determines the regulations, form of the entrance examinations and criteria for the selection of applicants for the second higher education, and also selects criteria of the entrants on a fee-based study arriving on the reduced form of education (college).</p> <p>6. The university itself determines the order, the form of the entrance examinations and the criteria for the selection of applicants for a second higher education.</p>	+++	3-5 years	<p>1. Ministry of labour and social protection of population of the RK/ Central authority develops a mechanism for annual determination in the long term of the need for personnel with higher and postgraduate education in the context of regions.</p> <p>2. MES RK develops the Rules for the distribution of state order, taking into account the identified needs.</p> <p>3. MES RK amends / repeals the Model Rules for Admission to Universities, taking into account proposals at the institutional level.</p> <p>At university level: see university recommendations</p> <p>4. MES RK determines the structure of the university report on admission and compliance with the needs of the region and the republic.</p> <p>5. Development of a new system of state financing for training staff with higher and postgraduate education, taking into account the needs of the labour market, with increasing autonomy of universities in admitting students (possibly as part of a new research project)</p>	<p>1. Public Report of the Ministry of labour and social protection of population of the RK / Central authority to the public about the perspective of staffing needs</p>	<p>Traditionally, universities in the Republic of Kazakhstan in accordance with the current legislation did not have independence in the implementation of admission to the level of bachelor on the state educational order (grants) at the level of bachelor. The whole process was fully regulated and carried out at the level of the MES RK. At the same time, universities had the opportunity to independently pursue admission to the master's and doctoral studies on the basis of the state order. At the end of 2018, in accordance with the new edition of the "Model Rules for Admission", universities lost the opportunity to influence admission on the state educational order (grants) at the level of the magistracy, but received full independence in accepting foreign citizens for a fee-paid basis.</p> <p>Assigning to universities the function of graduates' employment at the legislative level (Model Rules for Higher and Postgraduate Education Organizations determined that employment should be at least 50% in the direction of training) and the distribution of state order at the level of the MES RK difficulties to universities and entails inappropriate expenditure of funds from the republican budget. Realization of the proposed measures will allow changing the existing process of distributing state orders, directing funds for training the really necessary staff for the economy</p>
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		7. At the completion of the enrolment campaign university conducts a comparative analysis of student enrolment on degree programmes in comparison with the demand of the labour market, incl. regional					sectors in accordance with regional requests, enhancing the role of potential employers in cooperation with universities in the training process, providing graduates with job places, increasing the responsibility of universities , social partners in the face of employers and the public of the regions.
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Challenge	Recommendations at system level	Recommendations at institutional level	Consensus (+, ++, +++)	Timeframe	Mechanisms (what regulations to change)	Ways of accountability	Justification of changes
<p>System: Involve universities in statesponsored student selection</p> <p>Institutional: Plan autonomous student selection processes</p>	<p>To make amendments and additions to the Model Rules of admission to study at educational organizations that implement educational programs of higher education in the following parts:</p> <ul style="list-style-type: none"> – admission of applicants in areas of training independently by universities; – self-establishment by universities of the threshold level of a UNT score for enrolment on a fee basis; – gradual enrolment (pre-enrolment, conditional enrolment, enrolment) to universities on a fee basis based on the results of the first and second stages of the UNT (January, March); – establishing additional criteria for the selection of students by universities; – self-selection of language learning by students, incl. when enrolling in universities 	<p>The university itself plans enrolment of students by results of UNT</p>	+++	1-3 years	<p>The Ministry of Education and Science of the Republic of Kazakhstan makes changes to the Model Rules for Admission to Education in Educational Institutions Implementing Higher Education Educational Programs</p>	<p>1. The public report of the university on the admission of students and compliance with the requirements of the region and the republic</p>	
<p>Excessive Ministry control over academic affairs</p> <p>System: Rely on strong institutional accreditation procedure (remove need for programme accreditation)</p>	<ol style="list-style-type: none"> 1. Legislatively codify the undergo of institutional accreditation for the participation in the state educational order for all levels of training. 2. The register of recognized accreditation bodies should include agencies included in the EQAR. 3. Development and approval of the National Code of Quality of Higher Education. 	<ol style="list-style-type: none"> 1. The university develops a mechanism for implementing the internal quality assurance system based on the ESG guidelines and standards National Quality Code of Higher and Postgraduate Education. 2. Having a sustainable internal quality assurance system is the basis for accreditation. 3. The functioning of the internal quality assurance system and its results is necessarily to be posted on the university website (as a prerequisite for the management of accreditation agencies). 	++	1-3 years	<ol style="list-style-type: none"> 1 MES of RK makes amendments to the Law on Education on the need for institutional accreditation to participate in the state educational order for all levels of education (1 year). 2 MES RK makes amendments to the Rules for the formation of the Register of recognized accreditation bodies (1 year). 3 MES RK initiates the development of the National Code of Quality of Higher Education (1 year). 4 The Association of Universities develops a National Code of Quality for Higher Education. 	<ol style="list-style-type: none"> 1. Accreditation procedure. 2. Public posting of Policy and information on internal quality assurance system. 	<p>In the current legislation at the level of the “Law on Education” and regulatory legal acts regulating the distribution of state orders (grants) there are contradictions associated with the presence of accreditation as a condition for the distribution of state orders (institutional accreditation or accreditation of educational programs), which on the one hand entails corruption risks, and on the other hand, universities have been able to promptly respond to the demands of the labour market of the regions and the republic as a whole, due to the provision at the level of the “Law on Education” of the right to independently develop and approve study programs, and since accreditation of educational programs is an</p>

