# RESPONSIBILITY AND THE FUTURE MISSION(S) OF THE UNIVERSITY.
## Exploration of Sustainable Core Strategies and Competencies and a Plea for the Strategic Open Republic of Scholars and Students

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- **Analytical Concept of Responsibility in the Context of the University**

- **Challenges & Threats for the Contemporary University**

- **Research Questions & Methodology of Case Study**

- **How Real Universities are Committed to the Concept of the University:**
  **Exploration of Mission Statements, Structure & Development Plans & Leadership Models & Competencies**

- **Core Values, Purposes & Visions of the University: Past, Present, Future**

- **Final Remarks for the Future University**

- Limitations of Study

# Challenges and Threats for the Contemporary University

Seems there is an "**ongoing debate regarding the purpose and function of institutions of higher education**" (Saichaie & Morphew 2014, 499).

[particularly in the US, Australia and UK but not only there]

(also cf. Anderson 2010; Barnett 2016; Barnett 2018; Buller 2014; Escotet 2012; Etzkowitz et al. 2000; Giroux 2002; Granados 2015; Harkavy 2006; Kreimendahl et al. 2014; Leiber 2019a; Marginson 2007; Marginson 2016; Rhoades & Stensaker 2017; Scott 2006; Seeber et al. 2017; Stekeler-Weithofer 2008; Tetens 2008)

"In a more instrumental period, with rapidly growing obligations of and pressures on higher education, the **vision of the university as a critical institution needs to be renewed** – just as it has been periodically renewed throughout its history" (2016 CHER Conference, Opening Gambit, http://cher2016.admeus.net/ [accessed: 6 August 2019])

- **In reaction to its challenges and threats, which are the ingredients of the concept of the contemporary University? What should be, its core values, purposes & visions? What are the basic tasks & responsibilities of "the University?"**

- **Do** (selected) **contemporary HEIs have** the necessary **strategies** (e.g. Mission Statements; Structure & Development Plans; Action Scenarios & Plans) and **leadership models & competencies to meet these challenges** and **pursue the 'Idea of the University' under renovation**?

- Comprehensive background question: Do contemporary HEIs have the necessary **tools**, **competencies** and **measures** to meet these challenges? Do they have the **structures, processes, knowledge & skills** to pursue a contemporary **'Idea of the University'**?

- Case study, qualitative content analysis, exploratory "handmade" coding

  - **Mission statements** of 9 German universities, 20 German universities of applied sciences & 10 international universities **analysed for its values, missions and visions**
    – general limitation: possible gap between symbolic representations/identity narratives of multiple hybrid identities and practice of directing formulation & implementation of strategic planning

  - **Core missions identified** from sample HEIs & contemporary scholarly literature

  - **Probe whether these missions are represented in Statutes & Strategic Development Plans** (SDPs) – limitation: limited availability of SDPs

  - **Identify leadership models** required to effectively tackle missions & strategies

  - **Identify competencies & role understanding of HEI leadership**

  - **Identify action competencies**

  - Scholarly literature about the **concept of the** – **contemporary** – **University**

# How Real Universities are Committed to the Concept of the University: Exploration of **Mission Statements**, Structure & Development Plans, Leadership Models & Competencies

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**Selective sample**

| Missions & values (& visions) in **central institutional Mission Statements (CIMSs)** | 9 Us*+ | 20 UASs*++ | 10 intUs**+ |
|---|---|---|---|
| **Quality EDUCATION/TEACHING** (ca. 1100) **&** **LEARNING** (e.g. teach for intellectual virtues: **Core Epistemic Responsibility 2** (Peels et al., 2019)) **(Bologna)** | 9/9*** | 14/20*** | H C Z T TO S M HD U HE |
| Fostering an **ACADEMIC COMMUNITY** | 3/9 | 0/20 | – – – – TO – – HD U HE |
| Commitment to **COLLEGIAL FORM OF GOVERNANCE/ Foster efficient institutional self-management** (spec. of organizational development) | 3/9 | 0/20 | – – Z – TO – – HD – – |
| Promote **autonomy of HEI** (spec. of democratisation & organizational development) | 1/9 | 0/20 | – – Z – TO S – – – HE |
| **Quality RESEARCH** (ca. 1800) **(Bologna)** | 9/9 | 11/20 | H C Z T TO S M HD U HE |

* Baden-Württemberg HEIs / ** **H**arvard U (U.S.); U **C**ambridge (UK); Swiss Federal Institute of Technology **Z**urich; University of **T**okyo; University of **To**ronto; **S**orbonne University; University of **M**elbourne; University of **H**eid**e**lberg; **U**trecht University; University of **He**lsinki (1st national ranks in ARWU Ranking) / *** Relative proportion of HEIs
+ Data as of **July/August 2019** ++ Data as of **April 2016**

# Suggestive summary: 34 core missions constitute the core concept/idea of the contemporary & future [f] University

## Two early (900/1000-1200 ff.)

- **TEACHING** (subject/discipline specific) & **LEARNING** (AvH)
- **Community of teachers and learners** (*universitas magistrorum et scholarium;* academic community; "Republic of scholars and students") (subject/discipline transcending) (AvH)

## Nine further classics (1200-1900 ff.)

- **RESEARCH [f!]** (generator of knowledge & technology) (e.g. Roger Bacon et al.; Early Modern Age onwards) (s./d.s.) (AvH)
- **Academic Freedom [ff!]** (right to self-government with the possibility of independent preparation and execution of curricula and research projects) (s./d.t.) (AvH)
- **Close linkage ("unity"; (AvH)) of research & teaching [+]** (s./d.t.)

