APPRAIS

governAnce, quality, accountability:
a Piloting Reform PRrocess
in kurdistAn reglon of Iraq

Stock taking of governance framework including glossary

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1. Introduction

This document is the Deliverable D.1.1 part of WP1 Needs Assessment of the APPRAIS project, and it is designed as Governance Glossary aiming to explain and standardize concepts and terminology related to university governance and quality assurance, to learning mobility and credit recognition as well as to university structures. In the framework of the project, it aims at making understandable to everyone (the partners and the general audience) the used language and to have all the same level of knowledge on the main topics of APPRAIS. It provides a definition for the most frequently used terms and a reference of the sources used to compile the document.

Beyond the project, it wants to be an instrument for the colleagues at Kurdish Universities in their process of implementation of the Bologna process, and a common reference in the dialogue between Kurdish and European HEIs, staying as a valuable reference even after the end of the project.

2. Project Overview

APPRAIS addresses governance, strategic planning and management of higher education institutions, with a particular focus on enhancing the capacities of human resources and proposing a reform for the local Higher Education system through the implementation of Bologna process. APPRAIS project idea comes from the willingness of the Ministry of Higher Education and Scientific Research (MOHESR KRG) to improve and develop the higher education system in the Kurdistan region of Iraq. The MOHESR KRG has encouraged several Iraqi Universities to adopt the European higher education model, supporting therefore the implementation of the Bologna Process. Within this context, the overarching goal of APPRAIS is to support, through the cooperation of European institutions, the rebuilding and modernisation of the governance system of higher education institutions (HEIs) in the Kurdistan region of Iraq with a specific focus on strategic planning, quality assurance and Bologna process implementation. Due to the recent crisis and political economic situation, the current higher education system requires a strong intervention to face the weakness of the existing governance system by benefiting from the European expertise. To institutionalize good governance practices in Kurdish HEIs, also means enforcing institutional values such as autonomy, accountability, participation, quality assurance, and internationalization, as well as implementing well-structured management systems, and contribute to the development of HEIs in Kurdistan region of Iraq helping them to meet the international standards. The overall aim of the project is to support HEIs in Kurdistan region of Iraq in order to make them capable of establishing a modern governance framework through the adoption and implementation of Bologna process.

3. Governance Terminology and Models

This session proposes a brief description of the concept of governance in general, then an overview of the ideal models of governance in HEI systems and finally a description of the international movements that have affected HEI system reforms. The present analysis refers mainly to the concept of corporate or institutional governance, since the internal structure of each institution is investigated. This means that the analysis focuses on the decision-making bodies that have the ultimate responsibility for the strategic plans and resource development of HEIs.

It is important, while reading the document, to keep in mind that there is no ideal model of HEI governance. The issue of governance is a multilevel, culturally defined concept and different dimensions have to be included in the analysis. Changes and improvement in the existing governance model should be addressed after carrying out analysis of the current arrangement and after definition of the key priorities to be faced. Moreover, the contextual situation has to be taken into account. As many scholars and some practitioners have been observing for decades, there is no 'one size fits all'. The art of reform lies in adaptation (often very extensive) to fit local contexts (Pollitt 2011).

3.1 University Governance key concepts

University governance is one of the key elements that can lead to improving outcomes. Altbach and Salmi (2011) report that the important characteristics of successful world class universities are: leadership, government policy, funding, the ability to continually focus on a clear set of goals and institutional policies, development of a strong academic culture, and quality of the academic staff.

The word governance has very ancient origins, with many authors referring to the Latin term gubernare which is said to come from the Greek word kybernan or kubernentes, meaning "helmsman of ships" (Cepiku et al. 2008). The role of the helmsman was to indicate the route, not to row. The idea is closely related to the concept of steering.

Over time, the meaning of the word has changed and, as Bouckaert points out, it is a "concept culturally defined" (Bouckaert 2017); the word has become a very broad and multidimensional concept that includes many other aspects beyond the idea of steering and it is almost impossible to identify a shared definition in the literature that includes them all. This is especially true when an adjective such as good, multilevel or smart is added.

With respect to the word governance (and the words accountability and networks), Pollitt states that "because of their broad scope, great flexibility and positive 'spin' we dub them 'magic' concepts". In

the paper "Talking about governance" he identifies 4 features of these words:

- Broadness;
- Normative attractiveness (hard to be "against" them");
- Implication of consensus;
- Global marketability (Pollitt et al. 2011c).

The issue of governance can be applied to different contexts: the business sector (corporate governance), the public administration (public governance), international relations (global governance). When talking about the public environment it is possible to identify many levels. Bouckaert offers a clear picture of the different levels of governance:

- Corporate governance: this concerns the management of single public-sector organisations;
- Holding governance: this concerns managing a related cluster of organisations that belong together and need a consolidated type of governance;
- Public service governance: this refers to the premise that public sector delivery is part of public service delivery;
- Suprastructure governance: this refers to that which is beyond institutional infrastructure governance;
- Systemic governance: this refers to system design at the macro level, which includes major checks and balances, key allocation mechanisms of resources, core decision making, and distribution of power in society. It also implies a Whole of Government approach (Bouckaert 2017).

After this general overview, the most relevant definitions of governance are reported here below.

Corporate Governance

According to *www.investopedia.com*, it is the system of rules, practices and processes by which a company is directed and controlled. Corporate governance essentially involves balancing the interests of a company's many stakeholders, such as shareholders, management, customers, suppliers, financiers, government and the community. Since corporate governance also provides the framework for attaining a company's objectives, it encompasses practically every sphere of management, from action plans and internal controls to performance measurement and corporate disclosure.

According to OECD (1999) it is the system by which business corporations are directed and controlled. The corporate governance structure specifies the distribution of rights and responsibilities among different participants in the corporation, such as the board, managers, shareholders and other stakeholders, and spells out the rules and procedures for making decisions on corporate affairs. By doing this, it also provides the structure through which the company objectives are set, and the means of attaining those objectives and monitoring performance.

UK Corporate Governance Code (2016): The system by which companies are directed and controlled. Boards of directors are responsible for the governance of their companies.

According to Classens (2012) it encompasses two different categories. The first focuses on behavioral patterns — the actual behavior of corporations, as measured by performance, efficiency,

growth, financial structure, and treatment of shareholders and other stakeholders. The second concerns itself with the normative framework — the rules under which firms operate, with the rules coming from sources such as the legal system, financial markets and factor (labour) markets. Both definitions include concepts of CSR and sustainability.

According to O'Donovan (2003): In internal system that includes processes, policies and people that serve the requirements of shareholders as well as other stakeholders by controlling and directing activities by the firm's management with good business objectivity, savvy and integrity. Sound corporate governance is related to external marketplace legislation and to a commitment to adding a healthy board culture that protects processes and policies. In other words, corporate governance is defined as the moral, ethical and legal corporation values that safeguard stakeholders' interests.

Public Governance

World Bank (2017): It consists of the traditions and institutions by which authority in a country is exercised. This includes the process by which governments are selected, monitored and replaced; the capacity of the government to effectively formulate and implement sound policies; and the respect of citizens and the state for the institutions that govern economic and social interactions among them.

Six dimensions of governance can be identified:

- Voice and Accountability
- Political Stability and Absence of Violence
- Government Effectiveness
- Regulatory Quality
- Rule of Law
- Control of Corruption

OECD (2011): Public governance refers to the formal and informal arrangements that determine how public decisions are made and how public actions are carried out, from the perspective of maintaining a country's constitutional values when facing changing problems and environments. The principal elements of good governance refer to accountability, transparency, efficiency, effectiveness, responsiveness and rule of law. There are clear links between good public governance, investment and development. The greatest current challenge is to adapt public governance to social change in the global economy. Thus, the evolving role of the State needs a flexible approach in the design and implementation of public governance.

Rhodes (1995,1997, 2001): It means that there is no one centre but multiple centres; there is no sovereign authority because networks have considerable autonomy; it signifies a change in the meaning of government referring to a transition from a unitary bureaucracy to a fragmented service delivery and a policy-making context in which different actors share responsibility.

Stoker (1998): It refers to a complex set of institutions, beside public administration; it identifies the blurring of boundaries and responsibility for tackling social and economic issues; it identifies the power dependence involved in collective actions; it is about autonomous self-governing networks;

it recognises shared capacity of satisfying public needs which does not rest on the power of government to command or use its authorities.

Kickers (1997): It has a broader meaning than the usual restricted business-like, market-oriented interpretation of the concept of 'management'. Public governance is also related to legality and legitimacy and more than strict business values. In public governance, the interaction between the political and societal context plays a crucial role. Public governance is a complex activity involving the 'steering' of complex networks in societal policy sectors.

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Global Governance

World Health Organisation (2015) refers to the way in which global affairs are managed. As there is no global government, global governance typically involves a range of actors including states, as well as regional and international organisations. However, a single organisation may nominally be given the lead role on an issue, for example the World Trade Organisation in world trade affairs. Thus, global governance is thought to be an international process of consensus-forming which generates guidelines and agreements that affect national governments and international corporations.

Commission on Global Governance (1995): It is the sum of the many ways that individuals and institutions, public and private, manage their common affairs. It is a continuing process through which conflicting or diverse interests may be accommodated and co-operative action taken. It includes formal institutions and regimes empowered to enforce compliance, as well as informal arrangements that people and institutions either have agreed to or perceive to be in their interest.

3.2 The issue of governance in HEIs and HEI models

In order to introduce the issue of governance in HEIs it is necessary to focus on the specific features of the higher education system. This kind of organisation might be included in the "professionalised organisation" category as defined by Mintzberg and analysed in public organisation sector studies (Ferlie et al. 2008). One of the first and well-known models set up to describe governance in modern higher education systems was developed by Burton Clark in his work "The Higher Education System".

Clark's Triangle of Coordination is a model that attempts to illustrate how different interest groups both inside and outside HEIs shape the governance system; Clark identifies three primary forces which dominate coordination of higher education systems: the state, the market and the academic oligarchy, which can explain the evolution of the relationship between the actors in a higher education system. This framework can be applied systematically and comparatively to different systems, offering a degree of utility that has contributed to its strong degree of influence and lasting relevance within higher education literature (Maggio 2011, Dobbins 2011).

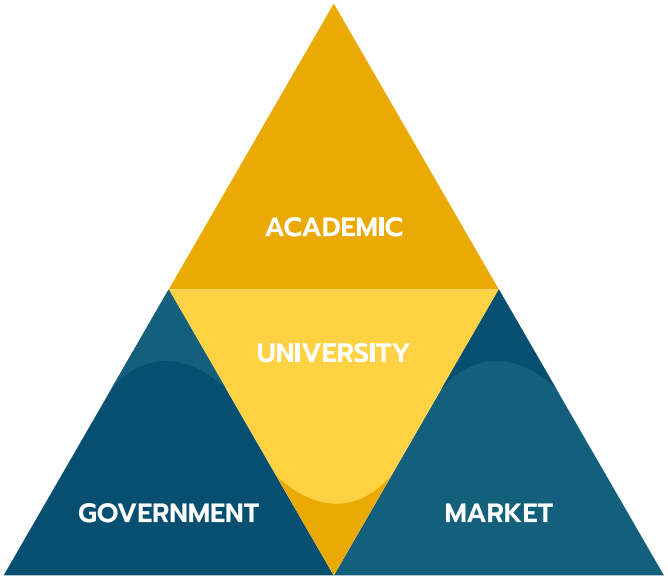

Figure 1 ***Clark's Triangle of Coordination***
Source: World Bank (2012). "Universities Through the Looking Glass : Benchmarking University Governance to Enable Higher Education Modernization in MENA", Washington, DC. World Bank

In subsequent years, other authors developed Clark's model or proposed other models to investigate higher education governance systems. It is important to note that the development of Clark's model has been influenced by socio-economic changes and the wave of reforms in the public sector pushed by New Public Management and Public New Governance movements.

Van Vught Model (1993) identifies four variables to understand how governance models can be built on the basis of their combination:

- degree of influence of the market;
- steering strategies of the government;
- organised influence of the academic oligarchy;
- management processes in HEIs.

According to these variables, he defines two opposing models: in the state control model, governance arrangements are made by the relationships between state and academic oligarchy; in the state supervising model, governance arrangements are made by the relationships between internal management and academic oligarchy.

State control Model in which the role of steering strategies is divided between the government and the academic oligarchy;

- the State coordinates all or most aspects of HEIs, such as admission requirements, curricula, exams, nomination of academic staff;

- the academic oligarchy manages internal organisation mainly for teaching and research;
- management and administrative human resources have a very limited role

This model has the following characteristics:

- the role of steering is divided between the government and the academic oligarchy;
- the State coordinates all or most aspects of HEIs, such as admission requirements, curricula, exams, nomination of academic staff;
- the academic oligarchy manages internal organisation mainly for teaching and research;
- management and administrative human resources have a very limited role

State supervising Model in which the role of steering is divided between the management and the academic oligarchy while the state has a limited role;

- the State has a supervising role, without defining regulations in detail.

In this model, the role of steering is divided between the management and the academic oligarchy while the state has a limited role; the State has a supervising role, without defining regulations in detail.

