IN THE SPOTLIGHT 焦点

GLOBAL CHANGES IN UNIVERSITY GOVERNANCE AND LEADERSHIP FOR STEERING THE INSTITUTIONAL TRANSFORMATION

大学治理的全球变化和引导机构转型的领导力

Anthony ANTOINE

Anthony Antoine is the Executive Director of the Brussels School of Governance at VUB and is the coordinator of the UNU-CRIS Campus in Brussels. He is a member of the Council of the Free University of Brussels and the Audit Committee of the Institute of Erasmus University in Brussels. He focuses on the organizational structure and executive management of private and public universities.

安东尼·安托万（Anthony Antoine）

安东尼·安托万是VUB布鲁塞尔治理学院的执行主任，也是联合国大学布鲁塞尔校区的项目组织人。他还是布鲁塞尔自由大学理事会和布鲁塞尔伊拉斯谟大学研究所审计委员会的成员之一。他专注于私立和公立大学的组织结构以及行政管理。

"Governance is not only about structures and politics, as we mostly try to emphasize and theorize, but it is also about people or should I say, especially about people."

"治理不仅与结构和政策有关，虽然我们通常试图强调和理论化（这两点），但它还与人有关，或者我应该说，尤其与人有关。"

How has university governance evolved over time?

There are four big global evolutions in the development of university governance that we can identify in the past century. Up to about the first half of the previous century, we witnessed traditional, mostly private, or at least self-supporting universities worldwide. With the democratization of higher education on the one hand, and the development of socialist and communist regimes on the other hand, publicly funded universities emerged worldwide, which led to new types of governance, increasing the role of governments and the university's dependency on public funding. And then, since the 1980s, we could observe a shift back to privatization, with a decrease in public funding. In China, the further boom of higher education over the past years and the subsequent university restoration led to the same effect. Redistributing finances to a growing number of universities and/or selecting top universities, which often goes at the decrement of funds for others, showed a quest for funds that were not there before. The result in both parts of the world is the same, a competition for limited resources, which, in terms of university governance, led to the development of the academic entrepreneur. University leaders need more competencies than merely academic ones. A final phase can be witnessed since the development of the Internet and the fast evolution of communication technology. It led to bigger competition worldwide and a fight for talent, be it students or staff.

随着时间的推移，大学治理是如何演变的?

在过去的一个世纪里，我们可以发现大学治理的发展经历了四次全球性大演变。直到上个世纪的上半叶，在世界范围内我们还可以看到一些传统的，大部分是私立的，或者至少是自给自足的大学。而后，随着高等教育的民主化及社会主义和共产主义政权的发展，公立大学在世界范围内出现。这引领出了新的治理类型，提高了政府的作用以及大学对公共资金的依赖性。随后，从20世纪80年代开始，我们可以观察到向私有化的回归，公共资金也随之减少。而在彼时的中国，过去几年高等教育的进一步繁荣和随后大学的恢复也导致了同样的效果。资金被重新分配给数量越来越多的大学，抑或是被分配到顶尖大学，而这往往是以减少对其他大学的资金分配为代价的，从而也显示出了对资金前所未有的渴望。在世界两端的结果都是一样的，那就是对有限资源的竞争，而在大学治理方面，这导致了学院派企业家的崛起。大学领导人需要具备更多的才能，而不仅仅是学术能力。互联网的发展和通信技术的快速更迭引领我们进入最后一个阶段，这也导致全球范围内更激烈的竞争以及对人才的争夺，无论是学生还是教职员工皆是如此。

How do you perceive the impact of COVID-19 on university governance?

Not that Covid-19 brought us new things, but it accelerated a number of evolutions that were already in the making and made us realize our dependency on scarce resources worldwide.

When I was first at the LEAD meeting in Brussels in 2016, we talked about the digital age and how our children and especially grandchildren, were born in an age of ultra-connectiveness, and how this is a challenge for so-called old-style universities and their teachers.

Yet, Covid sped up this digitalization of all universities and higher education institutions. Within the span of just a few months, we all learned to use Zoom, Microsoft Teams, and video chats. We also learned to work from places other than the ones that we normally worked at. And for many of us, this is now the new normal.

Digitalization and fast-changing technology remain relevant as key markers for university governance change. The globalized society and its interconnectedness are also very relevant. And we still witness the growth of university internationalization worldwide with ever-growing networks and programs. We can take Eutopia and the European University networks as an example. Over the past years, it grew in size and scope, more and more under governmental pressure. These networks will be relevant in European and international bids for programs and projects, and they will remain a contributing factor to university governance change.