- **Promotion of young academics & artists** incl. privilege of awarding publicly recognized academic degrees (e.g. diploma or doctoral degree) (s./d.t.) (AvH)
- **PERSONALITY FORMATION** (e.g. ethical principles & values; moral leadership and citizenship; "Global Citizenship Education" (e.g. Bosio & Torres 2019)) [ff!] (s./d.t.) (AvH)
- **INNOVATION/ CREATIVITY & CULTURE OF CRITICISM [ff!]** (s./d.t.) (AvH)
- **SCIENTIFICATION [ff!]** (s./d.t.) (Enlightenment; knowledge based on rationality & empiricism, not dogma; good scientific practice) (s./d.t.) (AvH)

- **SOCIAL PROGRESS/SERVICE TO SOCIETY** (e.g. Francis Bacon, Science Academies founded 17th to 20th century) (s./d.t.) (aspects of this mission are virtually included in most other missions)
- **DEMOCRATISATION & JUSTICE [ff!]** (s./d.t.) (e.g. USA 8 Ivy League Universities founded 17th century; promote integration into free, democratic & (social) state of law; gender justice)

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# Suggestive summary: 34 core missions constitute the core concept/idea of the contemporary & future [f] University

## Eight even more recent ones (1970-present)

- **Internationalisation** (e.g. staff; students; research) (s./d.t.)
- **INTERDISCIPLINARITY [ff!]** (e.g. curricula; research projects) (s./d.t.)
- **TRANSDISCIPLINARITY [ff!]** (e.g. curricula; research projects; societal cooperation) (s./d.t.)
- **SUSTAINABILITY [fff!]** (s./d.t.)
- **ACADEMIC COMPETITION & INTER-ORGANISATIONAL COOPERATION** (s./d.t.)
- **Market-like competition & entrepreneurial dimension(s)** (s./d.t.)
- **Development-oriented governance [f!]** (s./d.t.)
  - **Organisational development through quality management** (e.g. organisational autonomy; accountability; learning organisation; HRD)
- **Pluralism & diversity [ff!]** (s./d.t.)

## Five more recent differentiations and focuses (2000-present)

- **SERVIE TO SOCIETY**
  - **EDUCATION/(Vocational) TRAINING FOR EMPLOYABILITY** (s./d.s.)
  - **Knowledge exploitation & technology transfer** (s./d.s.)
- **Learning & Teaching [ff!]**
  - **UNDERSTANDING OF STUDENT NEEDS AND EXPECTATIONS/ Foster student support in all areas** (s./d.t.)
  - **DIGITAL LEARNING MANAGEMENT** (s./d.t.)
  - **Foster lifelong learning** (s./d.t.)

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## 13 very rare or missing ones (present-future)

- **Development-oriented governance [f!]** (s./d.t.)
  - **Operate staff (career) development**
  - **Operate financial management**
  - **_Operate risk management*_**
  - **_Develop novel institutional structures*_**
  - **_PROMOTE PROFESSIONALISATION/ EDUCATION/ TRAINING OF HEI LEADERSHIP*_**
  - **Promote leadership education for society** (cf. Seemiller 2016)
  - **Promote profile-building of HEI**
  - **_Promote proactivity/ visions/ future orientations (e.g. "Strategic Observatory" with strong anticipative abilities)*_**
  - **Promote Performance Data Analytics** (learning; teaching: research)*
- **Promote awareness of scientific, social, economic & cultural responsibility** (s./d.t.)
- **Foster an Academic Community & Institutional Autonomy, integrated into a democratic state ("Strategic Open Republic of Scholars and Students")** (s./d.t.)
- **Expressis verbis-commitment to (the Universal Declaration of) Human Rights (or a related national Constitution)** (s./d.t.)
- **STIMULATE AN UNDERSTANDING OF ETHICAL & CULTURAL VALUES** (s./d.t.)

