Institutional transformation and leadership development at universities
A mapping exercise

Report from the Innovative Leadership and Change Management in Higher Education project (NEWLEAD)

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Introduction

Given the pace and intensity of change taking place in our societies and invariably at our universities, institutional leadership has become a game-changer in the capacity of universities to adapt, even more so during the Covid-19 pandemic. Nevertheless, when it comes to leadership development and institutional transformation in higher education, except anecdotal information, there is not much evidence on the institutional and system level approaches in Europe. The EU-funded **NEWLEAD project** (2020-2023) contributes to a meaningful conversation on the importance of capacity-building for higher education leaders as a key enabler to support the post-pandemic institutional adaptation and transformation.

The first major initiative under NEWLEAD was the release of two surveys (one for institutions and one for sector representatives) from March to June 2021 to gather feedback on institutional transformation and leadership development in higher education systems in Europe. For this purpose, "leadership development" was defined as any structured capacity-building activity, programme or training focused on improving leadership skills of current and future higher education leaders. To capture potentially different perspectives on the same topic, both questionnaires shared several common questions, whereas other questions were specific to each survey (to consult the surveys, see Annex 2 and 3).

The first survey (referred to as the institutional survey) mapped institutional approaches to leadership development and transformation in higher education in Europe. The survey was addressed to the leadership of European higher education institutions, i.e., to senior university representatives (rectors/presidents and vice-rectors), including senior managers (e.g., heads of administration/directors of central services) and academic leaders at faculty level (deans). This report uses several terms interchangeably, namely "senior university executives", "top leadership" and "institutional leadership".

To capture the system-level perspective and complement the picture from individual higher education institutions, a second survey was conducted in parallel. It was primarily addressed to EUA member national university associations as sector representatives, but other system-level structures with a role in higher education were welcome to respond. Hence, this second survey made it possible to map national/system-level approaches on leadership development and institutional transformation in Europe.

INSTITUTIONAL SURVEY

The institutional survey yielded 236 valid responses from higher education leaders in 27 European Higher Education Area (EHEA) countries. Multiple answers per institution were allowed.

Rectors and vice-rectors accounted for one third of the respondents. More generally, over 75% of the respondents had higher education leadership roles (e.g., rector, vice-rector, dean, vice-dean, head of department, director (HR, communications, finance director, etc.).

Considering the high share of answers from Poland, survey results were analysed with and without the Polish answers to check if the dataset might be skewed. This comparative analysis revealed that only in two instances (both presented below) was the dataset significantly influenced by the answers from Poland. In all other remaining instances, this did not lead to statistically important differences. Therefore, except for these two cases, the institutional data is referred to in its entirety (i.e., all valid answers included). Another point of caution is that answers from Spain, Ireland and Czech Republic add up to almost 30 per cent of the entire sample. However, considered individually, these countries do not appear to be outliers in any of the questions raised in the survey.

Table 1 *Higher education systems covered by the institutional survey*

Country	Number of responses	Country	Number of responses
Poland	108	Lithuania	2
Spain	37	Romania	2
Ireland	18	Ukraine	2
Czech Republic	13	Albania	1
Hungary	10	Andorra	1
Belgium-Flemish Community	7	Armenia	1
Slovak Republic	5	Austria	1
Switzerland	5	Azerbaijan	1
United Kingdom	5	Cyprus	1
Germany	3	Latvia	1
Sweden	3	North Macedonia	1
Finland	2	Norway	1
France	2	Turkey	1
Iceland	2		

SYSTEM-LEVEL SURVEY

National university associations from 21 higher education systems answered the system-level survey; only one response per association was allowed.

The following national university associations contributed to the survey: Belgium-Flanders, Croatia, Czech Republic, Denmark, Estonia, Finland, France, Germany, Hungary, Iceland, Ireland, Italy, Lithuania, the Netherlands, Norway, Poland, Portugal, Romania, Slovakia, Spain, and Sweden.

Figure 1 *Higher education systems covered by the study*

Legend:
- System and institutional data (dark blue)
- System-level data (light blue)
- Institutional data (green)

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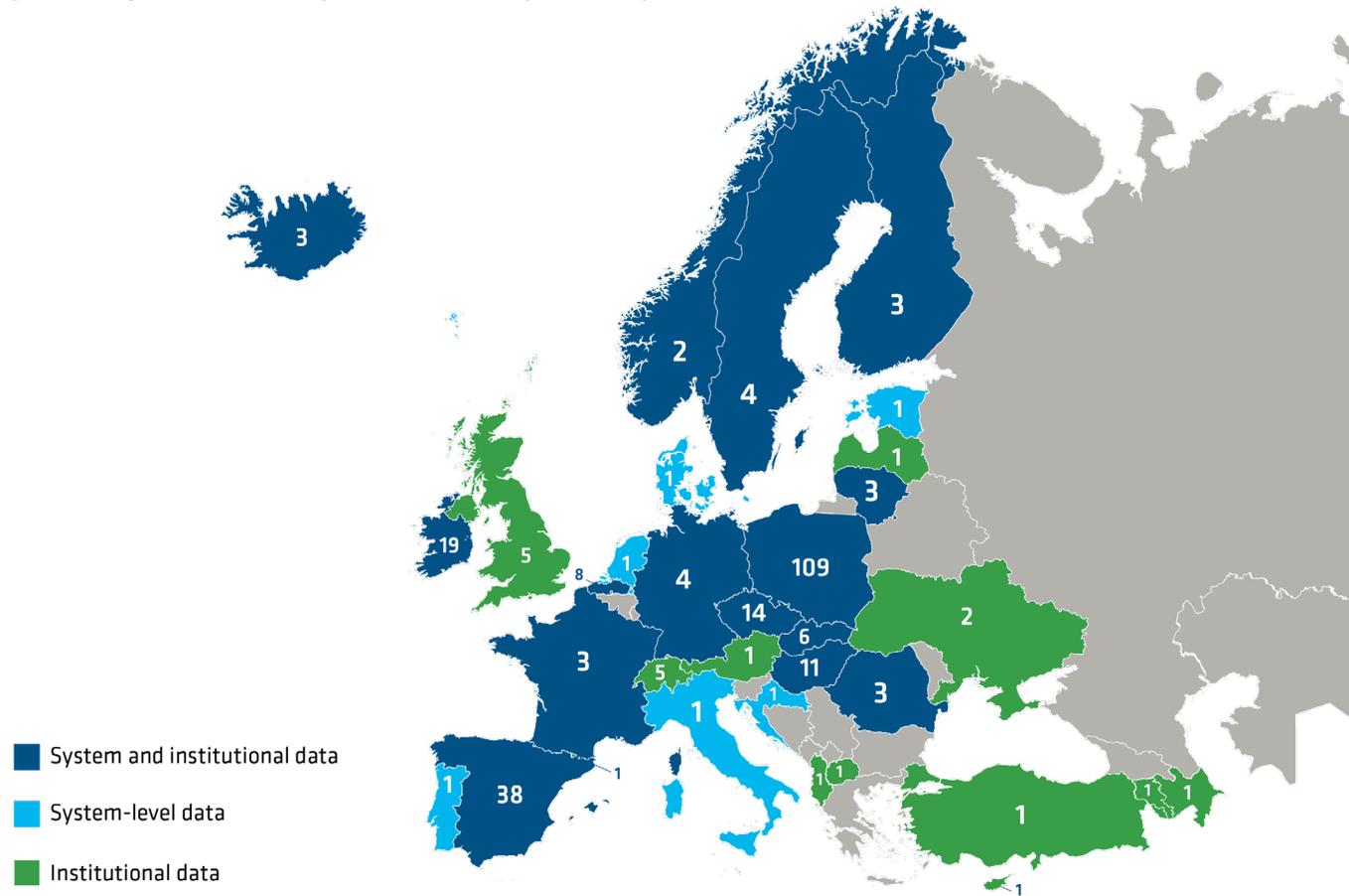
Institutional transformation

DRIVERS AND PRIORITY AREAS

Three-quarters of the institutional respondents confirmed that institutional transformation is a high priority for the leadership team at their institution (Q2, institutional survey).

Change in national legislation and the adoption of a new strategy in higher education can be important drivers in those systems where such changes are underway. Poland is one such example, where a new Law on Higher Education and Science was adopted in 2018 (with full implementation scheduled for 2022).

When excluding Polish responses, change in national legislation and the adoption of a new or revised national strategy remain important drivers in terms of institutional transformation, but **European/international trends** take precedence.

Graph 1 *Main drivers for institutional transformation in Poland*

Driver	%
Change in national legislation	69%
The adoption of a new or revised national strategy in higher education	65%
European/International trends	49%
Financial pressures	48%
Peer learning/multilateral cooperation	38%
Other (please specify)	7%
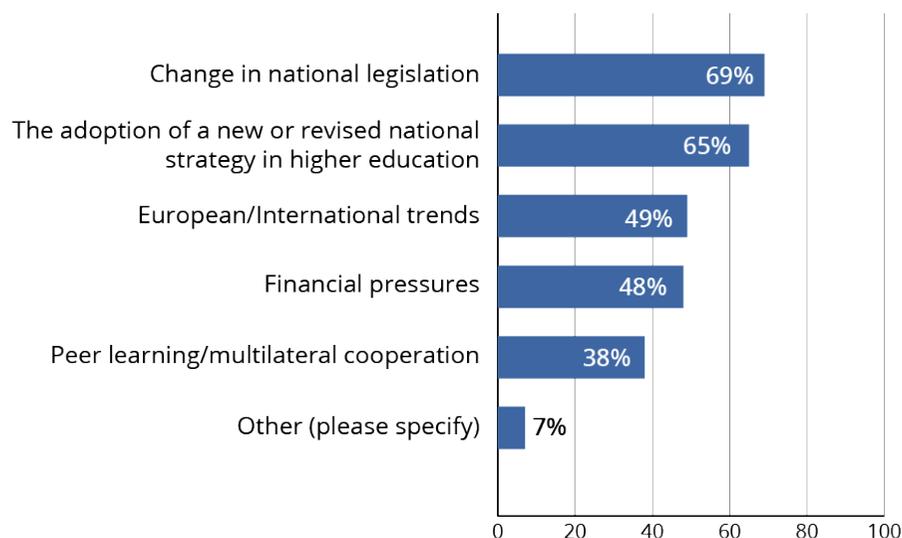
(N=108, Q1, institutional survey)

BOX 1: IMPACT OF CHANGE IN NATIONAL LEGISLATION, POLAND

In Poland, the **Act on Higher Education and Science** was adopted in July 2018. Prepared in consultation with all key stakeholders, this new law has had a major impact in terms of reforms, leading to changes in university governance, university funding, doctoral training and research assessment, to name but a few.

All Polish higher education institutions had to adopt new statutes and adapt their governance models to the new legislative requirements. The rectors' elections in 2020 were already organised according to the new act, which foresees, among others, age restrictions for the rectors (who may not be older than 67 when taking up office); this resulted in a significant drop in the average age of newly elected rectors.

The most important changes brought about by the new legislative act, and which impacted institutional transformation at Polish higher education institutions are:

▶ **Reframing the university governance:** Both the institutional autonomy and the universities' accountability were increased, together with a greater significance attached to the universities' own provisions and statutes. A new governing body was introduced – the council of the higher education institution, with at least half of its members, including the chairperson, external to the institution.

The rector is also entitled with more powers and responsibilities, for instance with additional freedom in appointing or dismissing their own team of deputies and deans, as well as persons holding managerial positions. According to the new law, deans and faculty councils are no longer mentioned as university governing bodies. It is now up to the rector to provide regulations, which specify the organisational structure of the higher education institution and the distribution of tasks within this structure. Doctoral schools have been introduced as a new model for doctoral training, with the university now able to decide on the particular structure and organisational mode of the doctoral school.

▶ **Eliminating the articles about the university structure from the legal act:** Universities are free to set up their internal organisational structures. The legal concept of the organisational unit (department, faculty) does not exist anymore, which allows for more diverse structures, better adapted to a particular university mission and its role in the ecosystem.

▶ **More diversity of the institutional profiles:** Possibilities and incentives for mergers, excellence initiatives (research excellence, teaching excellence and regional excellence), which allow for a diversified higher education system.

▶ **Changes in the system of university funding:** Merging of two main streams of funding – for education and research — into one block grant, with more freedom in the internal allocation of funds.

Financial pressures were mentioned by about half of all institutional respondents (48% of Polish respondents and 54% of all other respondents) as an important driver. Peer learning/multilateral cooperation were cited as reasons to engage in transformation at the universities by about a third of the respondents, alongside **digital transformation**, especially in the context of the Covid-19 pandemic – this last driver being mentioned explicitly by the respondents.

