



# Developing Performance Governance in Higher Education

*Theoretical Model and a Case Study*

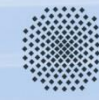
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## Overview

- Introduction
- Layout of the Study
- The IPGS Model
- Empirical Exploration
- Key Results of Empirical Exploration
- Conclusions and Outlook



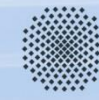
## Introduction

- **HEIs encompass multiple performance dimensions**
  - Learning and teaching
  - Promotion of young scientists
  - Research
  - Administration
  - Institutional management
  
- **...but quality management systems (QMSs) are often designed in a non-integrative fashion**
  
- **HE research suggests to develop an integrated view on HE quality in order to provide frameworks for better institutional management**



## Introduction

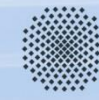
- **The demand for integrated views on HEIs is emphasised by**
  - Increasing sector autonomy
  - Growing involvement of external and internal stakeholders
  - Expanding complexity of tasks and profiles of competitive HEIs
  
- **Hypotheses: When performance evaluation is extended and becomes more comprehensive, HEIs have to**
  - Move towards formative conceptions of evaluation
  - Leave sheer performance number reporting
  - Pay attention to the empirical inadequacy of isolated area evaluations
  - Leave the traditional self-organising-community-of-fellows mode (i.e., the “academic university“)



## Layout of the Study

### ■ What we wanted to know

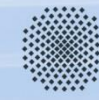
- What are possible characteristics of integrated evaluative frameworks for quality assurance/quality development (QA/QD) in HEIs?
- How does HEI governance relate to these frameworks?
- What is the Status Quo in HEIs?
- What are current development perspectives?



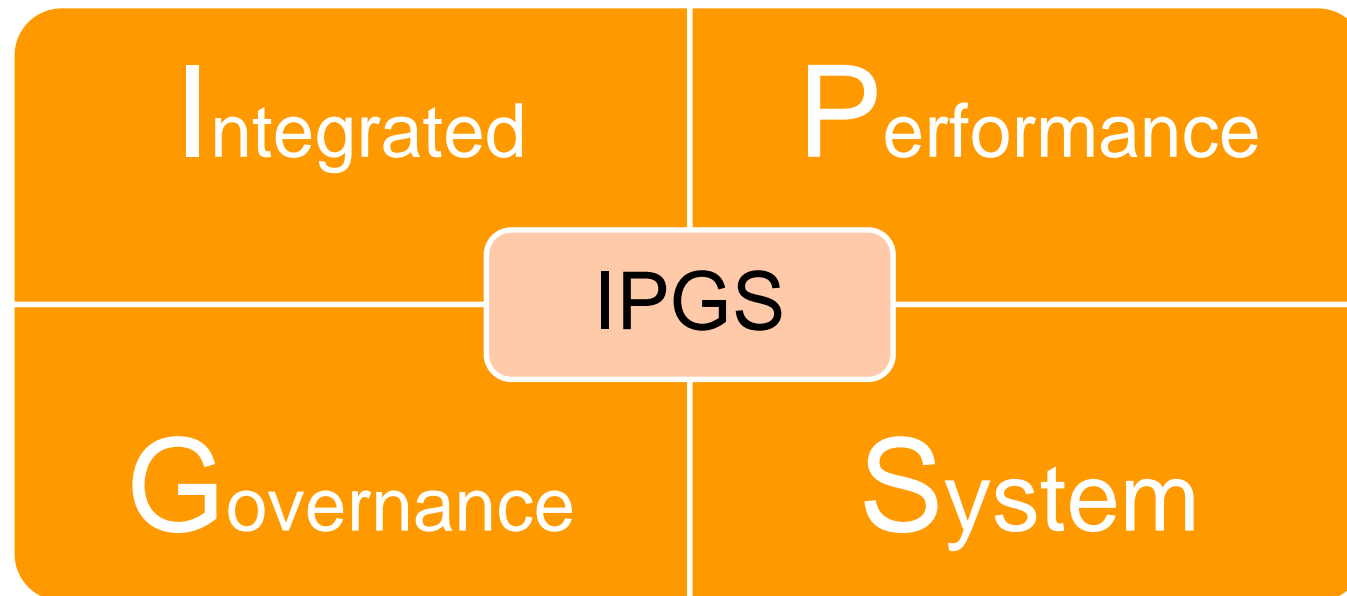
## Layout of the Study

### ■ What we have done

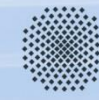
- Develop the theoretical model for an **I**n Integrated **P**erformance **G**overnance **S**ystem (IPGS)
- Conduct a case study that was based on document analyses and structured interviews with HEI controllers and QA/QD officers of six German universities
- Set focus on the paradigm change from PI administration towards IPGS



## The IPGS Model



- An approach to governance which is based on performance measurement
- An integrated system of comprehensive information, data and interpreted PIs, relevant and participative stakeholder bodies which are transparently tied to decision-making processes