您如何看待新冠疫情对大学治理的影响？

与其说新冠疫情给我们带来了新的东西，不如说它加速了一些已经在酝酿中的演变，并且在世界范围内让我们意识到我们对稀缺资源的依赖性。

当我2016年第一次参加在布鲁塞尔举行的LEAD会议时，我们谈到了数字化时代，我们的孩子和孙辈是如何出生在一个极为互联共通的时代，以及这对所谓的旧式大学及其教师是如何造成挑战的。

然而，新冠疫情加快了所有大学和高等教育机构的这种数字化进程。在短短几个月的时间里，我们都学会了使用Zoom、Microsoft Teams和视频聊天。我们还学会了在我们通常工作地点之外的其他地点工作。这对我们许多人来说已经是新常态了。

数字化和快速变化的技术仍然是大学治理变革的关键标志。全球化社会及其内部联系也非常重要。我们仍然见证着全球范围内大学国际化的发展，机构网络和项目不断增长。以Eutopia和欧洲大学网络为例，在过去的几年里，它的规模和范围不断扩大，越来越受到政府的影响。这些机构网络将在欧洲乃至国际项目投标中发挥作用，并将继续成为大学治理变革的重要因素。

In your view, how has this evolution of university governance impacted the career of academic leaders?

Rectors, vice-rectors, deans, all of them need superpowers. As they not only need to be at the top of their class when it comes to research and teaching, but they also need to be top managers, top CFOs, top CEOs, and top CIOs, preferably with top-notch marketing and communication skills. Over the past two decades, we've seen the rise of the academic entrepreneur, who needs to seek new ways of financing and managing resources. By way of example, our university issued bonds to get the necessary resources and with success. Yet issuing bonds is probably not something you had in mind when you started your academic careers in biology, chemistry, history, architecture, nanotechnology, etc. This regular and financial framework will, however, continue to pressure university structures to professionalize and include more and more experts and expert communities to help govern university.

在您看来，大学治理的这种演变对学术领导者的职业生涯有何影响？

校长、副校长、院长，他们都需要超能力。因为他们不仅需要在研究和教学方面名列前茅，还需要成为顶级经理、顶级首席财务官、顶级

首席执行官和顶级首席信息官，最好还能拥有一流的营销和沟通技能。在过去的二十年里，我们看到了学术企业家的崛起，他们需要寻求新的融资和资源管理方式。举例来说，我校就以发行债券来获得必要的资源，并取得了成功。然而，发行债券可能并不是你在生物、化学、历史、建筑或纳米技术等领域开始学术生涯时会想到的事。这种常规化和财务化的框架将继续迫使大学结构变得专业化，并继续吸纳越来越多的专家和专家群体来帮助管理大学。

What other major changes have you observed in university governance in recent years?

University leadership is changing to encompass the latest management insights. In order to defend themselves against the scarcity of resources and to enable universities to face the challenges of this new century jointly, international networks emerged in Europe, instigated by the EU, in the form of European Universities. The latter are professionalizing and structuring themselves to become independent entities that will be future key players in the acquisition of projects and funding. In our Eutopia network, we are fully developing the necessary governance structures to this end. Eutopia grew and now consists of a total of 256,000 students and 45,500 staff members. It's one of those networks that arose to be ready for the challenges of the future and is looking at alternative ways of teaching in an interconnected world.

And then, specialized schools are alone or in network with others, focusing on interdisciplinary issues. None of the 17 UN Sustainable Development Goals can be attained through research in one specific field. This is why universities transform. Either through dismantling the barriers between disciplines through mergers of faculties into larger and multifaceted entities or through setting up problem-based or issue-based schools, colleges, institutes or centres that focus on one particular issue from a multidisciplinary angle. Our Brussels Schools of Governance is a case in point. We focus on four different key transversal topics and deliberately limit ourselves to that.