Braun and Merrien model: Another elaboration of Clark's model was proposed by Braun and Merrien who identify three variables:

- Substantial control by the state;
- Procedural control by the state;
- Utilitarian/non-utilitarian value-oriented (cultural value-oriented).

The combination of these variables gives rise to four models, described as it follows:

BUREAUCRATIC OLIGARCHIC MODEL	• Low substantial control; • High procedural control; • Cultural value-oriented
COLLEGIUM MODEL	• Low substantial control; • Low procedural control; • Cultural value-oriented.
NEW MANAGERIALIST MODEL	• High substantial control; • Low procedural control; • Utilitarian value-oriented
MARKET MODEL	• Low substantial control; • Low procedural control; • Utilitarian value-oriented

The figure below gives a general overview of the models and their development in different countries

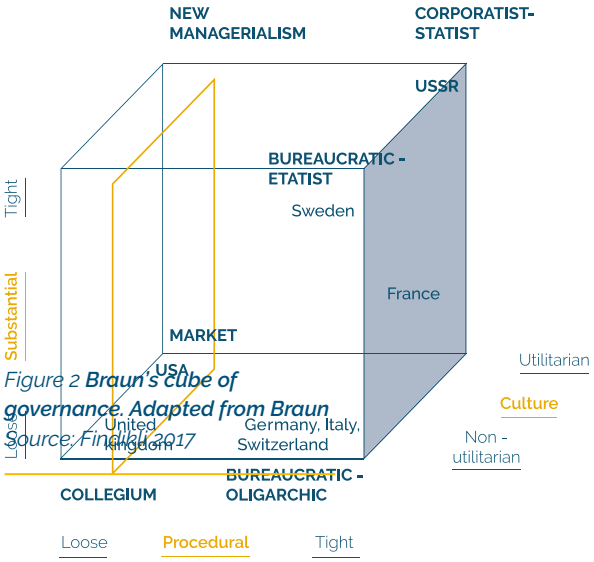

Figure 2 ***Braun's cube of governance. Adapted from Braun***
Source: Findikli 2017

De Boer, Enders and Schimank model (2008)

The authors elaborate an analytical tool for the analysis of governance shifts in HEIs. There are five dimensions driving changes in the HEI governance model, described in the following table. The authors argue that governance in HEIs should be rethought for the following reasons: economic recession and the consequent decline in public expenditure; growth of processes such as internationalisation, globalisation, and Europeanisation; the disillusion of state centred steering of HE and the now encouraged marketisation caused by the disappointing achievements of governments (Findikli 2017).

STATE REGULATION	Refers to the traditional concept of top-down national authority by regulation.
STAKEHOLDER GUIDANCE	Concerns activities which lead universities through advice or goal setting. The government can be considered as a crucial stakeholder in public university systems
ACADEMIC SELFGOVERNANCE	Means collegial decision-making and self-steering within universities by professional/academic communities.
MANAGERIAL SELFGOVERNANCE	Indicates hierarchies within universities and the role of university leaders in decision making and regulation processes.
COMPETITION	Competition for material and symbolic resources—personnel, prestige and funds between and within universities

The following figure presents the Governance Equalizer Model elaborated by the authors to examine governance arrangements. They state that governance "is made up of a specific mixture of the five dimensions at a particular point of time. The ways of governance are empirical combinations of the various dimensions of governance and these dimensions are independent and can be combined with each other in a variety of ways".

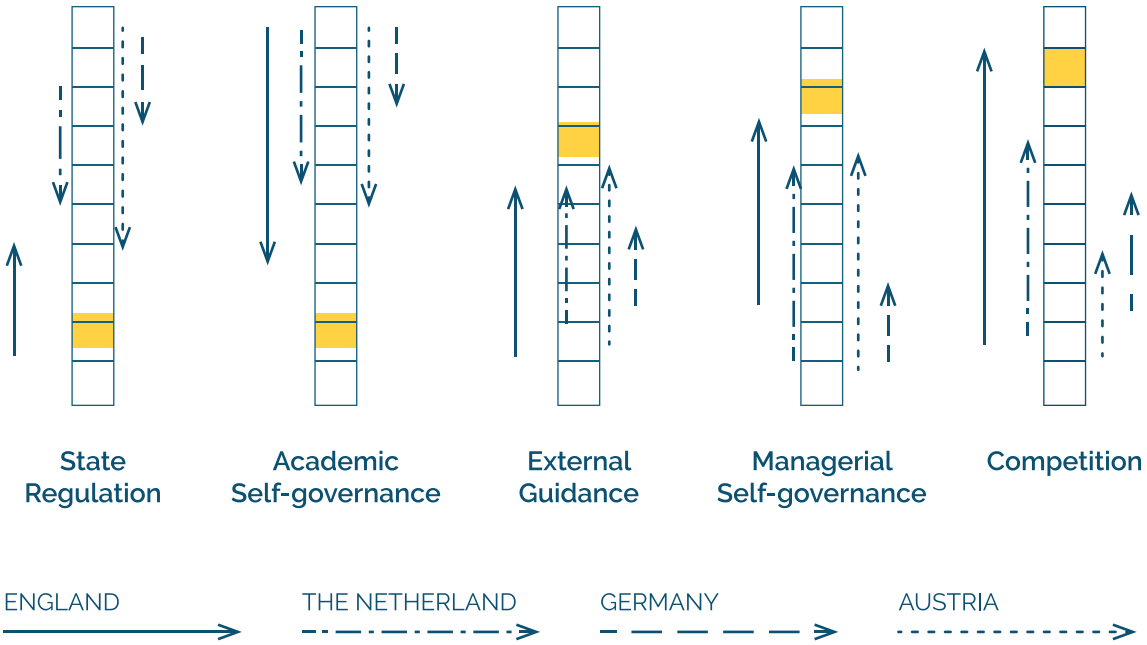

Figure 3 ***HE governance shifts in four countries***
Source: De Boer 2007b

Dobbins model

Dobbins proposes 3 ideal-type models to explain the different governance models (Dobbins et al. 2011).

State Centred Model

- universities are conceiving as state-operated institutions;
- the state directly coordinates all or most aspects of HEIs, such as admission requirements, curricula, exams, nomination of academic personnel, etc.;
- HEIs are subject to the formal administrative control of the state and granted relatively little autonomy;
- the state actively influences internal matters, most notably quality assurance, efficiency and university-business relations;
- the state generally exercises strong oversight over study content, while finances are allocated by the state in itemised fashion;
- HEIs are understood as rational instruments employed to meet national priorities;
- research and education are core national production factors contributing to industrial and technological competitiveness;
- the strong leverage of the state/ministry is reflected in the high degree of hierarchy and

the fact that administrative staff is often appointed, not elected;

- uniform legislation in combination with nationally standardized procedures—e.g. conditions of access and employment, pay scales—bonds universities to central government.

Humboldt Model

- based on Humboldt's principle of Lern-und Lehrfreiheit (freedom of teaching and learning), called "academic self-governance" or "academic oligarchy" to describe the strong power of academic staff who self-regulate academic affairs;
- there is a weak university management, strong self-regulation and collegial control by the professoriate (mainly on study and research profiles);
- there is a state-university partnership, governed by principles of corporatism and collective agreement;
- the state remains a potent actor thanks to diverse planning and financial laws limiting the scope of self-governance;
- the protection of academic freedom and funding by the state enables universities to establish normative and constitutive principles and rules of their own without being subject to external design;
- lack of institutional coordination between university strategies and industrial and/or political goals
- the idea is to search for truth through intellectual freedom— regardless of the utility, applicability, economic benefit or political convenience of scientific results.

Market Oriented Model

- HEIs function more effectively when operating as economic enterprises within and for regional or global markets;
- HEIs compete for students and financial resources within the market that aims at strengthening student choice and increasing the quality and variety of services offered;
- university management sees itself in the role of producer and entrepreneur offering academic services to students;
- institutional leadership is a core feature;
- ideas based on New Public Management and private enterprises (e.g. performance-based funding) enjoy a high status as governance mechanisms at the university level, while the forces of competition are intended to enable rapid adaptation to new constraints and opportunities;
- knowledge is viewed as an investment and strategic resource;
- the state tends to promote competition, while ensuring quality and transparency;
- government involvement entails regulation and incentives for competition and quality,
- institutions remain financially dependent on external stakeholders such as private and business donors as well as students, the ultimate beneficiaries of HE;
- universities are likely to be more susceptible to special interests because they find themselves in a delicate position of dual accountability towards the state/public sector and market demands

The World Bank University Governance Screening card tool

The Screening Card developed by the World Bank assesses the extent to which HEIs follow governance practices aligned with their institutional goals and international trends and monitor their progress over time. The World Bank tool identifies 5 dimensions (Jaramillo 2012):

Overall context, Mission & Goals

A key element in evaluating university governance is the overall framework of the higher education system and the interaction between an institution and the state. Part of governance is securing the resources required to carry out the goals and missions of universities, as well as monitoring and holding accountable the performance of institutional managers at the highest level.

Management Orientation

Management refers to the day-to-day (but no less critical) decisions of operating the institution: admission, registration and certification of degrees for students; appointment, remuneration and promotion of the academic and other staff; and construction and maintenance of facilities. This means the head of the university and the available governing bodies, their composition, the process for the selection or appointment of its members, their roles and responsibilities, their reporting lines, the accountability measures in place, and the time of their assignment.

Autonomy

Respecting the important practical differences between financial and academic autonomy, this analytical dimension tackles both. Financial autonomy is the ability of universities to set tuition fees, accumulate reserves and carry over surplus state funding, borrow money, invest money in assets whether financial or physical, own and sell the land and buildings they occupy, and deliver contractual services. Academic autonomy takes into account the extent to which universities are autonomous in designing or redesigning curricula, introducing or cancelling degree programmes, determining academic structures, deciding the overall number of students, and determining admission criteria, admissions per discipline, evaluation of programmes, evaluation of learning outcomes and teaching methodologies.

Accountability

Accountability as a dimension of governance refers to different levels: academic staff, managerial staff, administrative staff and governing bodies. It pertains to the process for evaluating the completion of institutional goals; the dissemination of information (including institutional goals, student achievements, alumni insertion in the labour market, institutional evaluations (internal and external), and accreditation); methods used for evaluating the performance of students, teaching staff, administrative staff and managerial staff; financial auditing; and the process for risk management and dealing with misconduct.

Participation

Participation analyses to what extent stakeholders and their interests are considered and what role stakeholders play in the decision-making process. Although there is a wide range of stakeholders in university matters, depending on the type of institution as well as on the overall framework of the system, common stakeholders included in the decision-making process are students, academic

staff, government, industry representatives, donors, community associations, unions and alumni.

3.3 Higher Education systems reforms

University governance is an important driver of change: how institutions are managed is one of the most decisive factors in achieving their goals. There are many governance models that vary according to the national context, the type of institution, the historical legacy, and other cultural, political, and, sometimes, economic factors. It is clear that there is no single model or "one size fits all" approach to university governance. It is also clear that choosing a governance model for adoption by a given institution must be a well thought out decision. As Trakman (2008) suggests, "Good governance is much about timing and judgment: it requires boards of governors to recognize when a governance model is not working, why, and how to repair it."

University governance is a key element in the recent focus on reform trends in tertiary education worldwide. A relatively new concept (one of the first typologies was established by Clark in 1983), it addresses how universities and higher education systems define and implement their goals, manage their institutions, and monitor their achievements. University reforms are clearly linked to either economic or political crises or both. Until the 1960s, European universities were mostly "ivory towers," catering to the elite and governed by academic interests with limited links to local problems. Since then, and with the aim of democratizing higher education, government intervention has brought about important changes in terms of both funding and governing the system and the universities themselves. With pressure to accommodate more students, more financial resources were needed and governance reforms were introduced. In 2000, Anglo-Saxon countries (mainly) introduced a series of reforms that sought increased accountability and that transferred power from academics, researchers, and the state to intermediate bodies (sometimes known as "buffer bodies") primarily for the purpose of allocating funds through competitive mechanisms. With these changes came increased institutional autonomy, allowing governments to use instruments such as resource allocation to promote their policies. The use of these competitive tools, aligned with the "New Public Management" (NPM) reforms, helped universities transition into more entrepreneurial organizations, thus enabling them to widen their revenue-generating capacity.

There is a wide variety of governance models; however, most of them can be defined based on the tension or balance between three main forces: the state, market forces, and academic excellence and the capacity to exert academic freedom. Taking into account how these three main forces interact, at one end of the spectrum are centrally-driven, state-controlled universities and university systems; private, profit-oriented corporate institutions are the other end of the spectrum, and varying degrees of power for academic staff and academic interests exist in between. Based on which force is predominant, University Governance Models can be identified. The tension between government-led and market-driven higher education governance practices is seen worldwide. In the past two decades, many countries have opted to grant more autonomy to universities and to move from state controlled to state-steered systems (Fielden, 2008). One impetus is governments' "failure" to respond to rapid technology-driven changes and their capacity to adapt to globalization demands. Market failures, on the other hand, relate to equity issues, information asymmetry, and

the potential for monopolies due to institutions' market power (Raza, 2010).