Looking at system level, 81% (17) of the national university associations considered financial pressures as the main driver for institutional transformation, followed by change in national legislation (16 respondents) and European/international trends (13 respondents). Hence, sector representatives seemed to be more sensitive to the role of financial pressures when considering the need for institutional transformation.
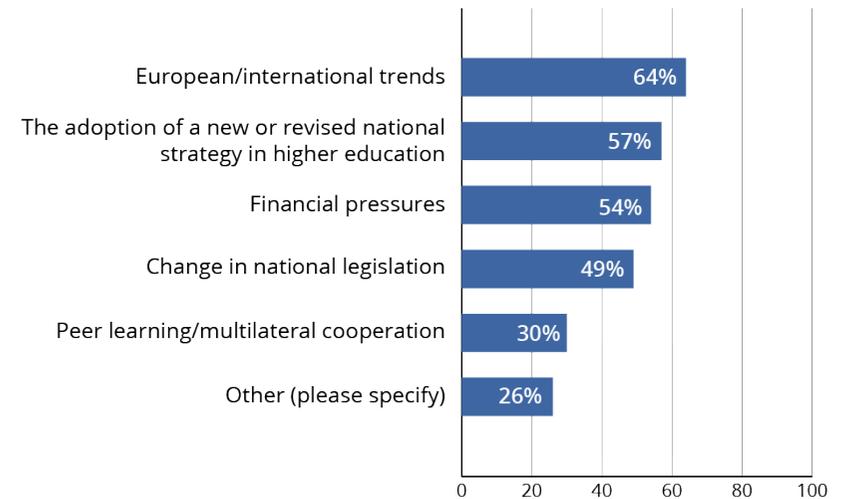
PRIORITIES FOR INSTITUTIONAL TRANSFORMATION

Main priority areas for institutional transformation mentioned by the institutional respondents were (Q3, institutional survey):

1. improving efficiency, effectiveness and value for money (73%)

2. further developing the societal mission of the institution (service to society) (68%)

3. enhancing equity, diversity and social inclusion (50%)

Other priority areas for institutional transformation highlighted by respondents included quality education, developing research capacities, internationalisation, the Sustainable Development Goals (SDGs) and digitalisation.

As main priority areas for transformation, efficiency, effectiveness and value for money (EEV) point to the link to financial pressures as one of the main drivers for institutional transformation, as was also shown by

Graph 2 *Main drivers for institutional transformation outside Poland*

Driver	Percentage
European/international trends	64%
The adoption of a new or revised national strategy in higher education	57%
Financial pressures	54%
Change in national legislation	49%
Peer learning/multilateral cooperation	30%
Other (please specify)	26%

(N=128, Q1, institutional survey, dataset without Poland)

Graph 3 *Main drivers for institutional transformation as seen by national university associations*

Driver	Count
Financial pressures	17
Change in national legislation	16
European/international trends	13
The adoption of a new or revised national strategy in higher education	12
Peer learning/multilateral cooperation	6
Other (please specify)	2
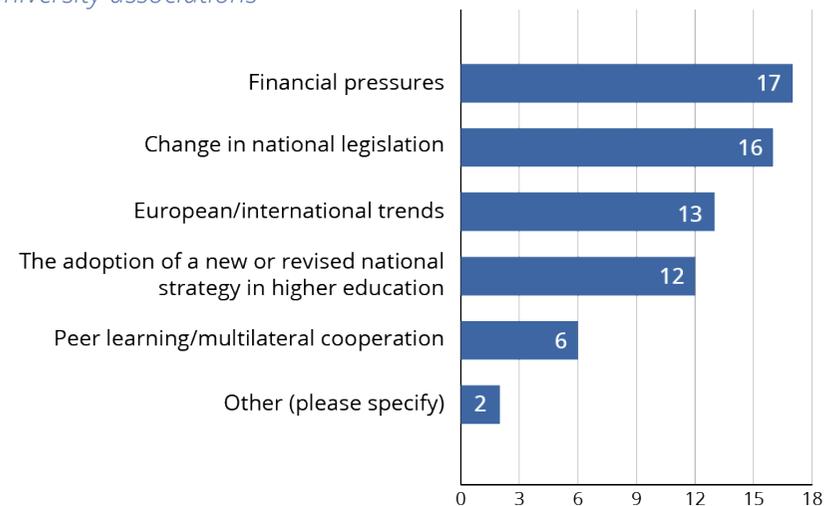
(N=21, Q1, system survey)

the USTREAM report on the topic.[1] EEV impacts and addresses many of the topics mentioned above, such as quality education, developing research capacities and digitalisation. The University Efficiency Hub developed under the EU-funded USTREAM project presents measures that universities across Europe pursue to enhance efficiency, while analysing system-level enablers and identifying good practices.[2] One of the key messages of the USTREAM report was that the institutional efficiency agenda depends on the ability of the university leaders to approach this topic both strategically and operationally, by securing internal support and by mobilising sufficient resources to invest in modern infrastructure and skilled staff. Successful implementation of efficiency measures also depends on the commitment of the institutional leadership.

With few exceptions, almost all institutional respondents confirmed that the main priority areas for transformation mentioned above feature in their institutions' strategy, action plan or in other similar strategic documents. The university strategy is implemented through yearly operational plans, hence the implementation of institutional transformation tends to depend on these annual operational plans.

IMPLEMENTATION AND SUPPORT FOR INSTITUTIONAL TRANSFORMATION

Stakeholders in charge of institutional transformation

The challenges associated with institutional transformation often depend on multiple factors, such as institutional culture, procedures, executive leadership, etc. The executive leadership and the senior management team are responsible for implementing institutional transformation through a top-down approach (Q5, institutional survey).

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1 **https://eua.eu/downloads/publications/efficiency%20effectiveness%20 and%20value%20for%20money.pdf**
2 **http://efficiency.eua.eu/**

BOX 2: EXAMPLES OF STRATEGIC THEMES AND POLICY CHOICES AT UNIVERSITIES

University of St Andrews, UK: Adopted in 2018, the strategic themes in the university strategy are: Global St Andrews, Diverse St Andrews, Entrepreneurial St Andrews and International St Andrews. The theme of Social Responsibility runs through the whole strategy, while the university is currently developing an Environmental Sustainability strategy to complement this. Digital St Andrews is likely to feature in the next iteration of the strategy, currently under development.

Ghent University, Belgium: The university identified six key strategic policy choices: talent management (career development and work conditions for the different staff categories, recruitment and evaluation, leadership development); diversity; social identity; blended education; sustainability; alumni policy. These are implemented across faculties with support from the central services and with a periodic follow-up by the Board of Governors. Furthermore, the university has integrated strategic policy/action plans such as: the HR Strategy for Researchers (HRS4R), wellbeing action plans (including institutional surveys), an institutional action plan to implement DORA (research assessment), a policy plan for internationalisation, a strategic plan for support to young researchers, and an action plan for leadership development (which is not limited to senior profiles only).

Senior executive leaders together with the institutional governing bodies set the strategic direction and identify the priority areas where institutional transformation is required. As a result, an institutional strategic plan is drawn up and it is operationalised through strategy goals. Where institutional governance is decentralised, deans may be strongly involved in the change management process.

Often, **institutional transformation bears a thematic approach**, e.g., strategic change in learning and teaching, research, third mission of the university, etc.; therefore, institutional transformation tends to be steered by the senior executive(s) in charge of a specific thematic portfolio (e.g., the Vice-Rector for Research will oversee institutional transformation in the field of research). When the transformation process goes beyond a certain topic and is more transversal, it is the office of the Vice-Rector for Strategic Development (where this exists) that takes over the process.

Key areas for institutional transformation

While strategic development is overseen by the top leadership, implementation takes place throughout the institution. Few respondents mentioned that institutional transformation is implemented through the creation of new structures, such as special teams or units, or via behavioural change of the academic staff. One national university association regretted the strong emphasis on formal structures when discussing institutional change, rather than working on culture and skills.

Nowadays, transformation tends to cover all areas and missions of the institution. Very often, transformation is connected with **structural re-organisation** of faculties and departments (usually triggered by the adoption of a new institutional strategy or by changes in the national higher education legislation), but also to **the set-up of various new units** such as Learning & Teaching Centres or Student Support Offices. Also frequently quoted was the case of **digital transformation**, comprising both the digitalisation of the administrative services at universities and the switch to online learning and teaching.

Several institutional respondents mentioned as institutional change the fact that their university entered a European Alliance, or more generally, the enhancement of their internationalisation strategy and initiatives undertaken in this sense.

Other illustrations of institutional transformation included:

▸ Enhancement of the research culture and productivity at universities
▸ Change in the model of internal allocation of funds
▸ Implementation of professional staff development schemes (especially on digitalisation and inclusivity), including the set-up of leadership development programmes
▸ Introduction of new study programmes

- ▶ Introduction of interdisciplinary cooperation
- ▶ Change in staffing policy (for instance through active recruitment policies that pay close attention to staff diversity and gender equality)
- ▶ Development and marketing of micro-credentials
- ▶ Enhancement of internal quality assurance processes in both learning & teaching and research

Irrespective of the area and type of institutional transformation that is taking place, respondents emphasised the importance of the participatory nature of the process, which, for its success and sustainability would need the approval and commitment of all university stakeholders, including student representatives.

Support for institutional transformation

Nine (43%) national university associations considered that in their respective systems, **institutional transformation is mostly supported by universities themselves**, which set internal funding apart for this objective. A third (seven) of the national university associations mentioned earmarked national funding reserved for institutional development and transformation, and six (Croatia, Hungary, Finland, France, Norway and some universities in Poland) pointed to the fact that public authorities set targets as part of the funding model.

EU-level initiatives were not seen as a significant means to support institutional transformation. While there are aspects of capacity building in European funding instruments this does not seem to be considered as a well-established funding source for leadership development. The fact that there is no European programme specifically dedicated to institutional transformation in higher education (or leadership development) contributes to the lack of visibility of European funding in this matter, which remains scattered, at best. EU-level initiatives in this sense come mostly through the Erasmus+ programme and through EU structural funds that are attracted by the national governments of EU member states. Estonia, for instance has been extensively using European Union Structural Funds to finance its education sector.[3] In the past years, Estonia set up an institutional development programme in higher education funded through EU Structural Funds. The PRIMUS programme (2008-2015), financed by the European Social Fund aimed, for instance to enhance the quality of education provided by higher education institutions in Estonia.

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3 Eurydice, *Estonia, Funding in Education*, **https://eacea.ec.europa.eu/national-policies/eurydice/eesti/3-funding-education_en**

The programme focuses on, among other things, the development of teaching competences of academic staff, through the creation of two centres for learning and teaching (also known as centres for professional development) at the University of Tartu and at the University of Tallinn.[4]