近年来，您在大学治理方面还观察到哪些重大变化？

大学领导层正在发生改变以实践最新的管理学洞见。为了避免大学遭受资源匮乏带来的困扰，并使大学能够共同面对新世纪的挑战，在欧盟的推动下，欧洲范围内发展出了以欧洲大学为形式的国际机构网络。这些网络不断在进行专业化和结构化以成为独立的实体，并将成为未来竞争项目和资金的关键参与者。在我们的Eutopia网络中，我们正以此为目的全力建立必要的治理结构。Eutopia经过不断发展壮大，现在共有25.6万名学生和4.55万名教职员工。Eutopia是那些为迎接未来挑战而建立的网络之一，并且正在探寻一个在互联互通的世界中教学的其他替代方式。

此外，专业化的学校自身或与其他学校组成的机构网络，也都在专注跨学科的问题。联合国17个可持续发展目标中没有任何一个可以通过研究某个特定领域来实现。这就是为什么大学要进行转型。要么通过将各学院合并为更大、更多方面的实体来消除学科之间的障碍，或者通过建立以（解决）问题为导向的学校、学院、研究所或中心，从多学科的角度专注于一个特定的问题。我们的布鲁塞尔管理学院就是一个很典型的例子。我们专注于四个不同的核心横向主题，并有意将自己限制在这个范围内。

What other factors do you think will influence university governance in the near future? And how can universities react to that?

Let us not be blind to the changing environment. We live in the political and economic reality that surrounds us, and that political and economic reality is changing fast. Because of external circumstances, all European countries and a lot of others worldwide are facing high inflation that leads to higher prices and lower subsidies. So the austerity programs that have been menacing public universities worldwide since the 1980s are thus not over. And we are likely to see a further race for talents and financial means in the years to come.

The political environment in Europe is also changing. While we were all cheering for European integration ten years ago, we are now seeing signs of disintegration and upheaval of nationalism. So this inward-looking trend may also affect academia, with programs becoming less inclusive or international. If globalization is one of the key triggers for university governance change, changing the nature of that globalization will also affect the universities.

Initiatives such as the European University Networks that thrive on inclusiveness or mutual understanding go against this nationalistic flow. And so do these initiatives, such as LEAD and LEAD2. Universities have an academic mission and can explain politics. And hopefully, they can influence politicians to make informed decisions. Our mission is to do research and to convey the findings of that research through teaching and public information.

您认为还有哪些因素会在不久的将来影响大学的治理？大学又该如何应对？

我们对不断变化的环境视而不见。我们的生活被政治和经济现实所围绕着，而且这些政治和经济现实正在迅速变化着。由于外部环境的原因，所有欧洲国家和世界上许多其他国家都面临着高通货膨胀的问题，价格上涨，补贴减少。因此，自20世纪80年代以来一直威胁着全球公立大学的紧缩计划还没有结束。在未来的几年里，我们很可能会看到对人才和金融手段的进一步竞争。

欧洲的政治环境也在发生变化，虽然10年前我们都在为欧洲一体化欢呼，但现在我们看到了欧洲解体的迹象和民族主义的抬头。因此，这种内趋性也可能会影响到学术界，使各个项目变得不那么具有包容性或国际化。如果全球化是大学治理变革的关键触发因素之一，那么改变这种全球化的性质也会影响到大学。

像欧洲大学网络(European University Networks)等基于包容或相互理解而蓬勃发展的倡议，正是与这种民族主义抗衡。像LEAD和LEAD2这样的项目也是如此。大学肩负着学术使命，而且可以解释政治。希望它们能影响政治家从而使他们做出明智的决定。我们的任务是做研究，并通过教学和公共信息等途径来传达研究结果。

Thomas Estermann

Thomas Estermann is Director for Governance, Funding and Public Policy Development at the European University Association. Before joining EUA in 2007, Thomas Estermann was Deputy Head of Strategic Development and Deputy University Director at the University of Music and Performing Arts in Vienna, a member of the universities' senate and was involved in several reforms in higher education in Austria. Thomas is member of several European and national committees, expert groups, editorial boards, advisory groups. He contributes on a regular basis to higher education management programmes and national higher education reform processes. He has publications on the topic of university funding, governance and management.

托马斯·埃斯特曼（Thomas Estermann）

托马斯·埃斯特曼（Thomas Estermann）是欧洲大学协会的治理、筹资和公共政策发展部主任。在2007年加入欧洲大学协会之前，托马斯·斯特曼是维也纳音乐与表演艺术大学战略发展部副主任和大学副校长，是大学评议会成员，并参与了奥地利高等教育的多项改革。托马斯是多个欧洲和国家委员会、专家小组、编辑委员会和咨询小组的成员。他定期为高等教育管理项目和国家高等教育改革进程做出贡献。他在大学经费、治理和管理方面发表过文章。

What do university leaders consider as the main drivers and priority areas for their institutional transformation?

According to our research, the top 3 drivers for institutional transformation are the national revised strategy for higher education, changes in national legislation, European or international trends and financial pressures. Most of them are external pressures that push institutions to look at the transformation agenda.