Trakman (2008) studied governance models in U.K., Australian, and U.S. universities, which are less government-led than in European countries. He proposed four distinct models: Academic, Corporate, Trustee, and Representational. The academic-driven governance models are the most traditional and are based on the assumption that universities should be governed by academic staff. There are several ways of adopting such an approach; e.g., by granting decision powers to the academic council or senate, by having important representation of academic staff on governing boards, or by appointing a prominent academic president or head of the institution.
In Academic Governance, academic staff have the most representation and the greatest voice in defining the mission and management of the university. The most classic example of this model is Oxford University, where academic staff have openly rejected any kind of corporate governance. Corporate Governance, on the other hand, has emerged as a response to financial crises and the need for defined as the transition into more entrepreneurial organizations that enables them to widen their capacity and to use different governing instruments, such as resource allocation, to promote their policies. This model is prevalent in Australia, the U.S., and the U.K., and it emerged as a response to the need to improve public university management. Corporate Governance operates under the assumption that applying corporate approaches, such as financial accountability, helps to improve outcomes. This model usually implies that the head of the university is a professional corporate manager as opposed to an academic. Trustee Governance, in contrast with Representational Governance, gives management powers to a "trustee," usually in the form of a board of trustees. Its members are not elected from within the institution, nor do they represent the different stakeholders. The board of trustees usually has fiduciary responsibilities and due diligence in protecting the trust, including disclosing any factors that might constitute a conflict of interest with that trust. Representational Governance occurs when governance is vested in a wide array of stakeholders, including students, academic staff, alumni, corporate partners, government, and civil society.

In the U.S., private higher education institutions have been well developed for over a century, in many cases with funding from philanthropic donors, following corporate practices such as governance by boards of trustees, and significant organizational and legal autonomy. A chief executive officer and a chief operating officer usually serve on the board as the senior management team.

It is clear that the adoption of a governance approach is an important decision in a given time and context for an institution or university system. It is also evident that the need to modify and adjust it to changing. It is clear that the adoption of a governance approach is an important decision in a given time and context for an institution or university system. It is also evident that the need to modify and adjust it to changing times is an important element of success. Finally, the amalgam model (Birnbaum, 1991) provides a combination of Academic, Corporate, Trustee, and Representational governance. The advantage of the amalgam model is that it incorporates the strengths of each model to better suit the needs of an institution at a given point in time or to meet specific objectives.

A wide variety of literature is available on higher education system governance, and, indeed, one of the critical elements of any strategy for university governance is its interaction with the state

and the national higher education system in which it operates. There have been some important benchmarking exercises, such as the recent Autonomy Score Card published by the European University Association (EUA, 2009, 2011), which offers a tool to benchmark higher education frameworks in relation to autonomy and aims to establish correlations between autonomy and performance. University Autonomy in Europe (2009) provided data on institutional autonomy, aiming to compare systems across Europe. The Autonomy Scorecard (EUA, 2011) provided rankings and ratings of higher education systems according to their degree of autonomy for all European member states.

As shown in the previous section, HEI governance can be analyzed using different models and through various variables. In recent decades, socioeconomic changes were drivers of HEI reforms worldwide. Although with different modes, governmental authorities but also other forces have played a central role in guiding HE system reforms. Like other public organizations, HEIs have been involved in the reforms of New Public Management and Post-New Public Management movements. To give a brief description of this wave of reforms faced by HEIs, use is made of a suggestion proposed by Ferlie who identifies three different perspectives that may describe how HEI systems have been involved in reforms. It has to be said clearly that empirical outcomes are very often hybrid solutions and overtime shifts from one perspective to another may occur. However, highlighting these topics may be helpful for obtaining a different perspective of HEI governance system changes.

1. New Public Management:

the movement was born in Anglo-Saxon countries but the ideas have spread all over the world even if with different intensity; the main issue is related to the introduction of market-based reforms in public organisations: for HEIs, this means a shift in the relationships between state and institutions, where the role of the state has moved to the development of market mechanisms among HEIs, such as competition for students and funding; yet, market suggestions have led to the development of a strong managerial role for governing bodies; in the management of HEIs, tools from private sectors are introduced, such as measurement and monitoring of performance, auditing, market price for teaching fees and introduction of higher student fees, performance-related pay for human resources (Ferlie et al., 2008).

2. Network governance:

it is based on the idea that many different actors may be involved in the public process and the network's role and multilevel governance emerge in the debate. The network governance model builds on some criticisms of NPM. The main features concern the development of higher education networks between higher education institutions and between higher education institutions and other social actors, where self-steering and self-organisation are implemented in these relationships. Models of complex multilevel governance are encouraged, including different levels of government (regional, local and supranational) but also a range of non-governmental stakeholders such as firms and civil society increase collaboration with HEIs; HEI governance systems are requested to become more pluralist,

participative and less directive; there is a shift in the notions of accountability, referring mainly to the idea of giving account to other stakeholders through face-to-face dialogue. The state has a role of general interest supervisor and, in terms of senior management style, there is an emphasis on softer leadership skills, visioning and networking-based approaches (Ferlie et al., 2008).

3. Neo-Weberian narrative:

it refers mainly to European continental countries and may be seen as operationalising the principles of democratic revitalisation within public management reform. The following points summarise the consequences with reference to higher education system reforms: there is a reaffirmation of the role of the state, which is supposed to strongly steer the higher education sector given that it is of strategic significance to society as a whole; on the other hand, there is a rejection of only a top-down leadership and the development of collaborative and participative mechanisms such as focus groups and consultation processes; public sector and its staff keep a distinctive status, culture and terms and conditions; in the higher education system, this implies restrictions on the move of senior personnel from the private into the higher education sector, both for administrative staff and academic staff, for which there is an increase of effective self-regulation; there are limits on the use of a contract-based and flexible academic workforce; however, these elements coming traditionally from a bureaucratic perspective are reformulated and transformed into a new concept of public service where the bureaucrat is not just a legal expert but a professional manager, oriented towards meeting the needs of citizens (Ferlie et al. 2008).

4. Conclusions on the literature review

The previous sections proposed a brief description of the concept of governance in general, then an overview of the ideal models of governance in HEI systems and finally a description of the international movements that have affected HEI system reforms. The present analysis refers mainly to the concept of corporate or institutional governance, since the internal structure of each institution is investigated. This means that the analysis focuses on the decision-making bodies that have the ultimate responsibility for the strategic plans and resource development of HEIs.

Nevertheless, the higher education system is also considered, but from the institutional perspective of each institution. This means that the external relationships between each HEI and other authorities are investigated from the point of view of each institution; this choice is the direct consequence of the project where the ultimate goal is the development of remediation actions within each organisation but obviously within the features established by the higher educational system that are not modifiable at this stage. It is possible to underline some initial conclusions: There is no ideal model of HEI governance. The issue of governance is a multilevel, culturally defined concept and different dimensions have to be included in the analysis. Changes and improvement in the existing governance model should be addressed after carrying out analysis of the current arrangement and after definition of the key priorities to be faced. Moreover, the contextual situation has to be taken into account. As many scholars and some practitioners have been observing for decades, there is no 'one best way'. The art of reform lies in adaptation (often very extensive) to fit local contexts (Pollit 2011a).

5. University Governance Glossary

5.1 Working Methodology

The definition of the Glossary was done as a collaborative work among the European Partners of the APPRAIS project under the coordination of the University of Duhok (UoD) as leader of the WP1 and the UNIMED coordinator, as co-leader.

A list of four main topics was defined and distributed among the four European University Partners as follows:

- Mobility and credits recognition, University of Murcia
- Quality Assurance, University of Oslo
- University Governance, University of Evora and UNIMED
- Higher Education structures, University of Pisa

The timeline of the work was April to June 2021, while the editing and graphic design was done between July and September 2021.

5.2 Aim of the Glossary

The scope of the University Governance Glossary is to explain and standardize concepts and terminology related to university governance and quality assurance, to learning mobility and credit recognition as well as to university structures. In the framework of the project, it aims at making understandable to everyone (the partners and the general audience) the used language and to have all the same level of knowledge on the main topics of APPRAIS. It provides a definition for the most frequently used terms and a reference of the sources used to compile the document.

Beyond the project, it wants to be an instrument for the colleagues at Kurdish Universities in their process of implementation of the Bologna process, and a common reference in the dialogue between Kurdish and European HEIs, staying as a valuable reference even after the end of the project.

5.3 Structure of the Glossary

The document is structured in 4 main sections.

The first 3 sections provide the reader with a list of the most used and relevant terms, with definition and bibliographical sources. A full list of all terms is provided at the very beginning to simplify the

search of one or another definition. All terms are listed in alphabetical order. The three sections are as follows:

- **Mobility and credits recognition**
- **Quality Assurance**
- **University Governance**

The last four section is dedicated to **Higher Education structures**. It includes an overview of HE structures in each of the European Partner countries (IT, SP, NO, PG), a comparative table of the figures / bodies in the university's organigrams, and an explanation about hierarchical relations at the university. A reference to the Kurdish Higher Education structure and organigram is also included to allow comparison and reflection upon similarities and differences.

5.4. List of terms in alphabetical order

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TERM	REFERENCE PAGE IN THE DOCUMENT
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6. Mobility and credit recognition terms

PROPOSED TERM	EXPLANATION/DESCRIPTION	REFERENCE
Accumulation of credits in ECTS	Accumulation of credits in ECTS is the process of collecting credits awarded for achieving the learning outcomes of educational components in formal contexts and for other learning activities carried out in informal and non-formal contexts. A student can accumulate credits in order to: • obtain qualifications, as required by the degree-awarding institution; • document personal achievements for lifelong learning purposes.	*ECT user guide 2015*
Allocation of credits in ECTS	Allocation of credits in ECTS is the process of assigning a number of credits to qualifications, degree programmes or single educational components. Credits are allocated to entire qualifications or programmes according to national legislation or practice, where appropriate, and with reference to national and/or European qualifications frameworks. They are allocated to educational components, such as course units, dissertations, work-based learning and work placements, taking as a basis the allocation of 60 credits per full-time academic year, according to the estimated workload required to achieve the defined learning outcomes for each component.	*ECT user guide 2015*
Awarding credits in ECTS	Awarding credits in ECTS is the act of formally granting students and other learners the credits that are assigned to the qualification and/or its components if they achieve the defined learning outcomes. National authorities should indicate which institutions have the right to award ECTS credits. Credits are awarded to individual Students after they have completed the required learning activities and achieved the defined learning outcomes, as evidenced by appropriate assessment. If students and other learners have achieved learning outcomes in other formal, non-formal, or informal learning contexts or timeframes, credits may be awarded through assessment and recognition of these learning outcomes.	*ECT user guide 2015*

PROPOSED TERM	EXPLANATION/DESCRIPTION	REFERENCE
Competence	Competence means 'the proven ability to use knowledge, skills and personal, social and/or methodological abilities, in work or study situations and in professional and personal development. In the context of the European Qualifications Framework, competence is described in terms of responsibility and autonomy' (Recommendation 2008/C 111/01). Competences can be generic or subject–specific. Fostering competences is the object of a process of learning and of an educational programme.	*ECT user guide 2015*
Credit mobility	The mobility of an exchange student, who stays at a host institution for a period, during which s/he can carry out activities awarding academic credits, which are then recognized by the home institution.	*ECT user guide 2015*
Degree mobility	Learning mobility for degree purposes, even if only part of the programme is undertaken abroad, e.g. in a jointly delivered or jointly awarded degree programme. Where a mobile student enrols for a complete course in another country or even another institution, this is often described as vertical mobility or programme mobility.	*ECT user guide 2015*
Diploma Supplement	It is a document accompanying a higher education diploma, providing a standardised description of the nature, level, context, content and status of the studies completed by its holder. It is produced by the higher education institutions according to standards agreed by the European Commission, the Council of Europe and UNESCO. The Diploma Supplement is also part of the Europass framework transparency tools. It has the following eight sections of information: • the holder of the qualification • the qualification • its level and function • the contents and results gained • certification of the supplement • details of the national higher education system concerned (provided by the National Academic Recognition Information Centres (NARICs)	*ECT user guide 2015*
ECTS credit (European credit Transfer System)	ECTS credits express the volume of learning based on the defined learning outcomes and their associated workload. 60 ECTS credits are allocated to the learning outcomes and associated workload of a full-time academic year or its equivalent, which normally comprises a number of educational components to which credits (on the basis of the learning outcomes and workload) are allocated. ECTS credits are generally expressed in whole numbers.	*ECT user guide 2015*