Graph 4 *Support for institutional transformation*

(N=21, Q16, system survey)
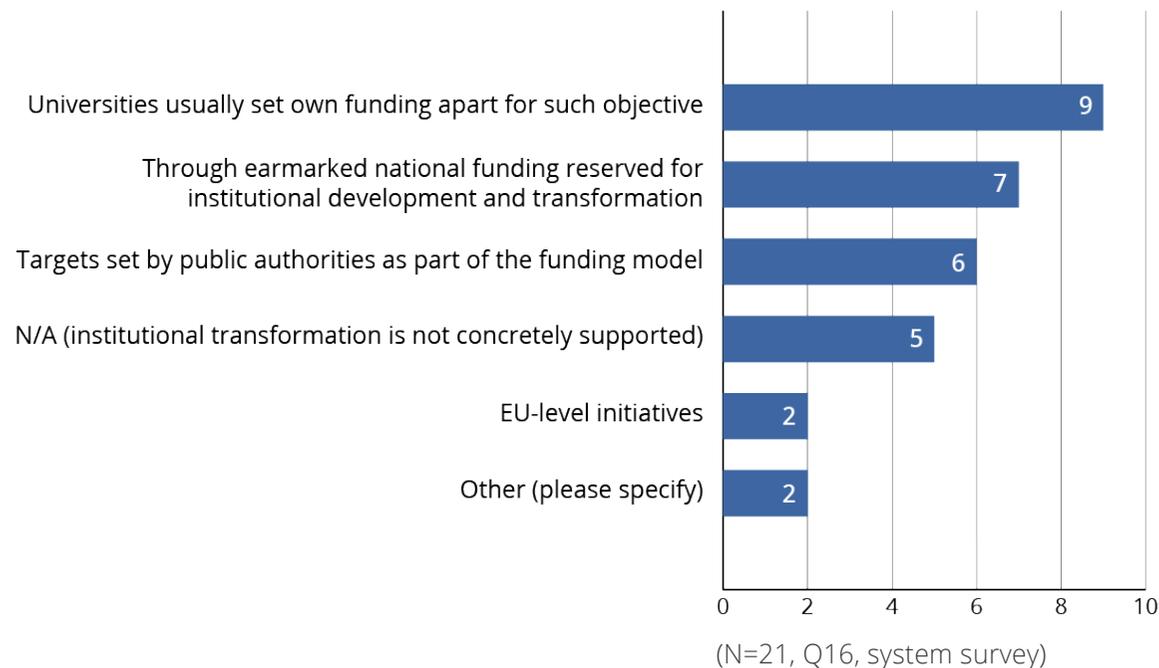
4 Bunescu, L., Gaebel, M. (2018), *National Initiatives in Learning and Teaching in Europe. A report from the European Forum for Enhanced Collaboration in Teaching (EFFECT) project*, European University Association, p.12, **https://eua.eu/downloads/publications/national%20 initiatives%20in%20learning%20and%20teaching%20in%20europe.pdf**
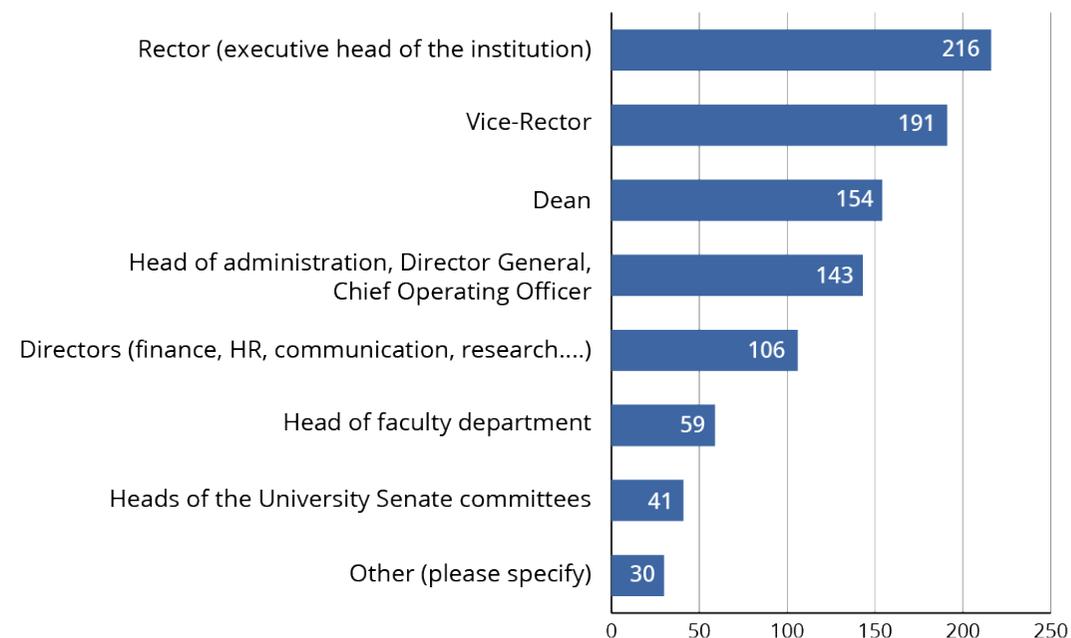
Institutional leadership

This chapter explores which "leadership profiles" are considered to be part of the leadership team at higher education institutions and if such profiles changed in the past decade. Previous studies show that such perceptions are very diverse across Europe, being also influenced by the type of governance structures found in the different systems.[5]

In addition to rectors and vice-rectors, 70% (154) of the institutional respondents also consider deans as part of the formal leadership teams.

Heads of administration, director generals and chief operating officers are considered part of the leadership team by two thirds of all institutional respondents (65%, i.e., 143). Interestingly, this latter percentage goes up to 77% if the institutional answers from Poland are discarded, pointing to lower recognition of these roles in Polish universities. In fact, over a third of all respondents from Eastern Europe did not include such administrative and managerial profiles in the top management at their universities. At the other end of the spectrum, the Scandinavian and Nordic countries together with Ireland and UK universally considered senior managerial and administrative positions as part of the formal leadership. With some exceptions (about 13% of the sample), respondents from Southern Europe included these profiles in the senior leadership team.

Graph 5 Profiles part of the formal leadership team at universities

(N=219, Q8, institutional survey)

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5   Bennetot Pruvot, E., Estermann, T. (2017), *University Autonomy in Europe III. The Scorecard 2017*, European University Association, p. 18,
    https://eua.eu/downloads/publications/university%20autonomy%20in%20europe%20iii%20the%20scorecard%202017.pdf

In addition to the formal leadership team, respondents also included in the broader "leadership" concept roles such as **leaders in research**. Several other profiles came across as leaders, even if at an informal level: student representatives, trade union representatives, respected and experienced teaching staff.

Several institutional respondents explained that at their university, leadership is not (any longer) perceived in solely hierarchical terms, and that all members of the academic community are encouraged to demonstrate leadership through their work and in their own environments.

Formal and informal requirements for top leadership

National legislation may stipulate minimum requirements that the executive leader (i.e., rector) should fulfil. On top of those, individual universities may define additional requirements in their statutes, with the institutional respondents pointing to professorship as the most often cited formal requirement for becoming a rector. These findings complement the ones put forward by EUA's most recent iteration of the Autonomy Scorecard: out of the 29 higher education systems covered by the scorecard, 19 have qualification requirements stated in the law for the executive head, with the most common legal requirement being the need for the rector to hold an academic position. Further specifications laid out by the scorecard include proven managerial competencies, international experience, or age limits.[6] Age as legal requirement also featured in the survey answers from Poland, where according to the latest legal developments in higher education, the executive head of a university (i.e., rector) and the members of the university council must be under 67 years old at the start of their term in office.

For a majority of respondents (both institutional and from the national university associations), the typical profile of a rector/president points to a recognised academic, with strong research background. He/she would also have significant international experience, acquired through studies, work abroad or cooperation on international projects. A big majority of the respondents pointed to previous leadership experience as one essential prerequisite, describing a progressive evolution: lecturer, head of department, dean, vice-rector, rector. Where this is an elected position, the rector needs to have support from within the academic community. Respondents also mentioned that the executive leader would have experience in successfully attracting large amounts of competitive funding.

Very few respondents mentioned as a requirement that the rector/president would have previously undergone leadership training.

> **Testimonial 1: Demonstrating leadership**
>
> "We are all being empowered to demonstrate leadership, which is a behaviour rather than a position or status. We have a leadership team by virtue of having an Executive Board to sign off on strategic decisions, but leadership is something we are all being encouraged to show and lead by, within our own business units."
>
> Director of International Recruitment, Partnerships and Mobility, United Kingdom

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6 *Idem*, p.15

Transversal skills of the executive head

Personal skills viewed as essential for a successful executive head included being a good communicator, team leader, visionary, empathetic, assertive, strong networker, conflict solver, having the ability to work under immense pressure, and being an inspiring figure.
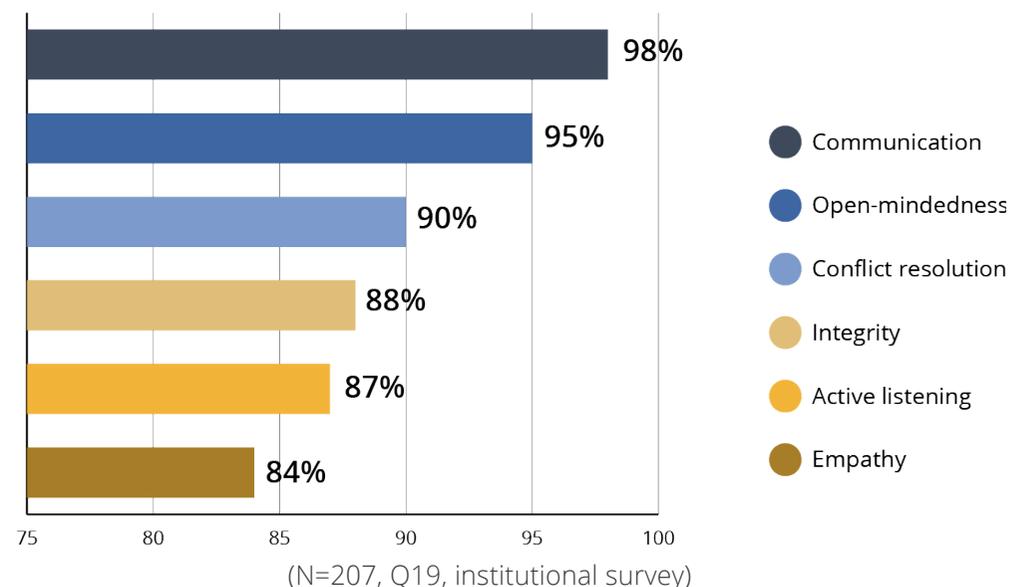
In fact, 98% of the institutional respondents found it extremely or very important that a higher education leader is also a good communicator and 95% pointed to open-mindedness as an extremely important or very important skill for a successful higher education leader. As many as 94% considered resilience an extremely/very important leadership quality.

The NEWLEAD surveys and discussions highlighted in particular resilience as one of the skills mostly needed by top leaders in higher education. Building resilience, understood as the capacity to cope with and persevere during challenging and stressful times, such as the Covid-19 pandemic, has proved central for leaders and their institutions in managing the pressure, the transition to a fully online education and the overall uncertainty.

Graph 6 *People management skills*

(N=207, Q19, institutional survey)

The UNESCO International Institute for Educational Planning (IIEP-UNESCO) hosted in 2020 **a strategic debate** around resilience in higher education. On the occasion, almost three-quarters of the audience considered that the most important factors that can enhance the resilience of higher education institutions are leadership and communication. Hence, resilient leadership translates into a resilient university.

In terms of **technical skills** important for successful higher education leaders, most of the survey respondents (86%) pointed to project management skills as being extremely and very important, while 71% mentioned financial skills and 63% knowledge management skills (e.g., intellectual property management). These findings do not significantly vary according to the profile of the respondents: 94% of responding rectors and vice-rectors considered project management skills as being extremely and very important, compared to 67% who considered financial skills and 56% knowledge management skills as crucial.

When it comes to **strategic skills**, all respondents (99%) chose decision-making as an extremely and very important skill for a successful higher education leader, while 97% also picked the ability to propose a vision for the institution and implement it, 96% the ability to steer change and 92% the ability to cope with crisis management. There are no differences in the ways respondents answered to this question based on their profile.

More recently, the uptake of various transnational collaboration and governance initiatives may require joint leadership development to tackle the ambitious institutional transformation agendas that such projects are undertaking. Collaboration, communication and coordination between the different senior higher education executives have become key skills in successfully steering international projects of common interest.

Development and change of institutional leader profiles

Eleven out of 21 national university associations stated that in their systems the profile of institutional leaders has evolved in the past decade, for instance in terms of gender and ethnic diversity (Ireland, the Netherlands, Poland), more diverse professional backgrounds, including from business and industry (Norway), a more technical profile (France) and of younger age (Poland).

The most striking change has been however the reinforced attention paid to gender when selecting the executive head. This is the case in Ireland, for instance, where since the Higher Education Authority's (HEA) review of gender equality in 2016, "demonstrable experience in leadership in advancing gender equality" is a requirement for appointments as president of an Irish university. In Poland, the Polish Rectors' Conference (CRASP) said that there has been an increase of female participation in executive leadership roles in higher education but that female rectors can be found mostly at universities of fine arts and pedagogies; bigger universities, including universities of technology are less likely to elect female rectors. In the Czech Republic, the sector representative pointed out that in private higher education institutions, there is higher diversity in the profiles of executive leaders, who may be more frequently recruited from outside the academia, for instance.

Graph 7 Change in the profile of institutional leaders

10

11

● Yes   ● No
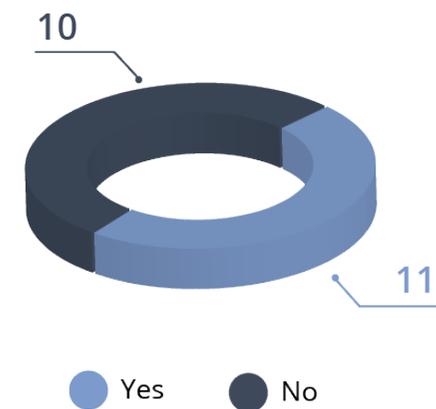
(N=21, Q11, system survey)

Academic and professional leadership

The survey also tried to explore the balance and synergies between academic and professional leadership roles, a subject often debated. In the USTREAM project[7] this topic came up frequently in the various focus groups as both academic and professional leaders had participated. In particular, the focus group on leadership and efficiency highlighted the importance of a balanced and effective collaboration between these two roles.

The results of the survey reveal a wide variety of opinions on this matter and further interesting findings on the development and professionalisation of leadership roles.

It confirms for example the impression that **senior management profiles are on the rise**, which can be linked among others to the drive to make universities more efficient and effective, especially when faced with financial scarcity.

Senior management roles, such as head of administration, director general, chief operating officer, chief financial officer and other decentralised management roles such as head of faculty were seen in some cases to ensure delivery and execution as well as compliance with external frameworks and financial management, whereas academic leaders would set strategic direction.