Challenge	Recommendations at system level	Recommendations at institutional level	Consensus (+, ++, +++)	Timeframe	Mechanisms (what regulations to change)	Ways of accountability	Justification of changes
					<p>5 The Ministry of Education and Science of the Republic of Kazakhstan amends legislation to determine the status of the National Code of Higher Education Quality and its implementation (1 year).</p> <p><u>At the university level</u></p> <p>1. The university develops and approves the Policy and Standards for internal quality assurance on the ESG guidelines and standards of the National Code of Quality for Higher and Postgraduate Education (1-3 years).</p>		expensive procedure, there will be an obstacle for the introduction of new innovative programs designed to train staff for several years. However, an important condition for training is the quality of training. In this regard, there is a need to develop at the republican level the National Code of Higher Education Quality compulsory for all universities of Kazakhstan.
<p><u>System:</u> Remove provisions prescribing mandatory study content in curricula and pass complete control to universities</p> <p><u>Institutional</u> Plan for transfer of increased responsibility over academic course planning Review content of study programmes</p>	<p>1. Exclude the regulation “in accordance with the Model/standard Rules” and / or “in accordance with the procedure established by the authorized body” in laws and regulations.</p> <p>2. Exclude all rules regulating academic activities in the Model Rules of Higher Education Institutions.</p> <p>3. Review the structure and content of State Compulsory Educational Standard (SCES), excluding the detailed regulation of the educational process, SCES should be given a framework context.</p> <p>4. Reduce the scope of the comprehensive disciplines till 15% of the total degree programmes, at the same time determining the list of comprehensive disciplines, delegating the content of curricula to university (cancel Model Curricula).</p> <p>5. Determinate the ratio of the scope of disciplines’ cycles of the base disciplines and major disciplines and transfer it to the competence of university</p>	<p>1. The university independently determines the content and design of the study program based on the structure of the SCES.</p> <p>2. The university independently opens and closes the study program in accordance with the license for the direction of training.</p> <p>3. The university is responsible for the quality of the study program through:</p> <ul style="list-style-type: none"> - developing a system of internal quality assurance, without which institutional accreditation is not possible; - the creation of academic committees involved in the development of content and design of the study program; - systematic monitoring and evaluation of the quality of educational programs, educational achievements of students, conducting progressive testing, materials and results of which are provided to independent experts. <p>4. Universities independently award degrees, including PhD</p>	++		<p>1. MES RK to exclude from the laws and regulations the edition of the norms “in accordance with the Model Rules” and / or “in the manner established by the authorized body” (1 year).</p> <p>2. MES RK exclude from the Model Rules of the Organization of Higher and Postgraduate Education all the norms governing academic activities (1 year).</p> <p>3 MES RK review the structure and content of the SCES, standards for the regulation of the cycle of the comprehensive disciplines, base disciplines and major disciplines (1 year).</p> <p>4. Amend the Law on Education, the Rules for the award of degrees (1-3 years). Cancel the actions of the laws and regulations with the exception of the SCES, Model Rules, Model Rules for admission.</p>	<p>1. Study programs rankings</p> <p>2. Accreditation</p>	The lack of legal consolidation of the concept “university autonomy”, signs of academic autonomy contributes to the fact that the MES RK despite the provision of academic autonomy, seeks to strictly regulate the activities of universities at the level of secondary legislation, which leads to contradictions in the laws and regulations and limit the academic autonomy of universities. In this regard, there is a need to implement these proposals, aimed at removing the “checks” in the implementation of academic autonomy of universities and increasing the level of responsibility of universities, transferring the planning of their own activities, taking into account the profitability factors of educational programs and the Quality Policy.

Challenge	Recommendations at system level	Recommendations at institutional level	Consensus (+, ++, +++)	Timeframe	Mechanisms (what regulations to change)	Ways of accountability	Justification of changes
	6. Terms of study on degree programmes should be determined by the scope of mastered academic credits. 7. Fully delegate the award of degrees, including PhD to university 8. The rules for granting academic leaves, the procedure of academic transfers and readmission shall be fully transferred to the competence of university	5. In academic policy, universities determine the procedure for granting academic leave, transfer and recovery procedures.			Change the approach to licensing training - move to institutional licensing <u>At the university level</u> 1. University determine the requirements for the content and design of the study program in the internal regulatory documents (1 year).	1. Academic Council Registry of study program External examination of study program 2. Monitoring of Education and Science Monitoring Committee of awarding PhD 3. Monitoring of contingent of students	