PROPOSED TERM	EXPLANATION/DESCRIPTION	REFERENCE
ECTS documentation	ECTS documentation: The use of ECTS credits is facilitated and quality enhanced by the supporting documents (Course Catalogue, Learning Agreement, Transcript of Records, and Work Placement Certificate). ECTS also contributes to transparency in other documents such as the Diploma Supplement	*ECT user guide 2015*
Europass mobility	Europass is a set of five documents (Curriculum Vitae, Language Passport, Europass Mobility, Certificate Supplement, Diploma Supplement) which aims to make skills and qualifications clearly and easily understood in Europe. Europass Mobility is a document to record knowledge and skills acquired in another European country, completed by the institutions involved in the mobility of the individual (sending and receiving institution).	*ECT user guide 2015* *https://europa.eu/europass/en*
Flexibility	Refers to measures through which the provision of higher education is made more flexible. The idea behind this concept is to open up higher education to more people and to increase adaptability to the multiple life worlds in modern societies. It also relates to flexibility in programme/curriculum design and approaches to learning and teaching.	*ECT user guide 2015*
Joint Degree	A single document which is awarded by higher education institutions offering the joint programme, and nationally acknowledged as the recognized award of the joint programme (EQAR, 2015).	*ECT user guide 2015*
Joint Programme	An integrated curriculum coordinated and offered jointly by different higher education institutions and leading to double/multiple degrees or a joint degree.	*ECT user guide 2015*
Learning agreement	Learning agreement is the document that should be signed, before the start of the mobility period, among the three parties involved in the mobility– the student, the sending institution and the receiving institution- in order to facilitate the organisation of credit mobility and its recognition on the programme abroad. The Learning Agreement is intended to give the student the confirmation that the credits he/she successfully achieves during the mobility period will be recognised.	*ECT user guide 2015* *Documents*
Learning mobility	Learning mobility is normally understood to involve physical mobility in which the learner/student moves to an institution in another country for part or all of a programme of study. The credits from such mobility are formally recognized by the sending institution.	*ECT user guide 2015*

PROPOSED TERM	EXPLANATION/DESCRIPTION	REFERENCE
	The majority of such mobility takes place in the context of planned and organised programmes (e.g. Erasmus), but there is also a considerable amount of 'free mover' mobility which depends on individual initiative. As well as physical mobility it is increasingly possible for learners to participate in virtual mobility. This too may be through organized joint or shared curriculum, or through Open Universities, Open Education Resources, MOOCs, or other on-line material. Learning mobility is of two main kinds, short-term mobility and degree mobility (see the glossary)	
Learning outcome	Learning outcomes are statements of what the individual knows, understands and is able to do on completion of a learning process. The achievement of learning outcomes has to be assessed through procedures based on clear and transparent criteria. Learning outcomes are attributed to individual educational components and to programmes at a whole. They are also used in European and national qualifications frameworks to describe the level of the individual qualification.	*ECT user guide 2015*
Mobility of doctoral candidates	It refers to all learning and research mobility at doctoral (i.e. third-cycle) level. Mobility of doctoral candidates can refer to short-term mobility or degree mobility. Depending on the country, doctoral candidates are regarded as academic staff or students, or both. The term doctoral candidate is therefore used in most cases. If 'doctoral candidate(s)' are not referred to specifically, they may be covered by mobile students and learning mobility, or staff mobility and early stage researchers, depending on the context.	*ECT user guide 2015*
Mobility window	A mobility window is a period of time reserved for international student mobility that is embedded into the curriculum of a study programme (Ferencz et al., 2013).	*ECT user guide 2015*
Qualificatión Framework in the European Higher Education Area (QF-EHEa)	In the QF-EHEA, three main cycles, as well as a short cycle, are identified and described by the so-called Dublin Descriptors, in terms of applying knowledge and understanding, making judgments, communication skills, and learning to learn. The short, first and second cycles are also characterised by credit ranges: • Short cycle qualifications typically include approximately 120 ECTS credits. • First cycle qualifications typically include 180 or 240 ECTS credits. • Second cycle qualifications typically include 90 or 120 ECTS credits, with a minimum of 60 ECTS credits	*ECT user guide 2015*

PROPOSED TERM	EXPLANATION/DESCRIPTION	REFERENCE
	I at the level of the second cycle. • The use of ECTS in the third cycle varies.	
Recognition (academic recognition)	Approval of courses, qualifications or diplomas from one (domestic or foreign) higher education institution by another for the purpose of admitting students to undertake further studies. Academic recognition can also be sought for an academic career at a second institution and in some cases for access to other employment activities on the labour market (academic recognition for professional purposes). As regards the European Higher Education Area, three main levels of recognition can be considered, as well as the instruments attached to them (as suggested by the Lisbon Convention and the Bologna Declaration): recognition of qualifications, including prior learning and professional experience, allowing entry or re-entry into higher education; recognition of short study periods in relation to student mobility, having as the main instrument the ECTS (European Credit Transfer System); recognition of full degrees, having as the main instrument the Diploma Supplement.	*ECT user guide 2015*
Recognition of credits	Recognition of credits is the process through which an institution certifies that learning outcomes achieved and assessed in another institution satisfy the requirements of one of the programmes they offer.	*ECT user guide 2015*
Recognition of professional qualifications	It allows ECTS to be used as an additional means of expressing full-time course duration in the case of the seven 'sectoral' professions. The obligation to express course duration in terms of full-time academic years and total numbers of hours will remain for medical doctors, general care nurses, dentists, and midwives. For veterinary surgeons, pharmacists and architects, the obligation covers only full-time academic years.	*ECT user guide 2015*
Short-term mobility	All types of learning mobility beyond that which is solely for degree purposes (see degree mobility). A mobility period that is part of a course (such as a typical ERASMUS study placement) is sometimes called 'horizontal mobility' or 'credit mobility'.	*Mobility closing the gap betwe-en policy and practice*
Staff mobility	Staff mobility refers to any mobility for academic or other professional purposes, which is not permanent (i.e. staff intend to return to their home institution). Academic and administrative/technical staff mobility refers to: a) mobility periods undertaken by staff at higher education institutions; b) the crossing of national borders; c) physical (not virtual) mobility; d) organised short-term mobility with the intention of	*Mobility closing the gap between policy and practice*

PROPOSED TERM	EXPLANATION/DESCRIPTION	REFERENCE
	returning to the point of departure (i.e. no permanent migration); e) a mobility period during which teaching or research (or both) are undertaken; f) a mobility period during which training is undertaken. Academic staff are engaged mainly in teaching and research, either of which is also the purpose of their mobility. They may thus include (for example) academics in charge of managing a joint programme, provided that they are also engaged in teaching and research. Administrative/technical staff are engaged mainly in administration, which is also the purpose of their mobility, including all situations, such as governance and institutional leadership, in which the main task of staff is no longer academic.	
Transcript of Records	An up-to-date record of the student progress in their studies, the educational components they have taken, the number of ECTS credits they have achieved, and the grades they have been awarded. It is a vital document for recording progress and for recognizing learning achievements, including for student mobility. The receiving institution provides the sending institution and the student with a Transcript of Records within a reasonably short period of time (stipulated between the two institutions) after proclamation of the student's results at the receiving institution. Upon successful completion of the set of educational components included in the Learning Agreement and confirmed by the Transcript of Records sent by the receiving institution, the sending institution should recognise fully the agreed number of ECTS credits, transfer them into the student's programme and use them to satisfy the qualification requirements. The sending institution should specify clearly how the educational components taken abroad have been integrated into the home degree programme.	*ECT user guide 2015*
Transfer of credits	Transfer of credits is the process of having credits awarded in one context (programme, institution) recognised in another formal context for the purpose of obtaining a qualification. Credits awarded to students in one programme may be transferred from an institution to be accumulated in another programme offered by the same or another institution. Credit transfer is the key to successful study mobility. Institutions, faculties, departments may make agreements which guarantee automatic recognition and transfer of credits.	*ECT user guide 2015*

PROPOSED TERM	EXPLANATION/DESCRIPTION	REFERENCE
Virtual mobility	Cross-border e-learning (i.e. when a student follows distance learning courses offered by a higher education institution abroad). Virtual mobility can be useful in promoting and complementing physical mobility. Virtual mobility can play an important role in the internationalization strategy of an institution (Mapping University Mobility Project, 2015).	*ECT user guide 2015*
Work-based learning	Learning delivered by a university, college or other training provider in the workplace, normally under the supervision of a personfrom the same company, as well as, a professional teacher from outside the company.	*ECT user guide 2015*
Workload	Workload is an estimation of the time the individual typically needs to complete all learning activities such as lectures, seminars, projects, practical work, work placements1 and individual study required to achieve the defined learning outcomes in formal learning environments. The correspondence of the full-time workload of an academic year to 60 credits is often formalized by national legal provisions. In most cases, workload ranges from 1,500 to 1,800 hours for an academic year, which means that one credit corresponds to 25 to 30 hours of work. It should be recognised that this represents the typical workload and that for individual students the actual time to achieve the learning outcomes will vary.	*ECT user guide 2015*
Work placements	A planned period of experience outside the institution (for example, in a workplace) to help students to develop particular skills, knowledge or understanding as part of their programme. Work placements which are necessary to have access to a regulated profession. These can be undertaken in any EU/EEA member state, irrespective of where the qualification is delivered, and enjoy full recognition. Recital 27 states that the 'recognition of a professional traineeship completed in another Member State should be based on a clear written description of learning objectives and assigned tasks, to be determined by the trainee's supervisor in the host Member State.' Article 55a requires Competent Authorities to 'publish guidelines on the organisation and recognition of professional traineeships carried out in another Member State or in a third country, in particular on the role of the supervisor of the traineeship.'	*ECT user guide 2015*

PROPOSED TERM	EXPLANATION/DESCRIPTION	REFERENCE
Work placement certificate	A document is issued by the receiving organisation/ enterprise upon the trainee's completion of the work placement, and it can be complemented by other documents, such as letters of recommendation. It aims to provide transparency and bring out the value of the experience of the student's work placement.	*ECT user guide 2015*

7. Quality assurance terms

PROPOSED TERM	EXPLANATION/DESCRIPTION	REFERENCE
Academic supervision regulations (see "regulations")		
Accreditation (see "Institutional Accreditation")		
Audit	a methodical examination and review of educational or research activities.	
Capacity Building	The enhancement of the skills, abilities and powers of partners to engage effectively at different levels in processes	*European Industrial Relations Dictionary*
Co-determination	Structure of decision-making within an enterprise whereby employees and their representatives exert influence on decisions, often at a senior level and at a relatively early stage.	*European Industrial Relations Dictionary*
Course evaluation (by students and by institutions)	The involvement of every level of the institution, including students, in the quality assessment of single courses and the teaching, which form part of the teacher's quality report to his/her department, which form part of the reports to the central board and to external evaluators - see also "PERIODIC PROGRAM EVALUATION"	
Discrimination	(on the grounds of age, racial or ethnic origins, religion or belief, sexual orientation, political opinions, socio-economic background or trade union membership and activities). Different treatment of individuals or groups based on arbitrary or acquired criteria as the above. The principles of the Norwegian Equality and Anti-Discrimination Act must be built into all aspects of the universities' quality work, from universal design of the premises (accessibility) to student accomodation, admission regulations, and curricula, and are reported to the ministry of education annually.	*European Industrial Relations Dictionary* *Equality and Anti-Discrimination Act (in English):*
Diversity management	A combination of strategies intended to achieve better representation in the employment of excluded groups within organizations. Diversity is considered as added value and implies that organisations are committed to building more inclusive decision-making.	*European Industry Relations Dictionary*

PROPOSED TERM	EXPLANATION/DESCRIPTION	REFERENCE
Educational portfolio	System for the content of an institution's offer within teaching - on program or course level. Norway's Academic Supervision Regulations state that "Results derived from QA practices shall form part of the knowledge base used in the evaluation and strategic development of the institution's portfolio of study programmes.	*NOKUT - Quality Assurance - The institutions' responsibility Section 4-1 (5)*
Employability	A combination of factors (such as job-specific skills and soft skills) which enable individuals to progress towards or enter into employment, stay in employment and progress during their careers. Relevance: The EU and governments consider emphasis of employability in education as a quality element.	*European Industry Relations Dictionary*
Ethical guidelines	Guidance documents which assist with decisions relating to the responsibility to adhere to established and relevant standards of ethical principles and practice. Central for the UiO's operations to uphold good quality, are the University Act, the Public Administration Act, the Working Environment Act, the Civil Servants Act, the Equality and Anti-Discrimination Act and Ethical Guidelines for the Civil Service. Other internal regulations are the regulations for procurement, supervision and research ethics.	*Research Ethics Glossary* *https://www.uio.no/english/about/regulations/ethical-guidelines/#toc1*
Equality	(and Equal opportunities) refers to the absence of discrimination and the promotion of equal treatment in and beyond the organization, e.g. for men and women through a Gender Equality Strategy (see also DISCRIMINATION).	*European Industry Relations Dictionary*
Evaluation	All systematic processes to assess or value the quality, merit and/or significance of something. Process evaluations describe and assess materials and activities, Outcome evaluations study the effects on participants and Impact evaluations identify longer-term as well as unintended effects (risk assessment). Evaluations can be performed internally or by the appointment of external evaluators.	*ECA (European Consortium for Accreditation) Glossary*
Good (clinical) practice	An ethical and scientific quality standard for designing, conducting, recording and reporting trials that involve the participation of subjects, that has its origin in International Conference of Harmonization (ICH)	*Research Ethics Glossary*
Harassment and violence at work	Unacceptable behavior by one or more individuals that can take many different forms, some of which may be more easily identified than others.	