*Not or extremely rarely represented in investigated CIMSs

| Missions & values (& visions) in CIMSs | 18 Us*/**/+ | 20 UASs*++ |
|---|---|---|
| **Learning & teaching** | **18**/18 | 14/20 |
| **Research** | **18**/18 | 11/20 |
| **Internationalisation** | **16**/18 | 15/20 |
| **Close linkage of research & teaching** | **16**/18 | 4/20 |
| **Innovation/Creativity & culture of criticism** | **15**/18 | 8/20 |
| **Democratisation & justice** | **14**/18 | 0/20 |
| **Solve mankind's most urgent problems** | **12**/18 | 0/20 |
| **Interdisciplinarity** | **11**/18 | 5/20 |
| **Sustainability** | **11**/18 | 3/20 |
| **Academic freedom** | **11**/18 | 1/20 |
| **Principles of good scientific practice (Scientification)** | **11**/18 | 0/20 |
| **Knowledge exploitation & technology transfer** | **10**/18 | 15/20 |
| **Market-like competition & entrepreneurial dimensions** | **10**/18 | 14/20 |
| **Pluralism & diversity** | **10**/18 | 1/20 |
| **Become leading university in the world** | **10**/18 | 0/20 |

| Missions & values (& visions) in CIMSs | 18 Us*/**/+ | 20 UASs*++ |
|---|---|---|
| Acedemic competition & interorganisational cooperation | 9/18 | 0/20 |
| Foster lifelong learning | 7/18 | 12/20 |
| Social progress/Service to society | 7/18 | 11/20 |
| Education/training for employability | 7/18 | 10/20 |
| Personality education/formation | 7/18 | 9/20 |
| Promotion of young academics & artists | 7/18 | 4/20 |
| Academic community | 7/18 | 0/20 |
| Transdisciplinarity | 6/18 | 3/20 |
| HEI autonomy | 5/18 | 0/20 |
| Understanding of student needs & expectations/ student support | 4/18 | 1/20 |
| Staff (career) development | 4/18 | 1/20 |
| Understanding of ethical & cultural values | 4/18 | 0/20 |

| Missions & values (& visions) in CIMSs | 18 Us*/**/+ | 20 UASs*++ |
|---|---|---|
| **Financial management** | **3**/18 | 1/20 |
| **Leadership education for society** | **3**/18 | 0/20 |
| **Profile-building of HEI** | **2**/18 | 0/20 |
| **Awareness of scientific, social, economic & cultural responsibility** | **2**/18 | 0/20 |
| **Expressis-verbis commitment to (the Universal Declaration of) Human Rights** | **1**/18 | 0/20 |
| **Learning organisation/expressis verbis-commitment to quality development** | **1**/18 | 0/20 |
| **Risk management** | **0**/18 | 0/20 |
| **Professionalisation/education/training of HEI leadership** | **0**/18 | 0/20 |
| **Proactivity/visions/future orientations** | **0**/18 | 0/20 |
| **Performance data analytics** | **0**/18 | 0/20 |
| **Foster digital learning management** | **0**/18 | 0/20 |
| **Academic community with institutional autonomy, integrated in a democratic state** | **0**/18 | 0/20 |

As to effective leadership models, there is a

- Clear **positive** correlation of **transformational** leadership (activities)
- Clear **positive**, though somewhat lower, correlation of **transactional** leadership (activities)
- Clear **positive**, though again somewhat lower, correlation of **collaborative** leadership models
- **Positive** correlation of **instrumental** leadership models (Rowold 2014)
- Clear **negative** correlation of **laissez-faire** leadership (activities), **purely hierarchical**, **dominantly individualistic**, **dominantly collegial** leadership in HEIs

to satisfaction with and positive assessment of effectivity of leadership behaviour & action

(cf. Black 2015, 55 ff.; Scherm & Jackenkroll 2017); also cf. (Black et al. 2011; Black 2015; Hamlin & Patel 2017; Eversole et al. 2016; Lekchiri et al. 2018; Patel & Hamlin 2017; Patel et al. 2018; Ruiz & Hamlin 2018; Torres et al. 2015)

For the extended Full Range of Leadership model, see (Avolio & Bass 1991) (cf. Scherm & Jackenkroll 2017, 59, Figure; Jackenroll 2016; Mews 2019)

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- **Good evidence** that an (open) **universal set of desirable competencies of leadership/management** exists, which applies universally across different types of (larger) **social organisations** as well as across socio-cultural specificities

- There exist a number of (presumably **universal**) observed & reported **deficits of leadership (competencies)** in (larger) social organisations (e.g. France, UK, Hungary, Argentina, Mexico, UAE, Egypt, Colombia)

  (Black et al. 2011; Black 2015; Hamlin & Patel 2017, particularly 6 ff.; Eversole et al. 2016; Lekchiri et al. 2018; Patel & Hamlin 2017; Patel et al. 2018; Ruiz & Hamlin 2018; Torres et al. 2015)