4.6.3 Financial autonomy

Challenge	Recommendations at system level	Recommendations at institutional level	Consensus (+, ++, +++)	Timeframe	Mechanisms (what regulations to change)	Ways of accountability	Justification of changes
Inadequate funding modalities <u>System level:</u> Replace line-item budgets with block grants Incorporate a small number of output-related criteria into the calculation of the block grant to incentivise performance Permit universities to internally allocate block grant without restrictions Develop recurrent funding for research activities	The experts of the working groups in Lund and Ljubljana proposed 2 options: 1. The first group believes that these rules are developed for all state-owned enterprises and not suitable for the University's activities and therefore it is necessary to approve own forms of budgeting and reporting for a short-term period — a year (annual budget), a medium-term period — 5 years (development plan), a long-term period - 10 years (development strategy) by the management body - Board of Directors 2. The second group believes that it is necessary to maintain the existing forms and leave the approval only by the Board of Directors. 3. The third group proposed to develop rules of budgeting universities using the block grants system.		++	5 years	Order No. 249 of the Ministry of National Economy of the RK on the development, approval of Development plans of state-controlled joint-stock companies and limited liability companies, state enterprises	Since universities are currently transit to the Non-commercial joint stock companies, it is necessary to provide reporting of rectors to the Board of Directors, conduct an external financial audit, the Internal Audit Service monitors the budget, report on the results of financial activities post in open sources.	

Challenge	Recommendations at system level	Recommendations at institutional level	Consensus (+, ++, +++)	Timeframe	Mechanisms (what regulations to change)	Ways of accountability	Justification of changes
<p><u>Institutional level:</u> Get engaged in a dialogue on the selection of criteria to ensure fitness for purpose</p> <p>Develop financial planning and budgeting strategy, as well as principles, formulae and sums available for internal allocation</p>	<p>To terminate these actions in the framework of autonomy and to enable the effective use of the money earned by the University, since the state does not reimburse the articles: amortization costs and profits for independent development.</p> <ul style="list-style-type: none"> Within the framework of the agreement concluded between the state body and the University, the University undertakes to report on the allocated money to achieve the result. If the result is achieved, the University receives income, otherwise it does not. At the same time, it is not necessary to require reports from the University on the use of the full amount in the context of expenditure. <p>2. The group in Ljubljana suggested to add that amortization costs should be included in the cost of the grant during the project, but did not agree with as well as third working group with the following paragraph of the recommendation proposed in Lund: Within the framework of the agreement concluded between the state body and the University, the University undertakes to report on the allocated money to achieve the result. If the result is achieved, the University receives income, otherwise it does not. At the same time, it is not necessary to require reports from the University on the use of the full amount in the context of expenditure. At the same time, it is not necessary, in the context of the expenditure item, to require reports from the University on the development of the full amount.</p> <p>3. The third group agreed with the proposed recommendation of the Lund</p>		++	More than 18 months			

Challenge	Recommendations at system level	Recommendations at institutional level	Consensus (+, ++, +++)	Timeframe	Mechanisms (what regulations to change)	Ways of accountability	Justification of changes
	group, and offered to give Ministries the opportunity to finance research, depending on the indicators.						
Restricted ability of universities to manage their own assets and financial affairs <u>System level:</u> Give universities full control over renting and selling property Provide funding for staff development in facility management Permit universities to keep surpluses <u>Institutional level:</u> Recruit or train staff to develop capacities Develop a long-term planning for investment	Norms and limits on expenses (travel, entertainment expenses and others): terminate the norms and limits defined by the Decree of the Government of the Republic of Kazakhstan and to provide the governing body (the University Board of Directors) with the opportunity to determine the norms and limit on expenses. Approve the rules and limits on costs by the governing body - the Board of Directors of the University. However, the second and third groups did not agree with this, in response, the second group stated about the need in stability in financing planning to ensure long-term quality assurance. Funding from the state should be planned for the next 3-4 years so that the university can carry out activities stably.		+	more than 18 months.			
	Universities with state participation procure goods, works, services and fixed assets in accordance with the Public Procurement Rules approved by the legislative act of the Republic of Kazakhstan: the first group proposed terminate the Public Procurement Rules for the University within the autonomy, as these Rules are not flexible in relation to the solution of operational production issues. Develop own procurement rules and approve them by the governing body - the Board of Directors. The second group did not reach a consensus and made two recommendations: 3. Terminate the Public Procurement Rules for the University within the autonomy, as these Rules are not flexible			more than 18 months.	1) Law of the RK on public procurement 2) Order of the Minister of Finance of the RK "On approval of the Rules of public procurement"		