PROPOSED TERM	EXPLANATION/DESCRIPTION	REFERENCE
	Can be countered through a Harassment and violence prevention strategy where affected students or employees can report without risks of retaliation and where there are written procedures for handling the cases.	European Industry Relations Dictionary, adapted to higher education
Institutional accreditation	The process by which a (non-)governmental or private body evaluates the quality of a higher education institution as a whole or of a specific educational programme in order to formally recognise it as having met certain pre-determined minimal criteria or standards. The result of this process is usually the awarding of a status (a yes/no decision), of recognition, and sometimes of a license to operate within a time-limited validity. The process can imply initial and periodic self-study and evaluation by external peers.	European Area of Recognition - EAR Manual (enic-naric.net)
Lifelong learning	All learning activity undertaken throughout life, with the aim of improving knowledge, skills and competences within a personal, civic, social and/or employment-related perspective (Communication (2001) 678)	ECT user guide 2015
Periodic program evaluation	An overall program evaluation should be completed within a set period. The purpose of evaluation is to assess the overall program quality and the need for changes or improvements. This periodic program evaluation consists of a self-evaluation and an external evaluation. The Norwegian NARIC is entitled to have full insight into the evaluations and may demand changes or improvements in the case of deficiencies.	Periodic program evaluation - UiO
Quality Assurance (QA)	The process or set of processes adopted nationally and institutionally to ensure the quality of educational programmes and qualifications awarded. Quality assurance should ensure a learning environment in which the content of programmes, learning opportunities and facilities are fit for purpose. Quality assurance is often referred to in the context of a continuous improvement cycle (i.e. assurance and enhancement activities).	ECT user guide 2015
Quality Assurance Practices	The practical and systematic application of a continuous improvement cycle.	ECT user guide 2015
Quality assurance system / framework	The standards for quality assurance have been divided into three (interlinked) parts: • Internal quality assurance	

PROPOSED TERM	EXPLANATION/DESCRIPTION	REFERENCE
	• External quality assurance • Quality Assurance agencies. These three form the basis for a European quality assurance framework.	Standards and Guidelines for Quality Assurance in the European Higher Education Area (ESG) Part II - first paragraph.
Quality Culture (Staff and students)	A process in which all internal stakeholders assume responsibility for quality and engage in quality assurance at all levels of the institution. In order to facilitate this, the policy has a formal status and is publicly available.	Standards and guidelines for Quality Assurance in the European Higher Education Area (ESG) Part I, 1.1 "Guidelines"
Quality deficiency report - see also "periodic program evaluation"	The purpose of preparing quality deficiency reports is to determine the cause of discrepancies, affect corrective action and prevent recurrence	Periodic program evaluation - UiO
Quality enhancement	Advice and recommendations on how an institution may improve what it is doing. QA and quality enhancement together create trust in the higher education institution's performance.	Standards and guidelines for Quality Assurance in the European Higher Education Area (ESG) Part I, page 7, paragraph 4.
Regulations	A rule or order issued by an executive authority or regulatory agency of a government and having the force of law.	Regulation | Definition of Regulation by Merriam-Webster
Research Ethics Committee (REC) - also known as Ethics Committee, Ethical Review Board, etc.	Group of individuals who undertake the ethical review of research protocols involving humans, applying agreed ethical principles. Research ethics committees review proposed studies with human participants (or samples) to ensure they conform to international and locally accepted international guidelines, monitor studies and, where relevant, take part in follow-up action and surveillance after the end	Research ethics glossary

PROPOSED TERM	EXPLANATION/DESCRIPTION	REFERENCE
	of research. Committees have the authority to approve, reject or stop studies, or require modifications to research protocols.	
Self-evaluation	A self evaluation is completed by the program leader, and must include feedback from both students and program staff. The self evaluation should include a review of the academic environment.	*Periodic program evaluation - UiO*
Transparency	The quality of being done in an open way without secrets.	*https://ec.europa.eu/education/policies/higher-education/about-higher-education-policy_en*

8. University governance terms

PROPOSED TERM	EXPLANATION/DESCRIPTION	REFERENCE
Academic autonomy	Academic autonomy refers to a university's ability to decide on various academic issues, such as student admissions, academic content, quality assurance, the introduction of degree programmes and the language of instruction. The ability to decide on overall student numbers and set admission criteria are fundamental aspects of institutional autonomy. While the number of study places has important implications for a university's profile and finances, the capacity to select students contributes significantly to ensuring quality and matching student interest with the programmes offered. The capacity to introduce academic programmes without outside interference and to select the language(s) of instruction enables a university to pursue its specific mission in a flexible way. A free choice of teaching language may also be important in the context of institutional internationalisation strategies. Although quality assurance mechanisms are essential accountability tools, related processes can often be burdensome and bureaucratic. Universities should therefore be free to select the quality assurance regime and providers they consider as appropriate. The ability to design the content of courses (except for the regulated professions) is a fundamental academic freedom.	*EUA, European Universities Association*
Academic leadership	Academic leadership is the key to determine the quality of university governance. Academic leadership influences, leads, and guides the multiple stakeholders to create a common academic vision through participation, interaction and coupling, and to motivate the members of the university to accomplish the common academic vision.	University Governance and Academic Leadership in the EU and China Chang Zhu and Merve Zayim-Kurtay, Vrije Universiteit Brussel, Belgium

PROPOSED TERM	EXPLANATION/DESCRIPTION	REFERENCE
Accountability	The basic meaning of accountability can be outlined as an account-giving relation between individuals or organizations. In a public sector context, it plays a decisive role because it counterbalances the delegation of power among principal - agent relationships. This means that the more HEIs achieve autonomy from a central authority the more they need to be accountable. Also for private HEIs accountability has a fundamental role, because of the competition mechanisms both in the aspect of resources acquisition and in the aspect of students (customers) satisfaction. The dimension measures the degree of effectiveness in data reporting. The degree of effectiveness is linked to the ability to make available in a clear and transparent way relevant data on different topics. For universities and their leaders, accountability represents the ethical and managerial obligation to report on their activities and results, explain their performance, and assume responsibility for unmet expectations. At the very minimum, all tertiary education institutions should be legally required to fulfill the following two basic dimensions of accountability: (i) integrity in the delivery of education services, and (ii) honesty in the use of financial resources. In addition, many stakeholders have a legitimate claim to expect a cost-effective use of available resources and the best possible quality and relevance of the programs and courses offered by these tertiary institutions. Tertiary institutions maintain accountability specifically through their internal quality assurance mechanisms, regular reporting on academic results and relevance of programs, financial audits, and by putting in place appropriate instruments to prevent and punish corruption.	Rabovsky, T. M. (2012). Accountability in higher education: Exploring impacts on state budgets and institutional spending patterns. Journal of Public Administration Research and Theory, 22(4), 675-700. *Main reference to UniGov WP1 report*
Corporate governance	The system by which business corporations are directed and controlled. The corporate governance structure specifies the distribution of rights and responsibilities among different participants in the corporation, such as the board, managers, shareholders and other stakeholders, and spells out the rules and procedures for making decisions on corporate affairs. By doing this, it also provides the structure through which the company objectives are set, and the means of attaining those objectives and monitoring performance.	*OECD Principles of corporate governance (1999)*

PROPOSED TERM	EXPLANATION/DESCRIPTION	REFERENCE
	The system of rules, practices and processes by which a company is directed and controlled.	
Corporate social responsibility	The responsibility of enterprises for their impacts on society. Respect for applicable legislation, and for collective agreements between social partners, is a prerequisite for meeting that responsibility. To fully meet their corporate social responsibility, enterprises should have in place a process to integrate social, environmental, ethical, human rights and consumer concerns into their business operations and core strategy in close collaboration with their stakeholders.	*European Commission (2011) A renewed EU strategy 2011-14 for Corporate Social Responsibility*
Financial autonomy	Financial autonomy refers to a university's ability to decide freely on its internal financial affairs. The ability to manage its funds independently enables an institution to set and realise its strategic aims. European universities receive an important proportion of their funds from the state. Whether this funding is provided as a line-item budget or a block grant, the extent to which it may be freely allocated to different budget lines and the length of the funding cycle are important aspects of financial autonomy. The ability to keep a surplus and borrow money on the financial markets facilitate long-term financial planning and provide universities with the flexibility they need to fulfil their diverse missions in the most suitable way. Similarly, the capacity to own and sell university-occupied buildings enables them to determine institutional strategies and academic profiles. The ability to charge tuition fees opens up new private funding streams, which make up a significant percentage of university budgets in some higher education systems. In these cases, the freedom to charge and set the level of tuition fees is a crucial factor in deciding on institutional strategies.	*EUA, European Universities Association*
Global governance	It is the sum of the many ways that individuals and institutions, public and private, manage their common affairs. It is a continuing process through which conflicting or diverse interests may be accommodated and cooperative action taken. It includes formal institutions and regimes empowered to enforce compliance, as well as informal arrangements that people and institutions either have agreed to or perceive to be in their interest.	The Commission on Global Governance, Our Global
Governance	Governance has been defined to refer to structures and processes that are designed to ensure accountability, transparency, responsiveness, rule of	

PROPOSED TERM	EXPLANATION/DESCRIPTION	REFERENCE
	law, stability, equity and inclusiveness, empowerment, and broad-based participation. Governance also represents the norms, values and rules of the game through which public affairs are managed in a manner that is transparent, participatory, inclusive and responsive. Governance therefore can be subtle and may not be easily observable. In a broad sense, governance is about the culture and institutional environment in which citizens and stakeholders interact among themselves and participate in public affairs. It is more than the organs of the government. International agencies such as UNDP, the World Bank, the OECD Development Assistance Committee (DAC) and others define governance as the exercise of authority or power in order to manage a country's economic, political and administrative affairs. The 2009 Global Monitoring Report sees governance as 'power relationships,' 'formal and informal processes of formulating policies and allocating resources,' 'processes of decision-making' and 'mechanisms for holding governments accountable.' Often there is a tendency to equate governance with management, the latter primarily referring to the planning, implementation and monitoring functions in order to achieve pre-defined results. Governance systems set the parameters under which management and administrative systems will operate. Governance is about how power is distributed and shared, how policies are formulated, priorities set and stakeholders made accountable. In the development literature, the term 'good governance' is frequently used. In particular, the donors promote the notion of 'good governance' as a necessary pre-condition for creating an enabling environment for poverty reduction and sustainable human development. Good governance has also been accepted as one of the targets of the Millennium Development Goals (MDGs). The good governance agenda stems from the donor concern with the effectiveness of the development efforts. Good governance is expected to be participatory, transparent, accountable, effective and equitable and promotes rule of law.	*UNESCO, International Bureau of Education*
Human resources autonomy	HR autonomy refers to a university's ability to decide freely on issues related to human resources management, including recruitments, salaries, dismissals and promotions. In order to compete in a global higher education environment, universities must be able to hire the most suitable and qualified	*EUA, European Universities Association*

PROPOSED TERM	EXPLANATION/DESCRIPTION	REFERENCE
	academic and administrative staff without external prescriptions or interference. The ability to determine salary levels is of prime importance when attempting to attract an excellent international workforce. The civil servant status held by university employees still prevents institutions in a number of European countries from setting salaries. The capacity to promote and dismiss personnel freely enhances an institution's flexibility, providing it with a competitive advantage with regard to staffing matters. The possibility to promote staff on the basis of merit remains restricted in a number of European higher education systems. Compliance with applicable labour laws and regulations is of course not regarded as a restriction on institutional autonomy.	
Management	Is the initiative by university manages/administrators to properly and effectively attend to the concerns, queries, proposals, grievances and feedbacks of students, academic and non-academic staff. Management encompasses processes, structures and arrangements that are designed to mobilize and transform the available physical, human and financial resources to achieve concrete outcomes. Management refers to individuals or groups of people who are given the authority to achieve the desired results. Run the organization in line with the broad goals and direction set by the governing body. Implement the decisions within the context of the mission and strategic vision. Make operational decisions and policies, keep the governance bodies informed and educated. Be responsive to requests for additional information.	*UNESCO, International Bureau of Education*
Mission	A mission statement, or simply a mission, is a public declaration that educational organizations use to describe their founding purpose and major organizational commitments—i.e., what they do and why they do it. A mission statement may describe day-to-day operational objectives, instructional values, or public commitments to students and community.	*The Glossary of Education Reform.*
National Legal Framework	The legal framework refers to the system of rules and regulation related to higher education	
Network Governance	It is based on the idea that many different actors may be involved in the public process and the network's role and multilevel governance emerge in the debate. The network governance model builds on some criticisms of NPM. The main features concern the	