The non-academic professionals in leadership roles were also considered in some cases to ensure long-term continuity in the institution, given that the rector and deans are appointed or elected for a time-bound mandate. According to EUA's latest iteration of the Autonomy Scorecard (2017), in Europe the rector's term of office typically ranges from four to six years and it is often renewable once.[8]

However, continuity of professional leadership may no longer be the case for all positions, such as heads of administration, as their profiles have changed in some systems.

The question of synergies and balance between the two roles was perceived differently, with no clear pattern emerging regarding a particular system or position of the respondent. Often personal experience and background is likely to have an influence on this question. This is evident from responses from different positions within an institution, which on the one hand give different answers about the balance of the two roles and on the other hand were coherent in some cases.

> **Testimonial 2: Roles of academic and non-academic leaders and staff**
>
> "I would say much of the strategic direction of the University is led and informed by academic staff and leaders while much of the delivery/execution of strategy is mainly driven by professional (non-academic) leaders and staff. There are circumstances where there is overlap, where the value of working groups mixing both academic and professional staff brings a synergistic element."
>
> Chief Operating Officer, Ireland

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7 https://eua.eu/101-projects/607-ustream.html
8 Bennetot Pruvot, E., Estermann, T. (2017), *University Autonomy in Europe III. The Scorecard 2017*, European University Association, p. 16, https://eua.eu/downloads/publications/university%20autonomy%20in%20europe%20iii%20the%20scorecard%202017.pdf

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> **Testimonial 3: Cooperation between academic and non-academic leadership at universities**
>
> "Both are working well together. The further development of the organization of the university needs good communication between both parts and the interest to listen and to learn from each other. As you need both hands to pick a large amount easily, you need efficiency and effectiveness on the one hand and agility and research for new things on the other."
>
> Kanzler (Head of Administration), Germany

For instance, in Ireland, the extent of the tension between academic and non-academic leadership roles has not been uniform across all universities, as the Irish higher education institutions are culturally different. Those institutions with a deeply rooted academic tradition found it rather challenging to integrate the professional leadership roles.

In Spain, professional leadership roles are starting to be introduced in higher management as part of the transformation of the universities' mission, which now includes responding to additional challenges that are no longer purely academic. Professional leadership is a new element for some Spanish universities, while bigger and more established ones might already have some experience in this regard. Hence, within the same system, there are different timeframes in the incorporation of non-academic leadership profiles in the executive management structures.

Of those respondents who evaluated the cooperation between academic and non-academic leadership profiles, most mentioned synergies, complementarities and good cooperation. Clear responsibilities and understanding of the different roles seemed to be important features for this.

Professional managers were considered to bring specialised knowledge that is necessary and, in some cases, experience from other sectors. A balanced team formation enables different perspectives and experiences to be efficiently brought into the strategic development and implementation of the university's goals.

The balance between the two roles was also linked to the question of the management and leadership experience of both of them.

It was indicated by some that management experience of academic roles is gained through several positions at the university. This is coherent with another finding from the surveys, namely that leaders are expected to develop on the way to the position, and that leadership development occurs through the acquisition of experience through different roles in the institution.

In some institutions, however, the lack of a broader management experience was considered a disadvantage.

Other respondents identified tensions between these two profiles, "*as the pull between academic rigour and economic demands can create divergence in the approaches taken*". A follow-up semi-structured interview pointed to the fact that it is not surprising that these types of tensions emerge from the survey data. Over the past decade, as universities have sought to professionalise their structures, there has been a process of change. In this context, the issue of academic primacy in the running of a university, versus the authority and responsibility of professional staff has become a contested space.

Several considered that the balance is too tilted towards non-academic leadership, which entails the risk of a disconnect between senior university management's decisions and the grass-root reality in departments and faculties. This was contrasted by views that there was a good balance and clear responsibilities for the diverse roles.

Some respondents pointed to a change in recent years, both in terms of dynamics as well as in focus the institution has placed on the development of improving a more seamless cooperation. Others pointed to the importance of basing both academic and non-academic leadership positions on good management as well as respect and authority. One of the reasons for concern about the enhanced role of managerial leadership at universities was felt to be that people outside the university sector would not understand the specifics of the academic environment.

There was a universal agreement that sustainable synergies need to be established between the academic and non-academic professionals, for instance by ensuring that the mission and vision of their respective higher education institutions is shared by both profiles.

> **Testimonial 4: Benefits of diverse leadership profiles at universities**
>
> "The different professional backgrounds and skillsets [...] form an effective team, where a range of viewpoints can be considered, preventing groupthink and drawing on a wide range of experience and expertise. At strategy level this ensures clear high-level oversight of university operations and thorough consideration of different scenarios in planning for the future."
>
> Vice-Principal Governance, United Kingdom

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Testimonial 5: Keeping the university's core mission in the foreground

"Teaching and research are our core business. Holders of non-academic leadership roles are also guided by this and contribute to the fulfilment of tasks by providing the necessary framework conditions. The fact that many leaders have both an academic background and management responsibilities ensures that the core mission remains in the foreground."

General Secretary, Switzerland

Collaborative projects, regular joint meetings, good communication and common leadership development schemes were also mentioned as modalities for increasing the synergies between academic and professional teams at universities.

Blended professionals at higher education institutions were mentioned by one respondent as another factor seen as fostering a common understanding and in building bridges and synergies between the academic and managerial leadership profiles. Blended professionals are understood to be individuals drawn from both professional and academic domains, likely to have been appointed on the basis of their academic credentials, credibility in academic debate/space and expertise from the professional sphere of activity.[9] Such "hybrid" professionals are technically part of the university administration, but perform management and leadership roles that go beyond bureaucratic tasks. They have the ability to carry out mixed portfolios and build common ground between colleagues from different backgrounds. Yet, the profile of blended professionals is not common in Europe (compared to the USA or Australia), hence the findings on this specific topic remain limited.

Testimonial 6: Synergies between academic and professional leaders

"The synergies have to be strong, and we have worked hard to move away from silo operating to team-based, collaborative approaches. The pandemic has really helped in terms of setting up cross-leadership projects, and we have worked hard to develop our pipeline of leadership across all areas, inducted them into the practice of team working - drawing on the expertise wherever it may reside."

Vice-Principal, United Kingdom

9 Whitchurch, C. (2009). "The Rise of the Blended Professional in Higher Education: A Comparison between the UK, Australia and the United States", *Higher Education 58(3): 407-418*.

Leadership development

STATE-OF-THE-ART

There seems to be **no commonly shared definition of leadership development schemes** (understood in a broader sense, with leadership development programmes being one type of such schemes). Examples of leadership development schemes reported by the respondents range from induction workshops for newly recruited academic staff to mentoring schemes for doctoral candidates, courses in project management, MBAs, job shadowing, general leadership development programmes to more established programmes in higher education. The surveys also revealed that **offering leadership development opportunities is closely linked to a wider culture of continuous professional development** and to existing national legislative frameworks on work environment.

About 60% of the institutional respondents said that leadership development is a high priority topic at their institution (Q7, institutional survey), and close to 70% consider leadership development as an essential tool for driving major organisational change (Q12, institutional survey).

At the system level, leadership and leadership development are part of the higher education agenda at varying degrees. The topics may be:

▶ taken up by both HEIs and the sector (such as in Ireland, Netherlands, Norway, Sweden)

▶ discussed and acted upon by HEIs primarily (such as in Belgium/Flanders, Finland, France, Germany)

▶ deemed necessary due to external pressures on HEIs, including legislative changes (such as in Poland, Slovakia, Spain)

▶ considered as insufficiently discussed and/or of low importance (such as in Iceland, Italy, Lithuania and Romania)

The reasons for setting up leadership development schemes are varied. Overall, such professional development is thought to increase the diversity, versatility and level of preparedness of executive leaders at universities. Sometimes academics coming to managerial positions need to acquire the financial, legal and entrepreneurial competences while on the job. Leadership development schemes are also an opportunity for higher education leaders to learn how to better tackle crisis management situations, like the Covid-19 pandemic. Training programmes on leadership skills are also offered to emerging leaders in higher education, including doctoral candidates in order to prepare them for the challenging roles that they might take up in the higher education sector.

Despite all the reasons for having leadership development schemes, 17% of the institutional respondents stated that leadership development is not supported in any way at their institution. In some of these cases, leaders are expected to develop on the way to the position or develop through interactions in research groups and through participation in organisational units. Another reason why leadership development may not be supported is that members of the university community do not believe that leadership development programmes can teach them new and relevant competences. However, such perceptions have started to change, with higher education institutions from different systems across Europe becoming more interested in running leadership development programmes for their staff.

A considerable number of institutional respondents also confirmed that so far, there have been no structured, well-established leadership development programmes at their institutions, but rather occasional professional development events, sometimes on demand. In fact, in many cases (47%), leadership development is supported at the institutional level via access to national and/or international professional networks, via participation in thematic peer groups at national (41%) and international/European level (34%), which are not fully-fledged leadership development programmes, but rather soft mechanisms for enhancing leadership.

Graph 8 *Support for leadership development*

(N=229, Q13, institutional survey)

Testimonial 7: Leadership potential

"Until recently at our institution, academic leaders are usually „assumed" to have natural leadership qualities. Realising that this is not always the case, leadership potential is now assessed more consistently during academic job interviews and leadership development programmes have been put in place for academics and non-academics."

HR Director, Belgium (Flanders)

Top management programmes for senior leaders, leadership teams or open to all university members and staff are not the norm across Europe according to the institutional respondents, representing only under a third of the reported leadership development offer.

However, 14 of the 21 national university associations covered in the survey stated that there are specific higher education leadership development programmes made available for current leaders in their systems. Comparing this finding with the overview given by the individual institutions, a limited awareness of such schemes can be noticed in certain systems. This might have to do with the fact that certain leadership development schemes were discontinued, but also due to potentially different interpretations of what a leadership development scheme really entails. What is certain is that out of the 21 responding national university associations, 18 (86%) see untapped potential for a leadership development programme in higher education in their respective systems. Even those that have leadership development programmes in place would recommend a more systemic approach, in order to reach a wider audience.

Graph 9 *Untapped potential for leadership development*

18

3

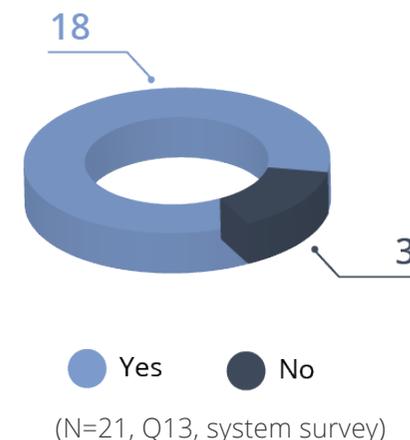● Yes   ● No

(N=21, Q13, system survey)

Leadership development opportunities do not differ only between systems, but also within the same system. Indeed, take-up may be diverse, as pointed out by the national university associations from Belgium/Flanders, Czech Republic, Germany and Lithuania. In Romania, for instance, the practice varies from one institution to another as many universities take advantage of the special funds for institutional development provided by the Ministry of Education to train their staff on various topics, including leadership development. In Poland, higher education institutions that obtained the "Excellence Initiative – Research University" status and those having the EU's HR Excellence in Research label focus more on leadership development than other universities.

More generally, there seems to be a **low awareness of resource materials and resource people on the topics of leadership development (and institutional transformation)**. Only 16% of the institutional respondents and under a quarter of the national university associations (29%) confirmed being aware of relevant national studies and/or comparative European studies on institutional transformation and leadership development. When asked if they know national experts in institutional transformation or leadership development, only about a quarter of the institutional respondents answered positively.

TARGET GROUPS OF LEADERSHIP DEVELOPMENT SCHEMES

The most often cited target group of leadership development schemes were current top academic and executive leadership at higher education institutions and those aspiring leaders preparing to fulfil senior positions in the future.

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Testimonial 8: Professorial staff as target group for leadership development

"Leadership is a multi-faceted, multi-layered and dynamic process among individuals and groups, not limited to the influence or authority of hierarchical (senior) academic or managerial positions. An effective organisation should enable all (academic and non-academic) personnel to cultivate leadership capabilities. However, at the moment our university regards professorial staff as a priority group that should be enabled to recognise their own leadership qualities (i.e., self-identification as a leader) and responsibilities (e.g., supervision of PhD candidates, supporting wider curriculum development, etc.). As such, the university has begun the process of (re-)evaluating its current models for professorial professionalisation and valuation to stimulate leadership development."

Head of Strategy Unit, Belgium (Flanders)

BOX 3: THE AURORA PROGRAMME, ADVANCE HE

Aurora is Advance HE's leadership development programme for women, being meant to address the under-representation of women in higher education leadership positions.