Challenge	Recommendations at system level	Recommendations at institutional level	Consensus (+, ++, +++)	Timeframe	Mechanisms (what regulations to change)	Ways of accountability	Justification of changes
	in relation to the solution of operational production issues and add to the Law on Education, approving the rules of public procurement by the Board of Directors to ensure maximum transparency with the supervision by State, or develop own procurement rules and approve the governing body - the Board of Directors. It was also noted that proposals on scientific activities were included in the Health Code. The third group proposed to conduct scientific and educational activities without tender procedures.						
Lack of income diversification <u>System level:</u> Introduce tax incentives to encourage business investment Provide incentives to institutions to attract income from other sources (for example indicator in block grant) <u>Institutional level:</u> Draft guidelines for diversifying university income streams Recruit or train staff to develop capacities for this	Introduce tax incentives to stimulate business at the University: All three groups agreed that it is necessary to terminate as according to the norms of the tax code of the Republic of Kazakhstan, in case of exceeding the annual turnover of other non-core incomes by 30,000 of Minimum calculation index (paragraph 4, Article 82 of the Tax Code of the Republic of Kazakhstan), the University becomes a VAT payer. Within the framework of autonomy, exclude the provision of clause 4, Article 82 of the Tax Code of the Republic of Kazakhstan) and the norm of application of corporate income tax due to transition from joint stock company to non-commercial joint stock company		+++	more than 18 months.	Code of the Republic of Kazakhstan "On taxes and other obligatory payments to the budget (Tax Code)"		
	The number of students educated by the gov. grant is allocated based on the planning of gov. bodies: The group in Lund proposed setting a quota and provide the University with the opportunity to determine a grant according to its plan. Within the framework of autonomy, to provide an opportunity for the University to determine at its discretion the number of students contingent on a grant and on	Group proposed to make changes and amendments to the academic policy of the university.	++	more than 18 months.	Decree of the Government of the RK "Model rules for admission to study in educational organizations that implement educational programs of higher education"		

Challenge	Recommendations at system level	Recommendations at institutional level	Consensus (+, ++, +++)	Timeframe	Mechanisms (what regulations to change)	Ways of accountability	Justification of changes
	a fee basis, since the grant tariff does not reimburse amortization costs and profits for independent development. The second and third groups came up to the conclusion that the issue of admission of students should be included in the section of Academic Autonomy.						

4.6.4 Organisational autonomy

Challenge	Recommendations at system level	Recommendations at institutional level	Consensus (+, ++, +++)	Timeframe	Mechanisms (what regulations to change)	Ways of accountability	Justification of changes
Modernising selection of university leadership <u>System level:</u> Adapt selection procedure in law with balanced committee and remove need for external validation Allow universities to decide on selection criteria <u>Institutional autonomy:</u> Develop criteria for rector adapted to institutional profile	1. The decision of the working group in Lund: Announcement of the competition. The selection of the rector is discussed at the Academic council, the candidates submit CV and a Strategic plan. The final decision is made by the Board of Directors, by the recommendation of the Academic Council. 2. Decision of the working group in Slovenia: Announcement of the competition. The selection of the rector is discussed at the academic council, candidates submit CV and a Strategic plan, pointing to the need for indicate deadlines for submission of applications (at least 2 months and no more than 6 months). Academic Council consider candidates and further submit a recommendation on candidates for the position of Chairman of the Management Board and Member of the Board to the Board of Directors, the Board of Directors and the Personnel Committee of the Board of Directors approve the candidates and transfers them to the Republican Commission or to the Shareholder who makes decisions on approval.	At the institutional level it was proposed to include in the statutes of the university internal guidelines explaining the respective roles of governing bodies and the roles of advisory bodies and guidance / induction material for external members. All working groups agreed on the criteria for the rector: the minimum criteria is defined by MES / MH (PhD, age, not more than 2 consecutive periods), in the meantime prescribing clear objectives in the university charter, the procedure for selecting and evaluating the rector and also develop a term of office policy.	++	12-18 months.	Law on Education, Model Regulations Law on non-profit organizations Law on Joint Stock Companies Separate Law "On Higher Education"		

Challenge	Recommendations at system level	Recommendations at institutional level	Consensus (+, ++, +++)	Timeframe	Mechanisms (what regulations to change)	Ways of accountability	Justification of changes
	<p>Also, a group in Slovenia, as an alternative, offered that staff and students of the university select the rector. The Senate / Academic Council, representatives of the Business and the Supervisory Board (Board of Directors) each offer 1 candidate. Self-nominees can also participate in elections. The Board of Directors approves the results of the selection and informs the Ministry on the appointment. However, the group in Poland did not agree with this suggestion, suggesting and partially agreeing with the proposals of the working group of Slovenia.</p> <p>3. The decision of the working group in Poland: competition is announced. The election of the rector is discussed at the Academic council, the candidacies present the Development Program. Here they also agreed with the regulation of the deadlines. At the Academic Council, candidates deserve and further recommend to the Board of Directors about the candidacies of the Chairman of the Management Board and the Member of the Management Board for election, and forwards to the Shareholder, who decides on approval.</p>						
<p>Evaluation of university leadership <u>System level:</u> Reduce external authority involvement in evaluation of leader – consider involving other stakeholders (use supervisory board)</p> <p>Allow universities to introduce rules for term of office of university leader</p>	<p>opinions differed; the first group suggested that only the body that decides on its appointment should conduct certification of the rector. There were proposals for official certification 1 time in 3 years, others consider that it is necessary to exclude certification of the First Director and members of the Board from the Code of the Republic of Kazakhstan “On the health of the people and the healthcare system”, since according to the law on joint-stock companies and corporate management practice, certification is unacceptable and inappropriate because the term of</p>	<p>At the institutional level it was suggested to prescribe clear objectives in the university charter, the procedure for selecting and evaluating the rector and develop a term of office policy.</p>	++	12-18 months	<p>Law on Education, Model Rules</p> <p>Exclude from the Health Code</p>	<p>Assessment through the KPI by Board of Directors</p>	