PROPOSED TERM	EXPLANATION/DESCRIPTION	REFERENCE
	development of higher education networks between higher education institutions and between higher education institutions and other social actors, where self-steering and self-organisation are implemented in these relationships. Models of complex multilevel governance are encouraged, including different levels of government (regional, local and supranational) but also a range of non-governmental stakeholders such as firms and civil society increase collaboration with HEIs; HEI governance systems are requested to become more pluralist, participative and less directive; there is a shift in the notions of accountability, referring mainly to the idea of giving account to other stakeholders through face-to-face dialogue. The state has a role of general interest supervisor and, in terms of senior management style, there is an emphasis on softer leadership skills, visioning and networking-based approaches	The Steering of Higher Education Systems: A Public Management Perspective, Ferlie Ewan, September 2008
Operational planning	Operational planning is planning that takes place at the department level of an organization. In institutions where planning is not integrated, operational planning usually means the divisions and departments develop their own visions and, with them, their own list of critical resource needs. What this means at budget time is that each functional area has its own requests for institutional resources and these are not necessarily linked to the budget requests from any other functional area.	*A Practical Guide to Strategic Planning in Higher Education, by Karen E. Hinton, Society for College and University Planning (2021),*
Organisational Autonomy	Organisational autonomy refers to a university's ability to decide freely on its internal organisation, such as the executive leadership, decision-making bodies, legal entities and internal academic structures. The ability to independently select, appoint and dismiss the executive head and to decide on the length of his/her term of office is by no means guaranteed in all European higher education systems. Legal guidelines and restrictions still apply in many countries. University governing bodies, which usually consist of a board or council, a senate or both, decide on long-term strategic issues, like statutes and the budget, and academic matters, such as curricula and staff promotions. If external, non-university members are included in governing bodies and hence involved in such fundamental institutional decisions, it is important that universities have their say in their appointment.	*EUA, European Universities Association*

PROPOSED TERM	EXPLANATION/DESCRIPTION	REFERENCE
	The capacity to create profit and not-for-profit legal entities and to decide on internal academic structures is directly linked to an institution's ability to determine and pursue its academic and strategic direction. The ability to set up distinct legal entities may also open up important new funding streams.	
Organisational Performance	Organizational performance is a fundamental construct in strategic management. Recently, researchers proposed a framework for organizational performance that includes three dimensions: accounting returns, growth, and stock market performance	
Participation	Stakeholders actively participate, through meetings or representations on councils, in the decision-making processes of the HEI.	MacDonald, A., Clarke, A. and Huang, L. (2019), "Multi-stakeholder partnerships for sustainability: designing decision-making processes for partnership capacity", Journal of Business Ethics, Vol. 160 No. 2, pp. 409-426
Public service governance	Public governance refers to the formal and informal arrangements that determine how public decisions are made and how public actions are carried out, from the perspective of maintaining a country's constitutional values when facing changing problems and environments. The principal elements of good governance refer to accountability, transparency, efficiency, effectiveness, responsiveness and rule of law. There are clear links between good public governance, investment and development. The greatest current challenge is to adapt public governance to social change in the global economy. Thus, the evolving role of the State needs a flexible approach in the design and implementation of public governance.	*OECD (2011) POLICY FRAMEWORK FOR INVESTMENT USER'S TOOLKIT Chapter 10. Public Governance*

PROPOSED TERM	EXPLANATION/DESCRIPTION	REFERENCE
Stakeholder	*Internal stakeholder* Person employed by or enrolled at a higher education institution. *External stakeholder* Persons who have a vested interest in the function, practices and outcomes of higher education institutions (may include members of central, regional or local government, employers in the labour market or other representatives from industry, members of labour unions, national student associations, representatives of civic society, graduates, parents of students, etc.).	*Higher Education Governance in Europe Policies, structures, funding and academic staff* *Eurydice, 2008*
State control model	It is a governance model where governance arrangements are made by the relationships between state and academic oligarchy. The role of steering strategies is divided between the government and the academic oligarchy; the State coordinates all or most aspects of HEIs, such as admission requirements, curricula, exams, nomination of academic staff. The academic oligarchy manages internal organisations mainly for teaching and research. Management and administrative human resources have a very limited role.	Van Vught, F. A., & Westerheijden, D. F. (1993). Quality management and quality assurance in European higher education: Methods and mechanisms. (Studies; Vol. 1). Commission of the European Community.
State supervising model	It is a governance model where governance arrangements are made by the relationships between internal management and academic oligarchy. The role of steering is divided between the management and the academic oligarchy while the state has a limited role, a supervising role, without defining regulations in detail.	Van Vught, F. A., & Westerheijden, D. F. (1993). Quality management and quality assurance in European higher education: Methods and mechanisms. (Studies; Vol. 1). Commission of the European Community.

PROPOSED TERM	EXPLANATION/DESCRIPTION	REFERENCE
Strategic Planning	Strategic planning usually refers to the process which results in the development of a strategic plan. This plan identifies the future direction of an institution and maps the way the direction will be reached. Strategic planning is this, but it is also much more. If an effective strategic planning process is in place in an institution, the following should be evidenced: • A clearly defined and articulated institutional direction. • Institutional ability to choose priorities based on self-evaluation and understanding. • Knowledge and ownership of the institutional direction by all major institutional constituencies. • Institutional openness to growth, change. • Institutional ability to respond thoughtfully, but quickly, to new challenges. • Unified plans and actions, with clear lines of accountability. • Strong financial and resourcing plans to back identified strategic directions. • Institutional leader's constant focus on the plan with all constituent groups. • An efficient but effective assessment and reporting strategy.	Strategic Planning in Higher Education, Andrea Luxton Andrews University, 2005
Suprastructure governance	This refers to that which is beyond institutional infrastructure governance	Bouckaert, Pollitt, Public Management Reform: A Comparative Analysis December 2000, Long Range Planning 33(6)
Systemic governance	This refers to system design at the macro level, which includes major checks and balances, key allocation mechanisms of resources, core decision making, and distribution of power in society. It also implies a Whole of Government approach.	Bouckaert, Pollitt, Public Management Reform: A Comparative Analysis December 2000, Long Range Planning 33(6)

PROPOSED TERM	EXPLANATION/DESCRIPTION	REFERENCE
Third Mission	It refers to an additional function of the universities in the context of knowledge society. The university is not only responsible for qualifying the human capital (Education – the first mission) and for producing new knowledge (Research – the second mission). Universities must engage with societal needs and market demands by linking the university's activity with its own socio-economic context. Today universities develop their strategies around these three missions and play a much more visible and stronger role in the design of modern knowledge societies by providing socially, culturally and economically usable knowledge.	Pinto, Cruz, De Almeida (2016), Academic Entrepreneurship and Knowledge Transfer Networks: Translation Process and Boundary Organizations
University governance	University governance is defined as the constitutional forms. and processes through which universities govern their affairs. Governance and the process of governing the university. interact with the internal and external stakeholders striving for. University governance is one of the key elements that can lead to improving outcomes. Altbach and Salmi (2011) report that the important characteristics of successful world class universities are: leadership, government policy, funding, the ability to continually focus on a clear set of goals and institutional policies, development of a strong academic culture, and quality of the academic staff. University governance is an important driver of change: how institutions are managed is one of the most decisive factors in achieving their goals. There are many governance models that vary according to the national context, the type of institution, the historical legacy, and other cultural, political, and, sometimes, economic factors. It is clear that there is no single model or "one size fits all" approach to university governance. It is also clear that choosing a governance model for adoption by a given institution must be a well thought out decision. As Trakman (2008) suggests, "Good governance is much about timing and judgment: it requires boards of governors to recognize when a governance model is not working, why, and how to repair it."	*Universities Through the Looking Glass : Benchmarking University Governance to Enable Higher Education Modernization in MENA*
University Social Responsibility	Faced with the complexity of current and future global challenges, higher education institutions have the social responsibility to advance our understanding of multifaceted issues, which involve social, economic, scientific and cultural dimensions, and our ability to respond to them. It should lead society in generating global knowledge to address global challenges, food security, climate change, water management, intercultural dialogue, renewable energy and public	

PROPOSED TERM	EXPLANATION/DESCRIPTION	REFERENCE
University Social Responsibility	health. Higher education institutions, through their core functions (research, teaching and service to the community) carried out in the context of institutional autonomy and academic freedom, should increase their interdisciplinary focus and promote critical thinking and active citizenship. This would contribute to sustainable development, peace, wellbeing and the realization of human rights, including gender equity. Social responsibility is best understood as the idea that organizations, institutions, and individuals have an obligation to act for the benefit of society as a whole, drawing on principles around ethics and social welfare. Social responsibility plays a critical role in the HE sector, cementing the sector's place within society as a catalyst for innovation, progress, and social and economic development.	*UNESCO (2009) World Conference on Higher Education: The New Dynamics of Higher Education and Research for Societal Change and Development* QS Star (2019) The rise of social responsibility in Higher Education
University strategy	The university strategy is the core document setting the university's objectives for the future. It is the plan to achieve long-term and short-term goals. It reflects the vision of the institution and sets the priorities and main area of intervention for a set period of time.	
Vision	A vision statement, or simply a *vision*, is a public declaration that educational organizations use to describe their high-level goals for the future—what they hope to achieve if they successfully fulfil their organizational purpose or mission. A vision statement may describe core organizational values, long-term objectives, or what the organization hopes students will learn or be capable of doing after graduating.	*The Glossary of Education Reform*

9. Higher Education Structures

The current paragraph presents an overview of the Administration and Governance at Local and/or Institutional Level, plus a focus on Management Staff for Higher Education in Italy, Norway, Portugal and Spain, with a comparative table of the figures / bodies in the university's organigrams, and an explanation about hierarchical relations at the university.

References:

- Italy – pages 52-53
- Norway – pages 53-54
- Portugal – pages 54-55
- Spain – pages 56-57-58

As a final paragraph, a presentation of the hierarchical structure of the Higher Education Institutions of the counties of the project is reported. A reference to the Kurdish Higher Education structure and organigram is also included to allow comparison and reflection upon similarities and differences.

9.1 Italy

Main source: Eurydice project

The **Rector** *(Rettore)* is the legal representative of the university and has functions of orientation, initiative and coordination of scientific and educational activities. The Rector is responsible for pursuing the aims of the university according to quality criteria and in compliance with the principles of effectiveness, efficiency, transparency and promotion of merit. It proposes the university's three-year planning document, the annual and three-year forecast budget and the final account.

The **Academic Senate** *(Senato Accademico)* formulates proposals and mandatory opinions on teaching, research and student services. The Senate approves the university regulations and ethical code and can activate, modify or suppress courses, offices, departments and structures, as well as propose a motion of no confidence towards the Rector. Its members are the Rector, an elective representation of the students and at least two thirds from tenured professors. The number of members is proportionate to the size of the university, but always less than 35. The Senate remains in office for a maximum of 4 years and the mandate is renewable for one time only.

The **Management Board** *(Consiglio d'Amministrazione)* oversees the administrative, financial, economic and asset management of the university, as well as the management of technical and administrative staff. In particular, it approves the university budget. It is composed of a maximum of 11 members, including the Rector and an elective student representation. The designation of the other members takes place according to the modalities foreseen by the statute. Candidates

are identified among Italian or foreign personalities with proven management skills or with a high level of professional experience. The Council and its members remain in office for a maximum of 4 years, with the exception of student representatives who hold office for 2 years. The mandate is renewable only once.

The **Director General** *(Direttore Generale)* is at the head of the administrative system and is responsible for the overall management and organisation of the university's services, instrumental resources and technical-administrative staff. The General Director participates in the Board of Directors without voting rights. It is chosen from highly qualified personalities and proven experience with managerial functions. The Director has a fixed-term contract, lasting no more than 4 years and renewable.

The **Evaluation Unit** *(Nucleo di Valutazione)* is a body made up of highly qualified professional subjects, mainly external to the university. It verifies the quality and effectiveness of the educational offer and of the research activities carried out by the departments. Each university has its own statute. It provides for other bodies which are placed side by side with the governing bodies of the university.

The **Departments** *(Dipartimenti)* conduct scientific research, teaching and educational activities, as well as additional external activities. The Departments promote and co-ordinate research with due respect for the independence of individual researchers.
Furthermore, committees made up of students and teaching staff members are responsible for assessing the activities of individual Departments.
The main direction and management bodies of the Departments, autonomously set up by universities, are usually the following:

- the **Department council** *(Consiglio di dipartimento)* made up of professors, researchers, representatives of non-teaching staff and students and chaired by the Director of the Department;
- the **Director of the Department** *(Direttore di dipartimento)* who is selected among professors and represents the department.

Finally, universities can create intermediate structures, usually named 'schools' or 'faculties', for the organisation of the educational offer and student services. These structures have their own management that includes the Directors of departments belonging to them and representatives of the teaching staff and of students. As for Departments, Faculties can establish teacher-student committees for monitoring the activities.

9.2 Norway

Main source: Act relating to universities and university colleges - regjeringen.no

The **board** is the highest governing body of the institution. It is responsible for maintaining a high academic standard and for ensuring that the institution is run efficiently and in accordance with the statutes, regulations and rules that apply and the guidelines and objectives laid down by the

authorities.
All decisions taken at the institution by persons or bodies other than the board must be taken with **authority delegated by the board** and at the responsibility of the board. The board may delegate its decision-making powers to other persons or bodies at the institution in so far as it does not follow from the present Act that the decision must be taken by the board itself or that other special restrictions apply to the right to delegate authority.
The board must have eleven members and consist of four members elected from among the academic staff, one member elected from among the technical and administrative staff, two members elected from among the students and four external members.

- If the board through its dispositions jeopardizes the further activities of the institution, the King in Council may dismiss the board and appoint a temporary board until a new board is elected and appointed.
- The King in Council may dismiss a board member if there are particularly weighty reasons, or if special circumstances undermine the trust in the board member.