Since its launch in 2013, over 8000 women across the UK and Ireland have participated in Aurora. Participants should have the endorsement of their institution and be committed to developing and enhancing their career. Within Aurora, four key areas associated with leadership success are being explored, namely Identity, Impact & Voice; Core Leadership; Politics & Influence; and Adaptive Leadership Skills.

Some higher education institutions focus on academic staff having achieved the title of professor for proposing them leadership development opportunities.

Some of the schemes address both academic and managerial staff, while others focus on specific leadership profiles. Especially in the UK, where a higher degree of maturity in higher education management can be noticed, there are several professional associations such as the Association of University Administrators (AUA) or the British Universities Finance Directors Group which offer specialised continuous professional development schemes for higher education professionals, such as finance staff, registrars, professional service directors and secretaries.

Almost half of the national university associations (43%) confirmed that in their systems, higher education leadership development programmes also target younger and/or aspiring leaders. For instance, Sweden holds a programme for young/aspiring leaders among the HEI administrative staff, also based (among other elements) on mentoring. In Italy, the CRUI Foundation offers a seminar on Advanced Management for the Third Millennium University (mainly intended as a thematic peer group at national level), while in Finland, institute-specific programmes have been created for new, young, onboarding or potential leaders with a focus on: academic and service team leading; how to become a professional leader; implementing positive psychology; and good financial skills.

Although not common, there are a few leadership development programmes specifically targeting women who would like to develop and explore issues relating to leadership roles and responsibilities. One such initiative is the Aurora programme in the UK.

LEADERSHIP DEVELOPMENT TOPICS

While leadership development has taken up in importance in recent years, it is either not included, or included to a modest extent in the institutional strategies and policies of higher education institutions. This contrasts with the inclusion of institutional transformation as an important topic in the strategies, actions plans and other related strategic documents of the universities.

Regarding the topics most discussed in leadership development programmes, most of the institutional respondents pointed to **leading and managing staff and teams** (52%) and **strategic planning** (52%). Developing technical knowledge, such as in financial and project management came next.

Despite being highly valued as personal skills for successful executive leaders, developing soft/transversal skills (such as effective communication, emotional intelligence and resilience) did not feature among the top priority topics in leadership development programmes.

These findings align with the responses of the system-level survey.

Graph 10 Topics most discussed in leadership development programmes, institutional perspective

(N=207, Q15, institutional survey)

LEADERSHIP DEVELOPMENT PROGRAMMES IN HIGHER EDUCATION

There are diverse ways, settings, target groups and traditions in which leadership development programmes are organised across Europe. However, the red thread within this diversity is the intention to design and create learning spaces where approaches to strategic leadership in higher education are discussed, shared and rehearsed. Programmes may be delivered face-to-face, blended or in an entirely online format, ranging from several days up to one-year programmes.

Leadership development programmes may be offered:

- ▶ to eligible staff of a given higher education institution
- ▶ to eligible staff of a group of higher education institutions
- ▶ to eligible staff from any higher education institution in a specific system.

Graph 11 Topics most discussed in leadership development programmes, system perspective

(N=21, Q3, system survey)

BOX 4: EXAMPLE OF A LEADERSHIP DEVELOPMENT PROGRAMME OFFERED BY A UNIVERSITY (UZH)

The **"Certificate of Advanced Studies UZH in Leadership and Governance at Universities"** is an example of a leadership development programme offered by a higher education institution (UZH, Switzerland), but open to the entire higher education sector in Switzerland. The "Certificate of Advanced Studies UZH in Leadership and Governance at Universities" is addressed to people who perform leadership and/or management tasks at a university, in particular: department heads in the administration of universities; managing directors; heads of staff; research group leaders; professors.

The course covers all topics relevant to university management, such as governance, management, financial management, communication and leadership.

Upon successful completion, the participants receive a certificate of achievement worth 15 ECTS credits.

More information at: **https://www.caslg.uzh.ch/de.html**

In addition to their intended beneficiary, such schemes can also be categorised by their provider, which may be:

- ▶ a higher education institution
- ▶ an external provider (e.g., a company, a charity, etc.)
- ▶ a sector representative (e.g., through the national university associations)
- ▶ a university alliance, network or consortium.

An example of a leadership development initiative launched and implemented by the sector can be found in the Netherlands, where, as part of an effort to continuously professionalise university governance, the national university association (VSNU) launched in 2020 the "Governance of the University in the 21st Century" programme[10]. By focusing on the level of strategic leadership, this programme complements the internal offerings at many Dutch universities that focus more on the level of personal leadership and team management. In fact, across Europe, many national university associations offered or are currently offering leadership development opportunities, for instance in France, Germany, Norway, Sweden and Switzerland.

Leadership development programmes can also be the result of a partnership between a higher education institution and a third party (e.g., another higher education institution, a national university association, an international organisation with expertise in higher education, or an external consultant). In fact, **the majority of institutional respondents (53%) confirmed that they cooperate with external parties to enhance leadership development at their own institution** (Q17, institutional survey). Among the external parties mentioned were first the national university associations, but also peers from other universities (both domestic and abroad), and external consultants and companies. In Hungary, with the support of the Hungarian national university association, Corvinus University of Budapest developed a leadership development programme in higher education, and in Slovenia, the University of Ljubljana has been collaborating with Advance HE from the UK to develop staff leadership competences. This collaboration derived from the identification by the university of leadership development and capacity building as key strategic priorities for 2020, and subsequently the engagement of Advance HE to design and deliver a programme of continuous professional development aimed at supporting academic staff to develop key leadership skills. [11] More recently, the Irish

BOX 5: EXAMPLE OF LEADERSHIP PROGRAMMES OFFERED BY A NATIONAL UNIVERSITY ASSOCIATION (SUHF)

The Swedish Association of Universities and University Colleges (SUHF) offers two programmes for leaders, namely the Rector's Programme and the Senior Leadership Programme (HeLP).

The Rector's Programme is intended for newly appointed rectors, whereas the HeLP programme (implemented by SUHF since 2009) is open to all SUHF member universities. A maximum of two participants per member university are allowed, and they must work together with the rector on strategic issues.

More information at: **https://suhf.se/arbetsgrupper/suhfs-program-for-ledare-i-akademin/**

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10   https://vsnu.nl/en_GB/news.html/nieuwsbericht/556
11   https://www.advance-he.ac.uk/news-and-views/slovenian-institution-collaboration-advance-he-develop-staff-leadership-skills

Universities Association (IUA, the sector representative in Ireland) partnered up with Advance HE to offer a one-year bespoke top leadership programme. Each of the seven Irish universities nominates two leaders for places on the programme. IUA also nominates its own participants.

Although not a widespread practice, it may be the case that within the same system, there are several bodies that work together to deliver one leadership development scheme. This is the case in Poland, where the Polish Rectors Foundation (PRF) supported by the Conference of Rectors of Academic Schools in Poland (CRASP) organises annually the Schools of Strategic Governance in Higher Education, which address senior executive leaders (rectors, vice-rectors, chancellors, bursars). This is a long-term programme of continuous activities aimed at professionalising higher education management at Polish universities, with the Schools for chancellors and bursaries organised annually, and the ones for rectors/vice-rectors bi-annually.[12]

There are also examples of transnational cooperation in leadership development among different national university associations. For instance, CRASP and PRF (from Poland) together with the Union of Rectors of Ukraine cooperate with university leaders in Poland and Ukraine on the implementation of the long-term project "Polish-Ukrainian cooperation of academic stakeholder organisations representing rectors for improving university performance", funded by the Ministry of Education and Science of Poland and operated by the Warsaw University of Technology.

Europe-wide university associations, consortia and alliances (such as the European University Association, AURORA, ECIU, LERU) were also mentioned as facilitators of leadership development opportunities.

In addition to the specific leadership schemes in higher education, some of the respondents also pointed to more generic top leadership initiatives, training and development processes that university leaders may also attend. In Finland, this includes training by the Finnish Innovation Fund Sitra, the Finnish Chamber of Commerce, but also programmes by leadership consultancy and coaching companies.

Annex 1 offers a non-exhaustive list of additional examples of leadership development programmes in higher education.

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12   https://frp.org.pl/en/current-projects/574-school-of-strategic-governance-in-higher-education.html

BOX 6: LEADERSHIP DEVELOPMENT OPPORTUNITIES OFFERED BY EUA

The European University Association (EUA) offers several leadership development opportunities for its members.

EUA has organised several **leadership roundtables** that brought together executive heads of EUA member universities and national university associations. In 2020, these leadership roundtables were focused on the response of universities to the Covid-19, whereas in 2021 they focused on discussing EUA's vision: "Universities without walls – A vision for 2030".

The EU-funded **LOTUS project**, which is led by EUA aims to contribute to capacity building and strategic change management for learning and teaching at higher education institutions across Europe. The project is carrying out a Leadership Development Programme between September 2020 - June 2022 focused on learning and teaching. 40-60 universities are expected to benefit from this programme, the primary audience being Vice-Rectors for Learning and Teaching.

The **EU-funded NEWLEAD project**, where EUA is partner also focuses on institutional leadership development and its impact on institutional transformation. The first output of this project is this report which maps the leadership development landscape in Europe, followed by focus groups for institutional leaders and senior managers, starting in the winter 2021. The project will conclude with a report on leadership and institutional transformation to benefit universities in their efforts to build capacity of their senior executives.

The NEWLEAD surveys focused on formal leadership development schemes in higher education. This is not to say that informal networks of practitioners do not play an important role in exchanging information and good practice, and in advancing knowledge. Although more subtle and generally less visible, informal communication and networks can be influential and may enact the principles of leadership, echoing an earlier finding from the NEWLEAD surveys, namely that respondents attach importance to leadership profiles (such as leaders in research, student representatives, trade union representatives, respected and experienced teaching staff), even when the latter are not part of the formal executive structures.

FUNDING FOR LEADERSHIP DEVELOPMENT

Three-quarters of the national university associations (16) confirmed that in their respective higher education systems, **leadership and institutional transformation are mostly supported by initiatives at the institutional level.** As many as 15 national university associations (70%) said that they or similar organisations are also supporting such initiatives.

In terms of financial means in support for leadership development, most systems (16) mentioned **institutional funding.** Only four systems reported the existence of national funding (i.e., from public authorities) for leadership development, namely Croatia, Ireland, Lithuania and Poland. In this case, the source of national funding (e.g., from European structural funds or from own national budget) cannot be assessed.

Nevertheless, only a third of the institutional respondents (27%) said that their higher education institution has a special budget reserved for leadership development opportunities (Q18, institutional survey). The rest of the respondents either stated that their university does not have such earmarked budgets (37%) or that they do not know (36%).

Graph 12 Initiatives supporting leadership and institutional transformation

Institutional level — 16
Sector level (e.g., through the National Rector's Conference and/ or other university networks) — 15
National level (i.e., by public authorities) — 9
International/EU level — 6
Not applicable/ Not supported — 0
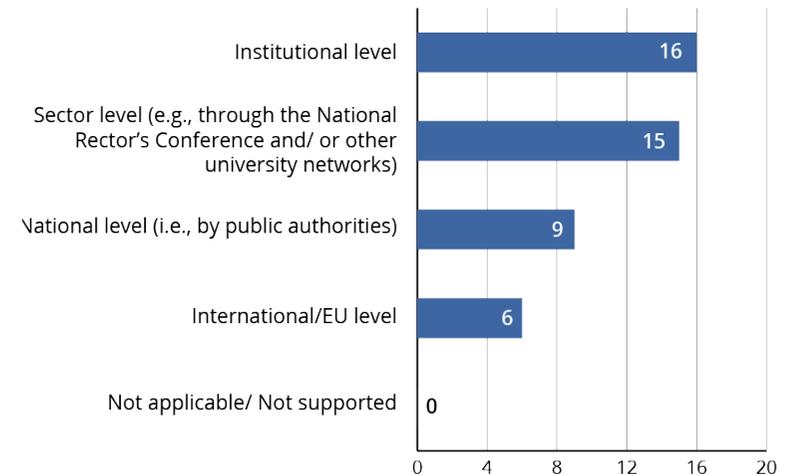
(N=21, Q4, system survey)

One source of funding for such leadership development initiatives is the EU's European Social Fund (ESF) programme; however, just as with institutional transformation, leadership development opportunities across Europe do not benefit from EU targeted support.

EVALUATION OF IMPLEMENTED LEADERSHIP DEVELOPMENT PROGRAMMES

The significant majority of the institutional respondents had not evaluated the leadership development schemes implemented at their institution. Those that evaluated them did so on one, two or all of the following dimensions: how the participants experienced the programme; what they have learnt; how they apply what has been learnt (Kirkpatrick's model[13]).