Challenge	Recommendations at system level	Recommendations at institutional level	Consensus (+, ++, +++)	Timeframe	Mechanisms (what regulations to change)	Ways of accountability	Justification of changes
<u>Institutional autonomy:</u> Develop in statutes clear tasks and assessment procedure for rector. Develop policy on term of office (duration, option to renew or not)	office is limited and the rector is accountable to the Board of Directors and due to the availability of Indicators and Performance Evaluation, which is conducted by the Board of Directors for the year (also taken into account are the indicators of annual financial statements, confirmed by an independent Audit and approved by Sole Stakeholder).						
Modernisation of governance bodies <u>System level:</u> Rationalise governance model in law by limiting the rules to 2 main bodies (senate and board) while allowing universities to establish additional consultative bodies (decision-making should be limited to the 2 main bodies to avoid fragmentation) Limit rules regarding size and composition of bodies to basic parameters Board: Limit involvement of Ministry and broaden rules for inclusion of external partners, to foster the participation of representatives of civil society and business in board <u>Institutional level:</u> Develop internal guidelines clarifying the respective roles of the	all members of the working groups agreed on the composition of the Board of Directors, which should not exceed 8 people. The opinion was divided as regards the decision on the choice of the Chairman of the Board of Directors: cannot be a representative of a shareholder or make a choice by secret ballot	The first group suggested that the Academic Council should include Board members, deans, heads of areas, 20% teaching staff, 20% of students, other groups suggested composition as follows: 20% students, 40% teaching staff, 40% nomenclature (Vice-rectors, heads of departments, heads). In order to involve students in the discussion and resolution of university issues, it was proposed to create a Student Council, with their involvement in the election of the dean and head of the department (not less than 20% of the votes of the total number of voters). However, the group in Ljubljana does not agree with the need for students to participate in the selection of the head of the academic department. Also, one of the groups expressed the opinion whether there is a need to declare the functioning of the Academic and Student Council in the norm and regulations?	++	12-18 months., composition of internal bodies up to 6 months.	Model Regulation on the Academic Council		
	the first and second groups proposed to amend the "Law on Education" and transfer from the competence of the Board of Directors to the competence of the Board (or Academic Council) following:		++	more than 18 months.	Make changes in the Law on Education		

Challenge	Recommendations at system level	Recommendations at institutional level	Consensus (+, ++, +++)	Timeframe	Mechanisms (what regulations to change)	Ways of accountability	Justification of changes
governing bodies and the roles of advisory bodies Develop guidance / induction material for external members	<p>1) development and approval of educational programs of higher and postgraduate education in accordance with state compulsory education standards;</p> <p>2) development and approval of rules for competitive filling of faculty and research positions;</p> <p>3) development and approval of rules for admission to the organization of higher and (or) postgraduate education;</p> <p>4) development of a program for the development of the organization of higher and (or) postgraduate education.</p> <p>5) Approval of internal Structure of University</p> <p>The group in Poland proposed the competencies of the Board of Directors determine as follows:</p> <ul style="list-style-type: none"> - approval of Development Strategy - Approval of new directions of education - Approval of staffing policy - Approval of Annual budget as well as for 5 years - Approval of Budget report - Approval of Organizational structure 						
	<p>Due to the lack of freedom of the Board members and the Chairman of the Board in deciding vacations, business trips and etc. members of all working groups agreed that it is necessary to adhere to the Law on the Joint Stock Company, where the appointment and work activity (leave, business trips and etc.) are within the exclusive competence of the Board of Directors, and not like in present where decides the Sole Shareholder. Accordingly, the leave of Board members and business trips are attributed to the competence of the rector, Chairman of the Board - Chairman of the Board of Directors.</p>			1 year			

5. Comparative analysis

The method applied in Work Package 2.1 has been to involve stakeholders from Kazakh universities and ministries in discussions about university autonomy, seeking to create a space of participation and trust to discuss the complex task of arriving at a basic model of autonomy that serves as a starting point to modernise the management of institutions. This method can be considered as the beginning of a path for the development of a continuous process of adaptation of the governance rules of the higher education sector in Kazakhstan. The process is described by EUA in Chapter 2.1 Conceptual Scope of university autonomy as "...the constantly changing relations between the state and higher education institutions and the degree of control exerted by the state, depending on the national context and circumstances."