- Many of these deficits are **decisive/critical for carrying out the core mission tasks**



https://www.canada.ca/en/treasury-board-secretariat/services/professional-development/key-leadership-competency-profile.html

| Mission-related tasks/challenges | Corresponding competencies of HEI leadership (from Tables 1a-1d, not presented here) |
|---|---|
| Innovation/culture of criticism & creativity | **1**, **4**, 13, 14, **23**, **24**, 25, **27**, 31 |
| Internationalisation (& globalisation) | **15**, 26, 32, 33, **37** |
| Interdisciplinarity, collaboration & partnership | **5**, 11, 12, 17, **20**, 23, 24, 31, 32, **37**, **39** |
| Learning & teaching (e.g. enhancing the student experience, learner-centred approaches, teaching, extra-curricular, employability) | 1, **2**, **5**, 7, **8**, **19**, **29** |
| . . . | . . . |
| Governance<br>    Operate staff (career) development<br>    Operate financial & risk management<br><br>    Promote proactivity/ visions/ future orientations<br>    Promote Performance Data Analytics | <br>30, 31, 37<br>1, 2, 3, 4, 6, 7, 8, 9, 10, 11, 13, 14, 16, 17, 18, 20, 21, 23, 24, 26, 27, 31, **33**, **34**, **35**<br>38<br>2, 8, 17, 18, 29, **41** |
| Foster a "Strategic, Open Republic of Scholars and Students" | **1**, **7**, **15**, **17**, **20**, **21**, 24, **32**, **33**, **34**, **35**, **37**, **38**, **39**, **40**, **41** |

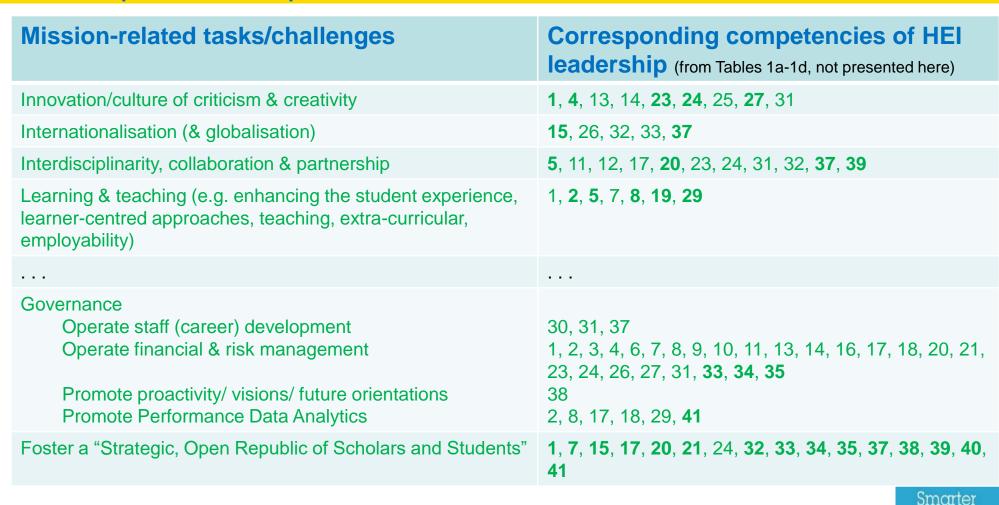**How Real Universities are Committed to the Concept of the University: Exploration of Mission Statements, Structure & Development Plans,**
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| Perceived managerial & leadership ineffectiveness within HE<br>21 negative behavioural indicators, French HEI (Hamlin & Patel 2017, 13 ff.) | Corresponding competencies of HEI leadership which are violated or paid too little attention (from Tables 1a-1d, not presented here) |
| --- | --- |
| (N1) Manager complains and criticizes in a negative way when things do not work out as well as expected, and does not provide any encouraging support or solutions | 5, 9, 11, 15, **16**, 18, **20**, **21**, **24**, **28** |
| (N2) Manager overloads staff and/or burdens them with extra workload creating undue stress and/or ignores reported problems of work overload | … |
| (N3) Manager is insensitive to or fails to anticipate, recognize or help staff when they are confronted by stressful situations | … |
| (N4) Manager unilaterally or autocratically makes decisions without prior consultation or discussion with staff or without allowing any form of participation | … |
| (N5) Manager is inconsistent in their decision-making (e.g. Saying one thing and then suddenly arbitrarily doing something else; Giving an instruction and then asking for last-minute changes) | … |
| (N6) Manager behaves unfairly, showing lack of regard or consideration for staff and/or exhibits forms of favouritism, discrimination and inequality | … |
| (N7) Manager does not play straight with people, and/or exhibits behaviour bordering on deceit and/or manipulation | … |
| (N8) Manager by-passes and/or overrides the decisions of staff | … |
| (N9) Manager exhibits uncivil behaviour (e.g. being impolite to and shouting/screaming at employees; criticizing loudly and cruelly) | … |