The respondents said that the attendees' feedback had been generally very good. Face-to-face conversations were highly appreciated, thanks to the opportunity to also exchange with peers in an informal way and to create a network of colleagues from different departments within the university. High enthusiasm and engagement from the administrative/management staff of the university was noticed.
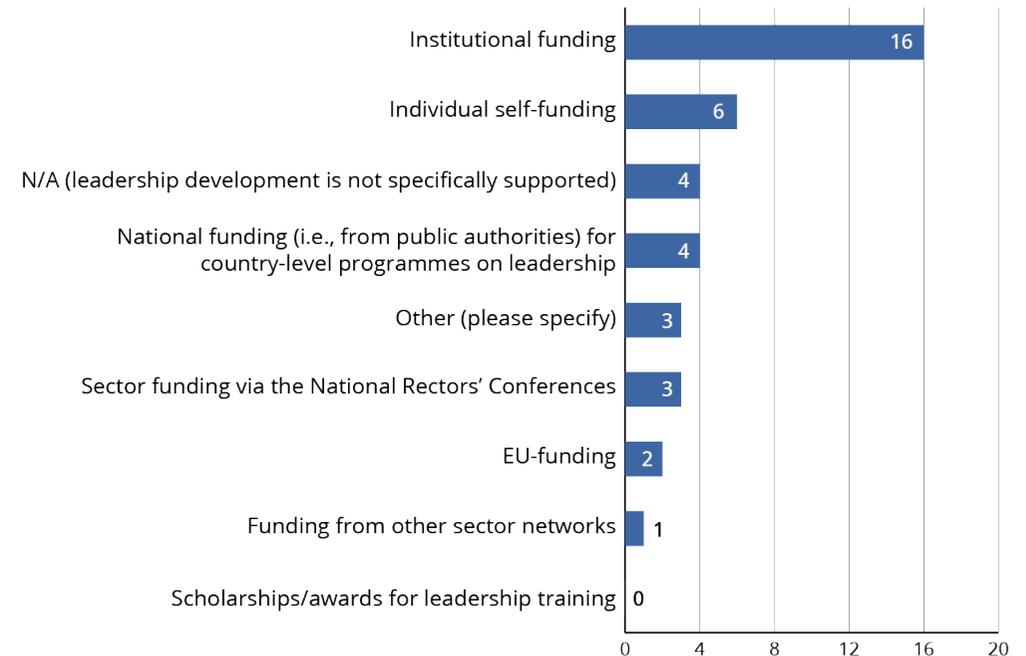
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13   Kirkpatrick, J.D., Kirkpatrick, W. K. (2016), *Kirkpatrick's four levels of training evaluation,* American Society for Training and Development.

Self-reflection and self-learning were considered important parts of the process. It was observed that in the beginning, training on leadership skills was rather underestimated, but that afterwards it was very positively evaluated. Action learning, where participants are encouraged to experiment in real life with what they have learned during the session and share these experiences with their colleagues, is often used in programmes with multiple training days.

Based on the experience lived at his institution, one respondent drew a parallel between the benefits of mentoring and group-based development programmes. In their opinion, "*mentoring has been shown to be a highly effective way to support leadership development, with the potential to deliver more impact at individual level than some more traditional group-based development programmes. Group-based development programmes, however, are still effective at professionalising management at all levels and in gaining less tangible benefits, such as building confidence and developing aspirational and entrepreneurial mindsets.*"

Evaluation and feedback from participants were mostly used by the HR departments as input for the improvement and additional consolidation of the leadership development schemes. Feedback was also used to address issues through different channels, such as psychosocial wellbeing.

Graph 13 *Financial support for leadership development*

(N=21, Q17, system survey)

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Concluding remarks

Institutional transformation

▶ The survey results show that institutional transformation is a high priority for university leaders across Europe.

▶ Changes in national legislation and national strategies can play out as important factors for institutional transformation in systems where they are underway, but overall European/international trends and financial pressures drive institutional transformation. As shown by EUA's Public Funding Observatory 2020/2021, out of the 32 systems covered, only in eight is the funding growth superior to student enrolment growth; 14 systems remain under pressure when combining funding and student numbers.[14] The latter also shows that efficiency, effectiveness and value for money has become the top priority for institutional transformation. As shown in EUA's USTREAM report it is important that transformation driven by this is approached by also looking at increasing the quality of the learning and teaching (L&T) and research and innovation (R&I) missions of institutions.

▶ The most important key priority areas for institutional transformation are improving efficiency, effectiveness and value for money, followed by developing the societal mission of the university and enhancing equity, diversity and social inclusion. Other priorities for institutional transformation range from improving quality of teaching and research, digitalisation, internationalisation and engaging in the SDGs.

▶ It is important to engage the whole institution and stakeholders in the transformation process; the buy-in of the academic community is an essential element for the success of the change process.

▶ Institutional transformation is mostly supported by universities themselves, which set internal funding apart for this objective; EU support for institutional transformation is the least widespread source of funding; national funding also remains limited.

▶ EU-level initiatives were not seen as a significant means to support institutional transformation. While there are aspects of capacity building in European funding instruments this does not seem to be considered as a well-established funding source for leadership development.

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14   Bennetot Pruvot, E., Estermann, T., Stoyanova, H. (2021), *Public Funding Observatory Report 2020/2021. Part 2,* European University Association, pp.20-21, **https://eua.eu/downloads/publications/eua%20pfo%20part%202%20report.pdf**

Leadership development

▶ In general, there is low awareness of resource materials and resource people on the topics of leadership development and institutional transformation.

▶ Leadership training is very seldom a requirement for accessing university leadership positions.

▶ Offering leadership development opportunities is closely linked to having a wider culture of continuous professional development.

▶ Most often, leadership development is supported via access to national and/or international professional networks and via participation in thematic peer groups at national and international/European level, which are not fully-fledged leadership development programmes, but rather soft mechanisms for enhancing leadership. Top management programmes for senior leaders or other university staff are not the norm across Europe.

▶ Only a third of the institutional respondents said that their higher education institution has a special budget reserved for leadership development opportunities.

▶ Personal, strategic and technical skills may not necessarily come together in one person. It might then be advisable to delegate some of the tasks and responsibilities and find a balance that includes non-academic professional profiles to ensure well-equipped executive leadership.

▶ Topics most discussed in leadership development programmes are leading and managing staff and teams and strategic planning, followed by developing technical knowledge, such as in financial and project management.

▶ Despite being highly valued as personal skills for successful executive leaders, developing soft/transversal skills (such as effective communication, emotional intelligence and resilience) did not feature among the top priority topics in leadership development programmes.

▶ National university associations see untapped potential for a leadership development programme in their higher education systems, confirming that even those that have leadership development programmes in place would recommend a more systemic approach, while wishing to reach a wider audience.

▶ National university associations that are interested in taking action in the field of leadership development should conduct an in-depth analysis of existing programmes and needs within their own systems, consulting with relevant stakeholders at institutional level.

List of figures and boxes

Annex 1 – Leadership development schemes in higher education

Note: this is a non-exhaustive list; most of the examples below were provided by the respondents to the NEWLEAD surveys on institutional transformation and leadership development

	Provider and title of the scheme	Country	Short description	Link
	Provider: Higher education institutions			
1	Dublin City University, University Leadership Management Programme (ULM)	IE	The programme is intended for academics appointed to leadership positions, academics considering taking up leadership and/or management roles in the future, and for university managers. The programme, which runs over a 4-month period is organised in a blended format, and addresses the theory and practice of leadership and management, placing it in the context of Dublin City University.	https://www.dcu.ie/hr/human/ULM
2	Tampere University, Higher Education Administration and Management Programme (KOHA)	FI	This is a study module (i.e., academic programme) worth 40-50 ECTS, with a duration of 12 months. The training is suitable for all experts working in HE who wish to strengthen their professional skills. The programme is also suitable as an optional course for students whose goal is to focus on planning and developing tasks related to HE administration.	https://www.tuni.fi/fi/tule-opiskelemaan/korkeakouluhallinnon-ja-johtamisen-opintokokonaisuus-koha
3	Universitat Autonoma de Barcelona, Staff development Unit	ES	The training offer is developed and implemented by the Training and Professional Development Unit of the university for its administrative staff. An annual training plan is drawn up based on the needs sent to the Training and Professional Development unit by the heads of office of the university.	https://bit.ly/2Z9hVwR
4	University of Zurich, Leadership and Management at higher education institutions	CH	The programme addresses people who perform leadership and/or management tasks at a university, in particular: department heads in the administration of universities, managing directors, heads of staff, research group leaders, professors. The programme consists of five modules spread across 19 days and pertaining to governance, management, financial tour, communication and leadership. Successful graduates are awarded the "Certificate of Advanced Studies UZH in Leadership and Governance at Universities" worth 15 ECTS credits.	https://www.caslg.uzh.ch/de.html

	Provider: Higher education institutions			
	Provider and title of the scheme	**Country**	**Short description**	**Link**
5	University of Oslo, Education leader programme	NO	The programme is aimed at both administrative and academic leaders at department and faculty levels. A few places in the programme can be filled out by applicants from institutions other than the University of Oslo. Participants learn about their own role as leaders, about their own organisation and how they can use their room for manoeuvre in their respective roles.	https://www.uio.no/for-ansatte/kompetanse/lederutvikling/utdanningslederprogram/index.html
6	University of London, Queen Mary Academy, UNIque and Leadership in Action	UK	*UNIque* is a development programme for women early career researchers. It lasts for six weeks and it is made up of an online community, interactive webinars and over six hours of video content, exercises and four online modules.	https://www.qmul.ac.uk/queenmaryacademy/researcher-development/training-courses/leadership/
			Leadership in action is a development programme intended for all those wishing to practise leadership skills in a safe environment, with a focus on researchers and postdoc candidates. The participants are supported in their learning by experienced coaches. The course has been adapted from a three-day face-to-face course to an online Zoom version spanning over three weeks. The participants are drawn from several universities and research institutes, namely: Brunel University London, The Francis Crick Institute, King's College London, LSE, Queen Mary University of London, Queen's University Belfast and The University of Bath.	https://www.qmul.ac.uk/queenmaryacademy/researcher-development/training-courses/leadership/
7	Corvinus University of Budapest, Leadership programme in HE	HU	This leadership programme in higher education is implemented with the support of the Hungarian Rectors' Conference. The programme is intended for the executive leadership of the Hungarian higher education institutions, namely for Rectors, Vice-rectors, Deans, etc.	https://www.uni-corvinus.hu/fooldal/kepzes/szakiranyu-tovabbkepzes/?lang=en#felsooktatasi-kutatasi
8	University of Jaen/International University of Andalusia/CRUE, Postgraduate Diploma in University Politics and Management	ES	This is a postgraduate programme, worth 16 ECTS, with a length of about five months, jointly developed by the University of Jaen together with the Conference of Rectors of Spanish Universities (CRUE) and the International University of Andalusia. The programme is intended for people who are working in the university field either in the design of university policies (Vice-Rectos, Deans, General Secretaries, etc.), or at the execution level (Heads of Services). The programme can also be useful for all those who work in public administration linked to the Spanish higher education.	https://www.ujaen.es/estudios/oferta-academica/titulos-propios/diplomas-de-postgrado/diploma-de-posgrado-en-politica-y-gestion-universitarias#presentacion

Provider: Higher education institutions				
	Provider and title of the scheme	**Country**	**Short description**	**Link**
9	UCL, Leadership programmes	UK	The *Welcome to Leadership programme* is an induction package for staff moving into senior leadership positions at UCL. The programme started in 2020, lasts about three months, concluding with a facilitated peer learning session. It includes a mix of self-paced learning and live interactive sessions. *Emerging Leaders* is a leadership and development programme for Black, Asian and Minority Ethnic staff at UCL. The entire programme is underpinned by coaching; participants learn new coaching skills, work with a buddy to practice peer-to-peer coaching and receive 1:1 attention from an Emerging Leaders coach. The programme lasts for 5 months, and the commitment is around 1 to 2 hours of learning per week. *Inclusive Leadership – talking about race* is a race literacy programme for staff who lead teams at UCL. It aims to improve knowledge of 'race' in the workplace and develop allyship behaviours to support Black and Asian staff, and staff from other marginalised ethnicities. This is a 4-week programme with a time commitment of 12 hours. *Women in Leadership* and *Senior Women in Leadership* are dynamic online leadership enhancement programmes for women who are either currently working in a leadership role or who aspire to a leadership position. Topics in the programmes include negotiating and influencing, leadership profiles, addressing the imposter phenomenon, coaching and mentoring as leaders and many more. Both programmes are 4 month long with a time commitment of 40 hours. *Future Leaders* is a programme for staff who are leaders of teams/departments with senior leadership potential. This is an 8-month programme with a time commitment of 70 hours. *Lead at UCL* is a bespoke, online learning platform where UCL line managers can develop their people management skills. Nominations for these programmes are managed at Faculty/Division level. *Astrea* is UCL's network for women in professional services. *Astrea* is open to all women, whether they are at the early stages of their careers, or are already well established. The network offers professional development opportunities to its members and aims to enable them to realise their potential within UCL.	**https://www.ucl.ac.uk/human-resources/learning-development/learning-academy/ucl-leadership-programmes** **https://www.ucl.ac.uk/astrea/**