The elaboration through discussions on reform measures that aim to transfer responsibilities of national government bodies to universities, carried out during the workshops in Lund, Ljubljana and Lublin by the staff of the Kazakh universities and Ministries, showed that it is possible to design spaces for dialogue between the parties, as a method of reform. The method must necessarily be built on the basis of responsibility, trust, transparency and responsibility, a fundamental proposal to which all participants in the workshops adhered.

The experience of the workshop itself demonstrated the importance of having a bottom-up approach to complement the reform process initiated by the national government bodies whose objective is the decentralisation of the administration. During the meetings, the leaders and staff of the partner universities presented their views on the current rules and the impact on the institutions. The exchange of experiences and ideas among the Kazakh universities, the differences and similarities, the possible approaches to the challenges, etc., gave perspective on the complexity in the area of university autonomy.

The use during the workshops of the EUA University Autonomy Scorecard methodology and the EUA TRUNAK report "State of play of university governance and recommendations for the reform process", contributed greatly to standardising the terminology, structure and coherence of the discussions and reports of the workshops, also serving as a guide to identify specific challenges for the process of autonomy in Kazakhstan.

The participation in the workshops of European universities from different countries and sectors (public, private), added a perspective on the broad field of regulation of the higher education sector in Europe. In this context, it is perhaps worth noting that at the beginning of the TRUNAK project, in November 2017, the Kazakh institutions expected a single definition of university autonomy, and perhaps a single university governance model, which could be proposed to the Ministries. During the workshops, the descriptions of the systems of the EU countries presented by the European partners showed the multiplicity of national systems that regulate the governance of higher education institutions. The partners also showed how universities have adapted internal structures and administration to comply with national regulations, but permanently seek to maintain an acceptable degree of freedom of decision. Accountability measures were described at both the national and institutional levels and the advantages and disadvantages of each system were discussed. From the EUA TRUNAK report, a number of important features of the systems of university governance emerged which, together with the contributions of the EU universities during the workshops, are relevant information for the reform process in Kazakhstan.

The descriptions of features at system and institutional level by the European partners provided concrete examples of measures taken by governments and institutions for the steering of the higher education sector and the institutions within it. The examples, that taken together are just a small collection of a wide spectrum of possibilities, are evidence of the multiplicity of options that the Kazakh governing bodies and institutions have for implementing reforms. The intensive discussions

during the workshops resulted in concrete ideas and suggestions, some of them can be implemented in the short term, others will require a longer time.

The exchange of information between the European and Kazakh members of the project together with the challenges identified in the EUA TRUNAK rapport resulted in concrete proposals by the Kazakh participants, of reforms at system and institutional level. The groups were not always in total consensus about the reform measures, which may be due to structural aspects as the co-existence of different rules depending on type of organisational status (State university, Joint Stock Company, private), and sociological aspects as different positions represented in the group; and views of ministries and institutions included. The groups tried to give a reasonable time frame for the implementation of the reforms, and to point out the specific regulations that should be changed. They also endeavoured to justify the reasons for the proposed changes and, at least to some extent, formulate measures for accountability. The results of the discussions are gathered in the tables shown in Chapter 2.6.

The observation that national approaches exist in European countries on the need for a continuous renewal of the country's competitiveness policies in an increasingly globalized economy, will probably serve as an inspiration for the national governing bodies of the higher education sector of Kazakhstan (i.e. the MES and the MoH) on how to develop mechanisms for the periodic review of regulatory frameworks. Sweden and Finland gave interesting examples in this area.

Sweden, a country classified in the EUA scorecard system in the middle of the scale of university autonomy, has a system for periodically reviewing the regulations, which shows that the state can be proactive in promoting changes, involving the institutions in the process by means of dialogue, trust and performing systematic research about the opinion of the universities.

In Finland, the comparatively high degree of university autonomy is the result of the government reform carried out in 2010 for universities. Subsequently, the government implemented a reform for universities of applied sciences in 2014–2015 with the objective of creating the legislative framework and functional preconditions for the institutions of this sector, with the aim to improve their ability to operate more independently and flexibly. The objective was to improve the quality and effectiveness of their operations for the provision of education for experts, builders of regional competitiveness, reformers of working life and developers of innovations. The example from the Finnish system proves that special regulations can be developed by governing bodies for universities, depending on the orientation of their activities and national priorities. Also, the application of mechanisms for decentralisation, i.e. independence and flexibility to adapt to challenges in a rapidly changing environment, combined with good models for financing as means of steering the activity of the institutions without interfering in their freedom to managing themselves, has proved to be effective.

During the first workshop, the participants of the discussion group on Academic autonomy dimension proposed to develop a model of autonomy based on four principles: responsibility, trust, transparency, and accountability. Later, all other groups supported this suggestion, which demonstrates that the Kazakh institutions are already mature to take on the challenge of assuming more responsibility within a more independent management system of the higher education institutions. This approach, similar to the European examples from Sweden and Finland, can be beneficial to take into account in the recently initiated process of transition to autonomy in Kazakhstan. This clear message should be considered by the Ministries.