Regarding the priority areas, improving efficiency, effectiveness and value for money has become the top priority for institutional transformation. Further developing the societal mission of the institution and enhancing equity, diversity and social inclusion are also two other priorities pursued by institutions in their transformation agenda.

在您看来，大学领导者认为其机构转型的主要驱动力和优先领域是什么？

根据我们的研究，机构转型的前三大驱动力是国家修订的高等教育战略、国家立法、欧洲或国际趋势的变化以及财政压力。其中大部分是外部压力，这促使院校不得不关注转型议程。

从优先领域看，提高效率、效益和金钱价值已成为机构转型的重中之重。进一步发展机构的社会使命，增强公平、多样性和社会包容则是各机构在转型议程中追求的另外两个优先事项。

Who is considered to be formally part of the institutional leadership team?

Rectors and Vice-Rectors are universally considered part of the formal leadership team, followed by Deans, Heads of Administration, and Chief Operating Officers. Heads of the University Senate Committees are least often considered to be included in the formal leadership team. But the situation varies with countries. In Poland, leadership is considered more in an academic way. However, in Nordic countries, leadership is more diversified and inclusive.

哪些人一般会被认为是大学机构领导层的正式成员？

校长和副校长普遍被认为是正式领导团队的一部分，其次是院长、行政主管和首席运营官。大学参议委员会的负责人则很少被认为是正式领导团队的一员。但这种情况因国家而异。在波兰，人们更多地从学术角度看待领导层。然而，在北欧国家，领导层则更具多元化和包容性。

What do you consider as necessary skills for successful higher education leaders?

On the top of the list are communication, open-mindedness and conflict-resolution skills. Then you have other important skills such as integrity, active listening and empathy. There's a whole set of skills that, in my opinion, indicates to a certain degree the fact that a university leader today is not only someone from whom people expect to do things or to be very proactive, but he also needs to understand the very complex environments and needs to be open and listening. That is something quite interesting.

您认为成功的高等教育领导者必须具备哪些技能？

排在首位的是沟通、思想开放以及能够解决冲突的技能。此后，还有一些其他的重要技能，诸如正直诚信、积极倾听和具有同理心。在我看来，这一整套技能在一定程度上表明了这样一个事实，即如今大学领导者不仅是人们期望能做事情或提前做出行动的人，而且他还需要能够解读非常复杂的环境，保持开放和倾听。这是相当有趣的事情。

How are the leadership development programs supported?

They are mostly supported through institutional funding. So it's the institutions that either set up programs through their own resources or pay for the communities to participate in such leadership development programs. Then you have self-funding. Those are individuals who think that leadership development programs will bring added value to themselves and for their future careers. So they are willing to invest in such a program. Some systems provide national funding at the system level. And at the European level, only 10% of funds were devoted to capacity-building and support for leadership development programs. So we have a very clear conclusion that you have on the one hand, huge expectations from policymakers at the national and European levels. We know that leadership and leadership development play an important role in achieving goals and aims. However, at the same time, very little support has been devoted to doing something about that. This is certainly something that we would like to make a very strong message to the community and policymakers, that we need much more investment in leadership development programs. I think LEAD and LEAD2 are very good examples.

大学领导力发展项目是如何得到支持的？

它们大多是通过机构资金得到支持的。要么是机构通过自己的资源设立项目，抑或是资助相关社群，让他们参与这样的领导力发展项目。当然还有一些自费参加领导力发展项目的人。这些人认为领导力发展项目将为他们自己和他们未来的职业生涯带来附加价值，所以他们愿意在这样的项目上投资。有些体系是在系统层面提供国家资金。而在欧洲层面，只有10%的资金被投入到能力建设和支持领导力发展项目。因此，我们有一个非常明确的结论，即一方面，我们面临来自国家和欧洲层面的政策制定者的巨大期望。我们知道，领导力和领导力的发展在实现目标和目的方面发挥着十分重要的作用。然而，与此同时，在这方面所采取的行动和得到的支持却很少。因此，我们希望向社会和政策制定者发出一个非常强烈的信号，即我们需要对领导力发展项目进行更多的投资。我认为LEAD和LEAD2就是非常好的例子。

"Apart from an outlook on the strategic development of universities, leaders need to deal with the crisis and lead through crisis."

"大学领导者不但要对大学发展战略进行规划，还需要应对危机，并在危机中发挥领导作用。"