Provider: Higher education institutions			
Provider and title of the scheme	**Country**	**Short description**	**Link**
10 Université de Paris, Leadership Programme	FR	This is an internal programme for top-ranking managers aiming at improving the career prospects of the heads of administrative divisions working in one of the 8 member institutions of this COMUE.	No link available

Provider: national university associations			
Provider and title of the scheme	**Country**	**Short description**	**Link**
11 VSNU, Governing the University in the 21st Century programme	NL	VSNU offers this leadership programme to enhance the professionalisation of university management and to strengthen the university governance. Participants are recently appointed/to be appointed directors at the level of dean/executive board of Dutch universities. Participation is limited to directors nominated by their university. This programme complements the internal offer available at many Dutch universities and which focuses mostly on personal leadership and team management.	https://www.vsnu.nl/programma-governing-the-university-in-the-21st-century.html
12 Swiss Universities, Higher Education Management Executive Programme	CH	The Programme is intended for HR and Finance executive leaders and it is divided into five modules, namely: leading higher education in Switzerland; a study trip; leading innovation; leading organisations; leading people.	https://www.hem-suisse.ch/

	Provider: national university associations			
	Provider and title of the scheme	**Country**	**Short description**	**Link**
13	SUHF, Leadership development programmes	SE	*The Senior management programme (HeLP)* is addressed to HEI management, namely to those profiles that work directly with the Rector on strategic issues. The programme is implemented by SUHF since 2009 and every year, about 25 participants are admitted to the programme from the universities that are members of SUHF. *HeLP* aims to lead to deeper contacts between Swedish universities and to a deeper understanding of the Swedish higher education sector. Special emphasis is placed on developing personal leadership. SUHF's *Rector's Programme* is intended for newly appointed rectors, and it aims to contribute to the rectors' personal, strategic and university leadership skills. In addition, SUHF also runs a programme for younger administrative managers and one for future head managers of university libraries.	**https://suhf.se/arbetsgrupper/suhfs-program-for-ledare-i-akademin/**
14	IUA, IUA Executive Leaders Programme	IE	IUA appointed Advance HE (UK) to deliver this programme, intended for aspiring and current executive leaders across the seven IUA member universities. The programme started in September 2020, being funded by the Higher Education Authority in Ireland. Advance HE modelled the IUA Executive Leaders Programme on its Top Management Programme for Higher Education.	**https://www.iua.ie/press-releases/new-leadership-programme-to-support-top-leaders-in-irelands-universities/**

	Provider: national university associations			
	Provider and title of the scheme	**Country**	**Short description**	**Link**
15	Polish Rectors Foundation, Schools of Strategic Governance in Higher Education	PL	The *Schools of Strategic Governance in Higher Education* are intended for top-university managers (rectors, vice-rectors, chancellors, bursars) and are organised in partnership with the Conference of Rectors of Academic Schools in Poland (CRASP). This is a long-term programme with ongoing activities aimed at professionalising higher education management at Polish HEIs. For bursars and chancellors, the Schools are organised annually as a four-day programme, and for rectors and vice-rectors they take place biannually (at the beginning of the term and half-term) as a five-day programme. In particular, the programme for rectors is focused on the topic of institutional culture and on the "art of rectorship", as well as on current policies and priorities in higher education in Poland. Participation in the School is fully funded by the universities themselves.	**https://frp.org.pl/en/current-projects/574-school-of-strategic-governance-in-higher-education.html**
16	Tripartite cooperation between the Polish Rectors Foundation (PRF), the Conference of Rectors of Academic Schools in Poland (CRASP) and the Union of Rectors of Ukraine on institutional development and the exchange of practice in higher education governance	PL-UA	The Project "Polish-Ukrainian cooperation of academic stakeholder organisations representing rectors for improving university performance" has been implemented since 2018 and focuses on the improvement of higher education governance, leadership development and institutional transformation of universities in Ukraine and Poland. The goal is also to enhance the cooperation between Polish and Ukrainian university leaders as well as the national rectors' conferences on higher education governance. The project was inspired by the findings and recommendations of the EUA-led **ATHENA project**. The project is funded by the Ministry of Education and Science of Poland and operated by the Warsaw University of Technology, under the patronage of the Minister of Education and Science of Ukraine.	**https://www.pw.edu.pl/engpw/News/Polish-Ukrainian-Cooperation-Of-Academic-Stakeholder-Organisations-Representing-Rectors-For-Improving-University-Performance** **https://www.ans.pw.edu.pl/Nauka/Projekty-naukowe/Projekt-pomocowy-MEiN-PW**

	Provider: national university associations			
	Provider and title of the scheme	**Country**	**Short description**	**Link**
17	HRK & CHE, Leadership as an Opportunity – Systematic exchange of experience and expansion of competences	DE	This is a leadership programme run jointly by HRK and CHE since 2013, being aimed at members of university management. More specifically, the programme targets people who are at the beginning of their management career and who are taking on the role on designing complex institutional projects for the first time, such as vice-rectors and vice-presidents. The programme is nine days long, being divided into three modules: leading complex scientific organisations – understanding and developing your own role; leadership in the context of internal university constellations – internal communication and personnel management; leadership in the context of external requirements – media, ministries and politics.	https://www.che.de/event/fach-2021/
18	Administrative further education for university staff (AEU), Basic course in educational management at Danish universities	DK	The programme is intended for newly appointed, but also more experienced education leaders at Danish universities, such as study leaders, study board chairmen, education coordinators, school leaders or deputy department heads. The programme aims to provide selected participants with theories and methods on educational management, pedagogical quality assurance and development, and to introduce insights into how procedures, rules and resources on educational management are organised.	https://bit.ly/3GdEmSm
19	Universities Norway, Dean School	NO	The *Dean School* is a leadership development programme for deans of university and university colleges who are new to the role of dean. An important criterion for becoming a participant is not only to exert leadership, but also to encourage leadership in others. Where this criterion is met, also managers of departments and institutes are welcome to apply to the programme. The programme was revitalised in 2019, since then being more focused on the international dimension of HE and on strategic management.	https://www.uhr.no/temasider/uhr-dekanskolen/
20	CPU, regular training sessions and booklet	FR	The communication department of CPU organises regular training sessions for newly elected French University Presidents. To support this endeavour, CPU released in 2016 a guide called "Competences and responsibilities of University and COMUE Presidents".	http://www.cpu.fr/wp-content/uploads/2016/09/guide-President-web-.pdf

	Provider: higher education consortia, networks and alliances			
	Provider and title of the scheme	**Country**	**Short description**	**Link**
21	ECIU, Leadership Development Programme	International	ECIU launched its *Leadership Development Programme* in 2003. The programme aims to contribute to innovation and change in leadership in participating ECIU universities by providing a unique learning experience for a group of selected leaders and potential leaders (both academic and professional support staff). Participants should have a maximum of five years of work experience in a senior role.	https://www.eciu.org/for-university-staff/leadership-development-programme
22	U4 Society, Academic Leadership Programme	International	The *U4 Academic Leadership programme* trains top-level university management executives, allowing university leaders (in academia and administration) to enhance their leadership skills and learn more about university management in an increasingly complex context. The programme spans over one year, comprising five 3-days meetings. The training is jointly offered by the University of Groningen, Ghent University, University of Uppsala, University of Gottingen and the University of Tartu.	https://u4society.eu/index.php/cluster/institutional-management/156-academic-leadership
23	EARMA, EARMA Leaders in Research Management Programme	International	EARMA offers event-based courses and seminars for leaders and future leaders of research offices, grant offices, and sponsored programmes offices. The events aim to offer new knowledge, skills and a valuable network to enable heads of research offices to tackle some of the most pressing challenges in their jobs.	https://www.earma.org/earma-academy/earma-leadership-in-research-management-programme/

Provider: professional higher education associations

	Provider and title of the scheme	Country	Short description	Link
24	HUMANE, Residential School Programmes	International	HUMANE offers three international professional development programmes for senior managers of professional services in higher education, namely a Winter School, a Summer School and a Transnational Partnerships School. Participants must be nominated by their own senior leader/ manager.	https://www.humane.eu/events/residential-school-programmes/
25	Nordic Association of University Administrators (NUAS), Programme for Leaders in Administration	Nordic region	The programme is open to administrative middle management in higher education, i.e., middle managers with at least two years of management experience. The programme offers an arena for professional exchange and networking among higher education management from Nordic HEIs.	https://www.nuas.org/pla-2019-2020/
26	The Association of University Administrators (AUA), Continuous Professional Development (CPD) Framework	UK	The AUA CPD Framework is a tool that supports the career development of higher education professionals. It is intended for both organisational and individual levels and for professionals at all career stages. Among others, the Framework provides a broad structure for institutions and individuals to help them identify their CPD needs, and plan and develop tailored development activities.	https://aua.ac.uk/professional-development/cpd-framework/
27	Association of Heads of University Administration (AHUA), Professional Development	UK	AHUA offers three leadership development programmes: *The Aspiring Registrar and COO Programme* (aimed at senior university staff looking to move into the role of Registrar/Chief Operating Officer); *Professional Service Directors' Programme – Leading with Impact* (aimed at Directors and Heads of Professional Services in HE); *AHUA Secretaries Programme* (aimed at University Secretaries seeking to transition from technically-focused expert to strategically- oriented governance adviser).	https://www.ahua.ac.uk/resource-type/personal-development/
28	British Universities Finance Directors Group, Action Learning Sets	UK	The target group for this development activity are senior leaders in Finance. An Action Learning Set is a small, confidential forum where each participant brings to the set an organisational task, problem, challenge or opportunity on which they intend to act. After having presented the issue to the group, other participants pose questions and raise discussions which help the presenter create insight and options for action. This is a structured process, supported by a skilled facilitator. Each Action Learning Set includes four development days, spread out across 8 months.	https://www.bufdg.ac.uk/learning/

Provider: public (state) agencies with a role in higher education				
	Provider and title of the scheme	**Country**	**Short description**	**Link**
29	UEFISCDI, Improving university management	RO	"Improving university management" (2009-2012) was a project funded through EU structural funds. Through this project, several dozen higher education institutional leaders from Romania benefited from leadership training in higher education. The programme was discontinued after the funding ended.	http://www.management-universitar.ro/home.aspx

Provider: charities/not for profit organisations				
	Provider and title of the scheme	**Country**	**Short description**	**Link**
30	Advance HE, Top Management Programme for Higher Education and Aurora	UK	The *Top Management Programme for Higher Education* is intended for higher education executives (Vice-Chancellors and Principals), those preparing to become Vice-Chancellors, individuals who are progressing to the executive team, and for those in roles with significant cross-institution responsibility at a strategic level. The programme is split over three residential weeks, with the core curriculum being based on what makes an effective executive leader in HE. *Aurora* is Advance HE's leadership development initiative for women, up to senior lecturer level or the professional services equivalent, working in a university, college or related organisation who would like to develop and explore issues relating to leadership roles and responsibilities. It aims to address the under-representation of women in leadership positions in the HE sector. Participants will explore four key areas associated with leadership success: Identity, Impact and Voice; Core Leadership; Politics and Influence; Adaptive Leadership Skills. Since its launch in 2013 more than 8000 women from different HEIs in the UK and Ireland have participated in *Aurora*.	https://www.advance-he.ac.uk/programmes-events/development-programmes/executive-and-senior-leadership/top-management-programme https://www.advance-he.ac.uk/programmes-events/aurora

Annex 2 – Institutional survey

INSTITUTIONAL SURVEY ON APPROACHES TO LEADERSHIP DEVELOPMENT AND INSTITUTIONAL TRANSFORMATION IN HIGHER EDUCATION IN EUROPE

This survey is conducted to map institutional level approaches to leadership development and institutional transformation in higher education systems in Europe. The survey is addressed to the institutional leadership of European higher education institutions. The questionnaire uses **"leadership"** to designate senior university representatives (rectors and vice-rectors), including senior managers (directors of central services) and academic leaders at faculty level (deans), based on an inclusive vision of higher education leadership. **"Leadership development"** would mean any structured capacity-building activity, programme or training on improving leadership skills of current or future higher education leaders.

The survey is divided into two sections:

▶ Section 1: Institutional practices
▶ Sector 2: National expertise

The survey is part of the EU-funded NEWLEAD project (2020-2023) and its results will feed into a methodological report on core principles, priorities and processes of change in higher education around Europe.

All responses to the survey will be treated as confidential. The data and responses will be processed and used solely for the purpose of this research. We anticipate that the survey will take about 15 minutes to complete.

Thank you for taking the time to contribute to this research. All questions marked with a * are compulsory.

The deadline to fill out this survey is **31 March 2021**.