In Slovenia, a country scored with a comparatively low degree of university autonomy, the current regulations limit to certain degree the ability of the universities to set their own institutional development strategies. Nevertheless, the institutions reaction to this challenge is to exploit the room given for independent decisions that is allowed within the framework of the regulations. For example, the law gives the right to the university to have Faculties that can legally be considered as enterprises,

which allows the Faculties of Ljubljana University to compete in the market, contributing that way for example the financing of the activities. Despite the fact that there are restrictions to the autonomy of universities in Slovenia, the regulations give the institutions freedom to decide on how to design study programmes (with the exception of regulated professions) and to select accreditation bodies, relying in the responsibility of the university.

The United Kingdom, one of the countries classified by EUA as having a comparatively high degree of university autonomy, has a system with a set of broad social objectives that are set by the government. Key elements are the Office for Students and the Quality Assurance Agency. The regulatory system focuses on outcomes with special focus on the student. The system can be characterised as one of 'high autonomy, high accountability', i.e. universities have a high degree of autonomy if they can demonstrate on a regular basis that they are achieving their overall goals, consistent with broad government and social expectations. In other words, the system implies the existence of internal quality assurance mechanisms by the universities to ensure that the institution achieves the set of overall goals as defined by the governing bodies of the sector.

In Italy, the example of UCSC, a private university, shows the importance of having a system that gives universities more freedom for planning of student intake and admission. UCSC can autonomously set a limit to the number of students who are accepted per year, ensuring an optimal ratio between the size of the teaching body, infrastructure, services provided, and student numbers. As private university, competitiveness and autonomy are key elements for the survival of the institution. To be competitive UCSC must offer high quality education and research, in order to attract talented students and recruit high-qualified teachers and researchers. Quality and quality assurance processes are controlled by the Italian National Committee for Assessment of the University System, which role is not only to be an external controller but also to lead the quality assurance process. This example clearly shows that the concept of autonomy is bound not only to more "freedom", but also to quality assurance and more responsibilities.

In the tables collecting the results of the three workshops, several elements from the four dimensions of autonomy can be found that are in line with the examples given above of Slovenia, United Kingdom and Italy. The Kazakh universities propose changes to the role of the Ministries that presuppose the existence of accountability measures in exchange for more freedom of decision about the internal management of the university.

In all the examples above, the crucial point seems to be trust between the universities and the Ministries in the discussions on increased autonomy. Once an agreement between the parties has been established on concrete needs in specific areas, for example increased academic autonomy, the parties will have to work together to design new rules and associated accountability measures that ensures compliance with the regulations and quality of the activities of the university.

The design and implementation of accountability measures will require new management skills at both ministerial and institutional levels. This objective can be achieved through investment in capacity building measures, that is, by fully supporting training in modern management techniques for both ministerial and university personnel, and promoting a new work culture for the parties involved in the process. Modernisation should also include the training of middle-level management staff, and the revision of the work processes, which are currently designed for a top-down control-oriented management approach, replacing them with processes and systems designed for a more decentralised and horizontal administration. Decentralisation will as well have an impact on the tools used for management and coordination of the institutions, both at system level and at university level, for which the use of adequate technology as databases and other systems will allow to process the increased information complexity as consequence of the new management approach, in order to ensure the integrity of the system.

6. Conclusions

The most valuable result of the Discussion Groups is perhaps the fact that, in contrast to the general lack of a participatory culture to face the challenges, it showed the viability of dialogue between university managers and technical staff of the Ministries in activities aimed for reforms at system and institutional level. It also showed that debate, based on trust, is an alternative to top-down decision making, which requires patient, sustained effort over the long-term to increase capacity and improve quality. Involving the stakeholders in the process facilitates effective implementation of reforms.

It is also worth mentioning as a conclusion that the perception of what the autonomy of the university means changed during the meetings of the discussion group. At the beginning of the project, it was expected that EU partners would provide a clear and unambiguous definition of university autonomy, as a model to be implemented by the Kazakh project members. The introduction of the EUA's University Autonomy Scorecard methodology on the dimensions of autonomy and the interaction with the representatives of European universities showed that there is no single model, but that the EU countries have different degrees of autonomy, depending on historical, socio-political factors, etc. of the country. As a consequence, the Discussion Group began to analyse the current regulations and the modernisation needs of the universities to formulate the changes required in the light of the Kazakh context at system and institutional level.

After the workshops in Lund, Ljubljana and Lublin, the members of the Discussion Group met in a seminar in Atyrau. Representatives of the Ministries were invited, but only the Ministry of Healthcare participated with two specialists. The objective of the seminar was to initiate the work of designing a basic model of university autonomy and establishing a roadmap for pilot implementation at TRUNAK partner universities. To perform the work, the participants used the results obtained during the discussions; trying to define priorities and timeframes for implementation of the reforms.

At this stage, it was evident that there was a consensus among universities and Ministries (at least with the MoH) about framework reforms in the Law and the Constitution. The Discussion Group, with support from the MoH, proposed to include in the Law of Education the concept of "University Autonomy" and the criteria for academic, organisational, financial and staffing autonomy in the Model Rules of University. As a long-term goal, at the initiative of the MoH, it was proposed to put forward a recommendation to include autonomy of universities in the Constitution of the Republic of Kazakhstan.