The Higher Education Institution (HEI) is to be led by a **Rector**, either appointed by the board or elected by students and staff. The Rector shall be employed, for a fixed term of four years. No one can serve more than two consecutive terms. The Rector serves as secretary to the board. When the Rector is appointed pursuant to sec. 10-1 in the Act, the board is chaired by someone employed outside the HEI. The chair is appointed by the Ministry of Education and Research.

A HEI with an appointed Rector may appoint a **Director**. However, the director under an appointed rector has no statutory duties, tasks or assignments. The board establishes any and all levels of management below the Rector.If the board has decided that the **Rector** will be elected pursuant to Section 10- 2, first subsection, each institution must have a **Director**. Subject to the limits laid down by the board, the Director is the overall head of the institution's administration.

The board appoints **heads of faculty** and a **head of administration** if the board decides to establish such positions. The board may decide that heads of faculty will appoint **heads of department** if such appointments must be made.
Appointment of the Prorector and of heads of faculties and departments and the Director must be made pursuant to Section 10-3 on the basis of recommendation by a selection committee.

The board itself must decide the composition of the selection committee and lay down further rules concerning recommendation, etc. Unless the board unanimously decides otherwise, the students must be represented on the selection committee.

9.3 Portugal

Main source: Eurydice project

Public higher education institutions (HEI) have their own governing bodies whose statutes contain

the fundamental rules of internal organisation and operation, such as the structure, make-up and duties of the governing and management bodies, forms of election or designation of members, the length of mandates and forms of cessation.
Governing bodies include the general council, the rector (in universities or university institutes), the president (in polytechnic institutes) or the director or president (in the remaining institutions) and the management council.

The **General Council** is the institution's strategic management body, responsible for approving medium-term strategic plans and the general guidelines of the institution regarding scientific, pedagogical, financial and asset-related matters. It includes representatives of teachers, researchers, non-teaching staff, student representatives and distinguished external figures, with relevant knowledge and experience. It's also responsible for the election of the rector and for revising the university statutes.

The **Rector** or **President** is the higher governing authority and external representation of the institution, as well as being responsible for institution policy, overseeing the management council. The rector and president are assisted by vice-rectors or vice-presidents, who are nominated and exonerated by them. Their mandate ends at the same time as the rector or president.

The **Management Council** is made up of a maximum of five members, including a vice-rector or vice-president and the administrator, who is responsible for overseeing administrative, asset and financial management of the institution, as well as human resource management.

Students provider/non-teacher and non-researcher provider act as independent entities to defend the students/employers interests and rights. Is appointed by the General Council.

Administrator is appointed by the Rector, it should have recognized experience in management or public administration. The administrator is responsible for the university services (e.g. administrative office, human resources, etc.), having and integrated vision, leading to higher efficiency and the implementation of transversal good practices.

Senate is composed by the Rector, the Director's of the Organic units/ faculties, the chairs of the scientific councils, elected students, non-academic staff, the president of the students union and elected representatives from teachers and researchers. Among the Senate competences are: support to quality management and university self evaluation; monitorization of the national recommendations after courses evaluation, general guidelines for teaching and researching,

Evaluation Council has the mission to supervise the internal quality system, based on the principle of self evaluation and continuous improvement.

Ethical Commission is a consultative body with the role of safeguarding ethical and deontological principles in research, education, society connections and general University functioning. Whenever necessary should be consulted and issue an opinion on scientific experiments and data protection.

9.4 Spain

Main source: Eurydice project

In public universities the statutes must establish at least the following governing and representative bodies:

- collegiate bodies: Social Council, Governing Council, University Assembly, School and Faculty Boards and Department Councils.
- single-member bodies: rector, vice-rectors, general secretary, manager, faculty deans, directors of Schools, Departments and University Research Institutes.

In private universities, their rules of organization and operation establish their governing and representative bodies.

The Statutes establish the following individual governing and representation bodies:

- The **Rector** *(Chancellor/Rector)* is the legal representative of the university and has functions of orientation, initiative and coordination of scientific and educational activities. The Rector is responsible for pursuing the aims of the university according to quality criteria and in compliance with the principles of effectiveness, efficiency, transparency and promotion of merit. It proposes the university's four-year planning document, the annual and four-year forecast budget and the final account. The Rector, elected through direct vote of the university community, is assisted by the **Vicerrectors** *(Vice-Chancellor)* for different issues.
- **General Secretary** *(Secretario General)* of the university is the notary of the acts and agreements of the Governing Council, being responsible to prepare and guard the minutes of the sessions as well as to publicize them. It performs a work of assistance to the Rector in the tasks of organization and administration of the university.
- **Managing Director** *(Gerente)* is responsible for the management of the administrative and economic services of the university. In this sense, it has to develop the Human Resources policy for administrative staff, under the direction of Rector as well as the economic strategy for the annual budget, taking responsibility for the financing system of the university and for the preparation and execution of the budget.
- **Faculty Deans**, directors of higher technical schools or higher polytechnic schools, of university schools or polytechnic university schools and of departments. The Dean, elected through direct vote of the faculty community, is assisted by the **Vice-deans** for different issues.
- **Director of Research Institutes:** The research university institutes are an independent structure that do nor depend on any faculty of schools. For this reason the research institutes have a director and an administrative board to formulate the proposals and the objectives of these structures, following the university regulations.
- **The Departments** *(Departamento)* conduct mainly teaching and educational activities, as well as additional external activities and also the scientific research, that it is organised in research groups. The Departments promote and co-ordinate research with due respect for the independence of individual researchers. A research group needs almost three full time researchers. Furthermore, committees made up of students and teaching staff members are

responsible for assessing the activities of individual Departments. The main direction and management bodies of the Departments, autonomously set up by universities, are usually the following:

- **The Department Council** *(Consejo de Departamento)* made up of professors, researchers, representatives of non-teaching staff and students and chaired by the Director and the Secretary of the Department.
- **The Director of the Department** *(Director de Departamento)* who is elected among professors and represents the department every two years. It is assisted by the Secretary of the Department, being also full-time academic staff.

In addition, they have the following mixed-membership bodies:

- **Social Council:**
  - it is the body allowing the participation of society in the university in which fifteen persons represent different economical and social sectors of the society.
  - other members of the Social Council will be the Chancellor, the General Secretary, the Managing Director, student and a representative of the administration and services staff, all of them elected by the Governing Council.
  - it monitors the economic activities of the university and its service performance;
  - it approves an annual action plan with the aim of promoting relations between universities and their cultural, professional, economic and social environment at the service of the financing and quality of university activity;
  - the legislation in each autonomous community regulates its composition, functions and the appointment of its members from among personalities from the cultural, professional, economic, labour and social sectors;

- **Governing Council:**
  - It establishes the strategic and programmatic lines of the university, as well as the guidelines and procedures for their implementation in the fields of teaching organisation, research, human and economic resources and preparation of the budgets.
  - The Government Council also approves the university regulations and ethical code and can activate, modify or suppress the official studies (Bachelor, Master and PhD programme), long life courses, administrative offices or services, departments and structures, and the creation of new schools, faculties and institutes.
  - It is made up by the Chancellor, who chairs it, the General Secretary, the Managing Director and a maximum of 50 members (vice-chancellors, a representation of deans and heads, as well as a representation of the university community, as established by the university statutes). The Government Council remains in office for a maximum of 4 years and the mandate, and its members are completely renovated every four years when there is a Rector or Chancellor election.

- **University Assembly:**
  - it is the highest representation body in the university community.
  - it elaborates the university statutes and, on an extraordinary basis, it can hold elections

to choose a Chancellor at the initiative of a third of their members and with the approval of two thirds

- the approval of this initiative entails their dissolution and the Chancellor dismissal
- the university statutes regulate their composition and the duration of their term
- most of the members are professors and PhDs permanently linked to university
- It is the highest representative body of the university community. I
- It defines the Quality Plan, the evaluation of the institution, the research policy and the academic awards.

- **School Board or Faculty:**
  - it is the governing body of each Faculty
  - it is chaired by the dean or director, and the vice-deans
  - its composition and the procedure for the election of its members are set out in the Statutes
  - most of the members are professors permanently linked to university, including members of administrative staff and student.

- **Department Council:**
  - it is the governing body of the Department.
  - it is chaired by its director and the academic secretary
  - they are made up of the doctors members of the Department, as well as of a representation of the other teaching and research staff not holding a doctoral degree, as determined by the Statutes
  - the Statutes guarantee the presence of members acting as representatives of students and administrative and service staff.

10. Hierarchical Structures of Heis

Only a few elements of the hierarchical structure are shared by all HEIs even inside a given country. In particular, the modalities of appointment/election and the composition of the various bodies depend not only on the country but often also on the statute of a specific HEI.

The Rector is the head of the HEI; it is helped by the *Vice-rector* and the *Pro-rectors*. An analogy typically used is that the Rector is the Prime Minister (or the Head of State) of the HEI, and the Vice-rector and the Pro-rectors are the Ministers.

The *Managing Director* is the head of the administration of the HEI.

Among the general governing bodies of the HEIs, usually the most important is the *Management Board*, which is the body taking care of the financial aspects of the HEI, usually including the hiring. Alongside the Management Board there are at least one and sometimes many other governing bodies (*Academic Senate, Governing Council, Social Council, University Assembly*, etc.) taking care of the aspects concerning the teaching, the research and more generally the politics of the HEI.

Often Quality Assurance processes require the existence of hierarchically independent bodies (sometimes partly external to the HEI) ensuring the correctness of the procedures and/or evaluating the results obtained by the HEI: examples of such bodies are the *Evaluation Unit, the Evaluation Council, the Ethical Committee, the Providers*, etc.

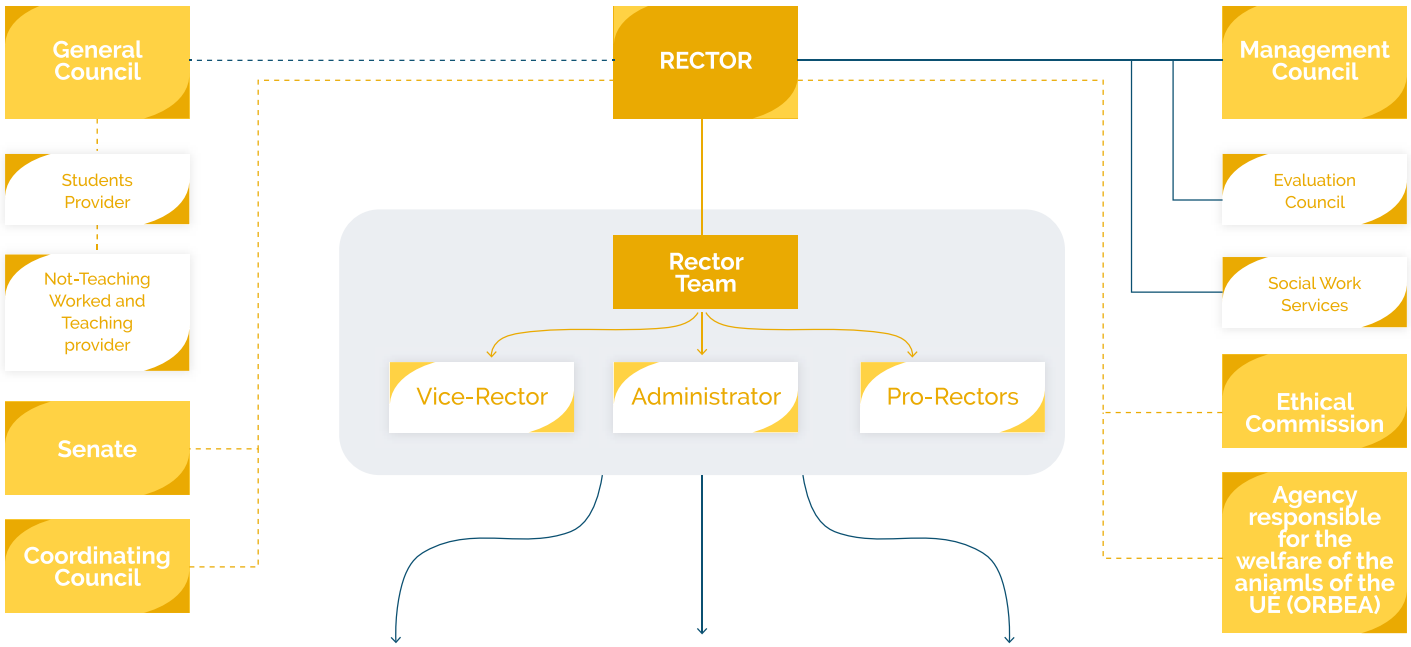
The HEIs are almost always subdivided in smaller units, usually according to the disciplines. The most common unit is the *Department*, governed by a *Director*, a *Vice-Director* and a *Council* (and sometimes other smaller bodies), that conducts and coordinates scientific research, teaching and educational activities, as well as additional external activities, in one or more specific disciplines. Sometimes there are larger units called *Faculties* or *Schools*, governed by a *Dean*, one or more *Vice-deans* and a *Council*, whose relations and subdivision of duties with Departments depend on the country and sometimes on the specific HEI.