| **Perceived managerial & leadership ineffectiveness within HE** 21 negative behavioural indicators, French HEI (Hamlin & Patel 2017, 13 ff.) | **Corresponding competencies of HEI leadership which are deficient or missing** (from Tables 1-4) |
|---|---|
| (N10) Manager omits to provide a mission/ mandate, and define/clarify the scope and roles of employees' jobs, and/or clearly articulate his/her wants and expectations of them and the priorities thus allowing ambiguity in the lines of communication | … |
| (N11) Manager provides no clear agenda or objectives for meetings, or if there is an agenda, fails to follow it and to control the proceedings which results in time wasting and undesirable damaging emotional incidents | … |
| (N12) Manager avoids making decisions, or is indecisive and/or is not around to make decisions | … |
| (N13) Manager provides staff with insufficient resources to complete approved projects and/ or to fulfil delegated responsibilities | … |
| (N14) Manager fails to inform/communicate to staff key information or company decisions that affect them, or to provide feedback on work they have done | … |
| (N15) Manager fails to discuss matters with staff and/or communicate and interact with faculty members | … |
| (N16) Manager exhibits a negative, blinkered or narrow minded attitude to the ideas and suggestions of staff and/or is closed to new or more modern ways of working | … |
| (N17) Manager handles delicate situations without tact or sensitivity for other people's feelings | … |

# How Real Universities are Committed to the Concept of the University: Exploration of Mission Statements, Structure & Development Plans, Leadership Models & Competencies

| Perceived managerial & leadership ineffectiveness within HE 21 negative behavioural indicators, French HEI (Hamlin & Patel 2017, 13 ff.) | Corresponding competencies of HEI leadership which are deficient or missing (from Tables 1-4) |
|---|---|
| (N18) Manager deprives staff of due recognition, help and/or relevant information relating to their work | … |
| ((N19) Manager exhibits slackness, sloppiness and/or inability to execute duties and responsibilities to established or required standards | … |
| (N20) Manager makes key decisions without thinking through all of the resource implications and/or potential problems | … |
| (N21) Manager gives information hurriedly and at inappropriate times and places, and not checking it has been properly received or understood | … |

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What do interviews (29) with German HEI presidents (Kleimann, 2016; 2017) tell about **presidents' attitudes towards the concept of the University**?

- Interviewees have **some practical understanding** of the organisational specificities of universities; **theory-informedness** of this understanding **may be questioned**

- **Coming to grips with the "multiple hybrid" organizational character of universities** (which is not so called by the interviewees) is seen as **core task:** this comprises functions of **moderators, mediators, acceptance producers, engines for change, decision-makers**, …

- Mentioned personal characteristics required for presidents' role do **not** seem to **explicitly refer to ethical values & moral virtues**

- **Core characteristics of the university are rarely & mostly only implicitly mentioned** in the interviews although the questions for task understanding, required personal characteristics, motivation for position & description of president's role might suggest such references; remains **unclear to which extent interviewees have an explicable concept of the University**

**Need to promote professionalisation/education/training of HEI leadership** which is **practice-oriented** & **evidence-informed**, e.g. on the basis of behavioural indicators of effective leaders (implementing instrumental, collaborative, transactional, transformational leadership)

# Core Values, Purposes & Visions of the University:
## Past, Present, Future

If the contemporary University should strive for

- **Innovative & creative teaching & learning**
- **Innovative & creative research**
- **Active & constructive contributions to societal development**

Then it **must** be

- Based on acceptance and implementation of the **Universal Declaration of Human Rights** (UNGA 1948; Preamble, Art. 26) (though, unfortunately, not world-widely shared)
  - ✓ 'Idea of the university' committed to **Enlightenment**, characterised by meta-institutional domains of '**communicative association**' and '**secular intellectual practices**' (Marginson 2007, 32-33)
  - ✓ Former includes 'the **right to speak**, the conduct of **dialogue** on the basis of **honesty** & of **mutual respect**; and intra-institutional relationships grounded in **justice**, **solidarity**', and '**cosmopolitan tolerance**' (cf. Ortner 2000)
  - ✓ Latter includes '**freedom for and of, the practices integral to productive intellectual activity**, including **curiosity**, **inquiry**, observation, reasoning, explanation, **criticising** and imagining' (Marginson 2007, 32, 33; see also: Casper 2001; DHV 2003; Hamlyn 1996; Husén 1991)

These **moral virtues** are to some extent **represented in mission statements (& SDPs) &** adequately represented in **leadership models & leadership competencies**, see above

They define/constitute an **ethical community of scholars & students**

Thus, the **University** is the <u>**Social Biotope for Science**</u> (humanities, natural sciences, music and art) – "a mode of life of practical, reflected, theoretical expertise" (Tenorth 2014, 59), its members (directly involved in science) are committed to

- Universal Declaration of **Human Rights** & related **moral values/virtues**
- Certain **ideals of science** and correlated **intellectual values/virtues**
- **Organise research** processes as **continual, open & free controversial cooperation & debates**
- **Organise teaching & learning** processes as **continual, open & free controversial cooperation & debates** between teachers & students & amongst students

- Sciences systematically and methodologically explore and research all important that is the case and why it is the case guided by **five intellectual ideals of science** or **intellectual virtues**, respectively (cf. Tetens 2008; Leiber 2007):

  - **Truth**, or **reliability** – To discover & overcome as much as possible all deception, every error, every prejudice, every form of mere wishful thinking

  - **Justification** – To prove that an opinion about the world is actually true, reliable

  - **Explanation** & **understanding** – To prove how facts hang together (structures, patterns, rules, natural laws)

  - **Self-reflection** – To explore & research scientific exploration & research ("Which concepts, justifications, explanations are the most reliable & valuable in epistemological & ethical terms?")