The Discussion Group established a list of reforms to implement for each dimension of autonomy. However, especially for financial autonomy; it was decided to postpone the proposals for reform and to further study and discuss some challenges, as the restricted ability of universities to manage their own assets and financial affairs; and the lack of income diversification. The group also decided to work to try to arrange a meeting at the Ministry of Education and Science in Astana, to present the results and exchange ideas on the proposed reforms and a pilot implementation plan.

6.1 Identified areas for reform¹⁴

EUA identified challenges	Proposals for reforms to include in the basic model of university autonomy	Priority given by:		
		MES	MoH	Univer sities
General reforms				

¹⁴ The Ministry of Education and Science did not send a representative to the TRUNAK Seminar in Atyrau

The regulatory framework applicable to Kazakh universities is complex, dense and highly detailed	Inclusion in the Law on Education of the concept of “ university autonomy ” (proposed by the initiative of the representatives of the Ministry of Healthcare of the Republic of Kazakhstan). Introduction of criteria for academic, organisational, financial and staffing autonomy to Model rules of university. Inclusion of recommendations on autonomy of universities in the Constitution of the Republic of Kazakhstan in the long term (by the initiative of the representatives of the Ministry of Healthcare of the Republic of Kazakhstan).		High	High
	Define in the Law on Education the status of the National Council of Rectors (National Conference of Rectors / Association of Rectors).		High	High
Organisational autonomy				
Modernising selection of university leadership	Staff and students of the university select the rector. Announcement of the competition. Academic council choose a candidate for the position of Rector (there should be more than 1 candidate). General eligibility criteria should be defined and posted (on the website of Ministries) in advance. Develop criteria for the rector, adapted to the profile of the institution (to prescribe them in the Charter of the university / and post on the website of the university). The Academic Council should include representatives of all interested parties (students, teachers, employers, etc.) (The voting weight of all stakeholders may be different). The Board of Directors approves the results of the selection and informs the Ministry on the appointment. Make amendments to: <ul style="list-style-type: none"> • Law on Education (on the appointment and responsibility of rectors) • Law on non-commercial organisations • Model rules for university activities • Professional standard of teaching staff 		High	High
Evaluation of university leadership	Exclude certification of the First Leader/Rector and Board members. Rector reports to the Board of Directors (reports annually for follow-up to the year). Make amendments to: <ul style="list-style-type: none"> • Law on Education • Model Rules of universities • Exclude from the Health Code of the Republic of Kazakhstan (on people's health and the healthcare system) Accountability mechanism: Assessment through the KPI by Board of Directors		High	High
Modernisation of governance bodies	Decided to postpone this issue for further discussions.			
Academic autonomy				
No influence of universities on student intake and selection	<ul style="list-style-type: none"> • Universities independently determine a UNT threshold score for enrollment of applicants for an educational grant (requires adjustment). • Ministries distribute educational grants by areas of study at all levels of education. 		High	High

	<ul style="list-style-type: none"> Universities independently distribute grants to educational programs at all levels of education. 			
Excessive Ministry control over academic affairs	<ul style="list-style-type: none"> Conduct only institutional accreditation for participation in the state educational grant for all levels of education (specialised accreditation by the request of the university). The register of recognised accreditation bodies should include agencies included in the EQAR. Development and approval of the National Code of Quality of Higher Education. Reduce the number of norms and regulations in higher education and leave only: <ul style="list-style-type: none"> ➤ Model rules for admission in educational organisations that implement educational programs of higher and postgraduate education (assign to the university the rules for awarding of PhD academic degree). ➤ Model rules of university. ➤ State Compulsory Educational Standard. <p>All of the above norms and regulations should be given a framework context!!!</p>		High	High
Staffing autonomy				
Enhance flexibility for strategic recruitment	<ul style="list-style-type: none"> The Ministry transfers the establishment of the ratio academic staff / students to the competence of the university. The university's Board of Directors approves the ratio of academic staff / students. 		High	High
Modernisation of Human Resources practices /excessive administrative burden on academic staff	The university develops the policy for Human Resources. The University independently develops and approves the rules for the selection and promotion of academic staff and researchers in accordance with the staffing policy, including the principles of hiring, preserving, dismissing, developing and encouraging faculty and staff.		Medium	High
Limited ability to compete on salaries	Universities independently decide on this issue.		Medium	High
Financial autonomy				
Inadequate funding modalities	The Ministries of the Republic of Kazakhstan (Ministry of Finance of the Republic of Kazakhstan, the Ministry of education and Science and Ministry of Healthcare) should take active part in addressing this issue. In this regard, it was decided to develop an example of a model of financial autonomy and reach the level of Ministries with this proposal.			High
Restricted ability of universities to manage their own assets and financial affairs	Decided to postpone this issue for further discussions.			
Lack of income diversification	Decided to postpone this issue for further discussions.			