The course programmes (or sets of similar course programmes) are often managed by a *Programme President* and a *Programme Council*, sometimes also by making use of smaller committees (e.g., *Teachers-students committee*, etc.).

The kind of decisions that can be taken at the level of the smaller units without passing through the main governing bodies (or through larger units) mostly depend on the organization of each single HEI. Finally, Quality Assurance processes often require inside the smaller units the existence of bodies ensuring the correctness of the procedures and/or evaluating the results obtained at the unit

level. The number, kind, composition and independence of these bodies varies significantly across countries and even across HEIs in the same country.

In the diagram below, as an example, it is shown the hierarchical structure of the University of Évora, Portugal.



Organic Units

- School of Science and Technology
- School of Social Sciences
- School of Fina Aarts
- School of Health and Human Development
- S. João de Deus School of Nursing
- Institute of Research and Advanced Training (IIFA)

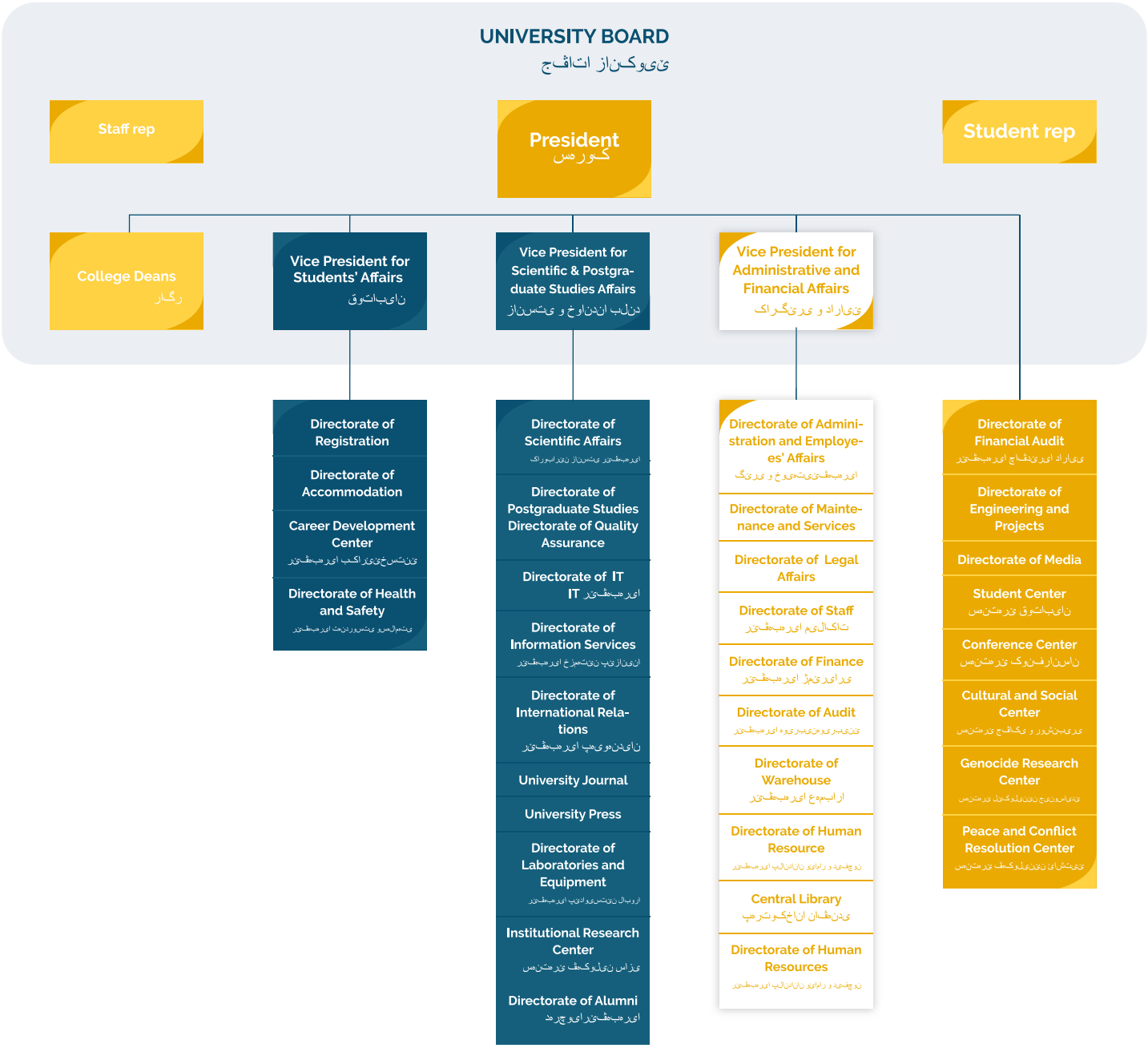
Services

- Rectorate Services
- Academic Services
- Administrative Services
- Computer Services
- Science and Cooperation Services
- Social Services
- Technical Services
- Library Services and Documental Information

Scientific and Pedagocical Units

- Experimental Farms
- Veterinary Hospital
- Túlio Espanca Popular University
- Educational Technologies Center
- University of Évora Orchestra

In the figure below the organigram of the University of Duhok, as an example of the most common structure in the Kurdish universities.



11. Comparative table of University Organigrams

* The exact subdivision of duties among Management Board, Academic Senate, Governing Council, Social Council and University Assembly depends on the specific national laws.

** The exact subdivision of duties among Departments, Schools, Faculties and Study Programmes depends on the specific national laws

ENGLISH	ROLE	ITALY	NORWAY	PORTUGAL	SPAIN	KURDISTAN
Rector	The Rector is the legal representative of the university and has functions of orientation, initiative and coordination of scientific and educational activities.	Rettore	Rektor	Reitor (universities)/ Presidente (Technical Institutes)	Rector	President سەرۆکی زانکۆیێ

ENGLISH	ROLE	ITALY	NORWAY	PORTUGAL	SPAIN	KURDISTAN
General Secretary	The General Secretary is the notary of the acts and agreements of the Governing Council. It performs a work of assistance to the Rector in the tasks of organization and administration of the university.		(function is handled by the University Director, see below)		Secretario general	Not available
Vice-rector	The Vice-rector assists the Rector in the execution of his/her duties.	Prorettore vicario	Viserektor	Vice-reitor / Vice-presidente	Vice-rector	Vice President for Scientific & Postgraduate Studies Affairs ێکورەس ێراکیراە وب ێیوکناز یتسناز نێرابوراک دنلب اندناوخ و
						Vice President for Administrative and Financial Affairs ێکورەس ێراکیراە وب ێیوکناز نێرابوراک ێیاراد و یرێگراک
						Vice President for Students' Affairs ێیوکناز ێکورەس نێرابوراک وب نایباتوق

ENGLISH	ROLE	ITALY	NORWAY	PORTUGAL	SPAIN	KURDISTAN
Pro-rector(s)	The Pro-Rectors assist the Rector and the Vice-Rector on specific issues (e.g., teaching, research, finance, legal affairs, internationalisation, students affairs, etc.)	Prorettore / Delegato	Prorektor	Pro-Reitor	Pro-rector / Coordinador/ Delegado del Rector	Not available
Management Board*	The Management Board oversees the administrative, financial, economic and asset management of the university, as well as the management of technical and administrative staff.	Consiglio di amministrazione	Universitetets administrative ledergruppe Board of Directors	Conselho de Gestão	Consejo de Dirección	
Managing Director	The Managing Director is the overall head of the institution's administration.	Direttore generale	Universitets-direktør	Administrador	Gerente	Directorate of Administration and Employees Affairs ڕێڤەبەرایەتی کاروباری فەرمانگە
Academic Senate*	The Academic Senate oversees the teaching, research and student services of the university.	Senato accademico	Utdannings-komite Forskningsetisk utvalg (Committee of education, Committee of research ethics)	Senado	Consejo de Gobierno	Not available

ENGLISH	ROLE	ITALY	NORWAY	PORTUGAL	SPAIN	KURDISTAN
Governing Council*	The Governing Council establishes the strategic and programmatic lines of the university, as well as the guidelines and procedures for their implementation in the fields of teaching organisation, research, human and economic resources and preparation of the budgets.		Universitets-styret	Conselho Geral	Consejo de Gobierno	University board جڤاتا زانکۆیی
Social Council*	The Social Council monitors the economic activities of the university and its service performance, with the aim of promoting relations between universities and their cultural, professional, economic and social environment at the service of the financing and quality of university activity.				Consejo Social	Not available

ENGLISH	ROLE	ITALY	NORWAY	PORTUGAL	SPAIN	KURDISTAN
University Assembly*	The University Assembly elaborates the university statutes, defines the Quality Plan, the evaluation of the institution, the research policy and the academic awards.		(performed by the University Council see above)	(performed by the governing council)	Claustro Universitario	Not available
Evaluation Unit	The Evaluation Unit verifies the quality and effectiveness of the educational offer and of the research activities carried out by the departments.	Nucleo di valutazione	Performed by the Committee of Education, the Forum for research deans and the Learning Environment Committee		Comisión de Calidad (belongs to the University Assembly) For research activity: Comisión de Investigación	
Evaluation Council	The Evaluation Council supervises the internal quality system, based on the principle of self-evaluatio and continuous improvement.	Presidio di qualità	(performed by the University Council see above)	Conselho de Avaliação	Unidad para la Calidad	Directorate of Quality Assurance ڕێڤەبەرایەتی دڵنیایی جۆری

ENGLISH	ROLE	ITALY	NORWAY	PORTUGAL	SPAIN	KURDISTAN
Ethical Council	The Ethical Council is a consultative body with the role of safeguarding ethical and deontological principles in research, education, society connections and general University functioning.	Commissione etica	Forskningsetisk utvalg (Research Ethics Committee)	Comissão de ética	Comisión de Etica de Investigación Comisión de Bioseguridad	Ethical Committee
Students Provider / Non-teacher and Non-researcher Provider	The Students Provider and the Non-teacher and Non-researcher Provider act as independent entities to defend the students/employers' interests and rights.		Studentombudet (Ombud for students) and Vitenskapsombudet (the Science Ombud)	Provedor do estudante / Provedor do pessoal não docente	Defensor Universitario (for student and employers)	Student Union یەکێتیی قوتابیان
Department**	The Department conducts and coordinates scientific research, teaching and educational activities, as well as additional external activities.	Dipartimento	Institutt	Departamento	Departamento	Department بەش

ENGLISH	ROLE	ITALY	NORWAY	PORTUGAL	SPAIN	KURDISTAN
Director of Department	The Director of the Department represents and is responsible for the activities of the Department.	Direttore del dipartimento	Instituttleder (Head of Department)	Director de departamento	Director de departamento	Head of Department سەرۆک بەش
Vice-Director of De-partment	The Vice-Director of Department assists the Director of Department in the execution of his/her duties.	Vicedirettore del dipartimento	Forskningsleder (Head of Research) and Undervisnings- og utdanningsleder (Head of Education)	Vice-director de departamento	Secretario de Departmento	Rapporteur
De-partment Council	The Department Council is the governing body of the Department.	Consiglio di dipartimento	Instituttstyre	Conselho de departamento	Consejo de Departamento	Department council جڤاتا بەش	
Programme Council**	The Programme Council manages the activities of the corresponding study programme.	Consiglio di corso di studio / Consiglio didattico	Programråd		Comisión de Ordenación Docente (belongs to the Faculty)	Department Scientific committee لێژنا زانستی ی بەش
Programme President	The Programme President is the head of the Programme Council and is responsible for the working of the corresponding study programme.	Presidente / Coordinatore di corso di studio	Programleder		Coordinador de grado (for a Bachelor programme) and Coordinador the semester (to coordinate the activities per semester)	Head of Department سەرۆک بەش

ENGLISH	ROLE	ITALY	NORWAY	PORTUGAL	SPAIN	KURDISTAN
School (or Faculty) **	The School (or Faculty) manages research and/or teaching activities together with the Departments.	Scuola / Facoltà (Optional)	Fakultet	Escola (ou Faculdade)	Facultad Escuela (the name of School is only use for technical studies)	College ژیلوک
School (or Faculty) Dean	The School (or Faculty) Dean represents and is responsible for the activities of the School (or Faculty).	Preside della Scuola/Facoltà (Optional)	Dekan	Director de escola	Decano	Dean رگار
School (or Faculty) Vice-dean(s)	The Vice-deans assist the Dean on specific issues.		Prodekan	Vice-director de escola	Vicedecano	Vice-Dean یرگار ێراکیراه
School (or Faculty) Council	The School (or Faculty) Council is the governing body of the School (or Faculty).	Consiglio di Scuola/Facoltà (Optional)	Fakultetsstyre	Conselho de escola	Junta de Facultad	College Council ێژیلوک اتاڤج
Teachers - students committee(s)	Teachers-students committees are responsible for monitoring the teaching activities and may put forward proposals for improvements, at different levels: University, Department, Study Programs, etc.	Commissione paritetica docenti-studenti	Function performed by "Programråd" with student representatives (see above)		These issues can be monitored in the following structures: -Consejo de Departamento -Comisión de Ordenación Docente -Junta de Facultad -Comisión de calidad interna	Not available

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