  - **Intersubjectivity** – No secret knowledge of a privileged minority; **science is essentially a cooperative endeavour**, a through and through **collective and social undertaking**; scientific research & teaching & learning shall foster **knowledge, personality development** & **professional abilities** "for all"

These **intellectual virtues** are adequately **represented in mission statements (& SDPs) & leadership models & leadership competencies** mainly via **teaching & learning, community of teachers & learners, research, personality formation, culture of criticism, scientification, service to society, democratisation**, etc. pp., see above

In view of the above characteristics and according to its character as a **multiple-hybrid social organisation**, the University might best be organised as a

**Systemic-strategic, open, multilateral Republic of Scholars and Students**, whose members are **educated people and learners of all types, levels and performance areas**.

- **Republic** (Latin: *res publica*):
  - Form of government (or: governance) in which the social organisation (e.g. country; university) is considered a "**public matter**", not the private concern or property of the rulers. The **primary positions of power** within a republic are **not inherited**, but are attained through **democracy**, **oligarchy**, **meritocracy** or autocracy.
  - Definition of *republic* refers specifically to a form of government in which elected individuals represent the citizen body and exercise power according to the rule of law under a constitution (e.g. University Statutes), including separation of powers with an elected head of the organisation, referred to as a **constitutional republic** or representative democracy.

# Core Values, Purposes & Visions of the University:
## Past, Present, Future

- **Multiple-hybrid social organisation** – the University's multiple tensions (functional antagonisms) in "never-ending" need of being weighed out and "balanced"
  - Teaching & learning vs. research (competitive activities)
  - Academic self-governance (meritocracy-based hierarchy; "problematic preferences", "fluid participation in decision & action", "unclear technologies" (Cohen et al. 1972)) vs. bureaucratic line-structure (administrative hierarchy) – tension cannot be overcome in a strict sense whatever type of governance and organsational focus is applied (except that the very core ideas of HE are deleted)
  - Change-focused decision-makers role vs. integration-focused colleagues role (Kleimann 2017, 75)
  - Autonomy vs. accountability – mix and interplay of self-determined and externally determined activities within and inbetween various organisational levels
  - Search for reliable knowledge ('truth') vs. transmission of established knowledge & technology
  - Membership of an international scholarly community vs. role in shaping national cultures & forming national identity & forming organisational ('corporate') identity
  - Inevitable connection of public universities with the state & the centres of economic and social power vs. the need to maintain critical distance
  - Reproducing the existing occupational structure vs. renewing it from below by promoting social mobility
  - Serving the economy vs. providing a space free from immediate utilitarian pressures
  - Teaching as the encouragement of open & critical attitudes vs. society's expectation that universities will impart qualifications and skills
- At least **hard to imagine**, if not plainly **impossible**, how these tensions can be balanced
  - **Only by non-academic, non-expert managers**
  - **Only by academics who are, as a rule, management & leadership laymen**

# Core Values, Purposes & Visions of the University:
## Past, Present, Future

- **Republic**: **radically critical, free, open and controversial discussion** of the (educated and engaged) **citizens of the Republic, from which all substantial decisions** about what to do or not to do at the university **in the service of its core missions must be created**
Universities **need** their **spaces for creative activities** which cannot be steered through and through (e.g., Anderson et al. 2014; de Alencar et al. 2017; Krull 2015)

- **Citizens** with their defined roles, tasks, and responsibilities: **researchers, teachers, students;** supportive **administration**

- To **pursue its intellectual** (and moral) **virtues**, the University must be "detached [or **autonomous**]; that is, **free from extraneous and irrelevant considerations in its search** for the truth [better: reliable knowledge]" (Brubacher 1967, p. 239).

- **Systemic-strategic:** Properly understood, topics such as **strategic planning**, **performance indicators**, **performance evaluation**, **value-added** are integral part of the university of the future
"**There is no large organisation and no university that manages without a hierarchy**" (Wilhelm 2019, p. 74). – Too much and wide-spread decentralisation of decision-making leads to fundamental problems of coordination/integration because it may lead to (1) small-steps innovation policy and slow decision-making; (2) multiplication of the same competencies at different organisation sites; (3) diffusing responsibilities & unsolved tasks; (4) lack or loss of identity (employees' diffusive image of the organisation) (Kühl 2015, pp. 10, 91).