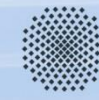


## The IPGS Model

### ■ Ten integrative features

- Definition and utilisation of **PIs** through adequate **contextualisation**
- PIs are assigned to **closed feedback loops** (pdca-cycles) that are related to **governance processes**
- PIs are specified and ordered according to relevant **problem dimensions**
- PIs are **negotiated by** (relevant and competent) **stakeholders**
- **Transparent** construction and application of PIs
- **Qualitative and quantitative** PIs are used in combination
- **Assessment (QA) and development (QD)** perspectives are combined
- **Internal and external QA/QD** are balanced
- **Theoretical understanding** of performance governance is pursued
- Appropriate means for **dealing with risk** and conflict-laden interests





## The IPGS Model

- An alternative view on the IPGS model
  - It encompasses and combines the (most adequate) features of three concepts of HEI management style (cf. Teichler 2011, p. 235 f.):
    - the “**managerial university**”
    - the “**collegial university**”
    - the “**supportive university**”
  - The fourth concept of the “**academic university**” seems to be **dispensable**
    - because the idea that “individual academics [as such should] have a strong personal influence on decision-making” is contrary to essentials of an integrative systematic QM (like, e.g., participation, independence from individual players, formal status)



## Empirical Exploration

- **Analysis of selected performance management systems of several German universities**
- **Expert surveys (structured interviews) with HEI controllers and QA/QD officers of these universities**
- **Assessment of paradigm change from PI administration towards IPGS**
  - A first step (pre-study) to examine how the move towards IPGS is correlated to the mission and strategy, the organisation and institutions, the decision-making processes, the key performance areas (and subject fields) of HEIs
  - Further, deeper, more comprehensive investigation is necessary



# Empirical Exploration



Characteristics of the governance approaches of investigated HEIs (multiple answers = answer depends on particular HEI)

CHARACTERISTICS OF GOVERNANCE APPROACHES	Completely fulfilled	Partly fulfilled	Not fulfilled
<b>Governance, general concept of</b>	X		
<b>Governance dimensions</b>			
External regulation by state authorities	X		
Academic self-administration	X		
Competition	X		
Managerial self-governance		(X)	X
Stakeholder guidance		(X)	X
<b>Performance-based</b>			
Learning & teaching	X	X	
Research		X	
Development of young scientists			X
Administration			X
<b>Integrative System</b>			
Definition of PIs through adequate contextualisation		X	X
All PIs are assigned to pdca-cycles			X
Certain PIs are assigned to pdca-cycles	X		X
All pdca-cycles are closed			X
Certain pdca-cycles are closed	X		X
PIs are specified according to relevant problem dimensions	X	X	X
PIs are negotiated by stakeholders		X	
Transparent construction and application of PIs		X	
Mixed methods in performance measurement	X	X	X
Combination of QA and QD perspectives	X	X	
Internal and external QA/QD are balanced	X	X	(X)
Theoretical understanding of performance governance			X
Appropriate means for dealing with risk and conflict-laden interests			X



# Empirical Exploration



Some remarks (general overview) about PI systems, decision systems and information systems in investigated HEIs  
(multiple answers = answer depends on particular HEI)

Addressees of (aggregated) quality/ performance reports	
Ministry	Regular reports on selected topics
HEI council / directorate	Regular reports on selected topics
Senate	Regular reports on selected topics
Departements	Reports on selected topics

(Aggregated) Quality/ Performance reports	Closed pdca-cycle(s)		
	Established	In development	Not present
Research reports	(X)	X	X
Reports on study program	X	X	X
Reports on modules	X	X	X
Reports on teaching courses	X	X	X
Reports on administration			X



# Empirical Exploration



Some remarks (general overview) about PI systems, decision systems and information systems in investigated HEIs  
(multiple answers = answer depends on particular HEI)

PI dimensions (choice; medium resolution)	Used	In development	Not present
<b>Research</b> Publications (national/international) Citations (nat./internat.) Development of scientists Knowledge & technology transfer ...		X X X X	X X X X
<b>Learning &amp; teaching</b> Module quality Student satisfaction Graduates' success Drop-outs ...	X X X X	X X X	X X X
<b>Administration</b>			X



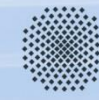
## Key Results of Empirical Exploration

- **Current implementation (and planning) of QM models in the HEIs we investigated shows a move towards developing IPGS**
- **Governance concepts of managerial self-governance and stakeholder guidance are slowly developing**
- **The most developed fields are learning & teaching and research, while the development of young scientists and administration are not integrated in performance-based systems**
- **The lack of strong quality culture is apparent in many missing elements for fully integrative systems**



## Conclusions and Outlook

- The IPGS model (which can be applied by HEIs as well as QDAs) is well fitted to help determine strengths and weaknesses of individual university QA/QD
- IPGS is an essential element of a strong quality culture
- Institutional Research can inform HEIs on development perspectives for internal performance governance
- Further research and operationalisation of theoretical concepts is needed to allow for national or international benchmarking exercises of QA/QD systems



**Thank you very much for your attention!**

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