If you have any further questions, please do not hesitate to contact us at newlead@eua.eu

Do you consent to participate in this survey? Yes/No
Country: *
Institution: *
Name and surname:
Position:
Email address:

Part 1: Institutional practices

1. At your institution, what would you say are the main drivers for the institutional transformation? *
- ▶ Change in national legislation
- ▶ The adoption of a new or revised national strategy in higher education
- ▶ Financial pressures
- ▶ European/International trends
- ▶ Peer learning/multilateral cooperation
- ▶ Other (please specify)

2. How much of a priority for the leadership team at your institution is the topic of institutional transformation? * (0-5 scale, with 5 representing highest priority)

3. At your institution, what are the key priority areas for (institutional) transformation? *
- ▶ Enhancing equity, diversity and social inclusion
- ▶ Improving efficiency, effectiveness and value for money
- ▶ Further developing the societal mission of the institution (service to society)
- ▶ Other (please specify)

4. Do the key priority areas that you have just identified feature in your institutional strategy, action plan or in other strategic documents? * (Open text)

5. How is institutional transformation implemented in practice? At your institution, who/which units are responsible for this area? (Open text) *

6. Please provide us with an example of a recent transformative process at your institution (Open text)

7. How much of a priority is the topic of leadership and leadership development at your institution? * (0-5 scale, with 5 representing highest priority)

8. In your institution who is considered to be formally part of the institutional leadership team? (select all that apply) *
- ▶ Rector (executive head of the institution)
- ▶ Vice-Rector
- ▶ Head of administration, Director General, Chief Operating Officer
- ▶ Directors (finance, HR, communication, research….)
- ▶ Dean

- ▶ Head of faculty department
- ▶ Heads of the University Senate committees
- ▶ Other (please specify)

9. In addition to the formal leadership team, whom else would you consider as a relevant profile for leadership at your institution? (Open text)

10. Considering the professionalisation of certain leadership positions, how do you see the balance and synergies between the academic and non-academic leadership roles at your institution? (Open text)

11. Thinking of your higher education institution, please describe the typical profile /career pathway of a higher education institution executive leader (rector/ university president) in terms of background, experience, qualifications, international outlook, etc. Please differentiate between formal (i.e., legal) and informal yet typical requirements. * (Open text)

12. At your institution, to what extent do you see leadership development as a tool for affecting major organisational change? * (0-5 scale, with 5 representing leadership development as an essential tool)

13. At your institution, how is leadership development supported? *
- ▶ Via top management programmes for senior leaders
- ▶ Via top management programmes for senior leadership teams
- ▶ Via top management programmes open to all university members and staff
- ▶ Via access to national and/or international professional networks
- ▶ Via participation in thematic peer groups at national level
- ▶ Via participation in thematic peer groups at international/European level
- ▶ Via mentoring/coaching scheme
- ▶ Not applicable (i.e. leadership development is not supported)
- ▶ Other (please specify)

14. Please list here the leadership development schemes that currently exist or existed before at your institution, if any. Please mention the name of the scheme, short description, the link and the target group of any such scheme(s). (Open text)

15. Thinking of the leadership development programme(s) at your higher education institution, what topics are discussed the most? Please select a maximum of three. *

▶ Leading and managing staff and teams

▶ Developing technical knowledge (e.g. financial and project management, intellectual property management, etc.)

▶ Strategic planning

▶ Developing soft/transversal skills (e.g. effective communication, emotional intelligence, resilience, open-mindness, etc.)

▶ Values-based decision-making

▶ Not applicable (i.e. there are no leadership development programmes at my institution)

▶ Other (please specify)

16. So far, have you evaluated the leadership development schemes implemented at your institution? Yes/No

If yes, what has been the feedback from participants and the lessons learnt?

17. Do you cooperate with any other parties (e.g., other higher education institutions, companies, either from your country or foreign) to enhance leadership development at your institution? *

▶ Yes, please specify.

▶ No

18. Does your higher education institution have a special budget reserved for leadership development opportunities? *

▶ Yes

▶ No

▶ I do not know

19. According to you, how important are the following people management skills for a successful higher education leader?* (grid type question, where each option will be scored)

▶ Communication

▶ Empathy

▶ Open-mindness

▶ Conflict resolution

▶ Active listening

▶ Integrity

▶ Other (please specify)

20. According to you, how important are the following technical skills for a succesful higher education leader? * (as above – grid question, where each option will be scored)

- ▶ Financial skills
- ▶ Project management
- ▶ Knowledge management (e.g. intellectual property)
- ▶ Other (please specify)

21. According to you, how important are the following strategic skills for a successful higher education leader? * (as above – grid question)

- ▶ Ability to propose a vision for the institution and implement it
- ▶ Ability to steer change
- ▶ Ability to cope with crisis mangement
- ▶ Decision-making
- ▶ Other (please specify)

22. How important do you consider resiliance as a leadership quality? * (0-5 scale, with 5 representing highest importance).

Part 2: National expertise

23. Are you aware of any relevant national studies and/or comparative European studies on institutional transformation and leadership development?

- ▶ Yes, please specify the title and the link.
- ▶ No

24. Are you aware of any national experts in institutional transformation (e.g., researchers, institutional 'role models')?

- ▶ Yes (Please specify the name and institutional affiliation of the expert(s)).
- ▶ No

25. Are you aware of any national experts in leadership development (e.g. researchers, institutional 'role models')?

- ▶ Yes (Please specify the name and institutional affiliation of the expert(s))
- ▶ No

Annex 3 – System-level survey

SYSTEM LEVEL SURVEY ON NATIONAL APPROACHES TO LEADERSHIP DEVELOPMENT AND INSTITUTIONAL TRANSFORMATION IN HIGHER EDUCATION IN EUROPE

This survey is conducted to map system level (i.e., national) approaches to leadership development and institutional transformation in higher education systems in Europe. The survey is primarily addressed to national rectors' conferences, but other system level structures with a role in higher education are welcome to respond.

The survey is divided into four sections:

- ▶ Section 1: National discourse and state-of-the-art
- ▶ Section 2: Institutional leadership
- ▶ Section 3: Support from public authorities and the sector
- ▶ Sector 4: National expertise

The survey is part of the EU-funded NEWLEAD project (2020-2023) and its results will feed into a methodological report on core principles, priorities and processes of change in higher education around Europe.

The questionnaire uses **"leadership"** to designate senior university representatives (rectors and vice-rectors), including senior managers (directors of central services) and academic leaders at faculty level (deans), based on an inclusive vision of higher education leadership. **"Leadership development"** is any structured capacity-building activity, programme or training on improving leadership skills for current or future higher education leaders.

All responses to the survey will be treated as confidential. The data and responses will be processed and used solely for the purpose of this research.

We anticipate that the survey will take about 15 minutes to complete. All questions marked with a * are compulsory.

Thank you for taking the time to contribute to this research. The deadline to fill out this survey is **31 March 2021**.

If you have any further questions, please do not hesitate to contact us at newlead@eua.eu

Do you consent to participate in this survey? Yes/No
Country* (drop-down menu EHEA countries + Other)
Organisation*
Name and surname
Position
Email address

Part 1: National discourse and state-of-the-art

1. In your higher education system, what would you say are the main drivers for institutional transformation? Please select all options that apply. *
- ▶ Change in national legislation
- ▶ The adoption of a new or revised national strategy in higher education
- ▶ Financial pressures
- ▶ European/international trends
- ▶ Peer learning/multilateral cooperation
- ▶ Other (please specify)

2. How important is the topic of leadership and leadership development in your system? Is it addressed in the discussions part of the higher education agenda? * (Open text)

3. In your system, what are the most discussed topics in the context of leadership development in higher education? Please select a maximum of three.*
- ▶ Leading and managing staff and teams
- ▶ Developing technical knowledge (e.g. financial and project management, intellectual property management, etc.)
- ▶ Strategic planning
- ▶ Developing soft/transversal skills (e.g. effective communication, emotional intelligence, resilience, open-mindness, etc.)
- ▶ Values-based decision-making
- ▶ Other (please specify)

4. In your higher education system, leadership and institutional transformation are mostly supported by initiatives at the: *
- ▶ Institutional level
- ▶ Sector level (e.g., through the National Rector's Conference and/ or other university networks)
- ▶ National level (i.e., by public authorities)
- ▶ International/EU level
- ▶ Not applicable/ Not supported

5. In your system, are there specific higher education leadership development programmes made available for current (already operating) leaders? * (Explanatory note: We aim at capturing targeted leadership development programmes, rather than MBAs for instance)
- ▶ Yes
- ▶ No
- ▶ I do not know

6. If yes, please tell us how such specific programme(s) are implemented: *
- ▶ Via top management programmes for senior leaders
- ▶ Via top management programmes for senior leadership teams
- ▶ Via top management programmes open to all university members and staff
- ▶ Via access to national and/or international professional networks
- ▶ Via participation in thematic peer groups at national level
- ▶ Via participation in thematic peer groups at international/European level
- ▶ Via mentoring/coaching schemes
- ▶ Other (please specify)

7. In your system, do higher education leadership development programmes also target younger and/or aspiring leaders?

- ▶ Yes
- ▶ No
- ▶ I do not know

8. If yes, please describe the characteristics of such development programmes (e.g., mentorship scheme, detection scheme, etc.).

9. Please list here the leadership development schemes in higher education that currently exist or existed before in your country (please mention the name, short description, the link, where available and indicate if the programmes are organised at the institutional level/institutional level but developed with another organisation/outside the sector, etc.).

Part 2: Institutional leadership

10. Thinking of your higher education system, please describe the typical profile /career pathway of a higher education institution executive leader (rector/ university president) in terms of background, experience, qualifications, international outlook, etc.

Please differentiate between formal (i.e., legal) and informal yet typical requirements.

(Open text)

11. In your system, has the profile of institutional leaders evolved in the past decade? *
- ▶ Yes, please specify how and why.
- ▶ No

12. In your system, do leaders' profiles differ according to the profile of the institution (e.g., specialised vs. comprehensive, public vs. private higher education institution)? Yes/No

  If yes, in what way do such profiles differ? *

13. In your system, do you see untapped potential for a leadership development programme in higher education? *
- ▶ Yes, please specify why.
- ▶ No

14. In your system, to what extent do higher education institutions include institutional transformation in their strategy, action plans or other related strategic documents? (Open text)

15. In your system, to what extent do higher education institutions include leadership development in their institutional strategy or policies? (Open text)

Part 3: Support from public authorities and the sector

16. How is institutional transformation of higher education supported in your system?
Please select all options that apply. *
- ▶ Through earmarked national funding reserved for institutional development and transformation
- ▶ Universities usually set own funding apart for such objective
- ▶ Targets set by public authorities as part of the funding model
- ▶ EU-level initiatives
- ▶ N/A (institutional transformation is not concretely supported)
- ▶ Other (please specify)

17. How is leadership development supported financially in your country/system? *
- ▶ Scholarships/awards for leadership training
- ▶ National funding (i.e., from public authorities) for country-level programmes on leadership
- ▶ Sector funding via the National Rectors' Conferences
- ▶ Funding from other sector networks
- ▶ Institutional self-funding
- ▶ Individual self-funding
- ▶ EU-funding
- ▶ N/A (leadership development is not specifically supported)
- ▶ Other (please specify)

18. In your system, are there any ongoing or previous initiatives implemented by the sector or national university alliances/networks to support the topics of leadership development and institutional transformation (e.g., at the level of national university associations)? *
- ▶ Yes, please specify.
- ▶ No
- ▶ I do not know

19. Are you aware of any other initiatives in leadership development and institutional transformation developed by other parties (e.g., companies, either from your country or foreign) and used by higher education institutions in your system? *

▶ Yes, please specify.

▶ No

20. Are there any other relevant aspects in terms of public support that you would like to share? (Open text)

Part 4: National expertise

21. Are you aware of any relevant national studies and/or comparative European studies on institutional transformation and leadership development?

▶ Yes, please specify (title and link).

▶ No

22. Are you aware of any national experts in institutional transformation? (e.g., researchers, institutional 'role models').

▶ Yes (Please specify the name and institutional affiliation of the expert(s)).

▶ No

23. Are you aware of any national experts in leadership development? (e.g., researchers, institutional 'role models').

▶ Yes (Please specify the name and institutional affiliation of the expert(s)).

▶ No

The Innovative Leadership and Change Management in Higher Education (NEWLEAD, 2020-2023) project aims at enabling higher education leaders and university senior managers to successfully steer complex institutional transformation agendas.

NEWLEAD is led by the University Ramon Llull (URL) in Barcelona, in partnership with a diverse consortium including EUA.

NEWLEAD is co-funded by the Erasmus+ Programme of the European Commission, as a Strategic Partnership for Higher Education.

For further information, please contact newlead@eua.eu. For updates on the NEWLEAD project, follow the project website. You can also find us on Twitter at #unileaders_eu.

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