- Applied research & **economic gain** (**"disposition knowledge"**) are **not in contradiction** to the concept of the University (**"orientation knowledge"**); however, the former shall not be the primary, dominant, exclusive ("neo-liberalistic") goal!
Accordingly, assessments and evaluations shall **not be reduced to pure business management** criteria

- **"Interactional leadership"**, or: **"directed collegiality"** (Knight & Trowler 2000, 78-79), or: **"local/departmental level collegiality coupled with central decision-making"** (Burnes et al., 2014, 914):

  – Leaders & staff sensitized to departmental practices, discourses and meaning construction

  – Leaders & staff establish climate of negotiation based on trust

  – Orientation at departmental goals which are themselves oriented at overarching institutional goals

  – Encourages macro-management instead of micro-management: leaders/managers have option to set objectives (within certain limits) & respond to external pressures; staff have option "to decide how these objectives will be implemented to best effect" (Burnes et al., 2014, 914); leadership & staff together develop & negotiate core strategies, "rationale or vision which drives the strategy", participatively ("collegiality": "improves trust and job satisfaction, as well as improving decision-making and increasing commitment to decisions" (Burnes et al., 2014, 914)); furthermore, other stakeholder can be involved, especially students: links back to the concept of a university as a **community of scholars and students [and further stakeholders] engaged on a common task**

- **Community of scholars and students engaged on a common task** may be realized on the basis of the five most sophisticated levels of basic **Organisational Change & Development** (OCD) (Leiber 2019a, 322) and the related **Seven-Step Action Research Process Model** (SSARPM) (Leiber 2019a, 326)

# Core Values, Purposes & Visions of the University:
## Past, Present, Future

**Effective competencies of HEI leadership that are in favour of fostering a "Strategic, Open Republic of Scholars and Students"**

1. Establish a stable, **shared long-term vision** & a **common sense of purpose**

7. Ensure **staff embrace institutional aims & culture** (values, goals, vision, understand the system)

17. **Involve the people doing the work** in data analysis, decisions & implementing changes

20. Have **two-way communication meetings**, with an emphasis on clarifying, testing & listening

21. Ensure managers lead; spending time with staff, listening to concerns and enabling contributions

24. Enable staff to challenge, share & learn from mistakes, without fear

32. Focus both internally & externally, understanding intra- and inter-organisational dynamics

33. Know the institution's sphere of influence & identify the solvable problems

34. Establish **budgets** & a clear **fund-raising strategy** (grants, fees, philanthropy, sponsorship)

35. Examine financial & non-financial measures; which predict & cause institutional results

37. Create **attitude of co-operation** with external partners, sharing information to improve work

39. Be prepared to seek specialist advice from external sources

40. **Integrate management flexibility alongside professional & academic rigour**

41. Determine whether data on staff, communities or society would be useful to the institution

Some **obstacles** to the **Systemic-strategic Republic of Scholars and Students** and other stakeholders

- Non- or anti-democratic context

- Erosion of freedom of teaching and research (e.g. economical/ entrepreneurial instrumentalisation of HEI)

- Incompetent HEI leaders & managers (3 types of incompetence: ineffective behavior; dysfunctional b.; unauthentic b.; see Patel & Hamlin 2017)

- Deficient promotion of young academics & artists

- Deficient promotion of personality formation

- HE(I)-alien HEI councils

- HE(I)-alien HE politics & politicians

- . . .

Ergo: **working definition** of the concept of the contemporary **University as "multiple hybrid incomplete organisation"**

- Hybrid of: **Strategic, open Republic of Scholars & Students** ("statutory corporation") & **Societal educational institution** ("state institution"), committed to certain **values** & endowed with certain **rights** & related **responsibilities**:

  - **Value & work community**
    - Scholars strive for getting a qualification to **teach** & **pass scholars & students & administration on acquired wisdom**
    - Students aim to get a **broad education for life** (**education for independent thinking, judgments and decisions/creativity; pre-professional education**), which usually includes achieving an **academic qualification** (in sciences, humanities, or arts) to be enabled to take up a **qualified employment** or profession (including becoming an academic scholar)
    - Institution of higher learning & teaching engaged with **pushing out the frontiers of knowledge** (on basis of a decent range of subjects of study and research)

- **Right of academic freedom**, i.e. the institution is endowed with some guarantee for the **freedom of teaching and research**, which again is correlated to certain **human rights**, possibly constitutional rights and societal responsibilities (Hamlyn 1996, pp. 207, 213, 214).

- **Right to optimal possible organisational autonomy** ('self-government') (incl., e.g., strategies in research and L&T; curricula; staff & student recruitment; internal quality management by peer/peer-assessment; …)

  At the level of the individual, autonomy directly corresponds to reflected and **content-rich self-determination** (**successful self-development**) **through goal-tracking**, which considers **intrinsic** (if not innate) **psychological needs** for competence, self-determination, and relatedness (Deci & Ryan 2000).

  

- Right to organisational autonomy must be **harmonious with the public interest** which should be represented by some lay personel (e.g. university council; board of lay trustees) – lay and expert personel and their organisational bodies should not be intermingled but meet in continuing, open, transparent and critical discourse

# Core Values, Purposes & Visions of the University:
## Past, Present, Future

- **Right to award own degrees** & **set own standards of assessment**, subject to the institutional arrangements that govern the preservation of the standards community of higher education, which is embedded in a democratic society (related: responsibiliy for QA of assessments and degrees)

**"Thus the university cannot become an arm of the state, the handmaiden of the church, or the servant of industry without threatening its autonomy, indeed its status as a university"**
(Brubacher 1967, p. 239).

Further arguments for the **Systemic-strategic Republic of Scholars and Students and other stakeholders**:

- In a rapidly changing, hardly predictable system full of future challenges "the idea that a few people at the top of an organization can identify and respond in a timely and appropriate manner to all these challenges [purely **top-down decision-making**; strict **centralisation**; **over-heavy bureaucracy**; **micro-management**] is seen as **nonsensical** [seven references from 1997-2012]" (Burnes et al. 2013, 912).

- **Transactional** and **transformational** models of **leadership** heavily rely on **participation**, **motivation**, **self-determined engagement** and **experience of self-efficacy** to achieve goals

- Depending on the position within the system of the "republic" and depending on other circumstances, **there are no once and forever fixed roles of leaders and those being led**, rather they change their relative roles, while participating in different information channels, informal groups and formal bodies and their related processes of analysis and decision-making

- The Republic of Scholars and Students is **embedded in multilateral relations** with other such republics as well as with a multitude of external stakeholders such as funders and societal and private beneficiaries which **require constant negotiations and mutual accountability**

- **Community of scholars and students engaged on a common task-approach** increases the likelihood of balancing erroneous and harmful behavior, decisions and actions of individuals, especially leaders

All this may be summarized under three main purposes:

- HEIs shall serve the **maintenance, deepening & spreading** of

  - **Freedom & democracy**
  - **Knowledge & innovation**
  - **Sustainable strategies & behaviour** of people (in service of conservation/survival of the human and extra-human nature)

    **"The task of a University is the creation of the future, so far as rational thought, and civilized modes of appreciation, can affect the issue"** (Whitehead 1938, 233).

    Such **creativity** can only be realized at a (public) institution, which cultivates & promotes **critically reflected**, **enlightened knowledge** in all areas.

# Final Remarks for the Future University

- **Realisation of the (ideal of the) "Humboldtian University": is impossible**
  - Major caveats: Overly idealistic idea(l) of "unity of research & teaching"; holistic nature of knowledge; "truth" seeking; excessive demands on resources; unnecessary for, and in contradiction to, much vocational training & applied research & patent invention & application

- **Fit all HEIs into an entrepreneurial structure & managerial mould: is impossible**
  - Major caveats: Counterproductive, antagonistic for many academic fields; threat by neoliberal, economist reduction of education (e.g. "NPM of creativity")

- **Focus HEIs on consumerist model** (students as customers, consumers and buyers of products)**: is impossible**

University is not the type of organisation that can (easily) become a 'complete organisation' (but why should it do so?): **"problematic preferences"**, **"fluid participation"** in decision and action, **"unclear technologies"** (Cohen et al. 1972)

# Final Remarks for the Future University

- **Practice more open acceptance that a variety [too many?] of values & (core) missions for HEIs exist** (including the realizable features of the "Humboldtian University") which are in **complementarity/ competition/ conflict to each other** & selections of which can be combined in different ways according to different HEI types, area profiles, strategies & institutional logics of the **"Multiple-Hybrid University"** (also cf. Pratt 2016)

# Final Remarks for the Future

## HE system options for the "Idea of the Multiple-Hybrid University"

- Create/foster **functionally diversified HE systems** with functional division of tasks and labour comprising (also cf. Behrenbeck 2018, 88ff.)

  - Elite research universities (public & private)

  - Public universities with a decent range of subjects & broad offers of research & teaching ("complete universities")

  - Public universities of music and art

  - Public universities of pedagogy

  - Publicly funded research institutes (e.g. state-funded societies; foundations under public law)

  - Universities of applied sciences (public & private)

  - Institutions of vocational training (e.g. dual education; industry and technology education)

  - Publicly (co-)funded institutes of applied research & quasi-industrial small batch production of innovative high-tech products & technology exchange, thus bridging the gap to industry etc. (e.g. "Johannes-Rau- Research Community NRW"; "Innovation Alliance Baden-Wuerttemberg"; "Cyber Valley" Stuttgart-Tuebingen Region)

# Limitations of Study

- **<span style="color:red">Statutes & Strategic Development Plans</span>** could be analysed

- Interviews & focus group surveys explicitly focusing on the concept(s) of the university and/or the core missions could be carried out

- Utilised HEI sample could be extended (towards "increasing statistical relevance")

- Longitudinal studies could be carried out (development/history of concept/ idea of the universities, see scholarly literature)

- Coding of items of comparative conceptual analysis of mission statements could be formalised

- Conceptual coding could be changed (e.g. by distinguishing various categories such as "goals", "means", "served stakeholder group", "attributes of activities and services")

- …